

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

**AUDIT COMMITTEE  
MEETING DATE 2017/18**

**18th April 2018**

**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 February 2018. It also identifies how risks within the Directorate are identified and managed throughout the year and our approach to embedding risk management.

## **2. RECOMMENDATION**

- 2.1 The Audit Committee is recommended to note the contents of this report and the attached risk registers and controls in place.

## **3. REASONS FOR DECISION**

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

## **4. BACKGROUND**

- 4.1 The current Directorate risk profile was reviewed by the Directorate of Children's, Adults and Community Health Services Management Team on 28<sup>th</sup> February 2018. 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 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 Pentana.

#### **Children and Family Risks**

- 5.2 There has been no change to the profile of risks for Children and Families set out in our report to Audit Committee last year. Further external pressures which may impact on expenditure are, however, highlighted in the risk register set out at Appendix one, namely:
- Demand for services is increasing due to the impact of austerity, benefit changes and housing issues on families within Hackney which are impacting on the level of need in the borough. We anticipate that demand for services will increase further following the introduction of Universal Credit.
  - It is expected that the legislative changes that will provide care leaver support to age 25 (from April 2018) will come with limited additional funding from the Government.

- 5.3 The impact of these factors will be captured through budget monitoring reported to Cabinet through the Overall Financial Position (OFP) report.
- 5.4 Each year we categorise the risk of a 'Child or young person suffering significant harm, injury or death' as red. Despite our positive assessment of the controls in place to mitigate the likelihood of this occurring the impact of and the many external factors that have a bearing on such an event lead us to the conclusion that this is inevitably high risk.
- 5.5 It is also emphasised that controls in relation to the risk of harm, injury or death are subject to external review through the Ofsted inspection process. Our last inspection in Summer 2016 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 2016 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.

## **HLT Risks**

- 5.2 There have been some additional high risks added to the register this year. These are:
- Termination of lease for the continued use of the Rigg Approach depot for the SEND transport fleet.  
  
The Rigg Approach depot for the SEND Transport fleet is a leased property, recently under new ownership. Strategic Property Services have followed up with the new owner's agent to negotiate a new lease. Uncertainty over the status of the status of the current lease and the possibility we may be given notice to vacate the site creates a significant risk for the garaging of the SEND bus fleet and a number of steps are being taken to mitigate this. Property and Legal Services are taking steps to secure the current lease short term, and there is the possibility of a Council owned site becoming a secure long term alternative for the fleet of 22 buses. Whilst progress has been positive the position is not resolved and the risk remains high.
  - The risk of failing to meet the new statutory requirements for SEND included in the Children and Families Act post implementation of new working arrangements.

The Children & Families Act introduced new statutory requirements linked to the implementation of Education Health & Care Plans, provision to support SEN up to 25 years old, joint commissioning, implementation of a local offer and person centred approaches to planning. New processes and resources to support these changes must be implemented to ensure HLT meets its statutory requirements by 31 March 2018. The HLT rating has been raised in the light of the ability of local authorities nationally to meet statutory deadlines whilst producing high quality plans for pupils. Whilst Hackney has a recent positive SEND inspection, the inspection noted that we are not completing EHC needs assessments in 20 weeks. Although the risk rating was reduced to amber because good progress is being made and we compare well with many other LAs, it was decided this risk should still be noted at management and member level in view of the inspection report comments and the need for continued quality assurance.

- The Early Years National Funding Formula has a negative impact on HLT's ability to support settings.

This risk is red rated because the restrictions in the value of DSG that can be retained for central support services has been reduced significantly. This will have an impact on the level of central support to early year's settings. There continues to be potential volatility in the numbers of 3 and 4 year olds taking up the free childcare offer which is formula funded, and this creates the risk of funding places for which money cannot be recouped.

5.3 In addition to the new risks outlined above, several of those that were reported last year continue to present challenges to HLT's operations and financial stability:

- **The impact of the government's reforms on education service delivery** on Hackney Learning Trust (HLT), in particular the establishment of the National Funding Formula and the impact of government policy on the role of LAs in school improvement and in leading and proving mediation to the local schools system.
- **The Hackney Schools Group** model is being developed to protect school performance and ensure coherence in the delivery of education services. This 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 As noted above, services provided to children & young people with SEND and implementation of the SEND reforms in Hackney were inspected by Ofsted and Care Quality Commission at the end of November 2017. There is no overall judgement given. Instead, an inspection outcome letter is written to the Local Area setting out the inspection team's main findings. In Hackney's case, whilst some recommendations for the local area have been identified, these have been balanced against recognised good practice.

### **Public Health**

- 5.3 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.
- 5.4 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 provision following the appointment of two additional nurses to the safeguarding school health service, as recommended by the Joint Targeted Area Inspection. 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 amber due to unexpected loss of income from external sources for 2017/18, pressures relating to prescription charges in the substance misuse service, and the dependency on a pan-London approach taking effect to secure sexual health savings. 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.

## **Adult Services**

- 5.5 The core Adult Services risks remain consistent with the risks highlighted to the Audit Committee last year and the likelihood of most risks has largely stayed the same. However, in some cases the risks have increased or decreased in likelihood and the reasons are highlighted in the description and updates on the risk register.
- 5.6 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. Furthermore a government green paper on care and support for older people is expected to be published in the summer of 2018 which will set out a view on the long term sustainability of the care and support system for older people. This is welcome and we await further details on this, however, information about the green paper published so far makes little mention of working age adults which is a concern as this represents a large proportion of people currently supported by Adult Services in Hackney.
- 5.7 There continues to be national concern about the sustainability of the provider market, including an increasing number of providers who are returning contracts to local authorities. 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 but requires on-going and active management of the market and robust contract management and quality monitoring.
- 5.8 We take the protection of our most vulnerable clients 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 the permanent Head of Safeguarding, has enabled strong multi-agency work to both prevent abuse and neglect, and to investigate and resolve safeguarding issues in a personalised way. The controls in place to manage this risk will be assessed by a team of external reviewers organised by the Association of Directors Adult Social Services in April as part of a Service Led Improvement Peer Review. This will provide a constructive review of the effectiveness of the measures in place to prevent and manage safeguarding risks and will recommend areas to improve and it is likely new controls will be put in place as a result.

- 5.9 The only new risk added to the risk register relates to the Integrated Learning Disability Service both in terms of its responsiveness to service user need and the future financial sustainability of the service. To manage this risk a full review of the service has been completed and a new operating model has been proposed which is now being implemented by a dedicated project manager and being overseen by the Planned Care Workstream as part of the Integrated Commissioning governance arrangements.

### **Integrated Commissioning**

- 5.10 In last year's update to Audit Committee the Directorate reported on integration plans with health including plans to pool Adult Social Care and Public Health budgets with CCG monies through a Section 75 agreement.
- 5.11 Following last year's report, CCG engagement with NHS England regarding the integrated commissioning arrangements restricted pooling to funds which were already pooled, namely the Better Care Fund and Learning Disabilities. As a result a greater proportion of LBH budgets within the scope of these arrangements are within what are termed 'aligned' funds. Decisions in relation to 'aligned' funds remain with the remit of the Council's scheme of delegation. Decisions in relation to 'pooled' funds are within the remit of the integrated commissioning arrangements which were approved by Full Council on 1<sup>st</sup> March 2017.
- 5.12 Over the past year the new arrangements have come into effect including the development of risk management arrangements. These were last reported to the Integrated Commissioning Board on 28<sup>th</sup> February alongside a risk register. There are four workstreams within the Integrated Commissioning framework, Unplanned Care, Planned Care, Prevention and Children and Young Peoples services.. Each of the four Care Workstreams has responsibility for the identification and management of risks within its remit. Papers detailing the risks reported to ICB can be found at



<http://mginternet.hackney.gov.uk/ieListDocuments.aspx?CId=565&MI d=3956>

- 5.13 The impact of Integrated Commissioning arrangements is also considered as part of the Corporate Risk register reported to Audit Committee. The risk highlighted is repeated at Appendix one.

## **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




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## Children and Families Risks



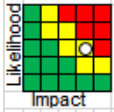

**DIRECTION OF TRAVEL** (since the last report)

Risk has increased.      Risk has decreased.      Risk has remained static

Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
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**APPENDIX ONE  
CACH RISK REGISTER FEBRUARY 2018**

<p>CYP DR 0809 0005 Service demands exceed available resources</p>	<p>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.</p>	<p>Children &amp; Young People's Services</p>		<p style="text-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 five 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. Demand for services more generally is increasing due to the impact of austerity, benefit changes and housing issues on families within Hackney which are impacting on the level of need in the borough. We anticipate that demand for services will increase further following the introduction of Universal Credit.</p> <p>It is expected that the legislative changes that will provide care leaver support to age 25 (from April 2018) will come with insufficient additional funding from Government. We anticipate additional staffing may be required to support those that are eligible once the legislation is enacted. We will keep the workload generated under review and seek to increase staffing reserves at year end to mitigate against any significant increase..</p>
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Document Number: 19304768

Document Name: 2018/03/08CACHriskregisterMar18 Document Number: 19087318

Document Name: 2017/01/03CACHriskregisterApril18 Document Number: 17811315

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

Document Name: 2016/11/04CYPsriskregister

**APPENDIX ONE**  
**CACH RISK REGISTER FEBRUARY 2018**

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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 (confirmed Feb 2018) - 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. The Children and Family Service (CFS) has a multi-agency and single front door called First Access Support Team (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 (confirmed Feb 2018) - 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 is reviewing early help pathways to ensure these are effective and aligned with other services in the borough. The service was evaluated positively by Ofsted in the SIF inspection in July 2016 and in a pilot Joint Targeted Area Inspection in December 2015.  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.

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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/ Sarah Wright	Ongoing	<p>Budget pressures in relation to looked after children placements remain despite allocation of growth in 2017/18. 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, as well as increased use of residential placements). 2017/18 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.</p> <p>Locally, the service is focussed on increasing the number of in-house foster carers which will reduce the average unit cost of LAC placements. In addition, the aim is to reduce the number of high cost placements through innovative projects such as the Family Learning Intervention Project (FLIP) and Contextual Safeguarding for which the service has secured significant additional funding from the DfE.</p> <p>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. Work is taking place in advance of the legislative changes that will provide care leaver support to age 25 (from April 2018) including understanding the number of care leavers that may return to receive support and preparing options for the level of support that will be provided to the over 21 care leaver cohort (in line with the legislation).</p> <p>The cost of families with no recourse to public funds also remains a pressure and this is being met by use of a specific reserve.</p>
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	Anne Canning	Jackie Moylan/ Sarah Wright	Ongoing	The Directorate has successfully delivered the majority of agreed savings for 2017/18 and have mitigating actions for those that remain.

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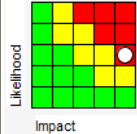

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Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
CYP DR 0809 0006 Child or young person suffers significant harm, injury or death	Children and young people who use our services are at higher than usual risk of harm, 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		 Update November 2016 (confirmed Feb 2018)- 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	Anne Canning	Sarah Wright	Ongoing	Update November 2016 (confirmed Feb 2018) - Ongoing, monitored through management oversight and audit, monthly, quarterly and annual performance reports,

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Control Title	Control Description	Responsible Officer	Service Manager	Due Date	Control - Latest Note
	guidance & care plans are monitored, updated and amended as appropriate. Children are to be seen alone.				including statutory returns to DFE and by Child Protection Conference Chairs and Independent Reviewing Officers.
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 (confirmed Feb 2018) - 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	<p>Children's Social Care has a duty to assess children's needs under section 17 of the Children Act 1989 if they are at risk of homelessness or destitution, even if their parent has no legal entitlement for services in the UK..</p> <p>As at 12<sup>th</sup> February 2018, OFIT were supporting 179 children from 88 families with 85 families receiving section 17 support in the form or accommodation, subsistence or both.</p>	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.</p> <p>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 and the Service recognises that there are many reasons why families may find it difficult to share information. Migrant children may be at risk of child trafficking, exploitation and fraudulent activities.</p> <p>In order to ensure the service is able to undertake comprehensive assessments of children's needs in a complex environment of law relating to housing, immigration, human rights and child safeguarding, the service works closely with other services including the UKBA , legal services, government embassies and anti-fraud to ensure that services are appropriately provided to those that are entitled to them and need them. This joined up approach robustly mitigates against the risk of children in Hackney being exploited or trafficked for services.</p> <p>During 2017 the number of NRPF families the Service was supporting was increasing, however since an immigration officer has increased their time spent in OFIT from one day to two days a week, this has resulted in claims from families being expedited and the number of families being supported at any one time has started to reduce in 2018.</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	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. As at December 2017, the UASC population of one third of the boroughs on the London rota had reached 0.07% of their child population (as set out in the National Transfer Protocol) and therefore they are currently not taking any new UASC as part of the London rota. This means that the number of UASC that are dispersed to Hackney is likely to increase over the next year as Hackney is still part of the rota. The number of</p>

Document Number: 19304768

Document Name: 2018/03/08CACHriskregisterMar18 Document Number: 19087318

Document Name: 2017/01/03CACHriskregisterApril18 Document Number: 17811315

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

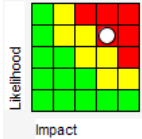
Document Name: 2016/11/04CYPSriskregister

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Control Title	Control Description	Responsible Officer	Service Manager	Due Date	Control - Latest Note
	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				UASC is also 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.  Hackney has recently been successful in applying for additional funding from the Government to provide additional support to our UASC through the Controlling Migration Fund.

### Hackney Learning Trust Risks

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

Risk Title	Description of Risk	Current Risk Matrix	Risk - Latest Note
LT EDS 1617 003 Termination of lease for the continued use of the Rigg Approach depot for the SEND transport fleet	Rigg Approach depot is a leased property that has recently been sold. There is some uncertainty regarding the new owner's intentions for the future use of the site. A new lease was being negotiated with the old owner when it was discovered that the site had been sold. Strategic Property Services will follow up with the new owner's agent to negotiate a new lease. As we don't currently have the lease and don't know what the intention of the new landlord is, we need to recognise this as a significant risk. There is a possibility we may be given notice to vacate the site. From an earlier exercise looking at depot alternatives for the SEND fleet, there appeared to be no obvious alternatives.		<p style="text-align: center;"><b>** NEW RISK**</b></p> <p><b>January 2018</b> –The Risk Review Group recommends keeping the risk rating unchanged as it adequately reflects the consequences of any termination of the Rigg Approach lease without time to establish a long term alternative.</p> <p>The alternatives are being investigated with urgency and the Council is taking steps to secure the short term lease in the meantime.</p>

Control Title	Control Description	Service Manager	Control - Latest Note
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Document Name: 2016/11/30cachRISKREPORT Document Number: 17725198

Document Name: 2016/11/04CYPsriskregister

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Control Title	Control Description	Service Manager	Control - Latest Note
LT 1617 Risk 10 Agree a lease for current depot with the new owners of the Rigg Approach site	A new lease for the Rigg Approach site would provide certainty and continuation of the SEND transport service. A new lease would need to specify a sufficient notice period for SEND transport to vacate the site.	Lee Perry Peter Burt (Strategic Property) Norman Harding (Fleet Manager)	<b>March 2018:</b> An agreement has been reached with the landlord to extend the existing lease on a three month basis to be reviewed after two months allowing us time to go to court to appeal their S25 (termination) Notice if necessary. Otherwise they will agree to extend the lease for further 3 month periods with the two month intervention until we either resolve our location or decide we want to stay where we are and go to court to grant us a new lease under the 54 Act. Legal Services have been instructed on this basis and they are now implementing the required agreements with the landlords solicitors. The landlords agent has instructed his commercial team to let us know of any alternative locations that we can consider.
LT 1617 Risk 11 Identify feasible alternative options for the SEND transport depot	Contingency planning to move the SEND Transport service to a new site will have to be establish.	Lee Perry Norman Harding (Fleet Manager)	<b>March 2018:</b> The Council have identified two possible alternative sites <ol style="list-style-type: none"> <li>1. Andrews Road – short term option as the Council has plans for the site</li> <li>2. Chapman Road – has recently been upgraded for the car pound and subject to feasibility may be a secure long term option</li> </ol> <p>Peter Burt is seeking to have some plans produced to show how Chapman Road may, or may not, provide for the parking of 22 buses on the tarmac area as well as provide the additional office space required.</p>

Risk Title	Description of Risk	Current Risk Matrix	Risk - Latest Note
LT EDS 1516 09 <b>CYPS:</b> Impact of the government reforms on education service delivery	Government policy on the overall role of LAs, the academisation of schools and the role of LAs in school improvement reduces the LAs mediating role in the local schools system and its authority and capacity to provide		<p><b>January 2018 – The Hackney Schools Group proposal was agreed by Cabinet on 18 December 2017. Work is now underway to visit schools to ascertain their views on the proposed HSG which will be developed on the basis of a school-led improvement system.</b></p>

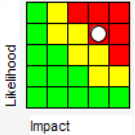
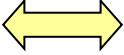
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	leadership to the system.		<p><b>On-going staff engagement is important, and staff briefings will be utilised to ensure staff are informed of developments.</b></p> <p><b>The Risk Review Group recommends retaining the current risk rating as reflecting the scale of the current risk.</b></p>
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Control Title	Control Description	Service Manager	Control - Latest Note
LT 1516 Risk 09 Development of an alternative service delivery model that provides a sustainable 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 2018:</b> A series of discussions and papers to the Lead Member, Mayor, Labour Group and Cabinet (on 18 December 2017) resulted in approval of a proposal to engage with schools on the establishment of a new Schools Group for maintained schools, community and voluntary aided, associated where possible with academies and free schools. The Schools Group would take a greater role in the leadership of the schools system as the role of the local authority reduces. Engagement with schools will take place in the spring term 2018.
LT 1617 Risk 01 Staffing challenges – Developing a strategy that retains staff with key education and school improvement ability; identifying new talent and encouraging people to work for HLT.	The risk of being unable to retain talented people over time is a challenge in this context.  HLT will need to retain current employees through maintaining improvement capacity through trading; identifying and encouraging new talent through succession planning and promoting a more resilient and adaptable culture for long serving staff to meet the new challenges we face.	Olly Cochrane	<b>January 2018:</b> Limited academisation means continued support for maintained schools and limited staff turnover, particularly for school oversight and support, and the provision of school improvement as traded services or as 'maintained' school support. The learning and development programme promotes succession planning and the organisational development programme is focused on resilience and change management. .
LT 1718 Risk 01 Recruitment of permanent Director of Education / Head of HLT.	The ongoing uncertainty around the future education system in Hackney makes it difficult to recruit a permanent Head of HLT. Not having a permanent Head of HLT is a risk to the long-term viability of Hackney Learning Trust	Olly Cochrane	<b>January 2018:</b> Interim arrangements continue, minimising risk to the organisation.

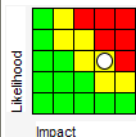

Risk Title	Description of Risk	Current Risk Matrix	Risk - Latest Note
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Risk Title	Description of Risk	Current Risk Matrix	Risk - Latest Note
LT EDS 1314 0006 <b>CYPS</b> - Annual changes to the National Funding Formula has a negative impact on HLT income and delivery	National changes to funding and/or policy have a negative impact on HLT income and delivery and the development of traded services which adversely affect HLT performance.		 <b>January 2018 – There will now be a two year transition to the National Funding Formula (NFF) (2018-19 and 2019-20) and the forecast income reductions have been estimated for that period. The forecast DSG reductions are significant, and restrictions on retained and de-delegated funding as a result of the NFF will have a significant impact on support and services for maintained schools. The longer term impact of NFF changes from 2020-21 is potentially much more significant still given the relative high levels of funding for Hackney pupils.</b>

Control Title	Control Description	Service Manager	Control - Latest Note
LT 1314 Risk 11 Head of Service maintains comprehensive and timely modelling and monitoring of policy and funding changes to report income implications for HLT and assessing impact on 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>January 2018:</b> The implications of the forecast income reductions have now been modelled with greater certainty for the two year NFF transition period
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	<b>January 2018:</b> The NFF changes and government per pupil funding increase (0.5%) for 2018-19 and 2019-20 have been announced. Whilst school budgets remain under pressure from inflationary real term cost increases there is greater certainty on per pupil funding in the short term.
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>January 2018:</b> HLT SLT will plan against the revised income forecast in proposing a range of budget reduction options to address the forecast income shortfall for 2018-19 and 2019-20.
LT1415 Risk 14 Modelling the implications of converting academies and new Free Schools.	Assessing the costs and financial impact of academy conversions and growth funding for new academies and free schools.	Ophelia Carter	<b>January 2018:</b> Two academy orders have been issued, for 2017-18 that will impact on the central budgets in 2018-19. This will reduce de-delegation for a full year from April 2018.
LT 1718 Risk 03 An effective communications strategy is in place regarding savings and reductions in budgets.	Poor or too little communication undermines implementation of the strategy for savings and spending reduction, causing confusion amongst HLT staff and resistance from stakeholders.	Frank O'Donoghue	<b>January 2018:</b> SLT now review key communications messages, taking a high level view of communication priorities, coverage and responsible officers in order to co-ordinate messages and identify gaps etc. Budget planning decisions include communications at an earlier point in the process.

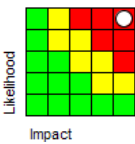

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Risk Title	Description of Risk	Current Risk Matrix	Risk - Latest Note
LT EDS 1415 0004 –The statutory requirements of the SEND aspects of the Children & Families Act are not met.	The Children & Families Act introduces new statutory requirement to implement Education Health & Care Plans, provide support for SEND up to 25 years old, joint commissioning, implementation of a local offer and person centred approaches to planning. Process and resources to support these changes must be implemented to ensure HLT meets its statutory requirements.		 <p><b>January 2018</b> – Risk Review Group notes the positive SEND inspection report, which identified strengths and areas for development. Although the the inspection acknowledged that we are not completing EHC needs assessments in 20 weeks, we compare well to many other LAs.</p> <p>We recommend reducing the risk rating from likelihood 4 impact 4 to likelihood 3 impact 4, but because of the need for continued quality assurance and until the service leaves the TAG (Trust Action Group) oversight process we cannot recommend removing this from member level and management reporting .</p>

Control Title	Control Description	Service Manager	Control - Latest Note
LT 1415 Risk 09 – Robust monitoring of new arrangements in place with regular reporting via SLT	Head of Service responsible for implementing a comprehensive programme to ensure all statutory responsibilities are understood and met.	Toni Dawodu	<p><b>January 2018:</b> SEND Strategy updated and presented to September SEND Partnership Board. SEND Inspection occurred 20th November to 27th November and published on Local Offer.</p> <p>EHCP Service continuing use of Crystal reporting management system has ensured closer monitoring of workload activity to respond to data queries and the monitoring of individual workers to monitor performance.</p> <p>The monthly performance Dashboard data integrity is improving each month as Dashboard is reliant on pulling its information from Capita.</p> <p>Ongoing DfE monitoring requirement in terms of progress against meeting conversion deadlines are being reported on. Hackney remains on target to complete</p> <p>Post 16 Strategy as with SEND Strategy is published and on Local Offer</p>

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Control Title	Control Description	Service Manager	Control - Latest Note
LT1516 Risk 03 Develop case management Quality Assurance with external moderation (through CYPS) – develop & implement approach	Increasing number of complaints relating to case management requires robust quality assurance.	Toni Dawodu	<b>January 2018:</b> Implementation of the Complaints Action plan is in place with actions being undertaken.
LT1516 Risk 08 Complete Self Evaluation exercise to inform Local Area SEND inspection preparation. New Action plan based on self-evaluation and points identified in SEND inspection	Preparations for the Local Area SEND inspection will identify any areas for improvement in service delivery.	Toni Dawodu	<b>January 2018:</b> SEND Inspection occurred between 20th November to 1st Dec. Final letter has been published. No written Statement of Action recorded against Hackney. Many strengths identified. Areas of Improvement to followed up through SEND Partnership Board Workplan.

Risk Title	Description of Risk	Current Risk Matrix	Risk - Latest Note
LT EDS 1617 01 <b>CYPS:</b> SEND funding – Escalating SEND spend has an adverse impact on HLT and Council budgets.	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 style="text-align: center;"></p> <p><b>January 2018</b> –Risk Review Group recommends retaining the highest risk rating as it reflects the severity of the risk.</p> <p>The risk remains at this level because of the combined effect of the council not receiving any additional funding over many years in spite of a dramatic increase in pupil numbers, combined with difficulty in reducing provision for pupils with existing support plans and transport. The prospect for immediate budget reductions is restricted because of the time taken for funding changes to be implemented and the limited control over aspects of the cost.</p>

Control Title	Control Description	Service Manager	Control - Latest Note
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Control Title	Control Description	Service Manager	Control - Latest Note
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.	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.	Andrew Lee	<b>January 2018:</b> The report on the consultation to introduce Additional Funding has yet to be finalised. There have been significant objections to the 'additional' and 'exceptional' funding plans.. Negotiations with the 3 special schools are in progress. Monthly meetings review the wider action plan of which the above 3 actions form key components. The current action plan is unlikely to bring about the 'savings' at the scale and timeframe required. It is likely that significant strategic decisions on how to manage SEND funding going forward will need to be made politically and/or at highest officer level.
LT 1617 06 - Management of financial impact of SEND budget pressures.	Rapid, significant short term reductions in SEND costs and outlays will be difficult to achieve. Ensuring that the policy changes in the action plan result in medium term cost savings that relieve the pressures on the SEND budget, whilst ensuring the operational effectiveness of HLT is not detrimentally affected by the overspend, is imperative.	Yusuf Erol	<b>January 2018:</b> This continues to be the most significant risk to HLT's financial viability. The policy changes mentioned in the June update have proved to be difficult to implement. There has also been limited progress made on the further savings agreed by SLT. As a result of this, HLT continue to rely on reserve funding which is an unsustainable position.
LT 1617 07 - Changing the culture of SEND in schools and HLT to implement the action plan.	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.	Andrew Lee	<b>January 2018:</b> Workshops on provision management are being offered to all schools to reinforce the message that there is an expectation that schools must demonstrate how they have used and reviewed their use of Element 2 prior to requesting element 3 funding. This will be reflected in Panel response letters. Sources and rates of requests for element 3 funding will be published on the Local Offer. The distribution of pupil with EHCPs in schools will also be published.
LT 1617 Risk 08 – The initiation of EHCP assessments is rigorously reviewed	The decision to initiate assessments needs to be rigorously reviewed to ensure the level of support is appropriate and sustainable. This may include senior managers signing off decisions, or refusing to do so.	Andrew Lee	January 2018: The role of the Panel is to be reviewed, revised and publicised in the light of the move to focus on robust examination of Provision management arrangements. Headteachers need to continue to be key members of the panel. The moderation exercise involving other local authority representatives will continue once a term. Data from each panel is to be reviewed on a monthly basis using the SEND Monthly Dashboard. An annual report summarising this data is to be published on the local offer
LT1617Risk 09 – The costs of providing ECHPs is born equitably across agencies	All agencies need to contribute to the costs of the Education & Health Care Plans through the joint commissioning budget.	Andrew Lee	January 2018: A joint commissioning/pupil funding panel is being established across the partnership to ensure all agencies contribute to the cost of Plans where appropriate.

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Risk Title	Description of Risk	Current Risk Matrix	Risk - Latest Note
LT EDS 1617 002: The Early Years National Funding Formula has a negative impact on HLT's ability to support settings	National changes to the funding of Early Years has a negative impact on HLT's ability to maintain current level of EY central function activity and support to EY settings in the borough, which may have detrimental consequences for the attainment of young children in Hackney.		 <b>January 2018-</b> The Risk Review Group recommends retaining the current risk rating because the restrictions in the value of DSG that can be retained for central support services has been reduced significantly, and there continues to be potential volatility in the numbers of 3 and 4 year olds taking up the free childcare offer which is formula funded only on numbers on roll at fixed points in the year.

Control Title	Control Description	Service Manager	Control - Latest Note
LT 1617 Risk 4: Early Years National Funding Formula changes are monitored to enable HLT to develop an approach to meet implications for early year's provision.	Head of Service responsible for monitoring Early Years National Funding Formula changes, working closely with HLT Finance and devising HLT approach to meet implications for the service.	Angela Scattergood	<b>January 2018</b> –2018/19 EY central services budget will be set in accordance with EYNFF requirements. Following the January 2018 Early Years Census, the likely impact of the 5% cap upon central services will be assessed and planned for. Ongoing monitoring of take-up of provision and review of HLT central EY services going forward will continue in 2018/19. A new risk has been identified in the proposed expansion of eligibility criteria for the two year old free entitlement to incorporate Universal Credit. The service will monitor implications for Hackney and develop risk mitigating plan as necessary.

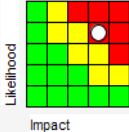

**Hackney Schools Risks**

Risk Title	Description of Risk	Current Risk Matrix	Risk - Latest Note
<b>LTSCH 1617 001 CYPs: Serious Safeguarding failure in regard to pupils not in school</b>	<p>Safeguarding considerations for those pupils who are not registered at a school – Electively Home Educated pupils, children missing from education, children attending unregistered settings, children who are yet to be allocated a school place etc is increasing in importance.</p> <p>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.</p>		 <p>January 2018 – The CYP Scrutiny Commission report into Unregistered educational settings has been published with recommendations that relate to Elective Home Education and safeguarding.</p> <p>HLT/LBH notes the disputed advice between the DfE and Ofsted as to whether appropriate powers are available to Ofsted to intervene and the difficulties this places on the Council in terms of fulfilling its safeguarding role &amp; responsibilities with these settings.</p> <p>Risk Review Group notes that this presents a very high reputational risk for</p>

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Risk Title	Description of Risk	Current Risk Matrix	Risk - Latest Note
			the borough, although given the limited statutory powers, the Council has limited options to mitigate this risk. We recommend that the risk rating remains unchanged to take account of this.

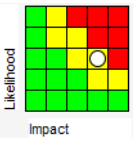

Control Title	Control Description	Service Manager	Control - Latest Note
LT 1617 Risk 03: Ongoing dialogue between HLT, DfE and Ofsted around necessary legislation to ensure safeguarding duties can be effectively carried out.	Currently, the roles and responsibilities of LAs, DfE and Ofsted are not clearly defined with regard to safeguarding duties.	Paul Kelly	<b>January 2018</b> – A meeting with Ofsted, DfE, CHSCB, HLT, LFB, Police, and the Charity Commission took place on Tuesday 12 <sup>th</sup> September 2017. This meeting led to no substantive change to the current situation – DfE state that no new legislation can be introduced for at least two years and that HLT should make extensive use of Children Missing in Education (CME) powers.
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>January 2018</b> - Officer from the HLT Safeguarding in Education Team is working with CFS and relevant community groups re: a Strategic Safeguarding proposal for specific communities within the borough. Sarah Wright is leading on this.  HLT has representation at the LBH Officer Group working on community engagement. HLT has consistently raised safeguarding concerns related to independent and unregistered settings in Hackney.

Risk Title	Description of Risk	Current Risk Matrix	Risk - Latest Note
<b>LTSCH 1415 0007</b> <b>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><b>January 2018</b> - The CYP Scrutiny Commission report into Unregistered educational settings has been published with recommendations that relate to Elective Home Education and safeguarding.</p> <p>HLT/LBH notes the disputed advice between the DfE and Ofsted as to whether appropriate powers are available to Ofsted to intervene and the difficulties this places on the Council in terms of fulfilling its safeguarding role &amp; responsibilities with these settings.</p> <p>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>

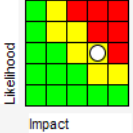

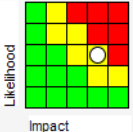

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Risk Title	Description of Risk	Current Risk Matrix	Risk - Latest Note

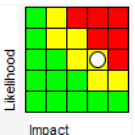

Control Title	Control Description	Service Manager	Control - Latest Note
LT 1415 Risk 18: Co-ordinating multi-agency responses, HLT escalates any issues relating to the safeguarding of children or young people attending unregistered schools or settings.	HLT are aware of unregistered schools and settings 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>January 2018</b> – HLT liaises with CSC on any issues that arise in regard to unregistered settings, including allegations against staff. Collective intelligence is reviewed and shared across partner agencies.
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>January 2018</b> – to date, inspections have been jointly undertaken to 2 unregistered schools in September 2016, followed by visits from FAST.

Risk Title	Description of Risk	Current Risk Matrix	Risk - Latest Note
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>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>b. 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>c. 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>d. 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><b>January 2018</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 – 18 schools (33%)</li> <li>• Good – 34 schools (63%)</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 97.2% of nursery &amp; Primary pupils attend an outstanding or good school.</p>

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Risk Title	Description of Risk	Current Risk Matrix	Risk - Latest Note
<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 style="text-align: center;"></p> <p><b>January 2018</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>
<p>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</p>			<p style="text-align: center;"></p> <p><b>January 2018</b> - Risk Review Group recommends no change to the risk rating.</p> <p>Risk Review Group notes that Ofsted inspection grades for special schools in Hackney are as follows:</p> <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> <p>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.</p>





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Risk Title	Description of Risk	Current Risk Matrix	Risk - Latest Note
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		 <b>January 2018</b> –Risk Review Group recommends no change to the risk rating.

Control Title	Control Description	Service Manager	Control - Latest Note
LT 1112 Risk 17 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.  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  Martin Buck - Secondary	<b>January 2018:</b> Primary income predicted to remain on target and at Secondary the likelihood of not meeting the income target has increased.
LT 1112 Risk 02 SRAS continually reviewed	SRAS process continually reviewed to ensure it is fit for purpose.	Sian Davies	<b>January 2018:</b> – HLT’s Good to Great Policy is regularly reviewed and amendments are made. The Good to Great Policy will be submitted to SLT for review and approval. 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>January 2018:</b> SIP visits identified under achieving groups of each primary and secondary school. Interventions to accelerate progress are discussed with school leaders and impact of these evaluated at subsequent visits.
LT 1112 Risk 15 Increased CPD and capacity	Seek to increase levels of professional development and capacity in schools.	Sian Davies	<b>January 2018:</b> Uptake of the NQT programme has reduced and there is an increased likelihood of not meeting CPD income targets.

Risk Title	Description of Risk	Current Risk Matrix	Risk - Latest Note
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Risk Title	Description of Risk	Current Risk Matrix	Risk - Latest Note
LT SCH 1112 0011 CYPS Surplus school places (Primary)	Insufficient school places available to meet bulges in demand for Primary places		 <b>January 2018</b> – Risk Review Group notes the projections for primary school places indicate an increasing surplus, which carries with it significant financial risks. We recommend retaining the risk rating. The nature of the risk is changing from a position of insufficient school places to a surplus of schools places which poses significant risks to schools financial viability.
LT SCH 1112 0012 CYPS Insufficient school places (Secondary)	Insufficient school places available to meet bulges in demand for Secondary places.		 <b>January 2018</b> - Risk Review Group notes the most recent GLA demographic data, gathered and reviewed, has shown a reduction in demand for places, measured against previous datasets. This means that the pressure to build the second secondary school is not as acute, but we are very mindful that this could be a blip not a long term trend, so have no intentions of moving away from the original proposals at this time. We think it is prudent, however, to wait for the next set of demographic data, due in October 2018, to assess when, and how, we might want to proceed.

Control Title	Control Description	Service Manager	Control - Latest Note
LT 1112 Risk 23 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 2018:</b> No changes to report. Revised forecasts were received in June 2017. These provided data based on live births, housing developments, Olympic legacy area information, number of applications etc.
LT 1112 Risk 24 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 2018: PRIMARY</b> - The 2017 projections were received and showed that there will be continue to be surplus places in the primary sector over the next few years. As reported previously, this is due to a number of new free schools which opened in 2015; Hackney New School (50 places), Halley House (60 places), Mossbourne Riverside (60 places from 2016 and 90 places from 2017). These schools have, in part, contributed to the current surplus in combination with previously agreed primary expansions.  Due to the current level of surplus primary places, officers are closely monitoring the situation to consider whether some schools should permanently reduce their PANs. In December 2016, 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. Sir Thomas Abney made representations to HLT about the difficulty being experienced in recruiting three forms of

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Control Title	Control Description	Service Manager	Control - Latest Note
			<p>entry each year since its expansion in 2016. Following the issue of a revocation notice in May 2017 (which did not generate any objections or comments), on 30 June 2017, SLT formally agreed that the school should revert to a 2FE from September 2017. This change has now taken effect.</p> <p>In September 2016, Harrington Hill, St Matthias, Gainsborough and Sir Thomas Abney all informally reduced their PANs. Further projections are expected in January 2018 based upon the October 2017 roll.</p> <p><b>The Olive School</b> – HLT received notification that the Inspector allowed both appeals (full planning permission and listed building consent). The Secretary of State agreed with the Inspector’s recommendations – permission was therefore granted as of 19 December 2017. In light of the issues raised during the appeal, the school will start with 90 pupils at the permanent site from 2019 and grow year on year until reaching capacity. Pupils attending the two existing sites (Cazenove Road and HCC), will remain at these sites.</p> <hr/> <p><b>January 2018: SECONDARY –</b></p> <p>Based upon projections over the last few years, plans were started to open two new secondary schools, providing a total of 12FE in 2017 and 2019; The City of London Shoreditch Park opened in September 2017 in temporary accommodation on Audrey Street (a former Leisure depot), near Haggerston park.</p> <p>The project to expand Urswick School by 1FE in 2018 is on track, but the school will not formally increase its PAN until 2019. The most recent GLA demographic data, gathered and reviewed, has shown a reduction in demand for places, measured against previous datasets. This means that the pressure to build the second secondary school is not as acute, but we are very mindful that this could be a blip not a long term trend, so have no intentions of moving away from the original proposals at this time. We think it is prudent, however, to wait for the next set of demographic data, due in October 2018, to assess when, and how, we might want to proceed.</p>
LT 1112 Risk 25 Regular monitoring of reception applications	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.	Marian Lavelle	<p><b>January 2018</b></p> <ul style="list-style-type: none"> <li>• Total number of places: 3155 (includes St Mathias reduction, STA at 2FE and Mossbourne Riverside at 3FE).</li> <li>• 2759 pupils were on roll on census day in January 2017. The GLA’s 2016 projections predicted 2871 – a difference of 112. The January 2017 projections projected 2782 pupils on roll in September 2017.</li> <li>• Primary surplus places, as of January 2018 is 411.</li> </ul>



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Control Title	Control Description	Service Manager	Control - Latest Note
LT 1213 Risk 17 Growth fund developed	Approval from schools forum sought annually to promote growth fund	Ophelia Carter	<b>January 2018:</b> Under NFF, the growth fund is rolled into the schools block at 2017-18 levels. With the reductions in need and many carrying vacancies it is expected that resources will be sufficient. Any surplus supports the ringfenced schools budget, and does not release resources for HLT, unless agreed in a top-slice.
LT 1213 Risk 39 Funding and sites secured	Funding and sites secured for any required new provision	Michael Coleman; Marian Lavelle	<p><b>January 2018:</b> the temporary site for the City of London Academy Shoreditch Park is operational.</p> <p>Cabinet approved the proposals to progress the Britannia development proposals to master plan stage on 19/4/17, ahead of submitting a planning application in spring 2018 which is on target.</p> <p>The EFA has confirmed the capital funding for the first new City of London academy, at £22.5m for the permanent site, and c. £4m for the temporary.</p> <p>Cabinet also resolved at its meeting on 19/4/17 that the Council should progress proposals for the second secondary school to be provided on the Benthall Primary site. As noted above the timing for this new school is now less pressing due to changes in demographic data and will be further reviewed based on October 2018 data.</p>

## Public Health Division risks - February 2018

Report Type: Risks Report



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		<p align="center"></p> <p>Risk updated February 2018</p>

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>	Penny Bevan	Lynda Rowlinson, Service Manager, Health Visiting and School Nursing, Whittington Health	28-Nov-2018	<p>In response to recommendations from a Joint Targeted Area Inspection two additional posts were created for the safeguarding school health service: one based in the Council's FAST team and another in the provider (Whittington Health).</p> <p>Contract award report for procurement of a single service, including National Child Measurement Programme for the Orthodox Jewish Community, is scheduled for March 2018.</p>

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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. 2) Uneven access to services for residents across London.</p>	Children, Adults & Community Health		<p style="text-align: center;"></p> <p>Risk updated following completion of procurement for the Pan-London service using an integrated tariff, and the e-testing service. Residual risk of delivering associated savings remains.</p>

Control Title	Control Description	Responsible Officer	Service Manager	Due Date	Control - Latest Note
CACH PH 007 Sexual Health	<p>Active participation and Director of Public Health leadership role in sexual health.</p> <p>Monitoring and supporting implementation of the pan-London e-testing service sited at the City of London.</p> <p>Ongoing dialogue with the Homerton as new lead provider for sexual health services on implementation of new contract. GUM.</p> <p>Procurement timetable for local Community Advice services agreed.</p>	Penny Bevan		28-Nov-2018	<p>Sub-regional procurement complete and clinical leadership from Director of Public Health continues at a pan-London level to monitor outcomes and delivery of savings.</p> <p>Control updated to reflect the need to monitor implementation of the new service by the provider and to complete procurement of the Community Advice services in primary care and other settings.</p>

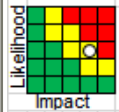
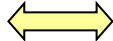
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Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
CACH PH 009 Budget	<p>Budget may not be managed effectively, may not align to Local Authority Public Health and Local priorities.</p> <p><b>Impact</b></p> <p>1) Spend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

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 2 year period.</p> <p>Develop governance processes to ensure assurance of public health grant expenditure within the Integrated Commissioning framework</p> <p>Monitor changes to wider context of public health funding and implications for the budget plan, including: proposed removal of the ring-fence by April 2020 and for public health services to be funded through retained local business rates; and Public Health England's consultation on the services which are mandated for delivery by local authority public health services.</p>	Penny Bevan	Penny Bevan	28-Nov-2018	Ongoing December 2018

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**ADULT SERVICES**

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 style="text-align: center;"></p> <p>Reviewed and updated February 2018</p> <p>Risk has remained the same</p>

Control Title	Control Description	Responsible Officer	Service Manager	Due Date	Control - Latest Note
Management of provider market	Key procurement and contract negotiation activity was 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 was to ensure best value is achieved alongside a sustainable market. This approach will continue with a refreshed strategy in 18/19.	Simon Galczynski	Gareth Wall	on-going	Feb 2018 - Contract negotiations were successful in delivering efficiencies in 17/18 and there is a new strategy being planned for 18/19 to continue to deliver similar outcomes.
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	Tessa Cole	August 2018	Feb 2018 - There is ongoing work to maintain and improve the iCare website to make it easier to access for people on the go using mobiles and tablets, a new care act

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	A new project has also been initiated through the integrated commissioning programme which is looking at how health and social care information and advice can be more joined up and a Discovery phase is being initiated in March 2018 to take this forward, funded by the Integrated Commissioning ICT enabler board.				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. Adult Social Care is also an active partner part of the new integrated commissioning project and this will provide opportunities to improve the information and advice offer further.
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	Feb 2018 - A demand management project is being initiated to deliver in 18/19. This will look at pathways into the front door to see if innovative approaches can be used to empower those who are able to, to access appropriate community support instead of being automatically referred for assessment. This project will link with work mentioned above around the use of i-care and linking people to local services.
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,	Tessa Cole & Naeem Ahmed	March 2017	Feb 2018 - A new Demand Model is being implemented as the existing tool is no longer fit for purpose. The new model will be implemented shortly and the implementation plan includes working with finance and

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					commissioners on how service provision can be appropriately planned moving forward based on robust predictions of demand.
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Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note	
<b>CACH AS 002 – Provider Failure and local market sustainability (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		Reviewed and updated in February 2018	<div style="text-align: center;"> </div> <p>Increased risk in this area</p>

Control Title	Control Description	Responsible Officer	Service Manager	Due Date	Control latest note
Robust Procurement process	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.	Simon Galczynski	Gareth Wall	On-going	Feb 2018 - Robust procurement processes continue to be in place however there is an increase in the numbers of providers challenging procurement outcomes, both formally and informally. This is currently being managed by Procurement and Strategic Commissioners.
Fee uplift and commitment to London Living Wage	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. And a similar process is being adopted for 18/19 and commissioners are working with providers to understand their financial challenges.	Simon Galczynski	Gareth Wall	On-going	Feb 2018 - The uplift has been implemented however, there are continued pressures from providers that the 1% uplift is not enough. This is currently being managed by strategic commissioners and Procurement.
Effective and robust contract management and monitoring arrangements	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.	Simon Galczynski	Gareth Wall	On-going	Feb 2018 – All providers are regularly quality assured through our contract monitoring arrangements. The Commissioning Team have revised the “Provider Concerns” protocol and have introduced a pathway to address concerns. They have also established a CHCCG & LBH information sharing forum with the Care Quality Commission being a key contributor. This aims to assist in identifying concerns at an early stage, and formulating cross agency



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					approaches to address improvements required. Other agencies engaged in this forum include Immigration Service, Healthwatch, etc.
Market Position Statement refresh	The commissioning team will be looking at refreshing the Adult Social Care market position statement over the next 12 months to identify market strengths and weaknesses and define key market shaping activity required.	Simon Galczynski	Gareth Wall	January 2018	New control

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			
				Reviewed and updated Feb 2018 This risk has reduced.	
Control Title	Control Description	Responsible Officer	Service Manager	Due Date	Control - Latest Note
<b>A risk based approach to waiting list management</b>	New duties under the Care Act 2014 have been introduced which require additional resources to ensure statutory responsibilities and legal compliance.	Simon Galczynski	Ilona Sarulakis	Ongoing	New control

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	<p>This means that we are currently operating at an enhanced staffing level and despite having some additional capacity, we are still holding a waiting list for Community Care Assessments.</p> <p>To ensure that risks are managed effectively, waiting lists are reviewed and prioritised on a weekly basis. Services can be commissioned and provided urgently as a "Direct Service provision" on the same or next day if necessary. There is a Joint Referral Panel held weekly and cases are allocated to the appropriate discipline/s from that. There is almost no waiting list for OT which is very strong performance when benchmarked to other authorities.</p> <p>Most disciplines within the team have cases waiting to be allocated. The reasons can be varied e.g. staff vacancies; working on backlogs (reviews for instance); number of safeguarding cases requiring immediate action; home closures etc. The team resources and structure are currently under review. It is anticipated that with a fully staffed service we would be able to meet the original performance criteria – Allocation of cases within 48 hours (non-urgent) and assessment complete (or substantially underway) within 28 days. Annual reviews are undertaken and the team is on target to achieve its performance by year end.</p>				
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Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
<p><b>CACH AS 004 - Inability to attract and retain a stable, high calibre workforce for key roles within Adult Services</b></p> <p>(Financial and reputational risk, poor service user experience and outcomes)</p>	<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</p>	<p>Children, Adults &amp; Community Health</p>		<p>Reviewed and updated Feb 2018</p> <p style="text-align: center;"></p> <p>This risk has stayed the same</p>

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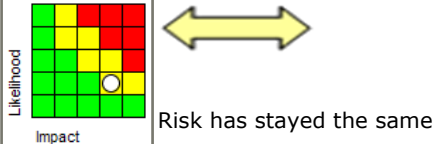

	<p>proportion of more costly agency staff.</p> <p>This clearly impacts on the budget, but also negatively impacts on service delivery, service user experience and outcomes, staff morale/ wellbeing/ productivity, with the potential for reputational damage.</p> <p>The lack of stable staffing and service 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>				
<b>Control Title</b>	<b>Control Description</b>	<b>Responsible Officer</b>	<b>Service Manager</b>	<b>Due Date</b>	<b>Control - Latest Note</b>
Development of a People Strategy for Adult Services	The delivery of a People Strategy for Adult Services, led by the Director of Adult Services will take place during 2018/19. 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	Principal Social Worker Marion Willicome-Lang / HR / Adult Services Heads of Service / Workforce Development Manager	Ongoing over 18/19	Feb 2018 – A Principal Social Worker has been recruited and they led extensive engagement with social work staff in the department in 17/18 and this has informed the development of the People Strategy programme. The full scope of this programme has been established and a robust project plan has been developed outlining key milestones for delivery over the next year. This includes a focus on recruitment and retention of core social work staff to attract people to work in Hackney on a permanent basis. This also includes engaging with current

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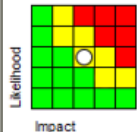
					agency staff and moving them on to permanent contracts where they want to.
A training and development offer for Adult Services that is relevant and flexible.	<p>The Adult Services training and development offer and approach was reviewed in early 2016 and a new approach proposed and agreed.</p> <p>This approach is incremental and has been developing over the last two financial years. This will continue to be developed during 2018/9 to 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 2018/19. 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/ Principal Social Worker – Marion Willicome-Lang/Adults Heads of Service	September 2018	Feb 2018 - The LNA process is underway for 18/19 and a project plan is in place to scope and deliver an innovative new learning offer based around a social work academy model informed by the People Strategy.
Other recruitment approaches	CFS 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 & Marion Willicome-Lang	On-going through 2018/19	Feb 2018 - The North London Teaching Partnership has commenced with a life cycle of approximately 18 months. Marion Willicome-Lang is currently the conduit between the Partnership and Adult Services colleagues to ensure that opportunities are shared and exploited

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	Children, Adults & Community Health		Review and updated Feb 2018

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	suffer significant injury or death.			Risk has stayed the same
<b>Control Title</b>	<b>Control Description</b>	<b>Responsible Officer</b>	<b>Service Manager</b>	<b>Due Date</b>
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	Tessa Cole / 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
Validating the strength of controls in place through external review	An ADASS peer review into the effectiveness of Safeguarding in Hackney will be carried out in April 2018 to test the current controls in place and make recommendations on areas for improvement to help manage this risk.	Simon Galczynski	John Binding / Tessa Cole	The Peer Review is in April 2018 and an implementation plan based on the recommendations of the review will be developed April – May 2018.
<b>Risk Title</b>	<b>Description of Risk</b>	<b>Directorate</b>	<b>Current Risk Matrix</b>	<b>Risk - Latest Note</b>
<b>CACH AS 006 – Inability to control the increasing number of Delayed Transfers of Care</b>	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	Children, Adults & Community Health		

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	<p>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>Reviewed and updated Feb 2018</p> <p>This risk has reduced slightly.</p>
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Control Title	Control Description	Responsible Officer	Service Manager	Due Date	Control - Latest Note
Developing "in- Borough" provision	Adult Services Commissioning are commencing on a programme of work which is focusing on redesigning the Supported Housing, Housing with Care and Extra care 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.	Simon Galczynski	Gareth Wall	Ongoing	Feb 2018 – This work continues and is also being combined with the Housing Related Support commissioning strategy to ensure alignment across client groups.
Whole systems working – Integrated Commissioning	<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. This will be taken forward as key component of the Unplanned Workstream in 2018/19.</p> <p>In addition to that the Planned Care Workstream is looking at Housing as a 'big ticket' item and how health, social care and housing can work together to reduce delayed transfers of care arising from Housing issues.</p>	Simon Galczynski	Ilona Sarulakis / Gareth Wall	Ongoing	Feb 2018 – As part of the Unplanned Care Workstream of Integrated Commissioning there has been a successful focus on DToC performance. Weekly telephone conference calls continue, chaired by the Director of Adult Services and a monthly Discharge sub-group meets to oversee the High Impact Care Model implementation and DToC performance. Monthly meetings with Mental Health services are in place to oversee

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					the Mental Health DToC Action plan, which has had a dramatic positive impact on performance. These controls will continue moving forward.
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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. (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		<p>Review and updated Feb 2018</p> <p>Risk has stayed the same</p>

Control Title	Control Description	Responsible Officer	Service Manager	Due Date	Control - Latest Note
The implementation of the recommendations of the Transitions Programme	<p>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</p> <p>A programme of work has been completed to develop new transitions pathways and protocols. The Hackney Transitions Multi Agency Transitions Protocol and Pathway developed by Johnathon Wilding has been signed off by the Transitions Board and work is now</p>	Simon Galczynski and Sarah Wright	Jonathan Wilding/Hele n Sargeant-Dar / Penny Heron	June 2018	<p>Feb 2018 - 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</p>

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	<p>being undertaken to operationalise this.</p> <p>Governance arrangements around transitions including decision making around funding arrangements and TORs are being finalised between key stakeholders. Transitions has been clearly defined as a key work stream within the ILDS service review and the role of the Transitions co-ordinator is being confirmed.</p>				<p>multi-agency partners to ensure a joined up, whole system approach.</p> <p>The Transition Programme has involved multi agency partners and the multi-agency Transitions Board has signed off the pathway and protocols.</p>
Whole systems working – Integrated Commissioning	The Planned Care Workstream is now overseeing the delivery of the ILDS review of which establishing effective transitions pathways and restructuring the team is a core strand. This will provide additional integrated oversight of the delivery of the transitions programme moving forward.	Simon Galczynski	Helen Sargeant Dar /Penny Heron/Tessa Cole	June 2018	Feb 2018 – New control

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		<p>Review and updated Feb 2018</p> <p>This risk has stayed the same.</p>

Control Title	Control Description	Responsible Officer	Service Manager	Due Date	Control - Latest Note
Clear guidance and procedures are in place to	Staff have access to clear procedures and guidance in		Adult	on-going	



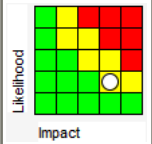
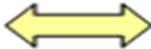
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ensure that staff are clear and understand their responsibilities in relation to handling and managing confidential and personal information in accordance with the law	<p>relation to managing personal and sensitive information, as well as reporting any breaches. Training is provided to staff to ensure that their knowledge remains current and their awareness is regularly raised.</p> <p>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.</p>	Simon Galczynski	Services Heads of Service		
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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>	<p>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.</p> <p>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.</p>	Children, Adults & Community Health		<p style="text-align: center;"></p> <p>Review and updated Feb 2018 –</p> <p>This risk has stayed the same.</p>

Control Title	Control Description	Responsible Officer	Service Manager	Due Date	Control - Latest Note
The establishment of a dedicated hub to manage	Work has commenced on exploring options for the		Tessa Cole	on-going	Feb 2018 – A business

and co-ordinate all Complaints, FOIs and Member Enquiries in line with legislative requirements and Council Policies and Procedures	<p>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			hub model has been developed and key posts are currently being recruited to. This will significantly reduce this risk once people have been recruited to fill these posts.
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Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
<b>CACH AS 010 – The risk of Judicial Review or Legal Challenge</b>	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.	Children, Adults & Community Health		 <p>Reviewed and updated in Feb 2018.</p> <p>This risk has stayed the same.</p>

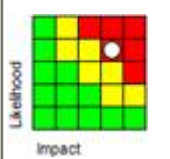
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Control Title	Control Description	Responsible Officer	Service Manager	Due Date	Control - Latest Note
Working within existing guidance and frameworks and seeking Legal Support	<p>There is legislation, guidance and procedures to support staff to work 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	

Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
<b>CACH AS 011 – The needs of vulnerable adults with learning disabilities are not identified and responded to in a timely manner (poor service user outcomes and experience) and the future funding arrangements for the learning disabilities service are not sustainable (Financial, poor service user experience and outcomes and reputational risk)</b>	<p>Difficulties in bringing in a permanent Head of Service and a permanent cohort of social care staff have led to a number of operational issues in the past year including poor performance in relation to reviews and integrated pathways not being maximised.</p> <p>A recent review of ILDS also identified that the current funding model was not sustainable without agreeing a way forward for joint funding care packages with the CCG.</p>	Children, Adults & Community Health		February 2018 - <b>NEW RISK ADDED</b>

Control Title	Control Description	Responsible Officer	Service Manager	Due Date	Control - Latest Note
Implementation of the recommendations of the ILDS review	A review of ILDS was completed Nov-Dec 2017 and the outcome of the review was a set of recommendations for a new operating model and new commissioning arrangements. The recommendations	Simon Galczynski	Helen Sargeant-Dar/Penny Heron/Tessa	June 2018	New control

	are now being implemented by a dedicated project manager overseen by robust project governance.		Cole		
Whole systems working – Integrated Commissioning	The Planned Care Workstream is now overseeing the delivery of the ILDS review. The Planned Care Workstream has representation from key stakeholders who have an interest in the delivery of a new operating model for ILDS. This will provide additional integrated oversight of the delivery of the ILDS programme moving forward.	Simon Galczynski	Helen Sargeant-Dar/Penny Heron/Tessa Cole	Ongoing	New control
Recruitment of a permanent Head of Service	An effective control already in place is that an Interim Head of Service was brought in and has been in post consistently since November 2016. Recruitment for a permanent head of service will commence in March 2018 and will look to bring in a permanent Head of Service by June 2018.	Simon Galczynski		June 2018	New control

<p><b>SRCR 0032 NEW RISK</b> Integrated Commissioning <b>INTERNAL RISK</b> <b>CURRENT RISK</b></p>	<p>As a result of a loss of direct control over some of the Council's social care and public health budgets, elements of the new service delivery are compromised and don't prove as effective as initially envisioned. Also, the impact of managing and resourcing additional governance structures (and adapting to them) would need to be addressed; and if it fails to be, the effectiveness and transparency of the process will be compromised.</p>	<p>Children, Adults and Community Health</p>		<p>Of course, Integrated Commissioning also presents numerous opportunities. If it continues to become effectively embedded within the organisations, it could offer a clear way of offering a more joined up and comprehensive way of working together. Health and social care partners across Hackney share an ambition to improve health outcomes for local people by commissioning these services in a more integrated way that makes the most of our shared investment at a time when public funding has experienced serious reductions and increasing budgetary pressures. Therefore, there could be clear financial benefits.</p>
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Control Title	Control Description	Responsible Group Director / Officer	Service Manager	Due Date	Control - Latest Note
<p><b>SRCR 0030a The ICB</b></p>	<p>The Integrated Commissioning Board is tasked with developing risk identification, monitoring and mitigation arrangements in line with the corporate approach. There are detailed schemes of delegation agreed between the separate bodies specifying exactly what individual and shared duties are.</p>	<p>Anne Canning</p>		<p>02-Feb-2018</p>	<p>Regular meetings (with accompanying minutes) of the ICB should provide assurance of effective communication between the organisations. The most recent meeting was on November 15<sup>th</sup>, and full minutes and records are kept for all meetings.</p>
<p><b>SRCR 0030b Section 75</b></p>	<p>The Section 75 Agreement including the financial framework sets out:  - Scope of pooled and aligned budget;  - Ground rules for its use and treatment of overspends; and  - How conflicts in budget-setting priorities would be settled.  The Section 75 Agreement also sets out the risk share agreement; should there be an overspend, the party with statutory responsibility for the function or budget will be responsible.</p>	<p>Anne Canning</p>		<p>02-Feb-2018</p>	<p>The Section 75 Agreement will be for a 2-year period with a break clause on 9 months' notice. This will ensure that the Council is able to withdraw from these arrangements if they have concerns. The budget and approach will be negotiated and agreed each year to reflect changing circumstances.</p>

<p><b>SRCR 0030c Ensuring effective governance.</b></p>	<p>Ensure all arrangements and structures are properly organised and that the governance is sound.</p>	<p>Anne Canning</p>		<p>02-Feb-2018</p>	<p>A meeting was held with the partners and external auditors in January 2017. The external auditors provided assurance that the proposed arrangements were in line with guidance.</p>
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