

## Risk Register



## Children and Families Risks



Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
CYP DR 0809 0005 Service demands exceed available resources	The directorate needs to manage demand within a climate of reducing resources. 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.	Children & Young People's Services		<p>The number of looked after children has consistently increased over recent years, and the profile of looked after children has also 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.</p> <p>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. Hackney is now caring for a greater number of UASC than ever before.</p>

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					<p>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 and more effective identification of young people at risk of exploitation and serious violence.</p> <p>There has also been an increase in the number of care proceedings issued over the last year.</p> <p>The legislative changes that provide care leaver support to age 25 (from April 2018) came with insufficient additional funding from Government.</p> <p>Recruitment to additional social worker roles to better manage demand is taking place. There are plans in place for managers within the Service and Finance colleagues to review the allocation of resources within the Service, including reviewing caseloads which will include exploring practice in other London Boroughs.</p>
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Control Title	Control Description	Responsible Officer	Service Manager	Due Date	Control - Latest Note
CHDR 0809 0005 A Clearly defined protocols for referral to services.	Written protocol for referral to services agreed with all partner agencies. Review of FAST to further strengthen multi-agency decision-making and effective hand-off to early help services	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 July 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 November 2019.

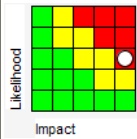

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<p>CHDR 0809 0005 B Children's social care services assess risk to differentiate and prioritise need and refer appropriately</p>	<p>All referrals to Children's Social Care need to be appropriately assessed to ensure that the child and their family receive the most appropriate service.</p>	<p>Anne Canning</p>	<p>Sarah Wright</p>	<p>Ongoing</p>	<p>Update Feb 2020- 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. The service is reviewing early help pathways to ensure these are effective and aligned with other services in the borough. Early Help Services were re-evaluated positively by Ofsted in the ILACS inspection in November 2019, but the proportion of cases proceeding for a Children's Social Care assessment is relatively high compared to other London Boroughs.</p> <p>Following Hackney's ILACs inspection in November 2019, the experiences and progress of children who need help and protection were found to "require improvement". The actions to address these concerns will be included in the post-inspection improvement plan, due to be submitted to Ofsted at the end of March 2020, with strong governance and oversight by the Mayor, councillors and senior leaders.</p> <p>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.</p>
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<p>CYP DR 1011 005P Identify contingency funding</p>	<p>Additional funding to be identified to ensure Directorate can respond quickly to increased demand for services</p>	<p>Anne Canning</p>	<p>Jackie Moylan/ Sarah Wright</p>	<p>Ongoing</p>	<p>Budget pressures in relation to looked after children placements remain despite further allocation of growth in 2019/20 for LAC placement costs. 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).</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.</p> <p>The Fostering Service launched the first hub home for the Mockingbird Model family project in August 2019, and will launch a second hub in 2020. This Model provides a network of support to carers and the children they look after to promote resilience in placements.</p> <p>The Fostering Service is also a partner in the North East London Residential Commissioning Group – looking to improve the quality and reduce the cost of residential placements to meet young people’s needs. Hackney is part of a group of local authorities in North East London, with Havering Council as the lead borough, working on a project to develop a sub-regional approach to commissioning children’s homes.</p> <p>Actions are also being taken to ensure our leaving care cohort are placed in appropriate and cost-effective settings, through, for example, recommissioning of the Young People’s Housing Pathway.</p> <p>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; growth was agreed for 2019/20 to part cover these costs.</p> <p>The team has made effective use of both Home Office and legal advice through an independent provider to assist families to achieve settled status in a timely way, reducing the burden on public funding.</p>
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					In addition to increases to the LAC budgets referred to above, each year the Finance Team works with the Service to identify significant financial risk and seek agreement from the Group Director of Finance and Resources to access reserve funding should risks materialise. In 2019/20 demands in both LAC numbers and activity across the Service led to these reserves being fully utilised and an overspend is forecast in the service. For the coming year these increased demands will be mitigated in part by the social care funding announced by the Chancellor, however, it is still anticipated that access to reserve funding will be required albeit at a lower level than for 2019/20.
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 2019/20 and have mitigating actions for those that remain.
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 to take appropriate safeguarding and risk management measures.	Children & Young People's Services		 Update November 2016 (confirmed Feb 2019 and February 2020)- This remains a high risk, and controls are in place to manage this.	

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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>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. The new arrangements for the City &amp; Hackney Safeguarding Children Partnership (CHSCP) were put in place before the deadline.</p> <p>A range of measures have been put in place to ensure the CHSCP is operating as an effective multi-agency forum. Independent chairing is in place, defined governance arrangements, regular attendance from partners at Executive and relevant sub / working groups and Hackney-specific self-assessment. CHSCP also maintains a risk register covering all key statutory requirements; these actions and progress are regularly reviewed through the CHSCP Executive and full CHSCP. The November 2019 Ofsted inspection found that "joint work across the partnership has not, however, consistently translated into operational improvement" - this will be addressed as part of the post-inspection action plan.</p>
CYP 0910 006 D Ensure staff have the necessary skills to ensure risk and need are properly assessed	The Directorate as a whole understands areas of high risk and works together to mitigate risk in relation to individual children by joint training and development and joint monitoring of practices across the services.	Anne Canning	Sarah Wright	Ongoing	Ofsted inspectors noted in November 2019 that while there are good opportunities for staff training, the experiences and progress of children who need help and protection required improvement, with some specific actions being highlighted. The actions to address these concerns will be included in the post-inspection improvement plan, due to be submitted to Ofsted at the end of March 2020, with strong governance and oversight by the Mayor, councillors and senior leaders

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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 and Feb 2020) - 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 and Feb 2020) - 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.



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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	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.	Children & Young People's Services		<p>Hackney, like many local authorities, has a number of individuals living within its boundaries who are subject to immigration controls as defined by the Immigration &amp; Asylum Act 1999. Such individuals are excluded from access to welfare benefits, public housing and Home Office asylum support and are collectively known as having No Recourse to Public Funds (NRPF). This group includes individuals who have overstayed their visa entitlement in the UK, and those who have leave to remain without recourse including EU Nationals. Hackney's approach is effective in protecting resources and avoiding costs. The impact of the U.K. leaving the EU on families who have NRPF is not yet clear. (Reviewed at Feb 2020)</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 families with no recourse to public funds. The No	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</p>

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	<p>Recourse to Public Funds Team was formed in 2012 as a pilot service but has now been embedded alongside the Access &amp; Assessment Service in Children’s Social Care.</p>				<p>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. Ofsted inspectors found in November 2019 that NRPf team provide “ an effective holistic social work service”. Support is provided to families to resolve their status as quickly as possible through work with Praxis and the Home Office.</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</p>	<p>Anne Canning</p>	<p>Sarah Wright</p>	<p>Ongoing</p>	<p>The rota is managed by L.B. Croydon and monitored by the London ADs Group. The National Transfer Protocol set the maximum UASC population of each local authority at 0.08% of their child population. The number of UASC in Hackney has increased steadily, with 48 UASC as at December 2019. This means that Hackney have reached their maximum number of UASC and are therefore unable to accept additional UASC from the rota.</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 Migration Fund. (Reviewed at February 2020)</p>

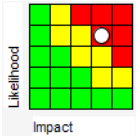

	0.07% of their child population, after which they will be able refer young people to the NTS				
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## Hackney Learning Trust Risks

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 2020:</b> The Risk Review Group notes the progress that has been made in developing Andrew's Road as an alternative to Rigg Approach. The Council Project Group's timeline for transferring the SEND Transport Fleet to Andrew's Road in August 2020 is noted. Ensuring there is no disruption of services to children and young people at the beginning of the new school year is essential.</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)	<b>January 2020:</b> The three-month rolling lease is still in operation, lessening the risk of eviction.
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 established.	Andrew Lee (AD Education Services)	<b>January 2020:</b> The former car pound at Andrew's Road has been identified as the agreed revised location for the depot. The Council's Project group, managed by Strategic Property Services, has approved a project plan which identifies 1 September 2020 as a worst case scenario for relocation. A transfer to Andrew's Road in August is more likely.

Risk Title	Description of Risk	Current Risk Matrix	Risk - Latest Note
<p>LT EDS 1415 0004 –The statutory requirements of the SEND aspects of the Children &amp; Families Act are not met.</p>	<p>The Children &amp; Families Act places a statutory requirement to implement Education Health &amp; 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> <p>In addition to the impact on vulnerable children and young people, any failure to meet their statutory responsibilities would result in significant reputational damage to HLT and LBH, leaving them open to challenge through SEND tribunals, the Local Government Ombudsman and possible Judicial Review.</p>		<div style="text-align: center;">  </div> <p><b>January 2020:</b> The Risk Review Group notes the substantial recruiting programme for SEND Services. These will make a positive impact on meeting statutory requirements.</p> <p>Also noted, the upcoming management changes to the senior leadership of Pupil Services presents a risk to the continuity and effectiveness of the service.</p>

Control Title	Control Description	Service Manager	Control - Latest Note
<p>LT 1920 Risk 01 – Robust monitoring and challenge of arrangements in place with regular reporting process via SLT</p>	<p>Head of Service is responsible for implementing a comprehensive programme to ensure all statutory responsibilities are fully understood and met, including meeting the statutory 20 week deadline for completing an Education &amp; Health Care Plan (EHCP). In order to achieve this the following will be undertaken:</p> <ul style="list-style-type: none"> <li>• Develop robust quality assurance of case management with external moderation;</li> <li>• Implement action plan based on self-evaluation/annual report and points</li> </ul>	<p>Francesca Cannarella</p>	<p><b>January 2020</b> – Recruitment is underway which will increase capacity within the SEND teams. This will help HLT meet the statutory 20-week deadline and improve the quality assurance of case management.</p> <p>A new SEND Development Plan is being developed with objectives being refined.</p>

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

Document Name: 2016/11/04CYPsriskregister

	<ul style="list-style-type: none"> <li>identified in SEND inspection;</li> <li>Develop viable business case to increase capacity of Education Psychology team;</li> <li>Review SEND staffing levels to ensure sufficient capacity in face of increased demand</li> <li>Improve the quality and timeliness of advice from partner agencies; and</li> <li>Ensuring robust Post-16 Commissioning</li> </ul>		

Risk Title	Description of Risk	Current Risk Matrix	Risk - Latest Note
LT EDS 1617 01 CYPS: SEND funding – Escalating SEND spend has an adverse impact on HLT and Council budgets.	The number of pupils eligible for SEN statements continues to increase at a significant rate exceeding the population growth in the Borough, the effect of which is to place the SEND budget in deficit.		<p style="text-align: center;"></p> <p>January 2020: The Risk Review Group recommends maintaining the risk rating at the highest possible level. The SEND Budget pressures are being offset by savings in other areas of HLT and some additional funding.</p> <p>A Co-Design Group, initiated by elected members, has formulated recommendations around incremental funding. These proposals require testing and further detailed refinement. Any funding change of this magnitude should be carefully implemented and managed, with effective governance arrangements in place to ensure transparency and accountability.</p>

Control Title	Control Description	Service Manager	Control - Latest Note
LT 1617 02 Ongoing work to develop plans/strategies to control/manage SEND spending.	SLT has approved a cost management plan to address the pressures placed on the SEND budget by increasing numbers of children and young people being eligible for SEN statements.	Andrew Lee	<b>January 2020:</b> The cost management plan remains in place and is due for scrutiny at the CACH Budget Board in February 2020 (note this has been now been rescheduled). The Co-Design Group has proposed recommendations that require

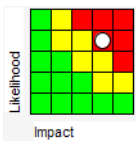
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	The cost management plan is regularly reviewed by STAG.		further, detailed assessment as to their viability and sustainability over the medium to long term.
LT 1617 06 - Forecasting of financial impact of SEND budget pressures.	Rapid, significant short term reductions in SEND costs and outlays will be difficult to achieve. Ensuring that the policy changes in the action plan result in medium term cost savings that relieve the pressures on the SEND budget, whilst ensuring the operational effectiveness of HLT is not detrimentally affected by the overspend, is imperative.	Yusuf Erol	<b>January 2020:</b> No changes to report. There continues to be 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 has not resulted 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	<b>January 2020:</b> SEND managers have attended primary and secondary heads meetings to explain basis of inclusion concept, expectations of schools and how the legal framework operates in relation to them.
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	<b>January 2020:</b> A monthly dashboard monitoring the total number of EHC Plans and new requests is reviewed regularly. There has been a steady increase in requests – which is reported nationally, mainly as part of legal cases which err on the side of the young person where there are possible needs.
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	<b>January 2020:</b> The SEND Partnership Board has developed 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.

Risk Title	Description of Risk	Current Risk Matrix	Risk - Latest Note
LT EDS 1920 0001 – Insufficient provision to meet growing demand for SEND services.	Lack of resources to meet the growing demand for SEND support services means that HLT is unable to meet its statutory responsibilities under the Children & Families Act.		<p style="text-align: center;"><b><u>New Risk</u></b></p> <p><b>January 2020</b> – We recommend the risk rating remains unchanged. There is evidence that referrals have increased dramatically which will risk our ability to reach statutory requirements.</p>

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Control Title	Control Description	Service Manager	Control - Latest Note
LT 1920 Risk 02:Implementation of a SEND Provision Plan	An HLT SEND provision plan is developed and implemented to address rising demand for SEND services. This will be monitored and updated on an annual basis.	Andrew Lee Emma Claridge	<b>January 2020:</b> The SEND Needs Analysis Paper (SNAP) has been circulated for sense checking with a restricted circulation. Response are due 21 Feb when the paper will be reviewed, amended and subsequently published. It will be reported to CACHSMT on 28 February 2020.

### Hackney Schools Risks

Risk Title	Description of Risk	Current Risk Matrix	Risk - Latest Note
LTSCH 1617 001 CYPS: Serious Safeguarding failure in regard to pupils not in school	<p>Safeguarding considerations for those pupils who are not registered at a school – Electively Home Educated pupils, children missing from education, children attending unregistered settings, children who are yet to be allocated a school place etc is increasing in importance.</p> <p>This is the particular focus for current Local Authority Safeguarding Inspection frameworks, and there is an expectation that HLT must work to ensure the safety and wellbeing of all such pupils, challenging existing legislative frameworks and guidance where necessary to do so, and working with partners to ensure effective and robust identification, tracking, consultation and referral.</p>		<p>January 2020 – HLT and LBH have limited powers to intervene in schools’ safeguarding practices. The risk controls reflect the fact that HLT has responsibility, but little authority. Risk Review Group recommends maintaining current risk.</p>

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<p>LT 1617 Risk 03: Ongoing dialogue between HLT, DfE and Ofsted around necessary legislation to ensure safeguarding duties can be effectively carried out.</p>	<p>Currently, the roles and responsibilities of LAs, DfE and Ofsted are not clearly defined with regard to safeguarding duties.</p>	<p>Andrew Lee</p>	<p><b>January 2020:</b> The urgent need for clear legislation was emphasised at the Children &amp; Young People’s Scrutiny Commission meeting in January 2020 HLT has produced and circulated a flow chart to clarify HLT’s role with partners as to the actions following child not in school in order to pilot attendance orders.</p>
<p>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.</p>	<p>In the absence of clearly defined statutory responsibility and given the numbers of CYP in such settings, the LA is seeking to raise awareness of safeguarding with all community groups through regular dialogue.</p>	<p>Andrew Lee</p>	<p><b>January 2020:</b> The working group that has been overseeing the response to CYP Scrutiny Commission is to be reconvened as an unregistered settings oversight group and will expand its membership to all statutory partners e.g., Met police LFB and others.</p>

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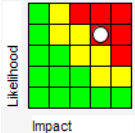

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LTSCCH 1415 0007 CYPS: Risks posed by unregistered schools and settings	Unregistered centres are neither known to, nor inspected by Ofsted, raising potential issues relating to the wellbeing and safeguarding of children and young people in the borough. 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.		 <p><b>January 2020-</b> HLT and LBH have limited powers to intervene in schools' safeguarding practices. The risk controls reflect the fact that HLT has responsibility, but little authority.</p> <p>Risk Review Group recommends maintaining current risk rating.</p>

Control Title	Control Description	Service Manager	Control - Latest Note
LT 1415 Risk 18: Co-ordinating multi-agency responses, HLT escalates any issues relating to the safeguarding of children or young people attending unregistered schools or settings.	HLT are aware of unregistered schools and settings within the borough, we escalating to the appropriate authorities Children and Social Care 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.	Andrew Lee	<p><b>January 2020:</b> HLT will continue make partner agencies aware of potentially serious concerns and support the Council and CHSCB in advocating for changes in the legal framework.</p> <p>HLT is currently drafting a paper to outline a recommended borough-wide approach to responding to alerts about settings.</p>
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 and through the Out of School setting	Andrew Lee	<p><b>January 2020:</b> The OOSS is working with Interlink who have identified a worker who will have dedicated responsibility to promote safeguarding arrangements and practices in the OOSS/Yeshivot</p>

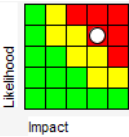

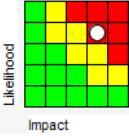

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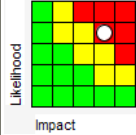

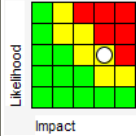

Risk Title	Description of Risk	Current Risk Matrix	Risk - Latest Note
<p>LT SCH 1112 0008 CYPS Performance and/or quality of provision in nursery and primary schools or settings declines, stagnates or fails and goes into special measures</p>	<p>The overall effectiveness of schools or settings, or the:</p> <p>a. proportion of pupils attending good or better schools) reduces, leading the Trust to engage with Ofsted to challenge schools under the Good to great policy.</p> <p>b. Achievement in schools or settings fails to improve, leading to gaps not being narrowed from year to year at borough level and/or relevant to other LAs.</p> <p>c. The overall quality of provision in schools or settings fails to improve, leading to plateau and coasting year to year at borough level.</p>		<p style="text-align: center;"></p> <p><b>January 2020:</b> Risk Review Group recommends no change to the risk rating</p> <p>Risk Review Group notes that Ofsted inspection grades for primary and nursery schools in Hackney in January 2020 are as follows:</p> <ul style="list-style-type: none"> <li>• Outstanding – 28 schools (37.8%)</li> <li>• Good – 40 schools (54.1%)</li> <li>• Requires improvement – 4 schools (5.4%)</li> <li>• Inadequate – 2 schools (2.7%)</li> </ul> <p>The current breakdown of overall effectiveness grades for those Hackney schools that have been inspected by Ofsted show 92% of nursery &amp; Primary pupils attend an outstanding or good school.</p>
<p>LT SCH 1112 0009 CYPS Performance and/or quality of provision in secondary schools or settings declines, stagnates or fails and goes into special measures</p>	<p>d. From September 2012, poor performing schools will be subject to more regular inspections. Schools given a grade of 3 (currently "satisfactory", becomes "requires improvement") will receive two opportunities to remove themselves from the category before being placed in special measures.</p>		<p style="text-align: center;"></p> <p><b>January 2020 -</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 January 2020 are as follows:</p> <p>Outstanding – 3 schools (21%)          Good – 9 schools (64%)          Satisfactory/Requires Improvement – 0 schools (0%)          Inadequate – 2 schools (14%)</p> <p>The current breakdown of overall effectiveness grades for those Hackney schools that have been inspected by Ofsted show 94% of Secondary pupils attend an outstanding or good school.</p>

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<p>LT SCH 1415 0001 CYPS Performance and/or quality of provision in special schools or settings declines, stagnates or fails and goes into special measures</p>			<p style="text-align: center;"></p> <p><b>January 2020</b> – Risk Review Group recommends no change to the risk rating.  Risk Review Group notes that Ofsted inspection grades for special schools in Hackney are as follows:  Outstanding – 2 schools (67%)  Good – 1 schools (33%)  Satisfactory/Requires Improvement – 0 school (0%)  Inadequate – 0 schools (0%)</p> <p>The current breakdown of overall effectiveness grades for those Hackney schools that have been inspected by Ofsted show 100% of Special pupils attend an outstanding or good school.</p>
<p>LT SCH 1415 0002 CYPS Performance and/or quality of provision in Pupil Referral Unit declines, stagnates or fails and goes into special measures</p>	<p>PRUs are now self-governing, which may mean that inspection / greater scrutiny is imminent, which could lead to negative inspection outcomes</p>		<p style="text-align: center;"></p> <p><b>January 2020</b> – NRC is Ofsted rated 'good'</p>

Control Title	Control Description	Service Manager	Control - Latest Note
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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.	Jason Marantz- Primary Anton Francic - Secondary	<b>January 2020:</b> No change. 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.	Stephen Hall	<b>January 2020:</b> No change. Policy will be reviewed again in Summer 2020. The Heat Map will be used from April 2020 to ensure more robust and better informed risk assessment.
LT 1112 Risk 14 Pupil support	Pupil outcomes/underachieving pupils will be an aspect of the package of support provided.	Stephen Hall	<b>January 2020:</b> No change. Under Performing Groups funding is secured for 20/21 and a new strategy has been launched. Increased WAMHS funding has been secured and impacting on a greater number of schools from April 2020
LT 1112 Risk 15 Increased CPD and capacity	Seek to increase levels of professional development and capacity in schools.	Stephen Hall	<b>January 2020:</b> A three-year professional development strategy has been drafted, pending full implementation. The Leadership & Management Training Programme is being reviewed for launch in September 2020, incorporating a broader offer.

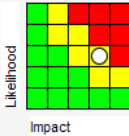

Risk Title	Description of Risk	Current Risk Matrix	Risk - Latest Note
LT SCH 1112 0011 CYPs Surplus school places (Primary)	Surplus primary school places result in financial pressure on schools and threatens their long-term viability.		<p><b>January 2020-</b> The nature of the risk around primary school places has changed, going from a position of insufficient school places to a surplus of school places. This poses significant risks to schools' financial viability. Projections for primary school places indicate an increasing</p>

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			and potentially substantial surplus, which carries with it significant financial risks.  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.
LT SCH 1112 0012 CYPs Insufficient school places (Secondary)	Inability to meet demand for secondary school places if primary school rolls unexpectedly increase.		 <b>January 2020-</b> This risk will be kept under review and may be lowered in the light of further changes to demand. In the meantime, the risk review group recommends maintaining current risk rating.

Control Title	Control Description	Service Manager	Control - Latest Note
LT 1112 Risk 23 Revise forecast of pupil demand	Regular review of population data allows oversight and summary of changes to the potential pupil cohort and ultimately potential demand for places.	Marian Lavelle	<b>January 2020:</b> The current forecasts are based on the January 2019 school rolls. These provided data based on live births, housing developments, Olympic legacy area information, number of applications etc.
LT 1112 Risk 24 Clarify pupil demand projections	Pupil demand projections set out the numbers of pupil places required and available in the borough. Regular reporting to SLT to assure them risks have been identified and mitigating controls are working effectively	Marian Lavelle	<b>January 2020:</b> Primary For the 2019/20 academic year, there are 3035 reception places based on published admission numbers. The October 2019 census shows 2593 reception pupils on roll (442 surplus reception places- 15% not taking into account temporary caps). This represents an increase of 31reception pupils when compared to the January census (2562).  Surplus reception places/ falling rolls, are monitored by the School Place Planning (SPP) Group. To reduce the level of reception surplus places the following schools permanently reduced their PANs from September 2019: <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>

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			<p>Further temporary PAN reductions have been agreed at the following schools in 2019/20 and for 2020/21 (Permanent PAN in brackets):</p> <ul style="list-style-type: none"> <li>• Gainsborough capped at 30 (60)</li> <li>• Mandeville capped at 45 (60)</li> <li>• Princess May capped at 30 (60)</li> <li>• Thomas Fairchild capped at 30 (60)</li> </ul> <p>The latest GLA projections using the January 2019 school rolls, projected 2635 reception pupils on roll in September 2019. The actual number on roll October 2019 was 2593 - 42 fewer than projected.</p> <p><b>Secondary</b></p> <p>Secondary projections (based on the October 2019 school census data), demonstrate falling roles coming through the system, hence the postponement of the planned second new secondary school. Projections are outlined fully in the School Organisation Plan and monitored by the School Place Planning Group. Although a shortfall of places (-39, -34 and -5) is projected in 2021, 2022 and 2023 respectively, this shortfall will be mitigated by a bulge class in 2020 at Haggerston and 'assumed' Year 7 over allocations in future years. Over allocation is an informal arrangement which provides a safeguard for schools ensuring that as pupils leave, or do not start, the final number on October census day or shortly afterwards is in line with the PAN. However, HLT cannot rely on or guarantee that schools will always choose to over allocate Year 7 places in the future. From a school place planning perspective, mitigating the risk of a Year 7 deficit in future years is crucial. The permanent expansion of The Urswick School planned from 2021 contributes to ensuring that HLT continues to mitigate this risk and carry out its statutory duty.</p>
<p>LT 1112 Risk 25 Regular monitoring of reception applications</p>	<p>Primary applications are volatile in nature. Regular monitoring of numbers of applications received compared to numbers expected allows Admissions Team to identify and respond to any perceived under submission.</p>	<p>Marian Lavelle</p>	<p><b>January 2020:</b> there are currently 3055 reception places available. The number of reception pupils on roll in October 2019 was 2593. As stated above, this represents an increase of 31 reception aged pupils on the previous census taken in January 2019. The GLA projections indicated that 2635 would be on roll in September 2019.</p> <p>A final reception allocation of 2687 was made for the September 2019/20 academic year.</p>



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			2562 reception pupils were on roll on census day in January 2019 2,633 reception pupils were on roll on census day in January 2018 2759 reception pupils were on roll on census day in January 2017 2807 reception pupils were on roll on census day in January 2016 2,845 reception pupils were on roll on census day in January 2015
LT 1213 Risk 39 Funding and sites secured	Funding and sites secured for any required new provision	Marian Lavelle; Michael Coleman	<b>January 2020:</b> The temporary site for the City of London Academy Shoreditch Park continues to operate well. Substantive works are underway on the permanent site, by Shoreditch Park, and are on programme to allow the school to move into its new permanent home in September 2021.

Risk Title	Description of Risk	Current Risk Matrix	Risk - Latest Note
LT SCH 1314 0001 High levels of pupil exclusion	<p>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). In addition to the financial and reputational risk to schools, there is also an increased risk of OFSTED focussing on Hackney schools for inspection.</p> <p>HLT cannot intervene in school decision making, but should seek to influence school policy and practice through existing and novel mechanisms, including SRAS secondary B&amp;A, fair access. Strategies for an effective approach to exclusions must draw on the expertise of partner agencies such as Young Hackney.</p>		 <p><b>January 2020:</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. In the meantime, the Risk Review Group recommends maintaining the current risk rating.</p>

Control Title	Control Description	Service Manager	Control - Latest Note
		Andrew Lee	<b>January 2020:</b> The Exclusion Board and Exec receive and interrogate regular data updates. The number of exclusions in secondary is increasing but primary

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<p>LT 1112 Risk 20 Monitoring &amp; sharing of exclusions, attendance and related data</p>	<p>Monitoring &amp; sharing of exclusions, attendance and related data between schools and at Behaviour and Attendance (B&amp;A) Partnerships to inform practice and develop strategies.</p> <p>Exclusions Executive Group monitors the exclusions strategy and regular reports based on Census Data and reports to the Exclusion Board.</p>		<p>remains low.</p>
<p>LT 1213 Risk 35 Alternative provision in place</p>	<p>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.</p>	<p>Andrew Lee</p>	<p><b>January 2020:</b> There are a number of concerns regarding the reach and detail involved in the currently QA arrangements. There are additional concerns about the number of students that NRC feel they are unable to accommodate. These issue have been shared with NRC and remain under discussion</p>
<p>LT1112 Risk 21 Use of Local Partnerships</p>	<p>The Behaviour Partnership provides a forum for challenge, strategic planning and consultation for all secondary schools &amp; academies and now primary schools. Partnership working with Young Hackney is encouraged to ensure a whole family approach to behaviour management.</p>	<p>Andrew Lee</p>	<p><b>October 2019:</b> The secondary behaviour and attendance partnership 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.</p>
<p>LT1516 Risk 07 - Development &amp; implementation of the No Need to Exclude initiative</p>	<p>HLT encourages engagement with schools and other partner agencies to ensure awareness and engagement with the implementation of the No Need to Exclude Initiative.</p>	<p>Andrew Lee</p>	<p><b>January 2020:</b> The exclusions strategy is currently being reviewed by the Exclusions Executive Board.</p> <p>The new Strategic Plan focusses on the following:- (i) Supporting governance – ensuring the governing bodies have information about groups vulnerable to exclusion; offering support and challenge; and strengthening IRPs</p> <p>(ii) Rebuilding the use of AP – looking at whether Schools are considering all options</p>

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			<p>(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</p> <p>(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></p> <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>The plan has been revised for 2019/20 but still has the same emphases on the points outlined above. The No Need to Exclude document is under review by the Exclusions Executive Board. A decision is pending awaiting whether to completely rewrite or rebrand.</p>
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Risk Title	Description of Risk	Current Risk Matrix	Risk - Latest Note
LTSCHE 1920 0001 Exclusion of SEND pupils	Disproportionate numbers of pupils with EHCPs are excluded from schools and settings. These are amongst the most vulnerable pupils in the Borough and places a strain on alternative provision.		<p style="text-align: center;"><b><u>New Risk</u></b></p> <p><b>January 2020:</b> The Risk Review Group recommends maintaining the risk rating of Likelihood 4, Impact 4 as this reflects the severity of the risk.</p>

Control Title	Control Description	Service Manager	Control - Latest Note
		Andrew Lee	January 2020: Settings frequently feel compelled to Permanently Exclude immediately after a serious incident rendering AR redundant. Where a trend towards exclusion is

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<p>LT 1920 Risk 03 Use of Annual /early reviews to pre-empt exclusions of pupils with EHCPs</p>	<p>Annual reviews are undertaken to evaluate the exclusions of pupils with EHCPs to:</p> <ul style="list-style-type: none"> <li>-Ensure alternative provision is provided, and</li> <li>-Remind schools of the exclusion process.</li> </ul>		<p>evident, ARs do take place but there is often a time-lag in securing a change in provision due to the statutory consultation period.</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 PH - Public Health Workforce	<p>failure to achieve effective staff capacity post restructure</p> <p><b>IMPACT</b> – reduced capacity to deliver existing public health programmes effectively the team has been unable to develop new ways of working to deliver on new areas of public health work insufficient capacity to develop effective stakeholder relationships, support health in all policies approach and deliver new public health strategy</p>	Children, Adults & Community Health		<p style="text-align: center;">↓</p> <p>Risk updated March 2020</p>

Control Title	Control Description	Responsible Officer	Service Manager	Due Date	Control - Latest Note
CACH PH-	<p>Recruitment and Team development Recruitment underway for the principal public health specialists, business manager, interim business support officer and senior commissioning officer -Firm plans to recruit deputy director, consultant, senior public health specialists and analyst -OD plan for team development</p>	Sandra Husbands	Joyce Powell	Sep 2020	added March 2020

Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
CACH PH 007 Sexual Health	<p>'failure to agree new baselines as part of the sexual health transformation programme'</p> <p><u>Impact</u> While the London Sexual Health e-service (SHL) was part of a cost efficiency drive no saving targets were stated. Part of the reason for this was because there was always a potential for activity to increase. As it stands, around 20% of SHL user had never attended a sexual health clinic</p> <p>1) uncontrolled increases in sexual health activity spend - Sexual Health providers, including Homerton, not receiving payment -negative working relationships with other London commissioners and sexual health providers</p> <p>2) Uneven access to services for residents across London.</p>	Children, Adults & Community Health		<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>

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>	Sandra Husbands	Andy Liggins	2020	Sub-regional service implementation complete and clinical leadership from strategic board continues at a pan-London level to monitor outcomes and delivery of savings.

Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
CACH PH 009 Budget	<p>Budget may not be managed effectively, may not align to Local Authority Public Health and Local priorities. There has been a further risk around the late announcement of the Public Health grant for 2020/21.</p> <p><b>Impact</b></p> <p>1) Spend not effectively controlled, creating overspends. 2) Failure to deliver a variance to be used in related local authority services.</p>	Children, Adults & Community Health		<p style="text-align: center;">↔</p> <p>Risk added in December 2016 and continues</p>

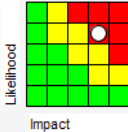

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CACH PR 009 Budget	<p>Quarterly reports produced for the management team on performance and spend for each contract across the service. Options for future budget reductions across Public Health continue to be considered pending potential reduction to the ring-fenced grant.</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 2022 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>	Sandra Husbands	Joyce Powell	Ongoing	Added March 2020



## 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 March 2020</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 how iBCF funding will be replaced and at what level for future years 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 annually since 2016/17 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 Board which meets 6 weekly to oversee progress. It will also report monthly to the directorate wide CACH 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 has begun implementing a significant transformation of frontline practice. This approach supports 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		<p><b>Reviewed and updated March 2020.</b></p> <p style="text-align: center;"></p> <p><b>This risk has increased.</b> There continues to be instability in the homecare market nationally. Over the last year the effect of this has become more visible locally with two of the 10 providers on the Council's framework for homecare exiting the contract due to economic reasons. We have the below controls in place to manage this risk, but cost models developed with ADASS London and NICE (including input from Hackney staff) indicate that no boroughs are currently meeting the true cost of homecare according to our own criteria (e.g. including London Living Wage and the Ethical Care Charter).</p>

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	<p>March 2020 - 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.</p> <p>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 joint the NHS' Any Qualified Provider framework to attract and manage a wider group of providers. We have also used the BCF process to fund a 'discharge to assess' model provided 'in-house' via Homerton but this is only for new packages of care.</p>
<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	Simon Galczynski	Gareth Wall	On-going	<p>March 2020 - A detailed uplift procedure 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, finance and procurement through a moderation and negotiation process.</p>

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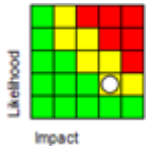


	London Living Wage. In addition, the Council has also agreed to award a 1% uplift in fees to Providers annually. And a similar process for negotiating additional uplifts is being adopted for 20/21 and commissioners are working with providers to understand their financial challenges.				A local narrative is being developed on how the (limited) national uplifts to Adult Social Care funding, and increases via the local Council Tax precept are used to support providers, as part of the negotiation process noted above. This narrative is being developed in order to manage the local market in line with our responsibilities under the Care Act 2014.
<b>CACH AS 002c</b> Effective and robust contract management and monitoring arrangements	With a fully staffed team, Adult Services Commissioners are able to more effectively manage and monitor providers on a clear, risk based approach. Monitoring focuses on both quality and the financial stability of providers, so any key issues or concerns can be identified in a timely manner and action taken to mitigate or manage any safeguarding, quality or financial risks.	Simon Galczynski	Gareth Wall	Ongoing	<p>March 2020 – All providers are regularly quality assured through our contract management arrangements. The Commissioning Team has refreshed the “Provider Concerns” protocol and introduced a pathway to address concerns. Staff have also established an information sharing forum with the CCH, City of London and Care Quality Commission to provide advanced intelligence of provider risk and formulate cross agency responses as required.</p> <p>The Quality Assurance and Contract Monitoring process is also now 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	Ongoing	<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 March 2020</b></p> <p><b>This risk has stayed the same.</b></p>

Control Title	Control Description	Responsible Officer	Service Manager	Due Date	Control - Latest Note
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<p><b>CACH AS 003a</b> - A risk based approach to waiting list management</p>	<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 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>	<p>Simon Galczynski</p>	<p>Ilona Sarulakis</p>	<p>Ongoing</p>	<p>March 2020 - 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. Furthermore, the introduction of a strengths based approach to social care, use of multidisciplinary team approaches across social care and occupational therapy, and the establishment of neighbourhood working are leading to improvements in lead-in times and waiting list management.</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>Children, Adults &amp; Community Health</p>		<p><b>Reviewed March 2020</b></p> <p><b>This risk has reduced.</b></p> <p>During 2019/20 as part of Adult Services' People Strategy there has been a continued focus on developing a competitive, phased recruitment strategy and workforce offer to attract people to work in Hackney on a permanent basis with a specific focus on social workers. 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</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>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>
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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 20/21 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	March 2020 - As summarised above in 2019/20 there was a specific focus on recruiting permanent frontline social workers, for which there was a successful first round of recruitment. Further recruitment drives are planned in Spring 2020 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 and LD specialists 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	<p>March 2020 - The establishment of a Hackney Adult Services Practice Academy 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.</p> <p>A focus for the future will also be improving the learning and development offer and tracking and monitoring systems for staff within Provided Services and developing an offer for Commissioning.</p>
<b>CACH AS 004c</b>	Adult Services will be implementing a new approach to practice throughout 2019 which empowers	Simon Galczynski	Principal Social Worker Marion Willicome-Lang	March 2020	The model has been rolled out across two units within the Information and Assessment Team, with positive

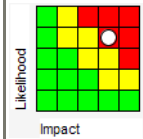

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Transformation of adult social work practice through the 3 conversations model	frontline workers and in which there is an evidence base from other areas that it increases staff satisfaction. This should support staff retention and attract people to come and work in Hackney.				outcomes. This is now being extended to two further units across both the existing team and the Long Term Care team, as part of ASC designing the local neighbourhood model for health and social care services.
<b>CACH AS 004d</b> Launch of the social work apprenticeship degree in 2019/20	The social work apprenticeship degree was being launched nationally in 2019/20. This supports 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	

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 7 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 2019/20 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 and Hackney Safeguarding Adults Board is in place and operating as an effective multi-agency forum.	The City & Hackney Safeguarding Adults Board's (CHSAB) role is to monitor safeguarding across all partner agencies, including the local authority and has regular meetings of the Board to ensure safeguarding across the partners is being managed effectively and that relevant intelligence is appropriately shared.	Simon Galczynski	John Binding	On-going
<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	Iona 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 fluctuated significantly for the majority of the year with no single cause being identifiable on a consistent basis. While the peaks have been addressed it demonstrates that our performance is not yet stable. And that there remain 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 March 2020</b></p> <p style="text-align: center;"></p> <p><b>This risk has increased</b></p>

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Control Title	Control Description	Responsible Officer	Service Manager	Due Date	Control - Latest Note
<b>CACH AS 006a</b> Whole systems working – Integrated Commissioning	<p>The proposed key strands underpinning Integration and wider Devolution, will ensure a stronger, more joined up approach to managing discharge from Hospital. This will provide the opportunity to review and jointly clearly articulate the choice available to service users and their families upon discharge from Hospital. This will continue to be taken forward as a key component of the Unplanned Workstream in 2020/21.</p> <p>In addition to that the Planned Care Workstream is looking at Housing as a 'big ticket' item and how health, social care and housing can work together to reduce delayed transfers of care arising from Housing issues.</p>	Simon Galczynski	Ilona Sarulakis / Gareth Wall	Ongoing	<p>March 2020 - As part of the Unplanned Care Workstream of Integrated Commissioning there has been a continued 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>
<b>CACH AS 006b</b> Supporting the Home Care market to be more reactive	<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>• Meet providers at monthly forum</li> <li>• Review current Framework</li> </ul>	Simon Galczynski	Gareth Wall	Ongoing	<p>March 2020 - A 90 day rapid review programme has been implemented to consider the DToC position end-to-end within our local system.</p>


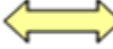
Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
<b>CACH AS 007 - The needs of Vulnerable Young People moving from CYPS to Adults Services are not appropriately identified and planned for. (Financial, poor service user experience and outcomes and reputational risks)</b>	The current transition process and poor planning could lead to budgetary pressures which have not been planned for and to insufficient staff resources to support these young people as well as a potential lack of	Children, Adults & Community Health		<b>Review and updated March 2020</b>

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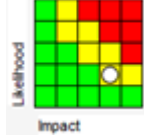

	<p>appropriate provision to meeting their needs.</p> <p>In addition policy decisions around education spend in Hackney Learning Trust may lead to increased spend in Adult Services if a new day opportunities offer is not developed to meet the need left by reduced education funding.</p>			<p><b>Risk has reduced slightly</b></p> <p>In 2019/20 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 Transitions team and Transitions team manager will ensure that there is dedicated Adult Services resource to effectively plan.</p>
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Control Title	Control Description	Responsible Officer	Service Manager	Due Date	Control - Latest Note
<p><b>CACH AS 007a</b></p> <p>The Transitions Steering Group and sub-groups are providing ongoing governance to oversee and plan for effective transitions</p>	<p>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</p> <p>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.</p>	Simon Galczynski, Sarah Wright and Annie Gammon	Ann McGale and Gareth Wall	Ongoing	March 2020 - Since last year these groups are now operational and meeting regularly.
<p><b>CACH AS 007b</b></p> <p>Establishment of a Transitions Dashboard</p>	To help with better planning a Transitions Dashboard has been 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	Ongoing	March 2020 - in place and in regular use, Intelligence from this dashboard is informing future commissioning plans to meet the needs of this cohort.

Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
<p><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></p>	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	Adult Services		<p><b>Review and updated January 2019</b></p> <p style="text-align: center;"></p> <p><b>This risk has stayed the same.</b></p>

	risk that this could be lost, stolen or fall into the wrong hands.			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.
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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	March 2020 - 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	March 2020 - New control added

Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
<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		<p><b>Reviewed and updated in January 2019.</b></p>  <p><b>This risk has stayed the same.</b></p>

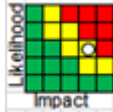


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Control Title	Control Description	Responsible Officer	Service Manager	Due Date	Control - Latest Note
<b>CACH AS 009a</b> Working within existing guidance and frameworks and seeking Legal Support	<p>There is legislation, guidance and procedures to support 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	March 2020 - 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 2019/20 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 workforce which impacts on service delivery.</p>	Children, Adults & Community Health		<p><b>Reviewed and updated in March 2020</b></p> <p><b>This risk has reduced slightly.</b> In a new model for the Integrated Learning Disability Service was implemented which has led to greater stability within the service which should lead to greater outcomes for users continues to be implemented.</p>

Control Title	Control Description	Responsible Officer	Service Manager	Due Date	Control - Latest Note
<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	March 2020 - Throughout 2019/20 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 2020/21.

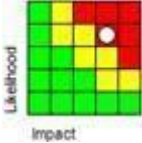
Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
<b>NEW RISK</b> <b>CACH AS 011 - The council's in-house registered social care provision receives another poor Care Quality Commissioning (CQC) Inspection leading to enforcement action and possible loss of registration (continuity of service user care, reputational risk to council)</b>	<p>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.</p> <p>The council delivered a number of improvements to service delivery to ensure no enforcement action was taken. A further CQC inspection was completed at in 2019, leading to a revised rating of "requires improvement"..</p>	Children, Adults and Community Health		<p><b>Reviewed and updated in March 2020</b></p> <p>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.</p> <p>Following the change of rating from "inadequate" to requires improvement, the service has continued to enhance its engagement mechanisms with residents and their families, recruited a Quality Manager as part of the direct service, and the Commissioning Team's quality assurance monitoring framework is applied to the service, as per an externally commissioned service.</p>

Control Title	Control Description	Responsible Group Director / Officer	Service Manager	Due Date	Control - Latest Note
<b>CACH AS 011a</b> Implementation of a robust improvement plan	A detailed and thorough improvement plan is being implemented	Simon Galczynski	Ilona Sarulakis	Ongoing	"Requires improvement" has been achieved. Improvement measures

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supported with additional capacity and expertise	<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>				aim to receive a "good" rating during 2020.
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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	The ICB has recently established a Risk Management Working Group to provide a forum for collective management of risks across all workstreams and enabler groups. The group is due to meet for the first time in March 2020, and will review workstream and enabler group risk registers and provide challenge to and discussion of the registers, to give a deeper level of assurance to the ICB, ensure consistency of scoring and monitoring of risk, and to identify any risks that need escalation to the ICB which do not meet the threshold for escalation.

<p>SRCR 0030b Section 75</p>	<p>The Section 75 Agreement including the financial framework sets out:  - Scope of pooled and aligned budget;  - Ground rules for its use and treatment of overspends; and  - How conflicts in budget-setting priorities would be settled.  The Section 75 Agreement also sets out the risk share agreement; should there be an overspend, the party with statutory responsibility for the function or budget will be responsible.</p>	<p>Anne Canning</p>		<p>Ongoing</p>	<p>The budget for incorporation into the S75 and approach is negotiated and agreed each year to reflect changing circumstances.</p>
<p>SRCR 0030c Ensuring effective governance.</p>	<p>Ensure all arrangements and structures are properly organised and that the governance is sound.</p>	<p>Anne Canning</p>		<p>Ongoing</p>	<p>A governance review was undertaken by PWC in 2018 with resulting recommendations to streamline some existing processes. The recommendations are on track for implementation.</p>