

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

**AUDIT COMMITTEE  
MEETING DATE 2018/19**

**10th April 2019**

**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 2019. 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 13th February 2019. 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 those that represent the most significant risks faced by the Directorate. 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 significant 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 Universal Credit may further increase the demand for services.
- Legislative changes that provide care leaver support to age 25 (from April 2018) came with limited additional funding from the Government. A business case is being developed to look at different options to make best use of available resources and alleviate pressures on the Leaving Care Service. Given that a communication about the extended service legislation has now been sent out to 21yrs+ care leavers who were previously closed to leaving care, we are anticipating a number of young people returning to the service for support, resulting in an increase in leaving care service demand. We are currently performing an

options appraisal to look at forecasting demand as well as identifying possible service redesign activity to aid service demand and flow.

- 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.
- 5.6 The current Ofsted Inspection of Local Authority Children's Services (ILACS) framework was introduced in January 2018. Driving up improvement and catching local authorities before they fall are the principles underpinning the new framework, which is described as a system rather than a programme of inspection. ILACS attempts to take a proportionate, whole system approach that is less intensive than the single inspection framework. In addition to on-site inspection activity, this new way of working is supported and informed by an annual self-evaluation, an annual conversation with Ofsted and Ofsted's local authority intelligence system.
- 5.7 Following Hackney's annual conversation with Ofsted on 25<sup>th</sup> October 2018 Ofsted inspectors carried out a focused visit in Hackney on the 5<sup>th</sup> and 6<sup>th</sup> of February 2019 focusing on CIN and CP plans. Formal feedback from the visit will be provided to us in early March 2019 and an action plan will be put in place to address issues raised.

### **HLT Risks**

- 5.8 **Downgraded risks:** The risk previously reported regarding the Early Years National Funding Formula having a negative impact on HLT's ability to support settings has been downgraded in light of the successful implementation of the 5% cap on central services in accordance with the Early Years National Funding Formula (EYNFF). Furthermore, the anticipated risk arising from the expansion of the eligibility criteria for 2 year free entitlement to incorporate Universal Credit, did not prove to be

significant. Whilst the risk will be kept under quarterly review by HLT, it has been removed from this report.

5.9 **New risks:** One additional risk has been added recognising that rates of exclusion in Hackney schools remain amongst the highest in the country. Strategies to reduce exclusion are in place, with further initiatives (including an analysis of the causes of exclusion and engagement with preventative services) being implemented.

5.10 **Ongoing risks:** In addition to the new risk outlined above, a further 9 risks continue to present challenges and are reported on the attached register. Of these, the following have been identified as presenting particular challenge to HLT's operations and financial stability:

- **Rigg Approach Depot (SEND Transport Assistance)** – Termination of the lease for the continued use of the Rigg Approach depot for the SEND transport fleet – the uncertainty of the current lease under its new ownership continues. The SEND transport fleet based at Rigg Approach is now subject to a 3-year lease and the user of an adjacent site has been given notice of development. Whilst a feasibility study for an alternative site proved unsuccessful, other options and contingency arrangements continue to be investigated. The SEND transport service provides essential transport to 500 of our most vulnerable pupils. The risk rating, therefore, remains very high until a more certain alternative arrangement can be secured.
- **The impact of the government's reforms on education service delivery** – whilst grounds for the forced academisation of schools has been restricted to only those who have failed their Ofsted, the Secretary of State for Education continues to promote the benefits of academisation, signalling that this remains the Government's preferred option for schools. The Hackney Schools Group proposals continue to be developed. Recent consultation has been positively received by schools and other stakeholders. A report to LBH Cabinet will be submitted outlining a proposed model for a strategic advisory board, which will facilitate greater involvement by schools in the leadership of the local education system. Whilst the implications of this risk remain high, they have been reduced in the light of ongoing work around the Hackney Schools Group and the strengthening of a collaborative and cohesive local schools system.
- **Meeting statutory requirements for SEND included in the Children and Families Act** - Whilst Hackney had a positive SEND inspection in 2017, the inspection noted that we are not completing Education, Health and Care Plan (EHCP) needs assessments in 20 weeks. The risk rating was reduced to amber last year, following good progress made against the requirement to transfer all Statements to EHC Plans by March 2018, as well as favourable comparisons to other LAs. The risk has increased recently, however, partly as a result of the increasing number of assessments being undertaken. Concerns still remain regarding completion of EHC Plan assessments

within 20 weeks. In addition, judgment of the Judicial Review regarding EHC Plan funding arrangements in the borough is still pending.

- **Escalating SEND spend** – This is now a year-on-year issue given the limits on funding combined with a growing population and increase in the level and complexity of need. Current forecasts suggest provision costs are escalating at around £1.5million per annum. This is unsustainable. This position is compounded by the prospect of limited movement by government to address the issue. This risk is affecting many local authorities across the country. This remains the single biggest risk to the education service as progress continues to be limited towards achieving any significant cost reductions. Judgements from the Judicial Reviews of Hackney and Surrey councils (which are likely to have consequences for all LAs in England and, potentially for the Government) are still pending. Given this, the highest possible risk rating has been applied, to reflect the severity of this risk.
- **Safeguarding considerations for those pupils who are not registered at a school** (this relates to Electively Home Educated (EHE) pupils, children missing from education, children attending unregistered settings, children who are yet to be allocated a school place, etc.) This is a high profile issue, the numbers of EHE in the borough are rising. 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 red rated risk recognises the severity of the potential risks of a safeguarding failure.
- **School Places** - The nature of the risk around primary school places has changed, going from a position of insufficient school places to a surplus of school places. This poses very significant risks to schools' financial viability. Projections of the demand for primary school places indicate an increasing and potentially substantial surplus, which carries with it significant financial risks to maintained schools, and therefore to the Council. The risk in primary has, therefore, increased. The risk for secondary remains high, but unchanged from last year. It should, however, be noted that the pressure to build new secondary schools is not as acute and a decision has been taken to postpone the opening of a second secondary in the borough.

## **Public Health**

- 5.11 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. This has already saved the council over £1m in the cost of services, but demand rises by roughly 10% every year.

- 5.12 Other risks that are being actively management are 'CACH PH010 Substance Misuse Recommissioning' and 'CACH PH009 Budget'. The substance misuse recommissioning is included largely because it is a vital services with a significant budget, and we are ambitious to keep delivering outcomes whilst having to achieve savings. The overarching budget risk remains relatively amber due to sustained reduction in income from external sources, and the dependency on a pan-London approach taking affect 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**

- 5.13 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 reduced in likelihood and one is no longer considered a significant risk for the department and the reasons for this are highlighted in the description and updates on the risk register.
- 5.14 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 ongoing to remodel demand and pressures on social care, and this continues to 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 spring of 2019 which will set out a view on the long term sustainability of the care and support system for older people. Despite its significant delay, the publication of the green paper 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.

- 5.15 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 robust, regular contract management and market development through provider networks.
- 5.16 We take the protection of our most vulnerable clients very seriously, which is why adults safeguarding remains an identified risk on the register. The local Safeguarding Adults Board, and the Head of Adult 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 were assessed by a team of external reviewers organised by the Association of Directors of Adult Social Services in April 2018 as part of a Service Led Improvement Peer Review. This provided a constructive review of the effectiveness of the measures in place to prevent and manage safeguarding risks, and the team were very positive about what they observed. They also recommended some areas to improve on which have been added to local safeguarding delivery plans.
- 5.17 There is one new risk which has been added to the risk register since last year which relates to the in-house provided Housing with Care service which was inspected by the Care Quality Commission (CQC) in November - December 2018 and subsequently received an 'Inadequate' rating in January 2019. The service which is made up of 14 schemes across the borough supporting over 250 people is a registered service and is therefore subject to inspections by the CQC. There is a risk that when the CQC come and inspect the service again in 2019 as a follow up to the 'inadequate' rating, that the service fails to demonstrate sufficient improvements in service delivery leading to enforcement action and possible loss of registration. To mitigate this risk a number of controls have been put in place which includes the development of a detailed improvement plan with additional resources put in place to support its delivery and regular reporting to monitor risks and issues. As is the process with all providers, the findings of the inspection has also initiated the Council's Provider Concerns process which is led by the Head of Commissioning for Adult Services and has previously been successful in supporting external providers to make significant improvements to quality.
- 5.18 There is one risk which has been removed from the risk register since last year which is the risk that complaints, FOIs and member enquiries

are not delivered within statutory deadlines. This is no longer considered to be a significant departmental risk following the establishment of a dedicated business hub team to manage and coordinate these things so they are responded to in line with legislative requirements and council policies and procedures. Having a more coordinated approach through a dedicated hub has ensured clarity of roles and responsibilities, reduces the risk of breaches in these areas and enables the directorate to more effectively capture the learning which can then feed into service development and improvement plans.

Since the establishment of the hub a new complaints process has been established and the majority of complaints are managed within the timeframe originally specified with the complainant. Adult Services is now one of the highest performing areas in the Council for FOI response times.

### **Integrated Commissioning**

5.19 Integrated commissioning arrangements have now been in place for nearly two years. Since CACH last reported to the Audit Committee (April 2018) an agreement in principle has been reached for further pooling of Adult Social Care Packages and Continuing Healthcare Packages. This is planned to take effect from 2019/20 pending finalisation of joint funding arrangements.

5.20 At last year's Audit Committee, the Group Director of CACH reported on an impending governance review of the integrated commissioning arrangements which was due to report later in the calendar year. This report is included on the agenda.

5.21 The Integrated Commissioning Board review their risk register on a regular basis. Papers detailing the risks reported to ICB can be found at:

<http://mginternet.hackney.gov.uk/documents/g4490/Public%20reports%20pack%2017th-Jan-2019%2010.00%20London%20Borough%20of%20Hackney%20Integrated%20Commissioning%20Board.pdf?T=10>

5.22 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



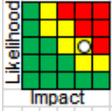
**DIRECTION OF TRAVEL** (since the last report)

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. If demand is not managed, this could compromise service delivery. 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 No Recourse to Public Funds Team (NRPF) 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>As expected the legislative changes that provide care leaver support to age 25 (from April 2018) came with insufficient additional funding from Government. A business case is currently being developed to look at how the service can best deal with the expected increase in demand.</p>
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Control Title	Control Description	Responsible Officer	Service Manager	Due Date	Control - Latest Note
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**APPENDIX ONE**  
**CACH RISK REGISTER FEBRUARY 2018**

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	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. This was updated in January 2019. 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. This was updated in January 2019.
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	<p>Update November 2016 (confirmed Feb 2019) - 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 the Local Assessment Protocol 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 &amp; 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.</p> <p>Following Hackney's annual conversation with Ofsted on 25<sup>th</sup> October 2018 Ofsted inspectors carried out a focused visit in Hackney on the 5<sup>th</sup> and 6<sup>th</sup> of February 2019 focusing on CIN and CP plans. A formal feedback letter about the visit will be provided to Hackney in early March 2019 and an action plan will be put in place to address issues raised.</p>

**APPENDIX ONE  
CACH RISK REGISTER FEBRUARY 2018**

Control Title	Control Description	Responsible Officer	Service Manager	Due Date	Control - Latest Note
					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.

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

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 further allocation of growth in 2018/19. 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). 2018/19 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. Further growth is to be allocated in respect of LAC placement costs in 2019/20.</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.</p> <p>As expected the legislative changes that provide care leaver support to age 25 (from April 2018) came with insufficient additional funding from Government. A business case is currently being developed to look at how the service can best deal with the expected increase in demand.</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 in the current year and growth has been agreed for 2019/20 to part cover these costs.</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 minimal impact on frontline services	Anne Canning	Jackie Moylan/ Sarah Wright	Ongoing	The Directorate has successfully delivered the majority of agreed savings for 2018/19 and have mitigating actions for those that remain.

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

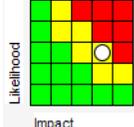
Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
CYP DR 0809 0006 Child or young person suffers significant harm, injury or death	Children and young people who use our services are at higher than usual risk of harm, injury or death. If risks are not adequately assessed 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		<p>Update November 2016 (confirmed Feb 2019)– This remains a high risk, and controls are in place to manage this.</p>

Control Title	Control Description	Responsible Officer	Service Manager	Due Date	Control - Latest Note
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	<p>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.'</p> <p>The government's response to the Wood Review of LSCBs published in May 2016 removed the requirement for local areas to have boards with set memberships. A new requirement has been placed on councils, the police and the NHS as 'key partners' to decide how boards are organised and what area they cover, while statutory functions will not change for individual agencies. Safeguarding partners are required to notify the Secretary of State for Education that they have agreed and published their new arrangements by June 2019 and have these arrangements up and running by September 2019. Discussion is currently taking place amongst key partners (Police, CCG &amp; LBH) to ensure that new arrangements are in place by the deadline.</p>
CYP 0910 006 D Ensure staff have	The Directorate as a whole	Anne Canning	Sarah Wright	Ongoing	Ofsted inspectors noted in July 2016 (confirmed Feb 2019)

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

Control Title	Control Description	Responsible Officer	Service Manager	Due Date	Control - Latest Note
the necessary skills to ensure risk and need are properly assessed	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.				that "When children are at immediate risk of harm, referrals are dealt with swiftly and children are seen to complete effective child protection enquiries. Appropriate decisions are taken when risk is identified to safeguard children."
CYP 0910 006 E Child Protection procedures in place	Children subject to Child Protection Plans and Looked After Children are visited in line with statutory guidance & care plans are monitored, updated and amended as appropriate. Children are to be seen alone.	Anne Canning	Sarah Wright	Ongoing	Update November 2016 (confirmed Feb 2019) - Ongoing, monitored through management oversight and audit, monthly, quarterly and annual performance reports, including statutory returns to DfE and by Child Protection Conference Chairs and Independent Reviewing Officers.
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 2019) - 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.  Our external commissioned providers are also expected to demonstrate that they meet health and safety standards as part of their contract including systems and processes for conducting risk assessments of premises and activities.

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

Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
<b>CYP DR 010</b> Increased call on resources in respect of No Recourse to Public Funds (NRPF) cases	<p>The Council might be unable to handle the increased call in NRPF cases. Children's Social Care has a duty to assess children's needs under section 17 of the Children Act 1989 if they are at risk of homelessness or destitution, even if their parent has no legal entitlement for services in the UK.</p> <p>As at 26<sup>th</sup> February 2019, the NRPF Team were supporting 164 children from 87 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. The impact of the U.K. leaving the EU on families who have NRPF is not yet clear.</p>

Control Title	Control Description	Responsible Officer	Service Manager	Due Date	Control - Latest Note
<b>CYP DR 010a</b> 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 No Recourse to Public Funds Team was formed in 2012 as a pilot service but has now been embedded alongside the Access & Assessment Service in Children's Social Care.	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>

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Control Title	Control Description	Responsible Officer	Service Manager	Due Date	Control - Latest Note
					<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 NRPF 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. Families benefit from this fast approach to processing their claims.</p> <p>During 2017-18, the NRPF Team supported up to 120 families and 240 children at any one time. Towards the end of 2017/18, the number of families successfully resolving their immigration status and obtaining access to public funds increased, reducing the number of families receiving support at any given time, a trend that has continued into the current year with the service currently supporting 87 families and 164 children as at 26<sup>th</sup> February 2019.</p>
<p><b>CYP DR 010b</b> Cross-London management arrangements for unaccompanied asylum seeking children.</p>	<p>The Pan London unaccompanied asylum seeking children (UASC) dispersal rota is a voluntary arrangement that is supposed to operate in equal distribution order. There has been a recent drive across all London authorities to ensure that each borough takes their turn on the rota in the wake of a number of authorities having withdrawn over the past year. The withdrawal from some authorities had, had a negative impact of increasing the numbers of UASC being dispersed to Hackney. The government have introduced a National Transfer Scheme under which authorities will be expected to accept UASC up to the equivalent of 0.07% of their child population, after which they will be able refer young people to the NTS</p>	<p>Anne Canning</p>	<p>Sarah Wright</p>	<p>Ongoing</p>	<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 these boroughs are currently not taking any new UASC as part of the London rota. As a result of this, the number of UASC in Hackney has increased steadily, with 47 UASC as at December 2018. This means that Hackney have reached their maximum number of UASC and are therefore unable to accept additional UASC. The number of 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.</p> <p>Hackney has recently been successful in applying for additional funding from the Government to provide additional support to our UASC through the Controlling</p>

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Control Title	Control Description	Responsible Officer	Service Manager	Due Date	Control - Latest Note
					Migration Fund.

## Hackney Learning Trust Risks

Generated on Thursday 31 January 2019

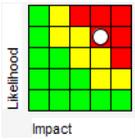
Reviewed by the Risk Review Group on Thursday 31 January 2019

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><b>January 2019:</b> A feasibility study of the alternative site at Chapman Road has been completed and the site was deemed unsuitable. A feasibility study of another site will be undertaken.</p> <p>There is now the possibility of the SEND transport Fleet having only a three-year lease at Rigg Approach. The risk rating will, therefore, be rated as high until the situation is clarified and the position around the SEND transport fleet is secured.</p>

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.	Andrew Lee (AD Education Services)	The Council is not in a strong position with the lease. The landlord's agents will provide us with a new lease and a Heads of Terms for this new lease are due to be reviewed. The whole area, however, is due to be redeveloped and it is looking less likely that a new lease will be issued. Timeframe for identifying alternative depot will be approximately 2-3 years.
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.	Andrew Lee (AD Education Services)	The feasibility study identified some significant deficiencies in the Chapman road site such that it may not be an option. A possible alternative option has recently been tabled and has progressed to the feasibility stage. Progress on this project will now be monitored by the

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Control Title	Control Description	Service Manager	Control - Latest Note
			School Place Planning group. Alternative options are also being considered, including a model used by Croydon who use multiple locations across the borough to park vehicles. This option may require initial investment to support a new way of working.

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 leadership to the system.		<p style="text-align: center;"></p> <p><b>January 2019:</b> The government has announced changes to the role of the Regional Schools Commissioner and the grounds for conversion to Academy status have been restricted to only schools who have failed their Ofsted. Recently, however, the Secretary of State for Education has promoted the benefits of academisation for schools, signalling that this remains the Government's preferred option.</p> <p>The HSG proposals have been consulted upon with Heads, Chairs of governors and elected members. These have been positively received and a report to LBH Cabinet will be submitted outlining a proposed model for a strategic advisory board that will facilitate greater involvement by schools in the local education system. Staff development is a significant strand in HLT's Continuous Improvement Plan, this will feed through to the Learning &amp; Development strategy for staff. This will help to mitigate the risks around staff retention. On-going staff engagement is important, and staff briefings will be utilised to ensure staff are informed of developments.</p>

Control Title	Control Description	Service Manager	Control - Latest Note
LT 1516 Risk 09 Development of an alternative service delivery model that provides a governance and partnership structure for the local schools system.	An alternative model for the governance of the Hackney school system is developed to work within the academised school system that retains the capacity for the strategic and system wide provision of school improvement and SRAS functions to ensure continued school improvement	Frank O'Donoghue	Progress has been made on defining the work packages that need to be completed to move progress forward on several work streams. Operational difficulties in securing the programme management have resulted in a material delay to the timetable. At the same time, there appears to be reduced government impetus to school conversions, at least in the short term, although the push for academisation is still present.
LT 1617 Risk 01 Staffing challenges – Developing a strategy that retains staff with key skills knowledge and ability; identifying new talent and encouraging people to work for HLT.	Ongoing contraction of the public sector means it is not easy to encourage skilled and talented people into the public sector.  The risk of being unable to retain talented people over time is also a challenge.	Olly Cochrane	As the HSG model develops, with the services work strand, we will consider and review the necessary next steps in terms of retaining key staff and developing appropriate skills required for the future viability of HLT.  HLT's Learning & Development and Organisational Development

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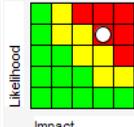
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Control Title	Control Description	Service Manager	Control - Latest Note
	HLT will need to maintain an innovative approach by: Retaining current talented employees; identifying and encouraging new talent and changing the culture of long serving staff to meet the new challenges we face.		<p>Strategy are continuously under review to ensure the best possible offer is available for staff. Management development and continuous professional development is key to the recruitment and retention of a highly skilled and motivated workforce. A programme of management development has been organised. HLT staff are also encouraged to participate in the Hackney offer.</p> <p>The Organisational Development strategy is particularly focussed on a coaching culture which in turn encourages staff engagement.</p>

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.		<p style="text-align: center;"></p> <p><b>January 2019</b> – Work is ongoing to prepare for and mitigate any adverse changes to funding. There is agreement on the current year (2018-19) and next year (2019-2020- these provide a two-year transition to the National Funding Formula.</p> <p>The forecast income reductions have been estimated for the transition period. Forecast income for 2020-21 and beyond is currently unclear. In terms of funding for LAs, Hackney could be the biggest loser if a NFF were to be introduced.</p> <p>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 given the relative high levels of funding for Hackney pupils.</p>

Control Title	Control Description	Service Manager	Control - Latest Note
LT 1314 Risk 11 Head of Service maintains comprehensive & timely modelling & monitoring of policy and funding changes to report income implications for HLT as well as assessing impact on delivery.	Modelling and monitoring of funding changes will support a clear understanding of the risk and potential impact and will inform HLT's approach to meet implications.	Yusuf Erol	The implications of the forecast income reductions have now been modelled with greater certainty for the two year NFF transition period.

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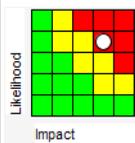
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Control Title	Control Description	Service Manager	Control - Latest Note
LT 1314 Risk10 Implications of changes to the National Schools Funding Formula are understood and monitored	Monthly budget forecast and planning meetings are held to monitor implications arising from DfE announcements and regulations. This is reported to HLT SLT as required.	Ophelia Carter	For 2019-20, schools are protected by a 1% increase from the 2017-18 baseline. 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	The value of SLT's savings tables are currently insufficient when compared to the income forecast. SLT have commenced other pieces of work to identify additional savings. There is also efforts to partly separate any over-spend in SEND from the wider HLT finances.
LT1415 Risk 14 Modelling the implications of converting academies and amending new Free Schools.	Assessing the costs and financial impact of academy conversions and growth funding for new academies and free schools.	Ophelia Carter	The budget planning group meets regularly to forecast the impact of the any expected conversions to academy status.
LT 1718 Risk 03 An effective communications strategy is in place regarding savings and reductions in budgets.	Proposals for savings are assessed through a template that forces consideration of communications issues for staff, politicians and public to ensure implications or reductions are known and understood. These are tested through HLT SLT and CACH Budget Board.	Frank O'Donoghue	<p>Work with external stakeholders and members is now channelled through CACH budget board as a means of ensuring corporate and member level awareness and buy in, and income forecast and reports are more widely shared.</p> <p>Impact assessments and early consideration takes account of the need for communications plans in sensitive budget decisions, e.g. the co-production and stakeholder groups on SEND.</p> <p>HLT's Senior Leadership Team will continue to co-ordinate messaging internally and externally.</p>

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 style="text-align: center;"></p> <p>Although completion has improved against last published, SFR, data from the CIP performance monitoring shows we are not meeting target.</p> <p>Completion of EHC Plan assessments within 20 weeks remains a concern. This is compounded by LGSCO judgements that stress the 20 week</p>

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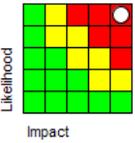
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Risk Title	Description of Risk	Current Risk Matrix	Risk - Latest Note
			<p>deadline must be adhered to. Inability to meet a statutory deadline is a significant risk</p> <p>It should be noted that the Judicial Review judgement is pending. This centred on EHCP funding arrangements poses a risk to the Council.</p> <p>HLT continues to wait for the Ombudsman's findings in two cases relating to the 20-week deadline being exceeded. A finding against HLT will pose a challenge to all local authorities.</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	The SEND Single Improvement Plan has reported the 12-month update against objectives for meeting statutory responsibilities. A new SEND Development Plan is being developed with agreed objectives being refined.
LT1516 Risk 03 Develop case management Quality Assurance with external moderation (through CYPS) – develop & implement approach	Implementation of robust quality assurance framework for EHC Plans to ensure consistency and quality of plans resulting in fewer challenges at drafting stage and, ultimately, reduced SEND Tribunals and complaints.	Toni Dawodu	End of Year Complaint, Mediation and Tribunal Report was presented to STAG.  A QA review was undertaken with Group Director work to develop a clearer QA framework for the EHCP process is underway.
LT1516 Risk 08 Action plan based on self-evaluation / annual report and points identified in SEND inspection	Ongoing review & assessment of activity against SEND Strategy and Inspection recommendations needs to be undertaken to develop & strengthen the local area's responsibilities to meet the needs of CYP with SEND.	Toni Dawodu	A template for the SEND Action Plan has been agreed and partners are updating their section to capture their actions for the Plan.

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 EHC Plans continues to increase at a significant rate exceeding the population growth in the Borough, the effect of which is to place the SEND budget in deficit.		<div style="text-align: center;">  </div> <p><b>January 2019:</b> The judgements from the Judicial Reviews of Hackney and Surrey councils are still pending. These are likely to have consequences for all LAs in England</p>

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Risk Title	Description of Risk	Current Risk Matrix	Risk - Latest Note
			<p>and, potentially for the Government.</p> <p>Progress continues to be limited towards achieving any cost reductions. Given the potential impact on council finances (£5M deficit and rising), alongside the possible impact on residents and the Council's reputation, the highest possible risk rating has been applied, to reflect the severity of this risk.</p> <p>The risk remains at this level due to the combined effect of the Council not receiving any significant 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 cost reductions is restricted due to 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
LT 1617 02 A SEND Management Options Plan to address SEND budget pressure 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 EHC Plans. 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	At the request of the CACH Group Director and on legal advice pending the Judicial review, no further action on the SEND Cost Management plan has taken place. This will be reviewed in light of the judgement from the Judicial Review.
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	There has been very little change and very little progress. Short-term reductions in SEND costs have been difficult to achieve. A small reduction of 5% has been agreed and this was launched from April 2018, regarding SEND support paid to schools for new EHC plans. This is not expected to result in significant savings.
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	<p>SIPs meet regularly with SEND team to share information to ensure consistency of messages to schools. SEND are devising a SENCO training programme and has been held a legal seminar for senior leaders in the authority has been held.</p> <p>SENDIAGS continues to offer support services and training events and officers are invited to and attend Parent forums and HIP events. SEND aim to secure one positive SEND feature per term in local media.</p>

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Control Title	Control Description	Service Manager	Control - Latest Note
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	A monthly dashboard monitoring the total number of EHC Plans and new requests is reviewed regularly. This includes a report looking at numbers of EHCP initiations as a percentage of requests and by type.
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	The SEND Partnership Board is developing an action plan in which this is a key action. The post 16 transition process is now being Chaired by CACH Group Director to accelerate progress. SEND team are developing advice templates to standardise information from various agencies

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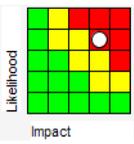
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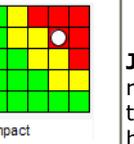
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**Hackney Schools Risks**

Risk Title	Description of Risk	Current Risk Matrix	Risk - Latest Note
<b>LTSCH 1617 001 CYPS:</b> Serious Safeguarding failure in regard to pupils not in school	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.  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.		  <b>January 2019:</b> This issue presents a very high reputational risk for the borough, although given the limited statutory powers, the Council has limited options to mitigate this risk.

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>October 2018</b> – most recent meetings with Ofsted and Hackney Children’s Social Care have focussed on under 5’s attending a known unregistered setting that received a closure notice December 2015
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>October 2018</b> – Engagement with unregistered educational settings forms part of the Executive response to the CYP Scrutiny Commission’s recommendations in their report on unregistered educational settings. An update on this will go to scrutiny in April 2019.  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:</b> Risks posed by unregistered schools and settings	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.  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.		  <b>January 2019:</b> This issue presents a very high reputational risk for the borough, although given the limited statutory powers available, the Council has limited options as to how it mitigates this risk.  The Council and the independent chair of the

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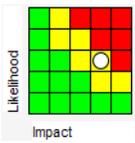
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Risk Title	Description of Risk	Current Risk Matrix	Risk - Latest Note
			CHSCB have emphasised the need for legislation to respond to this area of concern at meetings with DfE, Ofsted and other partners.

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	Work has been undertaken with the LADO on two allegations against staff in Independent Schools received in the last year
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	Engagement with unregistered educational settings forms part of the Executive's response to the CYP Scrutiny Commission's recommendations in their report on unregistered educational settings. An update on this will be presented to the Scrutiny Commission in April 2019.  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
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	The overall effectiveness of schools or settings, or the: <ol style="list-style-type: none"> <li>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.</li> <li>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.</li> <li>The overall quality of provision in schools or settings fails to improve, leading to plateau and coasting year to year at borough level.</li> <li>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</li> </ol>		<div style="text-align: center;">  </div> <p><b>January 2019</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 <b>in January 2019</b> are as follows:</p> <ul style="list-style-type: none"> <li>Outstanding – 22 schools (38%)</li> <li>Good –33 schools (57%)</li> <li>Satisfactory/Requires Improvement – 3 schools (5%)</li> <li>Inadequate – 0 schools (0%)</li> </ul>

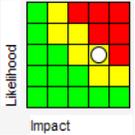
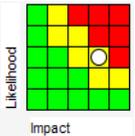
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Risk Title	Description of Risk	Current Risk Matrix	Risk - Latest Note
	receive two opportunities to remove themselves from the category before being placed in special measures.		The current breakdown of overall effectiveness grades for those Hackney schools that have been inspected by Ofsted show 95% of nursery & Primary pupils attend an outstanding or good school.
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 style="text-align: center;"></p> <p><b>January 2019</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 in <b>January 2019</b> are as follows:</p> <ul style="list-style-type: none"> <li>▪ Outstanding – 3 schools (21%)</li> <li>▪ Good – 10 schools (71%)</li> <li>▪ Satisfactory/Requires Improvement – 0 schools (0%)</li> <li>▪ Inadequate – 1 school (7%)</li> </ul> <p>The current breakdown of overall effectiveness grades for those Hackney schools that have been inspected by Ofsted show 98% of Secondary pupils attend an outstanding or good school.</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 style="text-align: center;"></p> <p><b>January 2019</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</p>

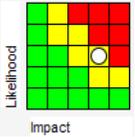
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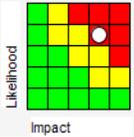
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Risk Title	Description of Risk	Current Risk Matrix	Risk - Latest Note
			show 100% of Special pupils attend an outstanding or good school.
LT SCH 1415 0002 <b>CYPS</b> Performance and/or quality of provision in Pupil Referral Unit declines, stagnates or fails and goes into special measures	PRUs are now self-governing, which may mean that inspection / greater scrutiny is imminent, which could lead to negative inspection outcomes		 <b>January 2019</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.	Sara Morgan – Primary  Anton Francic - Secondary	Income targets for secondary have been revised downwards to better reflect capacity whilst also remaining ambitious.
LT 1112 Risk 02 SRAS continually reviewed	SRAS process continually reviewed to ensure it is fit for purpose.	Sian Davies	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	School Improvement Partner 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	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
LT SCH 1112 0011 CYPS Surplus school places (Primary)	Surplus primary school places result in financial pressure on schools and threatens their long-term viability.		 <b>January 2019:</b> The nature of the risk around primary school places has changed, going from a position of insufficient school places to a surplus of school places. This poses significant risks to schools'

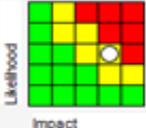
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Risk Title	Description of Risk	Current Risk Matrix	Risk - Latest Note
			<p>financial viability. Projections for primary school places indicate an increasing and potentially substantial surplus, which carries with it significant financial risks.</p> <p>The Surplus Places Planning Group is working to mitigate the impact of falling reception roll numbers through permanent or temporary reductions in some primary schools' PANs. We recommend retaining this risk rating.</p>
LT SCH 1112 0012 CYPS Insufficient school places (Secondary)	Insufficient school places available to meet bulges in demand for Secondary places.		 <p><b>January 2019:</b> GLA demographic data, gathered and reviewed in October 2018, has shown a reduction in demand for places, measured against previous forecasts and datasets. This means that the pressure to build secondary schools is not as acute and a decision has been taken to postpone the opening of a second secondary in the borough. This risk will be reviewed and may be lowered in the light of further changes to demand.</p>

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	Revised forecasts were received in May and October 2018. 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	<p><b>Primary</b> The 2018 projections confirmed that reception rolls are projected to continue to fall. This means that there will be surplus places in the primary sector over the next few years. For the current academic year 2018/19, there are 3155 reception places. The January 2018 census showed 2633 reception pupils on roll. This represents 522 surplus places – 16% (not taking into account temporary caps). the October 2018 census is awaited.</p> <p>Due to the current level of surplus primary places, the SPP Group has decided that the following schools will permanently reduce PANs from 2019/20:</p> <ul style="list-style-type: none"> <li>• De Beauvoir from 60 to 30 places</li> <li>• Gainsborough from 90 to 60 places</li> <li>• Harrington Hill from 90 to 60 places</li> <li>• Halley House from 60 to 30 places</li> </ul> <p>The following schools will cap their PANs in 2019/20 and 2020/21:</p>

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Control Title	Control Description	Service Manager	Control - Latest Note
			<ul style="list-style-type: none"> <li>• Gainsborough from 90 to 60 places</li> <li>• Mandeville from 60 to 45 places</li> <li>• Randal Cremer from 60 to 30 places</li> <li>• Thomas Fairchild from 60 to 30 places</li> </ul> <p>A working group was established to assess the impact of falling rolls in June 2018 to undertake a review of HLT's school organisation. The group has since been renamed the SPP Group, chaired by Annie Gammon and will also cover EY, SEND and other wider school organisation issues.</p> <p>The Olive School – 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. There have been reports that the Tauheedel Trust recently purchased land on the current B6 site which is proposed to be used as a split site for The Olive School.</p> <p>The Lubavitch Schools The Secretary of State has approved the conversions of Lubavitch Junior Boys, Lubavitch Ruth Lunzer and Lubavitch Senior Girls to academy status from 1 April 2018 under a single MAY. The Children's Centre is operating as a PVI centre by the Lubavitch Foundation.</p> <p><b>SECONDARY</b> 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. A report was submitted to SLT on 16 November 2018 which outlined the continued case for expanding the school given recent results and falling rolls.</p> <p>The latest set of secondary projections (based on the October 2018 school census data), concludes that the projected demand for secondary places will be insufficient to warrant the need for a new secondary school in 2020/21 due to falling primary rolls – a downward trend which is being seen across many London LAs.</p> <p>Despite the decision to postpone the opening on a new school in 2020/21, regular</p>

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Control Title	Control Description	Service Manager	Control - Latest Note
			monitoring and analysis of future projections will continue to be undertaken should additional secondary places be needed.
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	In Hackney, there are a total number of 3,155 places. The number of reception pupils on roll in January 2018 was 2633.  GLA (Jan 2018) projections indicated that 2539 pupils would be on roll in September 2018-94 fewer than those on roll in January 2018.  2644 reception offers were made for September 2018, excluding those pupils with EHCPs.  2,633 pupils were on roll on census day in January 2018  2759 pupils were on roll on census day in January 2017  2807 pupils were on roll on census day in January 2016  2,845 pupils were on roll on census day in January 2015
LT 1213 Risk 17 Growth fund developed	Approval from schools forum sought annually to promote growth fund	Ophelia Carter	Growth models for the NFF for 2019-20 has been published, indicating a 50% reduction in the allocation of the Growth fund to Hackney. In a lagged formula. This may be sufficient, due to the ending of many of the current expansions. Further review of the local allocation methodology to take place to manage the risk. Any previous surplus used to support additional funding to schools, is likely to be reduced.
LT 1213 Risk 39 Funding and sites secured	Funding and sites secured for any required new provision	Michael Coleman; Marian Lavelle	The temporary site for the City of London Academy Shoreditch Park is operational.  The planning application for the Britannia site (the permanent location of the Academy) was submitted in March 2018. The procurement process for the build contract for the school has also commenced and contract award is due to Cabinet in April 2019.  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.

Risk Title	Description of Risk	Current Risk Matrix	Risk - Latest Note
LT SCH 1314 0001 Approaches taken to pupil exclusion by Hackney schools - i. HLT ii. Schools iii. CYPs	(a) An increase in exclusions would affect HLT reputation and the organisation's financial position as HLT is responsible for provision for permanently excluded pupils (cost implications of permanent exclusions).  (b) HLT cannot intervene in school decision making, but should seek to influence school policy and practice		<b>January 2019:</b> Rates of exclusion in Hackney schools remain amongst the highest in the country. The long-term 'No Need to Exclude' strategy is being implemented. Further initiatives are being taken, including an analysis of the causes of exclusion and engagement with preventative service, for example the Re-engagement unit.

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Risk Title	Description of Risk	Current Risk Matrix	Risk - Latest Note
	<p>though existing and novel mechanisms, including SRAS secondary B&amp;A, fair access.</p> <p>(c) Strategies for an effective approach to exclusions must draw on the expertise of areas such as Young Hackney.</p>		

Control Title	Control Description	Service Manager	Control - Latest Note
LT 1112 Risk 20 Monitoring & sharing of exclusions, attendance and related data	Monitoring & sharing of exclusions, attendance and related data between schools and at Behaviour and Attendance (B&A) Partnerships to inform practice and develop strategies.	Andrew Lee	The Director of HLT has initiated an Exclusions Board to oversee this area of work across differing agencies as well as expectations such as those from Scrutiny who are reviewing outcomes of exclusions. An action plan has been drafted and is awaiting final sign off
LT 1213 Risk 35 Alternative provision in place	HLT uses its commissioning role to work to ensure there is an adequate high quality alternative provision offer in place to meet statutory responsibilities and to minimise the potential impact on individual pupils following exclusion.	Andrew Lee	The CYP Scrutiny Commission recently heard of the positive and diverse range of SP provision in Hackney – and how it is closely linked to NRC. HLT has established a formal Place Commissioning group to establish place numbers and view data from the Sufficiency plan to project the level of need in the borough. This work will be linked to the School Place Planning group. A deep dive analysis of the excluded cohort is due to be published by a commissioned external researcher.
LT1112 Risk 21 Use of Local Partnerships	The Behaviour & Attendance Partnerships provide challenge, strategic planning and consultation for all secondary schools & academies and now primary schools. Partnership working with Young Hackney is encouraged to ensure a whole family approach to behaviour management.	Andrew Lee	The Wellbeing review group provides a forum for key stakeholders to continue to share practice and identify areas for joint focus. The secondary behaviour and attendance meeting has been changed to a meeting for pastoral heads to ensure key operational leaders in schools are able to share practice in this arena. The meeting provides a forum for HLT to raise issues and develop policies.
LT1516 Risk 07 - Development & implementation of the No Need to Exclude initiative	HLT encourages engagement with schools and other partner agencies to ensure awareness and engagement with the implementation of the No Need to Exclude Initiative	Paul Kelly	<p>The new Strategic Plan focusses on the following:-</p> <ul style="list-style-type: none"> <li>(i) Supporting governance – ensuring the governing bodies have information about groups vulnerable to exclusion; offering support and challenge; and strengthening IRPs</li> <li>(ii) Rebuilding the use of AP – looking at whether Schools are considering all options</li> <li>(iii) Managed Moves and In Year Fair Access processes – learning from the experience of other LAs with similar behavioural challenges but a different profile in regard to published exclusions data</li> <li>(iv) Partnership working with the Safer Neighbourhood Teams and Young Hackney, in regard to weapons related exclusions – interventions designed to raise awareness, and in accord with MOPAC Knife Crime Strategy - <a href="http://www.london.gov.uk/knife-crime">www.london.gov.uk/knife-crime</a></li> </ul>

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Control Title	Control Description	Service Manager	Control - Latest Note
			<p>(v) Undertaking an in-depth data analysis of excluded pupils in Hackney cross referenced with Young Hackney / Mosaic data and Health records. Seeks to identify common themes/ experiences/ risk factors/ influencing factors. When could we have intervened earlier? Links with YBM project.</p> <p>(vi) Focus on disproportionality- a range of activity across different forums to ask the difficult questions - identifying the reasons and causes of this in Hackney, identifying good practice.</p> <p>(vii) The plan is a working draft. HLT will be proactive in sharing the plan in key partnership forums to ensure that it outlines a cross partnership approach- from HLT, Health, social care, early help, police, VCS organisations and other stakeholders to improving well-being and behaviour in order to reduce exclusions. The plan will assign actions across the partnership, monitoring arrangements and impact evaluation.</p>

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## Public Health Division risks

Report Type: Risks Report

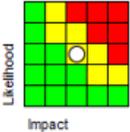


Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
CACH PH010 - Recommissioning the substance misuse service.	<p>Recommissioning of the substance misuse service with ambitious plans for service redesign, whilst delivering savings (Cabinet requirements and reductions in external funding). There's a risk of designing the service in a way that is not attractive to quality providers.</p> <p><b>IMPACT</b> – No providers bid for the contract, leading to a failed procurement. Reduced budget could affect our ambitions to commission a dynamic treatment service that is responsive to changing needs</p>	Children, Adults & Community Health		<p align="center"></p> <p>Risk updated February 2019</p>

Control Title	Control Description	Responsible Officer	Service Manager	Due Date	Control - Latest Note
CACH PH010 - Recommissioning the substance misuse service.	<p>Comprehensive consultation as part of the service redesign, including with potential bidders. Close working with directorate commissioning colleagues, to draw on their experience and follow processes that ensure potential providers are aware of the tender.</p> <p>We are working with the current provider to mitigate the impact of reduced MOPAC funding, and are finalising options to ensure our work with criminal justice remains robust.</p>	Sue Milner (interim Director of Public Health)	Matt Clack	July 2019	Added February 2019

Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
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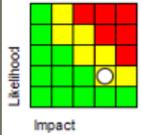
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CACH PH 007 Sexual Health	<p>Failure to realise the benefits of the pan London and local sexual health transformation programme.</p> <p><b>Impact</b></p> <p>1) Savings agreed through to 2020 not delivered. 2) Uneven access to services for residents across London.</p>	Children, Adults & Community Health		<p align="center"></p> <p>Risk updated following implementation of the Pan-London service using an integrated tariff, and the e-testing service. Residual risk of delivering associated savings remains.</p>
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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.</p> <p>Ongoing services provided that target high risk communities with a range of support and advice.</p>	Sue Milner (interim Director of Public Health)	Matt Clack	Nov 2019	<p>Sub-regional service implementation 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>

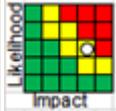
Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
CACH PH 009 Budget	Budget may not be managed effectively, may not align to Local Authority Public Health and Local priorities.	Children, Adults & Community Health		<p align="center"></p> <p>Risk added in December 2016 and continues</p>

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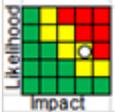
	<b>Impact</b> 1) Spend not effectively controlled, creating overspends. 2) Failure to deliver a variance to be used in related local authority services.			
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Control Title	Control Description	Responsible Officer	Service Manager	Due Date	Control - Latest Note
CACH PR 009 Budget	<p>Quarterly reports produced for management team on performance and spend for each contract across the service.</p> <p>Options for future budget reductions planned over a 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 (referred to in the recent NHS Long Term Plan).</p>	Sue Milner (interim Director of Public Health)	Sue Milner	Ongoing	Added February 2019

## 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><b>Reviewed and updated January 2019</b></p> <p>⇄</p> <p><b>Risk has remained the same</b></p> <p>The continued delay in the government's social green paper means there is still no clarity on the long term intentions of the government around a sustainable funding model for social care. In addition to this, it remains unclear whether iBCF funding will be replaced and at what level post 2019/20 as this funding was announced pending proposals for a sustainable adult social care funding solution. The implications of any loss of funding will continue to be highlighted in order that these can be factored into the Council's financial plans. This will include ensuring that it is clear what funding is required to continue to run safe services for adults.</p>

Control Title	Control Description	Responsible Officer	Service Manager
<b>CACH AS 001a</b> Recommissioning of Housing Related Support Services	The recommissioning of Housing Related Support Services has delivered savings in 18/19 and will do so again in 19/20 to support the sustainability of Adult Services. The services are also being redesigned to deliver better outcomes for individuals who use these services.	Simon Galczynski	Gareth Wall
<b>CACH AS 001b</b> Programme Management Office will oversee initiatives in place to manage demand and reduce/contain spend	A number of key initiatives have been developed by Adult Services to manage demand and contain spend which will be overseen by the department's Programme Management Office which meets 6 weekly to oversee progress. It will also report monthly to the directorate wide Budget Board meeting providing additional governance overseeing delivery by the council's Section 151 officer.	Simon Galczynski	Heads of Service
<b>CACH AS 001c</b> Implementation of the 3 conversations practice model	In 2019 Adult Services will be implementing a significant transformation of frontline practice supported by an organisation called Partners for Change. This approach will support demand management as it focuses on embedding a strengths based approach which promotes service user independence and has an evidence base from being implemented in other areas the demonstrates improved service user satisfaction, improved staff satisfaction and reduced numbers of people requiring ongoing care and support.	Simon Galczynski	Marion Willicome-Lang

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		<b>Reviewed and updated January 2019.</b>  <b>This risk has stayed the same.</b> There continues to be instability in the homecare market nationally, seen with the Allied Healthcare provider failure in 2018 which negatively affected neighbouring boroughs but we have the below controls in place to manage this risk.

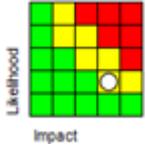
Control Title	Control Description	Responsible Officer	Service Manager	Due Date	Control - Latest Note
<b>CACH AS 002a</b> Robust Procurement process	As part of the Council's procurement process all providers that tender for contracts must prove their financial standing, prior to any contract award. This approach is required to safeguard both adults receiving services and the Council.	Simon Galczynski	Gareth Wall	On-going	Jan 2019 - Robust procurement processes continue to be in place however there is an increase in the number of providers challenging procurement outcomes, both formally and informally. This is currently being managed by Procurement and Strategic Commissioners.  Contracted homecare providers continue to display capacity limits for urgent, complex packages of homecare, resulting in the frequent need to spot purchase provision. We are exploring the potential to implement a dynamic purchasing system to attract and manage a wider group of providers.
<b>CACH AS 002b</b> 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 2018/19. And a similar process is being adopted for 19/20 and commissioners are working with providers to understand their financial challenges.	Simon Galczynski	Gareth Wall	On-going	Jan 2019 - 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 through a negotiation process. Commissioners are also working with ADASS London to develop a shared cost model to assist with negotiations.
<b>CACH AS 002c</b> Effective and robust contract	With a fully staffed team, Adult Services Commissioners are able to more effectively manage and monitor providers on a clear,	Simon Galczynski	Gareth Wall	On-going	Jan 2019 – All providers are regularly quality assured through our contract monitoring arrangements. The Commissioning Team have revised the "Provider Concerns" protocol and have introduced a

management and monitoring arrangements	risk based approach. This monitoring has been developed to focus on reviewing both the quality of the provision as well as financial stability of providers, so that any key issues or concerns can be identified in a timely manner and action taken to mitigate or manage any safeguarding, quality or financial risks.				<p>pathway to address concerns. They have also established a CHCCG &amp; 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 approaches to address improvements required.</p> <p>The Quality Assurance and Contract Monitoring process will also be applied to the Council's own provided services, including Housing with Care, Shared Lives and ILDS.</p>
<b>CACH AS 002d</b> 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 2019	<p>Following consultation with the local market, the Commissioning Team is taking an iterative approach to the publication of a refreshed statement via its new online platform: <a href="http://blogs.hackney.gov.uk/adults">http://blogs.hackney.gov.uk/adults</a></p>

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.	Childrens, Adults and Community Health		<p><b>Reviewed and updated January 2019.</b></p> <p>↔</p> <p><b>This risk has stayed the same.</b></p>

Control Title	Control Description	Responsible Officer	Service Manager	Due Date	Control - Latest Note
<b>CACH AS 003a</b> - A risk based approach to waiting list management	<p>New duties under the Care Act 2014 were introduced in 2015 which require additional resources to ensure statutory responsibilities and legal compliance. 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 Care Act 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</p>	Simon Galczynski	Ilona Sarulakis	Ongoing	Jan 2019 - 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 as per our statutory duty.

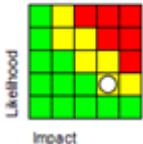
	<p>provided urgently as a "Direct Service provision" on the same or next day if necessary. There is a Joint Referral Panel held weekly and cases are allocated to the appropriate discipline/s from that. There is almost no waiting list for OT which is very strong performance when benchmarked to other authorities.</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.</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><b>(Financial and reputational risk, poor service user experience and outcomes)</b></p>	<p>Hackney has previously 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 number of vacancies have reduced across 2018/19 there remains a number of vacancies across frontline teams and in commissioning.</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>	<p>Children, Adults &amp; Community Health</p>		<p><b>Reviewed and updated January 2019.</b></p> <p><b>This risk has reduced.</b></p> <p>During 2018/19 as part of Adult Services' People Strategy and supported by the newly formed Programme Management Office, there has been a focus on developing a competitive recruitment strategy and workforce offer to attract people to work in Hackney on a permanent basis with a specific focus on social workers.</p> <p>As a result of a first phase of recruitment Adult Services have filled 16 permanent frontline social work positions. There has also been work to retain existing staff which has seen an increase in pay for social workers to bring this in line with the offer for Children's social workers and ensure it is competitive compared to other boroughs.</p> <p>Whilst there are still a number of vacancies across frontline teams the success of the first phase of recruitment will help inform a second phase of recruitment to fill the remaining vacancies including those within the Integrated Learning Disability Service.</p> <p>Across the department in 2018/19 there were several other permanent</p>

				appointments which has reduced this risk score including two new permanent Heads of Service in Commissioning and the Integrated Learning Disability Service and two new strategic commissioners within commissioning. There remains vacancies within the commissioning service including the procurement team which will be a focus for the Head of Commissioning in Q1 of 19/20.
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Control Title	Control Description	Responsible Officer	Service Manager	Due Date	Control - Latest Note
<b>CACH AS 004a</b> Continued delivery a People Strategy for Adult Services	Building on the successful delivery of the first phase of the Adult Services People Strategy this will continue to be delivered across 19/20 with the support of the Programme Management Office to continue to focus on recruitment and retention, future workforce planning and developing the professional workforce.	Simon Galczynski	Principal Social Worker Marion Willicome-Lang / HR / Adult Services Heads of Service / Workforce Development Manager	Ongoing over 19/20	January 2019 - As summarised above in 2018/19 there was a specific focus on recruiting permanent frontline social workers, for which there was a successful first round of recruitment. As second recruitment drive is expected in Spring 2019 to fill further vacancies across frontline teams. In 19/20 there will also be a similar focus on ensuring a clear offer for Occupational Therapists to attract them to Hackney and then retain them going forward.
<b>CACH AS 004b</b> A training and development offer for Adult Services that is relevant and flexible.	Adult Services are incrementally establishing a new learning and development offer for staff across its services. This includes through the establishment of an innovative Hackney Adult Services Practice Academy which offers learning and development opportunities through a 'faculty' framework. A robust Learning Needs Analysis process is in place and will also inform plans for 2019/20.	Simon Galczynski	Simon Richardson/ Principal Social Worker – Marion Willicome-Lang/ Adults Heads of Service	Ongoing over 19/20	January 2019 - The establishment of a Hackney Adult Services Practice Academy in 2018/19 is changing the way in which staff are developed and how they access learning and development opportunities with a focus on a clearly defined career progression. The first phase is primarily focusing on staff who do not have a social work qualification but may be interested in doing so such and then supporting social workers through their careers. The next phase will look at the offer for the rest of the department such as Occupational therapists and commissioners.  A focus for 19/20 will also be improving the learning and development offer and tracking and monitoring systems for staff within Provided Services. Based on a December 2018 CQC inspection of Housing with Care services they found that records did not show staff had received appropriate training for their role. This will be addressed by changes in how training is tracked and monitored for this group of staff by the workforce development team.
<b>CACH AS 004c</b> Transformation of adult social work practice through the 3 conversations model	Adult Services will be implementing a new approach to practice throughout 2019 which empowers frontline workers and in which there is an evidence base from other areas that it increases staff satisfaction. This should support staff retention and	Simon Galczynski	Principal Social Worker Marion Willicome-Lang	March 2020	New control added January 2019

	attract people to come and work in Hackney.				
<b>CACH AS 004d</b> Launch of the social work apprenticeship degree in 2019/20	The social work apprenticeship degree is being launched nationally in 2019/20. This will support Hackney to 'grow its own' social worker staff by offering to those who are interested a route into social work to those who work in Housing with Care services and those that work in other front line teams such as review officers and information and assessment officers.	Simon Galczynski	Principal Social Worker Marion Willicome-Lang	Ongoing	New control added January 2019

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>	<p>Adults at risk who use our services are at greater risk of harm, injury or death. If risks are not adequately assessed and protected the vulnerable person could suffer significant injury or death.</p> <p>Hackney has had 5 Safeguarding Adult Reviews (SARS), which are a multi-agency learning process following the death or serious abuse or neglect of a vulnerable adult. The SARS have resulted in action plans for the council and for its partners to deliver and help mitigate this risk.</p>	Children, Adults & Community Health		<p><b>Review and updated January 2019</b></p> <p><b>Risk has stayed the same</b></p> <p>In 2018/19 Adult Services in Hackney invited the London Association of Directors of Adult Social Services (ADASS) to conduct a Peer Review into Adult Safeguarding in order to test and validate the controls in place for how this risk is managed. The review was positive about how this risk is managed in Hackney but also provided areas for further consideration about more we could do. These areas have been built into ongoing adult safeguarding delivery plans within commissioning, operations and the work of the Safeguarding Adults Board.</p> <p>In 2018/19 the City &amp; Hackney Safeguarding Adults Board have continued to work together to embed the learning from SARS to help mitigate this risk further. This included:</p> <ul style="list-style-type: none"> <li>• Delivery of SAR learning sessions to multi-agency groups, including voluntary agencies</li> <li>• Development of Task &amp; Finish group to promote service user engagement in the work of the CHSAB</li> </ul> <p>The Board has also carried out awareness raising activities to help prevent adult safeguarding such as an awareness campaign co-produced with service users to raise awareness of financial abuse.</p>

Control Title	Control Description	Responsible Officer	Service Manager	Due Date
<b>CACH AS 005 a</b>	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	Simon Galczynski	John Binding	On-

The City and Hackney Safeguarding Adults Board is in place and operating as an effective multi-agency forum.	Board to ensure safeguarding across the partners is being managed effectively and that relevant intelligence is appropriately shared.			going
<b>CACH AS 005 b</b> 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 / John Binding	On-going
<b>CACH AS 005 c</b> Embedding the learning from Safeguarding Adults Reviews and embedding adult safeguarding within Integrated Commissioning	The Safeguarding Adults Board with the input and support of Adult Services' Head of Safeguarding will continue to oversee the delivery of the recommendations of the Safeguarding Adults Reviews. This will include working with existing projects within the Integrated Commissioning programme such as the Neighbourhood Programme to ensure they support the delivery of these recommendations.	Simon Galczynski	Ilona Sarulakis and John Binding	On-going
<b>CACH AS 005 d</b> Ensuring that there is a shared strategic approach to recognising and responding to the needs of adults at risk across the borough.	Ongoing and consistent liaison with other formal boards, ie Community Safety Partnership, Children's Safeguarding Board, Health & Well-being Board. In order to promote awareness of adults at risk across the borough in the context of "adult safeguarding being everybody's business" which includes the development of regular cross board chairs meeting.	Simon Galczynski	John Binding + (CHSAB Manager)	On-going
<b>CACH AS 005 e</b> Ensuring that people who use our services are actively involved in the work that we do, via co-production, delivery of training, critical partner and "expert by experience" roles and functions.	Continued development and promotion of engagement / co-production with people who use our services in order to identify and implement a mechanism to build understanding from a user perspective and therefore implement better informed prevention activities.	Simon Galczynski	Tessa Cole	On-going

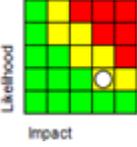
Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
<b>CACH AS 006 – Inability to control the increasing number of Delayed Transfers of Care</b>	<p>The number of people delayed from leaving Hospital has dropped significantly for the majority of the year, however we have experienced two peaks (Oct and Dec). While these peaks have been addressed it demonstrates that our performance is not yet stable. And that there remains times when there is an impact in the throughput in the Hospital as well as people not receiving the right care, support and interventions at the right time to enable them to remain healthy and well.</p> <p>This target is further exacerbated by a lack of "in-Borough" provision, capacity of providers to support the demand and patient choice issues - which is an intrinsic issue in Hackney.</p>	Children, Adults & Community Health		<p><b>Reviewed and updated January 2019</b></p> <p style="text-align: center;"></p> <p><b>This risk has remained the same</b></p>

Control Title	Control Description	Responsible Officer	Service Manager	Due Date	Control - Latest Note
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Document Number: 17149551

Document Name: 2016\_06\_ASC\_Commissioning\_Shared Risk Register

<p><b>CACH AS 006a</b> Whole systems working – Integrated Commissioning</p>	<p>The proposed key strands underpinning Integration and wider Devolution, will ensure a stronger, more joined up approach to managing discharge from Hospital. This will provide the opportunity to review and jointly clearly articulate the choice available to service users and their families upon discharge from Hospital. This will continue to be taken forward as a key component of the Unplanned Workstream in 2019/20.</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>	<p>Simon Galczynski</p>	<p>Iлона Sarulakis / Gareth Wall</p>	<p>Ongoing</p>	<p>Jan 2019 - As part of the Unplanned Care Workstream of Integrated Commissioning there has been a successful focus on DToC performance. Daily teleconferencing led by Operations and weekly huddle meetings continue, chaired by the Director of Adult Services and a monthly Discharge sub-group meets to oversee the High Impact Change Model implementation and DToC performance. Monthly meetings with Mental Health services are in place to oversee the Mental Health DToC Action plan, which has had a dramatic positive impact on performance. These controls will continue moving forward.</p> <p>As a result of the tasks described above when a spike in delays has arisen we have been able to react quickly and seen performance peak but then come down rapidly back to target. Further work is being done on trying to better stabilize performance month on month.</p>
<p><b>CACH AS 006b</b> Supporting the Home Care market to be more reactive</p>	<p>One of the major delays is as a result of Home Care providers not being able to take on packages as quickly as we need them to. Or in some cases not taking on packages and this then causes an inherent delay in being able to discharge someone home. Measures to address include:</p> <ul style="list-style-type: none"> <li>• A Task and Finish group to look at this set up to monitor performance against contract with Home Care providers has been set up</li> <li>• Contract/Performance review all current providers</li> <li>• Support a recruitment drive for Male and Bi Lingual workers</li> <li>• Meet providers at monthly forum</li> <li>• Review current Framework</li> </ul>	<p>Simon Galczynski</p>	<p>Gareth Wall</p>	<p>Ongoing</p>	<p>Jan 2019 - New control added. A task and finish group has been running for 6 months and the Quality Assurance team in Adult Services Commissioning have interviewed all providers, leading to better monitoring of refused packages with greater escalation back to providers.</p>

Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
<p><b>CACH AS 007 - The needs of Vulnerable Young People moving from CYPS to Adults Services are not appropriately identified and planned for. (Financial, poor service user experience and outcomes and reputational risks)</b></p>	<p>The current transition process and poor planning could lead to budgetary pressures which have not been planned for and to an insufficient staff resources to support these young people as well as a potential lack of appropriate provision to meeting their needs.</p> <p>In addition policy decisions around education spend in Hackney Learning Trust may lead to increased spend in Adult Services if a new day opportunities offer is not developed to meet the need left by</p>	<p>Children, Adults &amp; Community Health</p>		<p><b>Review and updated January 2019</b></p> <p><b>Risk has reduced slightly</b></p> <p>In 2018/19 there has been continued joined up working across Adults, Children's and Education to embed the transitions pathway and the launch of the new ILDS service with a specific</p>

	reduced education funding.			Transitions team and Transitions team manager will ensure that there is dedicated Adult Services resource to effectively plan.
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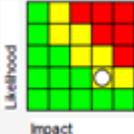
Control Title	Control Description	Responsible Officer	Service Manager	Due Date	Control - Latest Note
<b>CACH AS 007a</b> The Transitions Steering Group and sub-groups are providing ongoing governance to oversee and plan for effective transitions	Governance arrangements around transitions including decision making around funding arrangements and TORs have been finalised between key stakeholders and is in operation. The Steering Group is chaired by Anne Canning, Group Director for CACH  The purpose of these groups is to bring together education, children's social care, adult social care and health in order to effectively plan joined up and coordinated transitions for young people.	Simon Galczynski, Sarah Wright and Annie Gammon	Ann McGale and Gareth Wall	Ongoing	Jan 2019 - Since last year these groups are now operational and meeting regularly.
<b>CACH AS 007b</b> Whole systems working – Integrated Commissioning	The Planned Care Workstream is 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	Tessa Cole	March 2019	Jan 2019 - Throughout 2018/19 the redesign of ILDS has provided monthly progress updates to the Planned Care Core Leadership Group to ensure accountability on delivery of key milestones. This will continue in 2019/20.
<b>CACH AS 007c</b> Establishment of a Transitions Dashboard	To help with better planning a Transitions Dashboard will be established in 19/20 which will pull data from Education and Children's and Young People's Services and Adult Services. Providing further intelligence to effectively plan for and manage transitions across the directorate.	Simon Galczynski, Sarah Wright and Annie Gammon	Ann McGale	November 2019	Jan 2019 - New control
<b>CACH AS 007d</b> Delivery of a day opportunities project	Adult Services Commissioning will be initiating a project in 2019/20 which will look at building up day opportunities provision for young people transitioning to Adult Services that meets their needs and is cost effective.	Simon Galczynski	Gareth Wall	March 2020	Jan 2019 - New control

Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
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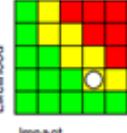
<b>CACH AS 008 - Loss of confidential / personal information – (negative impact on service users confidence and the families and carers, reputational risk, financial risk through financial penalties</b>	Adult Services holds a great deal of sensitive information, which relates to vulnerable adults supported 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><b>Review and updated January 2019</b></p>  <p><b>This risk has stayed the same.</b></p> <p>In light of the introduction of the General Data Protection Regulations there have been a number of corporate initiatives in the last year to raise awareness about the importance of handling personal data in the right way. This has included mandatory online training for all staff on how to handle and look after personal data and communications to all staff on how to avoid data breaches and what to do if there is a data breach. However, given the volume of sensitive data handled and processed by Adult Services on a daily basis the risk score remains the same.</p>
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Control Title	Control Description	Responsible Officer	Service Manager	Due Date	Control - Latest Note
<b>CACH AS 008a</b> Clear guidance and procedures are in place to ensure that staff are clear and understand their responsibilities in relation to handling and managing confidential and personal information in accordance with the law	Staff have access to clear procedures and guidance in relation to managing personal and sensitive information, as well as reporting any breaches. Training is provided to staff to ensure that their knowledge remains current and their awareness is regularly raised.  All breaches are recorded and monitored and actions identified through the regular Caldicott Guardian meetings in order that any learning can be captured and fed into improvements.	Simon Galczynski	Adult Services Heads of Service	on-going	Jan 2019 - this is an ongoing control.
<b>CACH AS 008b</b> Continued communications with staff about preventing data breaches	Within the Business Hub team in Adult Services, there is a dedicated Business Services and Information Governance Officer who will be ensuring there is regular communication with the staff in the department to raise awareness on how to prevent data breaches. This will also have information on what to do if there is a data breach in order to minimise the impact and to share lessons learnt from previous breaches to help prevent them from happening again.	Simon Galczynski	Tessa Cole	on-going	Jan 2019 - New control added
<b>CACH AS 008c</b> Programme of audits and checks across Adult Services	In 2019/2020 the Business Services and Information Governance officer will be working alongside the corporate information governance team. This is to carry out a series of audits and checks across Adult Services in order to review how different services and teams are storing, processing and disposing of data. The officer will also be logging the types of information they store and handle to ensure greater governance and oversight of personal data.	Simon Galczynski	Tessa Cole	on-going	Jan 2019 - New control added

Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
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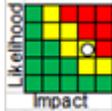
<b>CACH AS 009 – The risk of Judicial Review or Legal Challenge</b>	Due to the nature of the work of Adult Services there is always a risk that decisions in relation to funding or not of care packages or other decisions may lead to a Judicial Review or Legal Challenge.	Children, Adults & Community Health		<b>Reviewed and updated in January 2019.</b>
				
				<b>This risk has stayed the same.</b>

Control Title	Control Description	Responsible Officer	Service Manager	Due Date	Control - Latest Note
<b>CACH AS 009a</b> 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	January 2019 - This control remains the same.

Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
<b>CACH AS 010 – 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>The implementation of the operating model for ILDS leads to a poor service for service users as the new way of working is embedded.</p> <p>In 2018/19 the implementation of a new integrated operating model and pathways for ILDS has been done collaboratively with staff and users and carers. However, the service is still working towards a permanent and stable</p>	Children, Adults & Community Health		<p><b>Reviewed and updated in January 2019.</b></p> <p style="text-align: center;">  </p> <p><b>This risk has reduced slightly.</b></p>

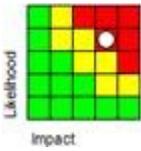
	workforce which impacts on service delivery.			In 2018/9 a new permanent Head of Service for the Integrated Learning Disability Service was recruited to which has led to greater stability within the service and the new model for ILDS which should lead to greater outcomes for users continues to be implemented.
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Control Title	Control Description	Responsible Officer	Service Manager	Due Date	Control - Latest Note
<b>CACH AS 010a</b> Implementation of the recommendations of the ILDS review	The recommendations of the ILDS review that was completed in 2017/18 continue to be implemented by a dedicated project manager overseen by robust project governance.	Simon Galczynski	Ann McGale/Penny Heron/Tessa Cole	Ongoing	January 2019 - The new operating model for ILDS will be implemented incrementally, in order to manage associated risks, from January 2019.  The operational work needs to be supported by key initiatives in commissioning to support the development of the market of providers for people with learning disabilities.
<b>CACH AS 010b</b> 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	Ann McGale/Penny Heron/Tessa Cole	Ongoing	Jan 2019 - Throughout 2018/19 the redesign of ILDS has provided monthly progress updates to the Planned Care Core Leadership Group to ensure accountability on delivery of key milestones. This will continue in 2019/20.

Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
<b>NEW RISK</b> <b>CACH AS 011 - The council's in-house registered social care provision receives another poor Care Quality Commissioning (CQC) Inspection leading to enforcement action and possible loss of registration (continuity of service user care, reputational risk to council)</b>	In November - December 2018 the Council's in-house Housing with Care service that provides care and support to over 250 people living in supported living schemes in the borough was inspected by the CQC and subsequently received an 'inadequate' rating, which is the lowest rating within CQC's regulatory system.  The council have an initial deadline of 8th March to deliver a number of improvements to	Children, Adults and Community Health		<b>New risk added in January 2019.</b>  The CQC inspectors noted that the service provided good and compassionate care in many instances. However, some of the organisational and administrative practices needed to ensure a good quality of care delivery were not in place, and this represents a significant risk.  Following the completion of the inspection a feedback session

	<p>service delivery to ensure no enforcement action is taken. It is then expected a further CQC inspection will be completed at some point in 2019 to review progress.</p> <p>There is a risk that if the CQC do not see sufficient progress and improvements at the next inspection in 2019 that enforcement action is taken potentially leading to a loss of registration.</p>			<p>took place on 19th December 2018, followed by the draft report being sent by the CQC. At the feedback session the inspectors said that despite the seriousness of the concerns they had confidence in the willingness and the ability of the management team for Housing with Care to make the required changes on time and that the CQC inspectors had noted that the service provided good and compassionate care in many instances.</p>
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Control Title	Control Description	Responsible Group Director / Officer	Service Manager	Due Date	Control - Latest Note
<p><b>CACH AS 011a</b> Implementation of a robust improvement plan supported with additional capacity and expertise</p>	<p>A detailed and thorough improvement plan is currently being implemented</p> <p>Additional resource has also been allocated to overseeing and delivering the action plan, including dedicated project management resource from the department's programme management office; additional operational capacity within the HwC service; and additional quality assurance support in commissioning.</p> <p>A working group to deliver the actions is in place, bringing together expertise and support from different teams, including Quality Assurance, Safeguarding, Provided Services, the Programme Management Office and Communications.</p>	Simon Galczynski	Ilona Sarulakis	<p>1st milestone - 8th March 2019 -</p> <p>2nd milestone - the next CQC inspection estimated June 2019</p>	<p>New control - once the initial deadline of 8th march has been reached the improvement plan will be reviewed and added to.</p>
<p><b>CACH AS 011b</b> Implementation of the Council's Provider Concerns procedure</p>	<p>As is the process with all providers, the findings of the inspection has also initiated the start of the Council Provider Concerns process which is led by the Head of Commissioning for Adult Services and has previously been successful in supporting external providers to make significant improvements to quality, for example, Supreme Care in 2018.</p> <p>This means the quality assurance team oversees progress against the CQC recommendations; oversees the implementation of any service improvements; ensures these improvements are embedded and carries out announced and unannounced service reviews to the individual schemes.</p>	Simon Galczynski	Gareth Wall	March 2020	<p>New control - the Quality Assurance team will continue to meet with Housing with Care on a regular basis throughout 19/20 to ensure improvements are embedded.</p>

Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
<b>SRCR 0032 Integrated Commissioning INTERNAL RISK CURRENT RISK</b>	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.	Children, Adults and Community Health		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.

Control Title	Control Description	Responsible Group Director / Officer	Service Manager	Due Date	Control - Latest Note
SRCR 0030a The ICB	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.	Anne Canning		Ongoing	Regular meetings (with accompanying minutes) of the ICB should provide assurance of effective communication between the organisations. The most recent meeting was on 17 January , and <a href="#">full minutes and records</a> are kept for all meetings.
SRCR 0030b Section 75	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.	Anne Canning		Ongoing	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.
SRCR 0030c Ensuring effective governance.	Ensure all arrangements and structures are properly organised and that the governance is sound.	Anne Canning		Ongoing	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.  A further governance review was undertaken by PWC in 2018 with resulting recommendations to streamline some existing processes. These changes will be implemented during 2019.

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