

**CORPORATE STRATEGIC RISK REGISTER FOR CHILDREN, ADULTS AND  
COMMUNITY HEALTH SERVICES**

**AUDIT COMMITTEE  
MEETING DATE 2016/17**

**20 April 2017**

**CLASSIFICATION:**

**Open**

**If exempt, the reason will be listed in the  
main body of this report.**

**WARD(S) AFFECTED**

**All Wards**

**Group Director**

**Anne Canning, Group Director of Children, Adults and Community Health Services**

## **1. GROUP DIRECTOR'S INTRODUCTION**

- 1.1 This report updates members on the corporate risks for the Children's Adults and Community Health Services Directorate as at March 2017 (attached). It also identifies how risks within the Directorate are identified and managed throughout the year and our approach to embedding risk management.

## **2. RECOMMENDATION(S)**

The Audit Committee is recommended:

- 2.1 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 Sub- Committee is aware of this.

## **4. BACKGROUND**

- 4.1 The current Directorate risk profile was reviewed by the Directorate of Children's, Adults and Community Health Services Management Team on 7th December 2016 and updated by Directors in March 2017. This report is presented as a high-level risk management report for the Directorate. Detailed risk registers, for Children's Services, Hackney Learning Trust (HLT), Adults Services and Public Health have been prepared and were reviewed by the Management Team and the high-level Directorate risks highlighted and included at Appendix one.

### **4.2 Policy Context**

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

#### 4.3 **Equality Impact Assessment**

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.

#### 4.4 **Sustainability**

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

#### 4.5 **Consultations**

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.

#### 4.6 **Risk Assessment**

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

### 5. **DIRECTORATE RISK REVIEW**

5.1 The Directorate Risk Register comprises risks that represent the most significant risks faced by the Directorate, some of which cut across the Directorate's services. Separate risk registers for Public Health, Adult Services, Children's Services and the Hackney Learning Trust are maintained and sit beneath the Directorate Risk Register and are available for review on Covalent.

5.2.1 There have been some additional high risks added to the register this year:

- A new red risk is reported in relation to **the impact of the Education White Paper Educational Excellence Everywhere** on Hackney Learning Trust (HLT), in particular the establishment of the National Funding Formula and the government's policy of academisation. Whilst the Bill has yet to be introduced into Parliament and pending the outcome of the government consultation, "Schools that Work for Everyone" looking at further school reforms (including expansion of selective school education), options open to the LA to protect school performance and Education Services' delivery are being developed. The risk also notes the importance of ensuring staff engagement in the process during this period of uncertainty.

- **Escalating SEND spend** is now a reality given the fixed funding but escalating population and complexity of need, and is therefore a red risk. Taking account of the seriousness of this ongoing situation this risk has been added to the corporate risk register. It is felt that mitigating controls are unlikely to reduce the risk in the short term given the increasing population, the lead in time to making reductions and level of progress made to date.
- **Safeguarding considerations for those pupils who are not registered at a school** (e.g. Electively Home Educated pupils, children missing from education, children attending unregistered settings, children who are yet to be allocated a school place, etc.) is increasing in importance. There is an expectation that the borough must work to ensure the safety and wellbeing of all such pupils, challenging existing legislative frameworks and guidance where necessary to do so, and working with partners to ensure effective and robust identification, tracking, consultation and referral. This new red rated risk recognises the severity of the potential risks of a safeguarding failure

5.3 There are also a number of risks that were reported to Audit Committee last year that have not been included in this report as the risk rating has dropped or they have been closed. These are:

- Financial viability of special schools and PRUs in 2016/17 is inadequate and has a negative impact on HLT provision
- Statutory requirements of SEN aspects for the children & Families Act are not met post implementation of new working arrangements.

5.4 In addition, the reputational risk in respect of a poor inspection outcome has been reassessed as low and taken off the risks reported to Audit Committee following the summer visit of Ofsted which rated our Children's social care services as 'good' with services to care leavers 'outstanding.' The Council's Youth Justice services were also inspected in the summer by HMIP and although these inspections do not generate an overall judgement the report highlighted strengths in service delivery and no major areas for improvement.

5.5 Risks within commissioned Public Health services have not changed substantially since last reported to the Committee. The service's highest area of spend and risk relates to sexual health services, as set out in "CACH PH 007 Sexual Health". Testing for sexually transmitted disease is a demand-led service, delivered mainly by NHS providers in locations across London and beyond. The council has limited control over that demand and the clinical imperative is for as many high risk, asymptomatic residents as possible to undertake regular tests. In order to manage the financial risk to the council, London boroughs have collectively undertaken a recommissioning exercise that aims to reduce the likelihood of the financial risk being realised. Controls

include the introduction of an online service for residents to order self-testing kits that will be delivered to an address of their choosing (positive results will be dealt with in person rather than via automatic reply); and a sub-regional procurement of services from genitourinary medical (GUM) clinics that allows lead areas to contract manage NHS providers more clearly and apply an integrated tariff that is harmonised across London.

- 5.6 Other risks that are in receipt of active and ongoing management are "CACH PH003 School Based Health Services" and "CACH PH009 Budget". The controls in place for improving performance of the school based health service have begun to take effect and close contract management of the provider organisation has led to greater stability in recruitment and retention and completion of the service transition between previous and current providers. Feedback from schools in receipt of the service has improved but delivery is being closely managed by lead commissioners in the public health team. The budget risk remains relatively high due to unexpected loss of income from external sources for 2017/18 and pressures relating to prescription charges in the substance misuse service. As noted in the Risk Register, the public health management team is monitoring regularly the implementation of plans to mitigate these pressures and deliver agreed savings over the medium term.
- 5.7 The new Director of Adults Services, along with his management team have reviewed the divisional risk register focusing on high-level risks to the achievement of Adult Service's objectives. Consequently most risk identified are highlighted as new although they can encompass risks previously presented. For example, risk around sufficiency of resource encompasses the risk previously reported around non-delivery of savings.
- 5.8 Within the service there remains a risk about the resilience and sustainability in the context of rising demand and increased complexity and acuity of need for service users. Work is underway to remodel demand and pressures on social care, and this will be looked at as part of the work on integration with health and voluntary sector services. Some additional funding has been announced by central Government to support adult social care. This is welcome, and we await further information on how this will be transferred to local authorities, and any conditions attached. The Government has indicated that this temporary settlement is a placeholder whilst a more permanent solution for the social care funding gap is found.
- 5.9 There is growing national concern about the sustainability of the provider market, including an increasing number of providers who are returning contracts to local authorities. Work is continuing to support a healthy local provider market, as reflected in the risk register. This includes paying a fair rate to provide quality care, and a check of the financial health of organisations through the procurement process, and

follow up monitoring meetings following the award of contracts. This risk has to date been mitigated by the work of the commissioning team.

- 5.10 We take the protection of our most vulnerable risks very seriously, which is why adults safeguarding remains an identified risk on the register. The establishment of a Safeguarding Adults Board on a statutory basis, in line with the Care Act 2014, and the appointment of a new permanent Head of Safeguarding, enable strong multi-agency work to both prevent abuse and neglect, and to investigate and resolve safeguarding issues in a personalised way.
- 5.11 Looking forward the Council is looking to further integrate services with health from 2017/18 onwards. To this end it has been agreed that we will be pooling Adult Social Care and Public Health budgets with CCG monies through a Section 75 agreement. Health and social care partners across Hackney share an ambition to improve health outcomes for local people by commissioning and delivering services across organisations in a more joined up/integrated way that makes the most of our shared investment at a time when public sector funding has experienced significant reductions and increasing budgetary pressures.
- 5.12 The governance structures in respect of these integrated commissioning arrangements were approved by Full Council on 1<sup>st</sup> March 2017. The Section 75 includes a financial framework which sets out clear risk share arrangements in relation to expenditure exceeding budgets. However, as implementation progresses the Integrating Commissioning Board will develop risk identification, monitoring and mitigation arrangements in line with the corporate approach. Although the inaugural meeting of the Board does not take place until May 2017, shadow structures are in place and this work has already begun.

## **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 SERVICES**

- 7.1 The Accounts and Audit Regulations 2011 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 one – CACH risk register.

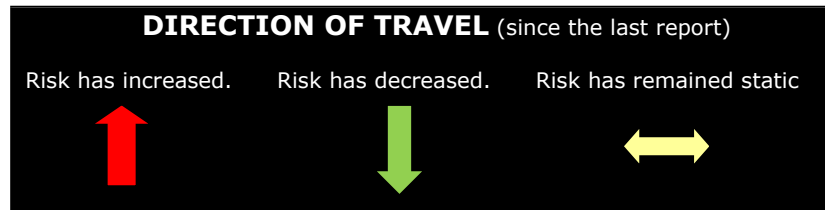
### **BACKGROUND PAPERS**

**In accordance with The Local Authorities (Executive Arrangements) (Meetings and Access to Information) England Regulations 2012 publication of Background Papers used in the preparation of reports is required**

None

|  |                                   |
|--|-----------------------------------|
| <b>Report Author</b>   | Jackie Moylan ☎ 020 8356 3032     |
| <b>Comments of the Group Director of Finance and Corporate Resources</b> | Michael Honeysett ☎ 020 8356 3332 |
| <b>Comments of the Director of Legal Services</b>                        | Patricia Narebor ☎ 020 8356 2029  |

## CYPS Directorate Risks



| Risk Title  | Description of Risk  | Directorate                        | Current Risk Matrix | Risk - Latest Note  |
|---|--|------------------------------------|---------------------|---|
| CYP DR 0809 0005 Service demands exceed available resources | The directorate needs to manage demand within a climate of reducing resources. The directorate's services experience fluctuating demand, which can add to resource pressures. In addition, services need to be able to respond to new and emerging priorities. | Children & Young People's Services |                     | <p align="center"></p> <p>Following an overall increase in looked after children numbers 3-4 years ago, numbers are relatively stable, although the profile of looked after children has changed significantly over the past few years 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 placement budget with a need for more specialised placements and is also making placement stability more difficult to achieve. Shortage of in-house foster carers adds to the cost pressure and the numbers of young people requiring more expensive residential placement has increased. The Overstaying Families Intervention Team (OFIT) continues to carefully manage the demand for high cost NRPF cases but there remain pressures on budgets in relation to these families. Southwark Judgement, LAPSO and UASC continue to bear cost pressures for 16/17 year olds who are afforded Looked After Children status by virtue of homelessness, remand or asylum claim. Recent developments in relation to the support required for migrant children as a result of closure of the Calais camps and government commitments under the Dubs amendment are likely to result in an increased number of UASC being supported in the borough.</p> |



**APPENDIX ONE**  
**CACH RISK REGISTER DECEMBER 2016**

| Control Title   | Control Description   | Responsible Officer | Service Manager | Due Date | Control - Latest Note   |
|---|---|---------------------|-----------------|----------|---|
| CHDR 0809 0005 A Clearly defined protocols for referral to services.  | Written protocol for referral to services agreed with all partner agencies.   | Anne Canning        | Sarah Wright    | Ongoing  | Update November 2016 - The Hackney Child Wellbeing Framework provides clear guidance for all professionals in understanding which services are best placed to meet the needs of children and young people, and has been agreed by all partners. CYPS has a multi-agency and single front door called FAST which is supported by a multi-agency steering group and good QA processes. FAST provides effective information sharing and access to appropriate services. Hackney's Local Assessment Protocol was published on-line and circulated to partner agencies in March 2016   |
| CHDR 0809 0005 B Children's social care services assess risk to differentiate and prioritise need and refer appropriately | 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. | Anne Canning        | Sarah Wright    | Ongoing  | Update November 2016 - FAST acts as a single point of contact for all referrals to CSC Services. Referrals are screened for a next step decision within 24 hours. FAST 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 simple and effective step-down processes are in place to ensure the needs of children and young people are considered in a multi-agency context through the Children's & Young People's Partnership Panel (CYPPP) and Multi-Agency Team (MAT) meetings. The service was evaluated very positively by Ofsted in the SIF inspection in July 2016 and in a pilot Joint Targeted Area Inspection in December 2015.<br><br>CSC undertakes all statutory assessments for children and young people in relation to risk and need and produce clear plans for protection and support in partnership with a wide range of agencies. |

Document Number: 17811315

Document Name: 2016/11/30cachRISKREPORT Document Number: 17725198

Document Name: 2016/11/04CYPSriskregister

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|  |   |              |                                |         |   |
|--|---|--------------|--------------------------------|---------|---|
| CYP DR 1011 005P Identify contingency funding                                | Additional funding to be identified to ensure Directorate can respond quickly to increased demand for services                          | Anne Canning | Jackie Moylan/<br>Sarah Wright | Ongoing | Budget pressures in relation to looked after children placements remain. This reflects an increase in numbers and 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 private and voluntary fostering placements, less in-house). 2016/17 pressures are being managed by the Directorate via the use of a reserve fund set up by the Group Director of Finance and Corporate Resources in recognition of the volatility of LAC numbers. Locally, the service is focussed on increasing the number of in-house foster carers which will reduce the average unit cost of LAC placements. Actions are also being taken to ensure our leaving care cohort are placed in appropriate and cost-effective settings, through, for example, utilisation of the supporting people contract. |
| CYP DR 1011 005Q Minimise impact of efficiency savings on frontline services | To ensure we can respond to any increases in demand, we aim to manage efficiency savings to ensure minimal impact on frontline services | Anne Canning | Jackie Moylan/<br>Sarah Wright | Ongoing | The Directorate has successfully delivered the 16/17 agreed savings. CYPS undertook a major restructure in 2015 (1CYPS); streamlining services and processes to reduce cost and increase efficiency. Focus has remained on increased quality brought about by a highly-skilled and flexible workforce.  |

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| Risk Title   | Description of Risk  | Directorate                        | Current Risk Matrix | Risk - Latest Note  |
|--|--|------------------------------------|---------------------|---|
| CYP DR 0809 0006 Child or young person suffers significant harm, injury or death | 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 take appropriate safeguarding and risk management measures. | Children & Young People's Services |                     | <br>Update November 2016– This remains a high risk, and controls are in place to manage this. |

| Control Title  | Control Description   | Responsible Officer | Service Manager | Due Date | Control - Latest Note  |
|--|---|---------------------|-----------------|----------|--|
| CYP 0910 006 B Local Safeguarding Children Board (LSCB) reviewed and operating as an effective multi-agency forum. | The City & Hackney Safeguarding Children Board (CHSCB) has a remit to monitor safeguarding across all partner agencies, including the local authority.  | Anne Canning        | Rory McCallum   | Ongoing  | A range of measures have been put in place to ensure the CHSCB is operating as an effective multi-agency forum. There is an Independent Chair in place, defined governance arrangements, regular attendance from partners at Board and relevant sub / working groups and Hackney-specific self-assessment. CHSCB also maintains a risk register covering all key statutory requirements; these actions and progress are regularly reviewed through the CHSCB Executive and full CHSCB. The July 2016 Ofsted inspection rated the CHSCB as 'Outstanding.' |
| CYP 0910 006 D Ensure staff have the necessary skills to ensure risk and need 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. | Anne Canning        | Sarah Wright    | Ongoing  | Ofsted inspectors noted in July 2016 that "When children are at immediate risk of harm, referrals are dealt with swiftly and children are seen to complete effective child protection enquiries. Appropriate decisions are taken when risk is identified to safeguard children."   |
| CYP 0910 006 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.           | Anne Canning        | Sarah Wright    | Ongoing  | Update November 2016 - Ongoing, monitored through management oversight and audit, monthly, quarterly and annual performance reports, including statutory returns to DfE and by Child Protection Conference Chairs and Independent Reviewing Officers.  |

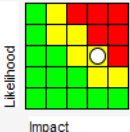

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| Control Title   | Control Description  | Responsible Officer | Service Manager | Due Date | Control - Latest Note  |
|---|--|---------------------|-----------------|----------|--|
| CYP 0910 006 F Risk assessing activities for young people | All activities directly provided and commissioned by the directorate must be subject to rigorous risk assessments. | Anne Canning        | Pauline Adams   | Ongoing  | Update August 2015- 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. |

| Risk Title   | Description of Risk   | Directorate                        | Current Risk Matrix   | Risk - Latest Note   |
|--|---|------------------------------------|---|--|
| Increased call on resources in respect of No Recourse to Public Funds (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. In 2015/16 the Overstaying Families Intervention Team (OFIT) assessed 109 families with 209 dependent children. Of these, 81 families were provided with accommodation and/or subsistence during the course of the assessment. As at 3 <sup>rd</sup> March 2017, OFIT were supporting 184 children from 94 families with 89 families receiving section 17 support in the form of accommodation, subsistence or both. | Children & Young People's Services |  | <p style="text-align: center;"></p> <p>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 &amp; 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. Recent developments in relation to the support required for migrant children as a result of closure of the Calais camps and previous government commitments under the Dubs amendment may result in an increased number of UASC being supported in the borough.</p> |

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| Control Title   | Control Description  | Responsible Officer | Service Manager | Due Date | Control - Latest Note  |
|---|--|---------------------|-----------------|----------|--|
| Robust assessment process in place.   | To provide a comprehensive assessment and safeguarding service to this vulnerable group of children, additional resource was established in Children's Social Care to assess the specific needs of overstaying families; this service is for families who are residing in the country illegally or without means to adequately support themselves. The Overstaying Families Intervention Team (OFIT) was formed in 2012 as a pilot service but has now embedded alongside the Access & Assessment Service in Children's Social Care.   | Anne Canning        | Sarah Wright    | Ongoing  | <p>The issues relating to NRPF families presenting as destitute are often complex as the histories, resources and support networks accessed by individuals during their time in the UK are not always clear, and are often not shared openly with statutory agencies. 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> |
| Cross-London management arrangements for unaccompanied asylum seeking children. | 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, 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 | Anne Canning        | Sarah Wright    | Ongoing  | <p>There has been significant improvement in the engagement of all London authorities on the rota. This is monitored by L.B. Croydon who manage the rota and by the London ADs Group. It is however, volatile due to international pressures in migration and asylum. London Authorities have been working together to coordinate responses to children entering the country following the closure of the Calais camps.</p>  |

**Hackney Learning Trust Risks**

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Reviewed by the Risk Review Group on 12 October 2016, agreed at SLT and updated for Audit Committee

| Risk Title   | Description of Risk  | Current Risk Matrix | Risk - Latest Note   |
|--|--|---------------------|--|
| LT EDS 1516 09 <b>CYPS</b> :<br>Impact of the government reforms on education service delivery | Government policy impacting on the role of LAs and the academisation of schools ends the role of LAs in school improvement and exercising the mediating layer. |                     | <p style="text-align: center;"></p> <p><b>January 2017</b> - The uncertainty around the government's reforms places pressure on the timing and nature of decisions about the future model of education services in Hackney. This is considered to be one of the highest risks HLT currently faces and is not possible to fully mitigate.</p> <p>Options open to the LA regarding Alternative Education Delivery Models are being developed. The Risk Review Group notes the importance of ongoing staff engagement during this time of uncertainty.</p> <p>We recommend maintaining the risk at Likelihood 4, Impact 5 to take account of the severity of this situation. It is likely that this risk will increase in the future.</p> |

| Control Title  | Control Description  | Service Manager  | Control - Latest Note   |
|--|--|------------------|---|
| LT 1516 Risk 09 Development of an alternative service delivery model that provides a governance structure for the local schools system.  | An alternative model for the governance of the Hackney school system is developed that retains the capacity for the strategic provision of school improvement and enables the continuation of a local mediating layer.   | Frank O'Donoghue | <b>January 2017:</b> Recent funding announcements, speeches by the National RSC and proposals emerging from the Westminster Diocesan Board for schools in Hackney (as well as London more generally) all point to the increasing likelihood of schools choosing to convert to academy status outside any collective arrangement involving the local authority. This significantly increases the risk of losing both the Hackney SRAS process and the ability of the Council to continue to work in partnership with schools. Officers believe there is a limited opportunity to prevent this happening and a need for continued discussion with schools on the future of the Hackney education system |
| LT 1617 Risk 01 Staffing challenges – Developing a strategy that retains staff with key skills knowledge and ability; identifying new talent and encouraging people to work for HLT. | <p>Ongoing contraction of the public sector means it is not easy to encourage skilled and talented people into the public sector.</p> <p>The risk of being unable to retain talented people over time is also a challenge.</p> <p>HLT will need to maintain an innovative approach by: Retaining current talented employees; identifying and encouraging new talent and changing the culture of long serving staff to meet the new challenges we face.</p> | Olly Cochrane    | <b>January 2017:</b> Following the workshop for WLG members in June 2016 on resilience, a second workshop was delivered in December. This focussed on managers taking responsibility for making change happen. This feeds into the Council's strategic approach "Change for Everyone" to meet the challenge of retaining key staff and developing talent that takes account of the continuing financial circumstances in the public sector. Further work to continue encouraging the engagement of HLT middle managers will continue through WLG.   |

| Risk Title | Description of Risk | Current Risk Matrix | Risk - Latest Note |
|------------|---------------------|---------------------|--------------------|
|------------|---------------------|---------------------|--------------------|

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|--|--|---------------------|---|
| LT EDS 1314 0006 <b>CYPS</b> - Annual changes to the National Funding Formula has a negative impact on HLT income and delivery | National changes to funding and/or policy have a negative impact on HLT income and delivery, development of traded offer and has consequences for Trust performance. |                     | <br><b>January 2017</b> – Risk Review Group notes the recent publication of the national funding formulae, and recommends adjusting the risk rating to Likelihood 4, Impact 4 to reflect the lower than expected impact on proposed funding. It should be noted, however, that Hackney is one of the local authority areas with the biggest overall % reduction in funding. |

| Control Title  | Control Description   | Service Manager | Control - Latest Note   |
|--|---|-----------------|---|
| LT 1314 Risk 11 Head of Service responsible for monitoring policy and funding changes and reporting implications for HLT income and delivery.            | Modelling and monitoring of funding changes will support a clear understanding of the risk and potential impact and will inform HLT's approach to meet implications.  | Yusuf Erol      | <b>December 2016:</b> More is now known about future funding arrangements under the NFF, which is not significantly different to previous HLT forecasts. There is still some uncertainty and a group of HLT officers continue to meet and monitor this.   |
| LT 1314 Risk10 Implications of changes to the National Schools Funding Formula are understood and monitored  | Changes to the National Funding formula are expected to have a significant impact on funding provision. Funding will follow the learner, with certain providers struggling to disaggregate funding due to current method of allocation. | Ophelia Carter  | <p><b>January 2017:</b> The ending of the general element of the Education Services Grant was confirmed by the DfE in December 2016. Hackney management and corporate management have agreed how much of the reduction will be pass-ported to HLT for 17-18. Future years to be agreed</p> <p>The continuing retained duties element has been transferred to the DSG, and will continue.</p>  |
| LT1415 Risk 08 Implementation of the Budget Reduction Plan   | The Budget Reduction Plan will be implemented to achieve reductions over the next two years.  | Yusuf Erol      | <b>December 2016:</b> SLT have agreed budget savings that should be sufficient to respond to the expected fall in income. However, the policy changes agreed in Additional Needs is expected to result in cost savings significantly less than what is needed to bring SEND spending down to levels that would be within budgeted expenditure. SLT will need to make further decisions about how the excess expenditure is funded.  |
| LT1415 Risk 18 Consultation on converting non-recoupment academies and amending the funding of local authorities for pupils in Free Schools from 2015/16 | Assessing the financial impact of growth funding academies and free schools.  | Ophelia Carter  | <p><b>January 2017:</b> No further information from the DfE in the December 2016 announcement.</p> <p>The DfE have consulted on local authorities assuming the costs of growing Free schools in the first year, (rather than from year 2). This will be an additional burden on the Growth Fund, and transfer to risk of double funding places to the local authority from the DfE.</p> <p>HLT do not have an additional year to manage the risk to services funded from de-delegated budgets and the new NFF will comprise of only one 'soft' year 2018-19 before full implementation of NFF in 2019-20.</p> |

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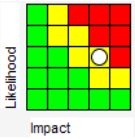

| Risk Title   | Description of Risk   | Current Risk Matrix | Risk - Latest Note   |
|--|---|---------------------|--|
| <p><b>**New Risk**</b></p> <p>LT EDS 1617 01 <b>CYPS</b>: SEND funding – Escalating SEND spend has an adverse impact on HLT budgets.</p> | <p>The number of pupils eligible for SEN statements 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.</p> |                     | <p align="center"></p> <p><b>January 2017</b> – A draft options paper recommending new ways of managing EHCP and reducing spend was reviewed initially at SLT on 7 October. Further modelling and review of other activities to reduce budget pressure are being pursued.</p> <p>SEND options for cost reductions have been cleared by SLT on the 13 January, CACH SMT on 18th January and finally HMT on 24th January and are awaiting final clearance.</p> |

| Control Title  | Control Description   | Service Manager    | Control - Latest Note   |
|--|---|--------------------|---|
| <p><b>**New Risk Control**</b></p> <p>LT 1617 02 The action plan to address SEND budget pressure and reduce overspend is in place and its effectiveness is regularly monitored by SLT.</p> | <p>SLT has approved an action plan to address the pressures placed on the SEND budget by increasing numbers of children and young people being eligible for SEN statements. This action plan introduces new oversight and challenge into the process, with a view to controlling expenditure and making sure resources are distributed fairly.</p>  | <p>Toni Dawodu</p> | <p><b>January 2017</b> A draft options paper recommending new ways of managing EHCP and reducing spend was reviewed initially at SLT on 7th October. Further modelling and review of other activities to reduce budget pressure are being pursued.</p> <p>SEND options for cost reductions have been cleared by SLT on the 13 January, CACH SMT on 18th January and finally HMT on 24th January and are awaiting final clearance.</p> |
| <p><b>** New Risk Control**</b></p> <p><b>LT 1617 06 - Management of financial impact of SEND budget pressures.</b></p>  | <p>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 HLT is not detrimentally affected by the overspend, is imperative.</p>   | <p>Yusuf Erol</p>  | <p><b>New risk control – January 2017</b></p>   |
| <p><b>** New Risk Control**</b></p> <p><b>LT 1617 07 - Changing the culture of SEND in schools and HLT to implement the action plan.</b></p>   | <p>If the action plan is to control expenditure and distribute resources fairly, changes in the existing culture in HLT 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.</p> | <p>Toni Dawodu</p> | <p><b>New risk control – January 2017</b></p>   |

| Risk Title | Description of Risk | Current Risk Matrix | Risk - Latest Note |
|------------|---------------------|---------------------|--------------------|
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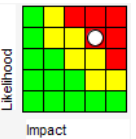



**APPENDIX ONE  
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| Risk Title  | Description of Risk   | Current Risk Matrix   | Risk - Latest Note   |
|---|---|---|--|
| LT EDS 1415 0008 <b>CYPS:</b><br>Lack of capacity and experience in health & safety services for education. | At transition to LBH, dedicated education H&S service transferred to LBH corporate centre and reorganisation resulted in limited specialist education H&S resources. There is the potential that this could impact on the ability to monitor and advise schools leading to a heightened risk to pupils and members of staff, reputational loss, and compromising Ofsted judgements. |  | <br><b>January 2017</b> – Risk Review Group notes the progress made on recruiting a corporate Health & Safety manager and considers the risk rating and controls remain appropriate until an appointment is made. |

| Control Title  | Control Description   | Service Manager | Control - Latest Note   |
|--|---|-----------------|---|
| LT 1415 Risk 12: Schools are supported by LBH Health & Safety Team                           | LBH Health & Safety team regularly visit schools and settings to advise them on best practice         | Olly Cochrane   | <b>January 2017:</b> Recruitment to the position of corporate Health & Safety manager will be carried out in January 2017. This will strengthen the LBH H&S team and the service they provide to schools. |
| LT 1415 Risk 13:LBH Health & Safety Team raises concerns about schools and settings with HLT | HLT receives updates from LBH Health & Safety Team on any causes for concern in schools and settings. | Olly Cochrane   | <b>January 2017:</b> School Health and Safety issues will continue to be raised through the SRAS process. The new corporate head of H&S will be invited to attend SRAS meetings to note priority issues.  |

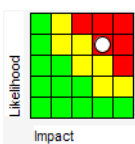

**Hackney Schools Risks**

| Risk Title  | Description of Risk   | Current Risk Matrix  | Risk - Latest Note   |
|---|---|--|--|
| <b>**NEW RISK**</b><br><b>LTSCH 1617 001 CYPS:</b><br><b>Serious Safeguarding failure in regard to pupils not in school</b> | 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 is increasing in importance.<br><br>This is the particular focus for current Local Authority Safeguarding Inspection frameworks, and there is an expectation that HLT must work to ensure the safety and wellbeing of all such pupils, challenging existing legislative frameworks and guidance where necessary to do so, and working with partners to ensure effective and robust identification, tracking, consultation and referral. |  | <br>January 2017 – Risk Review Group notes that the recent SIF inspection tested the LAs response to CME and made no recommendations for improvement in this area. The risk rating should be maintained at the present level which recognises the severity of the potential risks of safeguarding failure. |

| Control Title  | Control Description  | Service Manager | Control - Latest Note  |
|--|--|-----------------|--|
| LT 1617 Risk 03: Ongoing dialogue between HLT, DfE and Ofsted around necessary legislation to ensure | Currently, the roles and responsibilities of LAs, DfE and Ofsted are not clearly defined with regard to safeguarding duties. | Paul Kelly      | <b>December 2016 update</b> – First evidence session for Scrutiny Commission took place Wednesday 16 November. HLT and Ofsted attended the Commission. Second evidence session held on 9 January |

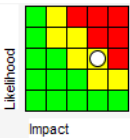

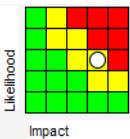

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| Control Title   | Control Description  | Service Manager | Control - Latest Note   |
|---|--|-----------------|---|
| safeguarding duties can be effectively carried out.   |  |                 | 2017.<br><br>HLT regularly informs DfE and Ofsted of any concerns about the safety of children and young people, who in turn may request Ofsted conduct inspections of a number of unregistered settings. |
| LT 1617 Risk 04: Continuing attempts at engagement with unregistered settings are made by HLT to reduce the likelihood of pupils being put at risk. | 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. | Paul Kelly      | <b>December 2016</b> – Officer from the HLT Safeguarding in Education Team is working with CYPS and community groups. Sarah Wright is leading on this.  |

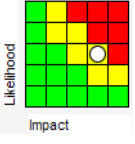

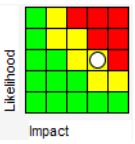

| Risk Title  | Description of Risk  | Current Risk Matrix   | Risk - Latest Note   |
|---|--|---|--|
| <b>LTSCH 1415 0007<br/>CYPS: Risks posed by unregistered schools and settings</b> | <p>Unregistered centres are neither known to, nor inspected by Ofsted, raising potential issues relating to the wellbeing and safeguarding of children and young people in the borough. HLT 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 HLT in this area. Despite the fact that HLT 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 style="text-align: center;"></p> <p><b>January 2017</b> – Risk Review Group notes that the current legal powers available to Local Authorities over unregulated settings are not sufficient to address a potentially catastrophic event. This presents a very high reputational risk for the borough, although there are limited options to mitigate this risk. We recommend that the risk rating remains unchanged to take account of this.</p> |

| Control Title  | Control Description  | Service Manager | Control - Latest Note  |
|--|--|-----------------|--|
| LT 1415 Risk 18: Co-ordinating multi-agency responses, HLT escalates any issues relating to the safeguarding of children or young people attending unregistered schools or settings. | HLT are aware of the unregistered schools and settings within the borough, escalating to the appropriate authorities any issues of concern reported to them. HLT co-ordinates multi-agency responses in regard to those settings that do not comply with Ofsted registration requirements. | Paul Kelly      | <b>December 2016</b> – Inspections jointly undertaken to 2 unregistered schools in September 2016, followed by visits from FAST. |
| LT 1617 Risk 04: Continuing attempts at engagement with unregistered settings are made by HLT to reduce the likelihood of pupils being put at risk.                                  | 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.   | Paul Kelly      | <b>December 2016</b> – Inspections jointly undertaken to 2 unregistered schools in September 2016, followed by visits from FAST. |

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| Risk Title  | Description of Risk   | Current Risk Matrix  | Risk - Latest Note  |
|---|---|--|---|
| <p>LT SCH 1112 0008 <b>CYPS</b> Performance and/or quality of provision in <b>nursery and primary</b> schools or settings declines, stagnates or fails and goes into special measures</p> | <p>a. The overall effectiveness of schools or settings (or the proportion of pupils attending good or better schools) reduces, leading the Trust to engage with Ofsted to challenge schools under the Good to great policy.</p> <p>c. Achievement in schools or settings fails to improve, leading to gaps not being narrowed from year to year at borough level and/or relevant to other LAs.</p>  |   | <p style="text-align: center;"></p> <p><b>January 2017</b> – Risk Review Group notes the changes to the teaching and assessment at Key Stage 2 and the impact this has had on Hackney primary schools results.</p> <p>Risk Review Group notes that Ofsted inspection grades for primary and nursery schools in Hackney are as follows:</p> <ul style="list-style-type: none"> <li>▪ Outstanding – 17 schools (31%)</li> <li>▪ Good – 36 schools (65%)</li> <li>▪ Satisfactory/Requires Improvement – 1 school (2%)</li> <li>▪ Inadequate – 1 school (2%)</li> </ul> <p>The current breakdown of overall effectiveness grades for those Hackney schools that have been inspected by Ofsted show 98.5% of nursery &amp; Primary pupils attend an outstanding or good school.</p> |
| <p>LT SCH 1112 0009 <b>CYPS</b> Performance and/or quality of provision in <b>secondary</b> schools or settings declines, stagnates or fails and goes into special measures</p>           | <p>d. The overall quality of provision in schools or settings fails to improve, leading to plateau and coasting year to year at borough level.</p> <p>e. From September 2012, poor performing schools will be subject to more regular inspections. Schools given a grade of 3 (currently “satisfactory”, becomes “requires improvement”) will receive two opportunities to remove themselves from the category before being placed in special measures.</p> |  | <p style="text-align: center;"></p> <p><b>January 2017</b> - Risk Review Group recommends no change to the risk rating.</p> <p>Risk Review Group notes that Ofsted inspection grades for secondary schools in Hackney are as follows:</p> <ul style="list-style-type: none"> <li>▪ Outstanding – 3 schools (20%)</li> <li>▪ Good – 12 schools (80%)</li> <li>▪ Satisfactory/Requires Improvement – 0 schools (0%)</li> <li>▪ Inadequate – 0 schools (0%)</li> </ul> <p>The current breakdown of overall effectiveness grades for those Hackney schools that have been inspected by Ofsted show 100% of Secondary pupils attend an outstanding or good school.</p>  |





**APPENDIX ONE**  
**CACH RISK REGISTER DECEMBER 2016**

| Risk Title   | Description of Risk  | Current Risk Matrix   | Risk - Latest Note   |
|--|--|---|--|
| LT SCH 1415 0001 <b>CYPS</b> Performance and/or quality of provision in <b>special</b> schools or settings declines, stagnates or fails and goes into special measures |  |  | <br><br><b>January 2017</b> - Risk Review Group recommends no change to the risk rating.<br><br>Risk Review Group notes that Ofsted inspection grades for special schools in Hackney are as follows:<br><ul style="list-style-type: none"> <li>▪ Outstanding – 2 schools (67%)</li> <li>▪ Good – 1 schools (33%)</li> <li>▪ Satisfactory/Requires Improvement – 0 school (0%)</li> <li>▪ Inadequate – 0 schools (0%)</li> </ul><br>The current breakdown of overall effectiveness grades for those Hackney schools that have been inspected by Ofsted show 100% of Special pupils attend an outstanding or good school. |
| LT SCH 1415 0002 <b>CYPS</b> Performance and/or quality of provision in Pupil Referral Unit declines, stagnates or fails and goes into special measures                | PRUs are now self-governing, which may mean that inspection / greater scrutiny is imminent, which could lead to negative inspection outcomes |  | <br><br><b>January 2017</b> – New Regents College was judged to be good in its last Ofsted inspection.<br><br>Risk Review Group recommends no change to the risk rating.  |

| Control Title   | Control Description   | Service Manager                                      | Control - Latest Note  |
|---|---|--|--|
| LT 1112 Risk 17<br>Quality of provision of support by traded services offer | Quality of provision (particularly teaching, learning & assessment) and leadership and management (with a particular focus on sustained capacity for improvement) will be key aspects of the support provided.<br><br>Increasing the levels of buy in from schools in Hackney and out-borough will increase the capacity for a viable school improvement service. | Hilary Ryan – Primary<br><br>Martin Buck – Secondary | <b>December 2016:</b> Traded services income shows an increase on the previous year and is predicted to exceed target. An increasing proportion of the work is from outside Hackney. Some products are particularly successful e.g. Destination Reader is a traded product in 74 schools in 9 authorities beyond Hackney. Risks from uncertainties in the system mean staffing stability (or lack of) could put future trading capabilities at risk. |
| LT 1112 Risk 02 SRAS continually reviewed                                   | SRAS process continually reviewed to ensure it is fit for purpose.  | Sian Davies  | <b>December 2016</b> – HLT’s Good to Great Policy has been reviewed and amendments have been made. The Good to Great Policy was submitted to SLT on 21 October and approved. Schools continue to be reviewed at 4 SRAS meeting per year.   |
| LT 1112 Risk 14 Pupil support   | Pupil outcomes/underachieving pupils will be an aspect of the package of support provided.  | Sian Davies  | <b>December 2016</b> - Data analysis has taken place to identify under performance. Targeted interventions are in place to support priority groups and raise attainment. These are directed through the SRAS process.  |

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| Control Title                                 | Control Description  | Service Manager | Control - Latest Note  |
|---|--|-----------------|--|
| LT 1112 Risk 15<br>Increased CPD and capacity | Seek to increase levels of professional development and capacity in schools. | Sian Davies     | <b>December 2016:</b> The uptake of HLT's CPD offer continues to be positive. Network meetings are well attended and valued by school leaders. |

| Risk Title  | Description of Risk   | Current Risk Matrix   | Risk - Latest Note  |
|---|---|---|---|
| LT SCH 1112 0011 CYPS<br>Insufficient school places (Primary)   | Insufficient school places available to meet bulges in demand for Primary places    |  | <br><b>January 2017</b> – Risk Review Group notes the primary school projections, which indicate that surplus places were likely in primary school in the future. The introduction of a risk around surplus school places would need to be considered in future (especially in light of Free Schools which are outside school place planning framework). |
| LT SCH 1112 0012 CYPS<br>Insufficient school places (Secondary) | Insufficient school places available to meet bulges in demand for Secondary places. |  | <br><b>January 2017</b> – Risk Review Group notes that insufficient secondary school places continue to present a risk. The approval for the City of London Shoreditch Park and City of London Hackney Downs (to open in 2017 and 2019 respectively) are crucial to mitigating this risk.  |

| Control Title                                       | Control Description   | Service Manager | Control - Latest Note  |
|---|---|-----------------|--|
| LT 1112 Risk 23<br>Revise forecast of pupil demand  | Regular review of population data allows oversight and summary of changes to the potential pupil cohort and ultimately potential demand for places.   | Marian Lavelle  | <b>January 2017:</b> No changes to report. Revised forecasts were received in May 2016. These provided data based on live births, housing developments, Olympic legacy area information, number of applications etc.   |
| LT 1112 Risk 24<br>Clarify pupil demand projections | Pupil demand projections set out the numbers of pupil places required and available in the borough. Regular reporting to SLT to assure them risks have been identified and mitigating controls are working effectively. | Marian Lavelle  | <b>January 2017: PRIMARY</b> - The 2016 projections were received and showed that surplus places in the primary sector over the next 5 years. As reported previously, a number of new schools opened in 2015; Hackney New School (50 places), Halley House (60 places), Mossbourne Riverside (30 places in 2015, to increase to 60 places from 2016 and 90 places from 2017). These schools have, in part, contributed to the current surplus.<br><br>Despite the current number of surplus primary places, it is too early to consider whether some schools should permanently reduce their PANs, however the situation will be monitored by SLT. In December, SLT considered a request from Gayhurst primary school to assess whether the school's PAN should increase or decrease due to the complexities of managing a 2.5FE school. A decision was made to maintain the current PAN of 75.<br><br>Harrington Hill, St Matthias, Gainsborough and Sir Thomas Abney all informally reduced their PANs for September 2016. |

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| Control Title   | Control Description   | Service Manager       | Control - Latest Note  |
|---|---|-----------------------|--|
|   |   |                       | <p>The Olive School's application to obtain planning permission for the former Hackney Central Police Station, was refused by Hackney Council's Planning Committee on 8 June 2016.</p> <p>The EFA has submitted an appeal to the decision to deny planning permission for a 3FE school. If the outcome of these applications is that the 3FE appeal is denied, the school has indicated that they will open a second 2FE site in the borough. Planning has expired on the Cazenove site, but the EFA has submitted an extension on this site.</p> <p>There are currently (at the time writing), sufficient vacancies in Hackney primary schools to accommodate all of the pupils if the school were to close.</p> <p><b>January 2017: SECONDARY</b> – It is projected that that 12 Forms of Entry (FE) will be required by 2021. The City of London Shoreditch Park and City of London Hackney Downs have been approved to open in 2017 and 2019 respectively. Both schools are expected to open in temporary accommodation whilst the new school buildings are completed. The proposed temporary site for Shoreditch Park is a former Leisure depot on Audrey Street, near Haggerston park.</p> <p>The current Britannia Leisure Centre site and the existing Benthall Primary School sites have been identified as sites. The Britannia site is being further examined in a feasibility study and the outcome and options generated are being explored further. This proposal includes residential units as part of the overall development.</p> <p>It is also proposed that Urswick School should expand permanently by 1 FE in 2018.</p> <p>Bulge classes were successfully opened in September 2016 at:</p> <ul style="list-style-type: none"> <li>• Mossbourne Victoria Park</li> <li>• Clapton Girls' Academy</li> <li>• The Petchey Academy</li> </ul> |
| <p>LT 1112 Risk 25<br/>Regular monitoring of reception applications</p> | <p>Primary applications are volatile in nature. Regular monitoring of numbers of applications received compared to numbers expected allows Admissions Team to identify and respond to any perceived under submission.</p> | <p>Marian Lavelle</p> | <p><b>January 2017</b></p> <ul style="list-style-type: none"> <li>• Total number of places: 3,200 - including new free schools</li> <li>• The number of pupils on roll on census day in October 2016 reception was 2742.</li> <li>• Surplus places, (which includes the temporary reductions at Harrington Hill, St Matthias, Gainsborough and Sir Thomas Abney, as of December 2016 is 476.</li> </ul> <p>Projected number of pupils for September 2017 based on May 2016 projections is 2871.</p>  |
| <p>LT 1213 Risk 17<br/>Growth fund developed</p>                        | <p>Approval from schools forum sought annually to promote growth fund</p>   | <p>Ophelia Carter</p> | <p><b>January 2017:</b> As the Growth in new school places moves into the secondary phase, the funding gap has widened. If the National Fair Funding proposals continue to limit the Growth Fund, it is unclear how these new places will be provided for financially. The local authority has a continued obligation to supply schools places under the new arrangements, and will need to make sure sufficient funds are available to support new secondary schools planned for the next 4 years.</p>  |

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| Control Title                                | Control Description                                      | Service Manager                    | Control - Latest Note   |
|--|--|------------------------------------|---|
| LT 1213 Risk 39<br>Funding and sites secured | Funding and sites secured for any required new provision | Michael Coleman;<br>Marian Lavelle | <p><b>January 2017:</b> planning for the temporary school solution for first secondary school required (City of London Academy Shoreditch Park) was given on 9 November 2016. Plans to deliver the school are progressing to timetable.</p> <p>Public consultation has been undertaken for proposals for the Britannia mixed- use development, which includes the permanent site for the same school. This consultation period concluded on 12/2/17. Officers will then submit a report on its outcomes and proposed next steps, for Cabinet to consider in April 2017</p> <p>Tiger Way and Nile St achieved Financial Close in Nov 2016, and construction has commenced.</p> |

## Public Health Division risks - Dec 2016

**Report Type:** Risks Report  
**Generated on:** 28 November 2016



| Risk Title                               | Description of Risk  | Directorate                         | Current Risk Matrix | Risk - Latest Note           |
|--|--|-------------------------------------|---------------------|------------------------------|
| CACH PH 003 School Based Health Services | <p>Instability while going through recruitment and HR process / services not fully resourced to deliver care.</p> <p><b>IMPACT</b> - School health / Safeguarding concerns not acted upon within guidelines. Full service not being provided. Child need is not addressed.</p> | Children, Adults & Community Health |                     | New risk added December 2016 |

| Control Title                             | Control Description  | Responsible Officer | Service Manager   | Due Date    | Control - Latest Note |
|---|--|---------------------|---|-------------|-----------------------|
| CACH PH 003 School Based Health Services. | <p>Use of agency staff</p> <p>Recruiting as a priority</p> <p>Prioritising CIN and Social Care cases</p> <p>Use of cover staff</p> <p>Close working between two provider organisations around transition</p> <p>Allocation of safeguarding cases have been sorted by need during skeleton service</p> <p>Case holders appointed December 2014</p> <p>All records triaged</p> | Anne Canning        | <p>Lynda Rowlinson, Service Manager, Health Visiting and School Nursing, Whittington Health</p> <p>Marcia Smikle, Head of Nursing (community), Homerton University Hospital</p> | 28-Nov-2017 | Ongoing December 2016 |



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| Risk Title                | Description of Risk  | Directorate                         | Current Risk Matrix | Risk - Latest Note           |
|---------------------------|--|-------------------------------------|---------------------|------------------------------|
| CACH PH 007 Sexual Health | <p>Failure to deliver pan London and Local sexual health transformation programme.</p> <p><b>Impact</b></p> <p>1) Savings agreed through to 2020 not delivered.<br/>           2) Uneven access to services for residents across London.<br/>           3) Damaged relations with the provider sector including Homerton.<br/>           4) Political dissatisfaction due to impact on major local provider organisations.</p> | Children, Adults & Community Health |                     | New risk added December 2016 |

| Control Title             | Control Description  | Responsible Officer | Service Manager | Due Date    | Control - Latest Note |
|---------------------------|--|---------------------|-----------------|-------------|-----------------------|
| CACH PH 007 Sexual Health | <p>Active participation and leadership roles in sub-regional procurement exercise led by Islington.</p> <p>Ongoing dialogue with incumbent providers about our commissioning intentions in relation to GUM.</p> <p>Procurement timetable for local CASH services agreed.</p> | Anne Canning        |                 | 28-Nov-2017 | Ongoing December 2016 |

| Risk Title         | Description of Risk  | Directorate                         | Current Risk Matrix | Risk - Latest Note           |
|--------------------|--|-------------------------------------|---------------------|------------------------------|
| CACH PH 009 Budget | <p>Budget may not be managed effectively, may not align to Local Authority Public Health and Local priorities.</p> <p><b>Impact</b></p> <p>1) Spend not effectively controlled, creating overspends.<br/>           2) Failure to deliver a variance to be used in related local authority services.</p> | Children, Adults & Community Health |                     | New risk added December 2016 |

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| Control Title      | Control Description  | Responsible Officer      | Service Manager | Due Date    | Control - Latest Note |
|--------------------|--|--------------------------|-----------------|-------------|-----------------------|
| CACH PR 009 Budget | <p>Quarterly reports produced for management team on performance and spend for each contract across the service.</p> <p>Options for future budget reductions planned over a 3 year period.</p> | Penny Bevan; Gareth Wall | Penny Bevan     | 28-Nov-2017 | Ongoing December 2016 |

## ADULT SOCIAL CARE AND COMMISSIONING

| Risk Title   | Description of Risk   | Directorate                         | Current Risk Matrix | Risk - Latest Note  |
|--|---|-------------------------------------|---------------------|---|
| <b>CACH AS 001 Existing budget and resources are not sufficient to meet demand (Financial, reputational and poor service user outcomes and experience)</b> | <p>Key factors including an increase in demand as a result of the implementation of the Care Act 2014, demographic pressures and lack of in-Borough provision mean that the budget position is at risk.</p> <p>In addition to budgetary pressures, there is a risk that the social care workforce, and provision within the Provider market will be insufficient to meet and therefore support this growing demand.</p> <p>Whilst there are some emerging trends, predicting future demand is challenging and the current methodology does not support effective and accurate demand modelling.</p> | Children, Adults & Community Health |                     | <p>Reviewed and updated March 2017</p> <p><b>NEW RISK</b></p> |

| Control Title                       | Control Description  | Responsible Officer | Service Manager | Due Date    | Control - Latest Note   |
|-------------------------------------|--|---------------------|-----------------|-------------|---|
| Management of provider market       | Key procurement and contract negotiation activity is planned during 17/18 in order to secure savings, but also to ensure that fit for purpose service design is in place and focused on those with the highest need. This will ensure best value is achieved alongside a sustainable market.                           | Simon Galczynski    | Cynthia Davis   | on-going    |   |
| Provision of Information and advice | The Council, through Adult Services has a website dedicated to the provision of information and advice to support appropriate sign posting to universal, community based services and support to enable early signposting and appropriate re-routing of individuals away from the Council. The website is called iCare | Simon Galczynski    | Jane Love       | 30-Jun-2017 | The iCare website is currently going through an upgrade that is being tightly project managed. The benefits of the upgrade will include, easier access for people on the go using mobiles |

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|                                    |   |                   |                         |          |  |
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|                                    |   |                   |                         |          | and tablets, a new care act compliant screening tool, access to Health services information etc. which will support Hackney residents to better self-serve and delay the need for more costly Adult Social Care Support  |
| Appropriate front door signposting | Adult Services has in place an Access and Information Team that screens, signposts and routes Hackney residents to the most appropriate services and support. The team will also undertake an assessment of need to determine on-going support. | Simon Galczynski  | Ilona Sarulakis         | On-going |  |
| Predicting and planning for demand | The development of a robust fit for purpose Demand Model, which is able to forecast demand in terms of activity and spend for the future so that staff, service provision and finance is appropriately planned to meet demand.                  | Simon Galczynski, | Jane Love & Naeem Ahmed |          | A new Demand Model is in the process of being developed as the existing tool is no longer fit for purpose. The general terms have been agreed in conjunction with Finance colleagues, Public Health and Performance Team, and require some Corporate BI support to build the tool. |

| Risk Title  | Description of Risk  | Directorate                         | Current Risk Matrix | Risk - Latest Note    |
|---|--|-------------------------------------|---------------------|-----------------------|
| <b>CACH AS 002 – Provider Failure (reputational, financial, poor service user outcomes and experience</b> | Within the continuing challenging financial climate the ability of Social Care providers to continue to deliver high quality, cost effective services is under pressure. These pressures may result in an increase in quality and safeguarding concerns. | Children, Adults & Community Health |                     | <b>NEW RISK ADDED</b> |

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| Control Title  | Control Description  | Responsible Officer | Service Manager | Due Date | Control latest note |
|--|--|---------------------|-----------------|----------|---------------------|
| Robust Procurement process   | <p>As part of the Council's procurement process all providers that tender for contracts must prove their financial standing, prior to any contract award. This approach is required to safeguard both adults receiving services and the Council.</p> <p>This means that the recently awarded contract for Homecare providers will have been required to go through this process and as such demonstrated their compliance at the time of the tender.</p>       | Simon Galczynski    | Cynthia Davis   | On-going |                     |
| Fee uplift and commitment to London Living Wage                      | <p>In recognition of the financial challenges that Providers are facing and to support them in attracting, recruiting and retaining high calibre staff, the Council has made a commitment to support payment of the London Living Wage. In addition, the Council has also agreed to award a 1% uplift in fees to Providers for 2017/18.</p>  | Simon Galczynski    | Cynthia Davis   | On-going |                     |
| Effective and robust contract management and monitoring arrangements | <p>With a fully staffed team, Adult Services Commissioners are able to more effectively manage and monitor providers on a clear, risk based approach. This monitoring has been developed to focus on reviewing both the quality of the provision as well as financial stability of providers, so that any key issues or concerns can be identified in a timely manner and action taken to mitigate or manage any safeguarding, quality or financial risks.</p> | Simon Galczynski    | Cynthia Davis   | On-going |                     |

| Risk Title  | Description of Risk  | Directorate                           | Current Risk Matrix | Risk - Latest Note                                  |
|---|--|---------------------------------------|---------------------|---|
| <b>CACH AS 003 - The Needs of vulnerable adults are not identified in a timely manner (poor service user outcomes and experience)</b> | With the increase in demand at the front door in light of the Implementation of the Care Act 2014, the availability and capacity of suitably qualified staff is negatively impacted. The number of requests for assessment continues to exceed the availability and capacity of staff. As such there is a real risk that assessments and reviews to identify and support the needs of service users and their carers is not undertaken within the required statutory timeframes. | Children, Adults and Community Health |                     | <p>Updated March 2017<br/><b>NEW RISK ADDED</b></p> |

| Risk Title  | Description of Risk  | Directorate                         | Current Risk Matrix | Risk - Latest Note |                       |
|---|--|-------------------------------------|---------------------|--------------------|-----------------------|
| <b>CACH AS 004 - Inability to attract and retain a stable, high calibre workforce for key roles within Adult Services</b><br><br>(Financial and reputational risk, poor service user experience and outcomes) | <p>Hackney has experienced challenges in being able to recruit and retain a stable, permanent workforce to key roles within Adult Services. Key areas include Social Workers, Commissioners and Procurement professionals.</p> <p>Whilst the recruitment of Commissioners has been resolved and all posts now recruited to, both the Senior Procurement &amp; Commercial Manager and Social Worker posts remain covered by a significant proportion of more costly agency staff.</p> <p>This clearly impacts on the budget, but also negatively impacts on service delivery, service user experience and outcomes, staff morale/ wellbeing/ productivity, with the potential for reputational damage.</p> <p>The lack of stable staffing and service pressures mean that staff are not always able to take up training opportunities.</p> <p>Many Adult Services staff require upskilling to support them to deliver the high quality care and support necessary in an increasingly complex landscape of changing legislation, reduced budgets and the drive towards person-centred care</p> | Children, Adults & Community Health |                     | Updated March 2017 |                       |
| Control Title   | Control Description  | Responsible Officer                 | Service             | Due Date           | Control - Latest Note |

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|  |   |                  | Manager   |                          |  |
|--|---|------------------|---|--------------------------|--|
| Development of a People Strategy for Adult Services                                | The development of a People Strategy for Adult Services, led by the Director of Adult Services will take place during 2017. This will form one of the key planks of the newly developing Strategic Programme Office that is being established to support the delivery of key strategic programmes of work. The people strategy will look to address recruitment and retention, future workforce planning, developing the professional workforce etc.  | Simon Galczynski | Director of Adult Services / HR / Adult Services Heads of Service / Workforce Development Manager |                          | March 2017 – A meeting will take place in early April with the responsible officers to fully scope out this programme of work  |
| A training and development offer for Adult Services that is relevant and flexible. | <p>The Adult Services training and development offer and approach was reviewed in early 2016 and a new approach proposed and agreed.</p> <p>This approach is incremental and has been developing over the last financial year (2016/17). This will continue to be developed during 2017/18 and ensure that a range of flexible options to develop staff is available.</p> <p>A robust Learning Needs Analysis process is in place and will inform plans for 2017/18. Alongside this the recruitment to a Principal Social Worker post will ensure that appropriate “professional” learning and development opportunities are planned and in place to support the Social Work workforce.</p> | Simon Galczynski | Simon Richardson/<br>Principle Social Worker (TBA) Adults Heads of Service                        | June 2017                | March 2017 - The LNA process is underway for 2017/18 and recruitment to the Principle Social Worker post will be concluded by 31 <sup>st</sup> March 2017  |
| Other recruitment approaches   | CYPS is the lead partner for the North London Teaching Partnership Project and this will positively impact on making available a professional pool of qualified Social Workers for the future.  | Simon Galczynski | Ilona Sarulakis / Helen Sargeant-Dar & Principle Social Worker (TBA)                              | On-going through 2017/18 | The North London Teaching Partnership has commenced with a life cycle of approximately 18 months. Jane Love is currently the conduit between the Partnership and Adult Services colleagues to ensure that opportunities are shared and exploited |

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| Risk Title  | Description of Risk   | Directorate                         | Current Risk Matrix                                      | Risk - Latest Note                          |
|---|---|-------------------------------------|--|---|
| <b>CACH AS 005 - Adults at risk suffer significant harm, injury or death</b>  | Adults at risk who use our services are at greater risk of harm, injury or death. If risks are not adequately assessed and protected the vulnerable person could suffer significant injury or death.  | Children, Adults & Community Health | <p style="text-align: center;">Likelihood<br/>Impact</p> | updated March 2017<br><b>NEW RISK ADDED</b> |
| Control Title   | Control Description   | Responsible Officer                 | Service Manager  | Due Date                                    |
| The City and Hackney Safeguarding Adults Board is in place and operating as an effective multi-agency forum.                | The City & Hackney Safeguarding Adults Board's (CHSAB) role is to monitor safeguarding across all partner agencies, including the local authority and has regular meetings of the Board to ensure safeguarding across the partners is being managed effectively and that relevant intelligence is appropriately shared.   | Simon Galczynski                    | John Binding   | On-going                                    |
| Staff are appropriately qualified and have the necessary skills and expertise to ensure risk and need are properly assessed | Adult Services has a clear annual training plan that is underpinned by a robust Learning Needs Analysis process, which ensures that staff within the Directorate and wider partners have access to the appropriate training. Learning and development with regard to safeguarding is monitored by the SAB   | Simon Galczynski                    | Jane Love / Simon Richardson                             | On-going                                    |
| The appointment of a Head of Adult Safeguarding   | In recognition of the risks and the importance of safeguarding vulnerable adults, Adult Services reviewed its structure and took the decision to recruit a Head of Service with a specific focus on Adult Safeguarding. This role will ensure that Adult Safeguarding is of the highest priority, that staff receive appropriate supervision and support in order that adults at risk are appropriately safeguarded | Simon Galczynski                    | John Binding   | On-going                                    |
| Risk Title  | Description of Risk   | Directorate                         | Current Risk Matrix                                      | Risk - Latest Note                          |



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| <p><b>CACH AS 006 – Inability to control the increasing number of Delayed Transfers of Care</b></p> | <p>The number of people delayed from leaving Hospital continues to remain high, this means that there is an impact in the throughput in the Hospital as well as people not receiving the right care, support and interventions at the right time to enable them to remain healthy and well.</p> <p>This is further exacerbated by a lack of “in-Borough” provision, capacity of providers to support the demand and patient choice issues</p> | <p>Children, Adults &amp; Community Health</p> |  | <p align="center"></p> <p align="center"><b>DOWNRATED FROM RED LAST YEAR</b></p> |
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| Control Title   | Control Description  | Responsible Officer     | Service Manager                        | Due Date   | Control - Latest Note |
|---|--|-------------------------|--|------------|-----------------------|
| <p>Developing “in- Borough” provision</p>               | <p>Adult Services Commissioning are commencing on a programme of work which is focusing on redesigning the Supported Housing, Housing with Care and Extracare provision to ensure that there is appropriate capacity to meet demand and to ensure that current buildings are fit for purpose, with effectively managed voids. Developing appropriate options in this area may provide additional in-Borough capacity and thereby free – up capacity elsewhere.</p> | <p>Simon Galczynski</p> | <p>Cynthia Davis</p>                   |            |                       |
| <p>Whole systems working – Integrated Commissioning</p> | <p>The proposed key strands underpinning Integration and wider Devolution, will ensure a stronger, more joined up approach to managing discharge from Hospital. This will provide the opportunity to review and jointly clearly articulate the choice available to service users and their families upon discharge from Hospital</p>   | <p>Simon Galczynski</p> | <p>Ilona Sarulakis / Cynthia Davis</p> | <p>TBD</p> |                       |

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| Risk Title   | Description of Risk   | Directorate                         | Current Risk Matrix | Risk - Latest Note    |
|--|---|-------------------------------------|---------------------|-----------------------|
| <b>CACH AS 007 - The needs of Vulnerable Young People moving from CYPS to Adult Services are not appropriately identified and planned for.<br/>(Financial, poor service user experience and outcomes and reputational risk</b> | <p>The current transition process for young people moving into Adult Services is not well developed, which may result in them not receiving the right support and interventions to meet their needs and as such have a negative impact on their health, wellbeing and life chances.</p> <p>In addition poor planning will lead to budgetary pressures which have not been planned for and to an insufficient staff resource to support these young people as well as a potential lack of appropriate provision to meet their needs.</p> | Children, Adults & Community Health |                     | <b>NEW RISK ADDED</b> |

| Control Title                                | Control Description  | Responsible Officer               | Service Manager  | Due Date | Control - Latest Note  |
|--|--|-----------------------------------|--|----------|--|
| The establishment of a Transitions Programme | The Directors of Children and Adult Services are leading a Transitions Programme that will work to develop appropriate pathways for young people ensuring more joined up and effective working across partners | Simon Galczynski and Sarah Wright | Jonathan Wilding / Helen Sargeant-Dar / Christian Markandu | On-going | <p>The Transition Programme is in place with an identified Programme Manager who is accountable to the Directors of both CYPS and Adult Services.</p> <p>The programme includes multi-agency partners to ensure a joined up, whole system approach</p> |

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| Risk Title   | Description of Risk   | Directorate    | Current Risk Matrix | Risk - Latest Note    |
|--|---|----------------|---------------------|-----------------------|
| <b>CACH AS 008 - Loss of confidential / personal information – (negative impact on service users confidence and the families and carers, reputational risk, financial risk through financial penalties</b> | Adult Services holds a great deal of sensitive information, which relates to vulnerable adults supported by the Council, their families and carers. This includes information other statutory agencies and third party information. There is a risk that this could be lost, stolen or fall into the wrong hands. | Adult Services |                     | <b>NEW RISK ADDED</b> |

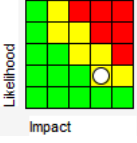
| Control Title   | Control Description   | Responsible Officer | Service Manager                 | Due Date | Control - Latest Note |
|---|---|---------------------|---------------------------------|----------|-----------------------|
| Clear guidance and procedures are in place to ensure that staff are clear and understand their responsibilities in relation to handling and managing confidential and personal information in accordance with the law | Staff have access to clear procedures and guidance in relation to managing personal and sensitive information, as well as reporting any breaches. Training is provided to staff to ensure that their knowledge remains current and their awareness is regularly raised.<br><br>All breaches are recorded and monitored and actions identified through the regular Caldicott Guardian meetings in order that any learning can be captured and fed into improvements. | Simon Galczynski    | Adult Services Heads of Service | on-going |                       |

| Risk Title   | Description of Risk  | Directorate                         | Current Risk Matrix | Risk - Latest Note    |
|--|--|-------------------------------------|---------------------|-----------------------|
| <b>CACH AS 009 - Complaints, FOIs and Member Enquiries are not delivered within statutory deadlines and requirements. (Reputational risk, Financial risk resulting from fines)</b> | Complaints and FOIs are governed by legislation and have clearly set out timeframes for completion. With the recent organisational changes within the Council and Directorate, clarity about business processes and roles and responsibilities are not currently as well defined as they could be. This may lead to complaints, FOIs and Member Enquiries not being identified in a timely manner and then not co-ordinated effectively and responded to.<br><br>This may additionally result in poor service user experience and outcomes, negative attention from the Local Government Ombudsman, reputational damage and financial penalties being imposed. | Children, Adults & Community Health |                     | <b>NEW RISK ADDED</b> |

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| Control Title  | Control Description   | Responsible Officer | Service Manager | Due Date | Control - Latest Note |
|--|---|---------------------|-----------------|----------|-----------------------|
| The establishment of a dedicated hub to manage and co-ordinate all Complaints, FOIs and Member Enquiries in line with legislative requirements and Council Policies and Procedures | <p>Work is due to commence on exploring options for the establishment of a Business Hub to manage in one place all of these key areas of work.</p> <p>Having a more co-ordinated approach through a dedicated hub will ensure clarity of roles and responsibilities, reduce the risk of breaches in these areas and will enable the Directorate to more effectively capture learning that can feed into service development and improvement plans and lead to an improved service experience, a reduction in complaints</p> | Simon Galczynski    | Jane Love       | on-going |                       |

| Risk Title | Description of Risk | Directorate | Current Risk Matrix | Risk - Latest Note |
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| <p><b>CACH AS 010 – The risk of Judicial Review or Legal Challenge</b></p> | <p>Due to the nature of the work of Adult Services there is always a risk that decisions in relation to funding or not of care packages or other decisions may lead to a Judicial Review or Legal Challenge.</p> | <p>Children, Adults &amp; Community Health</p> |  | <p>March 2017</p> <p><b>NEW RISK ADDED</b></p> |
|--|--|--|---|--|

| Control Title   | Control Description  | Responsible Officer | Service Manager                                      | Due Date | Control - Latest Note |
|---|--|---------------------|--|----------|-----------------------|
| Working within existing guidance and frameworks and seeking Legal Support | <p>There is legislation, guidance and procedures to support staff to work appropriately.</p> <p>The Council also has Legal expertise that staff can seek advice and support from with complex cases and issues.</p> <p>Staff across Adult Services work in close liaison with Legal colleagues to ensure that the risk of legal challenge is mitigated as far as possible.</p> | Simon Galczynski    | Adult Services Heads of Service and Legal colleagues | on-going |                       |