

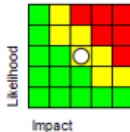

# ADULTS, HEALTH & INTEGRATION DIRECTORATE RISKS



## 1. PUBLIC HEALTH DIVISION RISKS

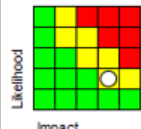
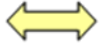
Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
AH&I PH 01 - Public Health Workforce	<p>Failure to achieve effective staff capacity to deliver Covid pandemic response and recovery of Public Health business as usual functions.</p> <p><b>IMPACT</b> – reduced capacity to deliver Covid-related workstreams along with existing, essential public health programmes effectively.</p> <p>The team are unable to develop new ways of working post-2019 restructure due to Covid focus from early 2020.</p> <p>Existing staff are burnt out due to the relentlessness of the crisis response, with the risk that some may become sick or leave</p> <p>Insufficient capacity to develop effective stakeholder relationships; support health in all policy areas; develop and deliver population health hub commitments; recommission public health services; ensure workforce wellbeing and deliver new public health strategies.</p>	Adults, Health & Integration		<p style="text-align: center;"></p> <p>Updated March 2022. Risk was previously adapted to remove reference to recruitment post restructure which is now complete, and to reflect workforce risks associated with covid workloads.</p>

Control Title	Control Description	Responsible Officer	Service Manager	Due Date	Control - Latest Note
AH&I PH - 001A	<p>Recruitment and Team development</p> <p>The testing sites have been closed as per government guidance from 1st April 2022 and the staff have been redeployed for the remainder of their contract</p>	Sandra Husbands	Anthea Henry	May 2021	<p>Roles have been allocated to the few remaining staff. Many staff have left as their contracts are now over.</p> <p>All equipment has been stored, together with the remaining lateral flow tests. Lateral flow tests will be prioritised for adult social care, depending on need/updated guidance SOPs will be updated to reflect latest guidance</p>

Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
AH&I PH 007 Sexual Health	<p>Sexual health services (GUM/ ISHT), make up the most significant area of spend on sexual health spend, and are paid for using an activity based tariff and whilst there are caps and collars, activity baselines are usually reset with providers on an annual basis.</p> <p><u>Impact</u> The London Sexual Health e-service (SHL) was part of a modernisation programme and to improve efficiency, no saving targets were stated. The pandemic has meant a large shift in activity to online services. Risks include:</p> <ol style="list-style-type: none"> <li>1. Uncontrolled increases in sexual health activity spend</li> <li>2. Sexual Health providers, including Homerton, not receiving payment.</li> <li>3. Negative working relationships with other London commissioners and sexual health providers</li> <li>4. Uneven access to services for residents across London.</li> </ol>	Adults, Health & Integration		<p style="text-align: center;"></p> <p>COVID has led to significant changes in how sexual health clinics are provided and more STI activity has moved online. Online Contraception services are now provided. Homerton moved to a block contract for 2020/21, 2021/22 and discussions started for 2022/23. Increased spend on e-service offset by reduced activity in clinical based services. Activity may increase in 2022/23 due to unmet need and increase in sexual risk taking behaviours. In addition, reciprocal block payment arrangements as a % of pre-pandemic baselines have been in place since March 2020 with</p>

	The contract for the e-service has been extended from August 2022 for a further three years until August 2025.			some of the most significant non-Homerton providers of GUM to City & Hackney residents.
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Control Title	Control Description	Responsible Officer	Service Manager	Due Date	Control - Latest Note
AH&I PH 007 Sexual Health	<p>Active participation of Deputy Director of Public Health leadership role in sexual health.</p> <p>Monitoring and supporting implementation of the pan-London e-testing service hosted by the City of London Corporation.</p> <p>A two year extension of the contract with Homerton to deliver the SH clinics and additional services has been agreed by the Director of Public Health and Homerton (from August 2022 to August 2024), and the terms of this extension are being negotiated.</p> <p>Ongoing services provided that target high risk communities with a range of support and advice.</p>	Sandra Husbands	Xenia Koumi, Chris Lovitt	Aug 2022	<p>Sub-regional service implementation complete and clinical leadership from strategic board continues at a pan-London level.</p> <p>Additional online services provided as part of COVID contingency, discussions taking place about whether to continue with COVID contingencies in Eservice, to ensure ongoing access to STI testing and contraception provision</p>

Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
AH&I PH 009 Budget	<p>The requirement to respond to the COVID pandemic has reduced the amount of time that Public Health officers can spend on recommissioning and budget management tasks.</p> <p>Multiple, pandemic-related, short term grant streams in 2021/22 (Containment Outbreak Management Fund (COMF), Test and Trace Funding, Community Testing Funds), have increased the complexities around the management of</p>	Adults, Health & Integration		<p style="text-align: center;"></p> <p>Risk updated April 2022 Risks monitoring through monthly financial reporting through the OFF report.</p>

	<p>Hackney funds, increasing the risk of failure to utilise available funds or report spend to agreed deadlines.</p> <p>The contribution of the City of London PH grant to the core costs of the PH service has been agreed, and plans are in place for joint service provision across the two organisations.</p> <p><b>Impact</b></p> <ol style="list-style-type: none"> <li>1. Spend not effectively controlled, creating overspends.</li> <li>2. Failure to deliver a variance to be used in related local authority services.</li> </ol>			
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Control Title	Control Description	Responsible Officer	Service Manager	Due Date	Control - Latest Note
AH&I PH 009 Budget	<ol style="list-style-type: none"> <li>1. Quarterly reports produced for the management team on performance and spend for each contract across the service. Options for future budget reductions across Public Health continue to be considered pending potential reduction to the ring-fenced grant.</li> <li>2. Maintain governance processes to ensure appropriate spend of public health grant expenditure and appropriate reporting. Ensure that grant conditions are discussed at SMT so senior staff are aware of the grant conditions for the short term grant streams (COMF, Test and Trace)</li> <li>3. Monitor changes to wider context of public health funding and implications for the budget plan, including: proposed removal of the ring-fence (no date confirmed, yet) and for public health services to be funded through retained local business rates; ; plus impact of changes to national public health services and possible retention of additional local responsibilities post pandemic.</li> <li>4. SLA agreed with the City of London to be agreed for a multi year period with appropriate core funding and joint commissioning of services agreed.</li> <li>5. Clear process around spending and reporting of spend on each short-term grant, including decision making around grant spend at weekly Covid Operational Management working group and weekly Health Protection Board (HPB) and monthly reporting to the Local Outbreak Control Board (LOCB).</li> <li>6. Maintaining close links with City Finance colleagues to ensure reporting is consistent and accurate.</li> </ol>	Sandra Husbands	Anthea Henry	31 May 2022 Ongoing, with monthly reporting.	<p>Updated Feb 2022, Contain Outbreak Management fund terms were extended to include the 22/23 finance year, reducing the identified risk.</p> <p>Funding requests are reviewed by the Living with Covid Operational Group and the Covid-19 Health Protection Board and forecast spend is monitored closely by PH and Finance.</p> <p>Finance updates provided to PH SMT on a quarterly basis highlighting any key risks/issues.</p>

Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
AH&I PH 010 Covid	<p>Failure to vaccinate the majority of the population and the lack of regular testing of individuals.</p> <p><b>Impact</b></p> <ol style="list-style-type: none"> <li>Without wide scale uptake of COVID 19 vaccination, there will be ongoing outbreaks of COVID 19. Cooperation of the entire population is required to reduce the risk of further outbreaks.</li> <li>Widening health inequalities as a result of inequitable uptake of COVID vaccine and/or inequitable access to testing</li> </ol>	Adults, Health & Integration		<p style="text-align: center;"></p> <p>Risk updated April 2022 . There is also a separate Health Protection Board risk register providing even greater detail into the COVID response.</p>

Control Title	Control Description	Responsible Officer	Service Manager	Due Date	Control - Latest Note
AH&I PH 010A Covid	<ol style="list-style-type: none"> <li>Engagement with communities and staff groups who have been vaccine hesitant.</li> <li>Production of Q&amp;As for lay audiences</li> <li>Direct work with the Charedi community to encourage behaviour change and vaccine uptake</li> <li>Risk assessments of staff and access to vaccination for those with occupational risk.</li> <li>Regular targeted comms to manage individual behaviours</li> <li>Support for adherence to local/national guidelines for self isolation</li> <li>Strengthening intelligence and capacity to respond to outbreak threats and variants of concern.</li> <li>Agreeing new ways of working with UKHSA to respond to outbreaks, as COVID emergency infrastructure is dismantled</li> </ol>	Sandra Husbands	Nicole Klynman	31 April 2022	<p>Adults who are symptomatic should stay at home for 5 days, children for 3 days. Testing does not form a key part in the new guidance.</p> <p>The testing requirement for NHS staff remains the same, as well as for the majority of patients.</p> <p>Regular asymptomatic testing is no longer recommended in any education or childcare setting so LFTs will no longer be available - though further guidance might come from the Department of Education. Guidance is awaited from the Department of Education on what to do with the excess kits</p> <p>CQC registered care homes will have access to test kits. Guidance is awaited for the rest of adult social care.</p>

					<p>Vaccination work is being prioritised with priority groups and children</p> <p>The test sites are all closing from 1st April but lateral flow kits will be used for adult social care staff, prioritising home care.</p> <p>All furniture etc will be stored if needed again.</p>
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Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
AH&I PH 011 Cyber attack	<p>Disruption to current service delivery, loss of data to ensure continuity of services.</p> <p><b>Impact</b></p> <ol style="list-style-type: none"> <li>Sensitive, special or patient/ resident level data is compromised and placed into the public domain</li> <li>Reputational damage prevents data sharing due to perception that data is insecure</li> </ol>	Adults, Health & Integration		<p style="text-align: center;"></p> <p>Risk updated April 2022</p>

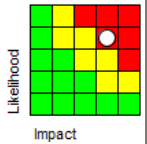

Control Title	Control Description	Responsible Officer	Service Manager	Due Date	Control - Latest Note
AH&I PH 011A Cyber attack	<ol style="list-style-type: none"> <li>Data retention policy implemented for PH and pop health hub</li> <li>All data held by PH is known, secure and kept according to best practice requirements</li> <li>Health intelligence strategy developed which includes ensuring best practice data management</li> <li>DSAs put in place to cover data sharing with partners</li> <li>Anonymisation policy developed and implemented</li> </ol>	Sandra Husbands	Diana Divajeva, Chris Lovitt	30 April 2021	Data held by PH reviewed and retention policy implemented. Population Health strategy agreed across partnership. DSA for new birth data developed and sign off pending with Homerton, additional DSA for health and social care data in development. Anonymisation policy draft in production. Links being

					established with work programme on recovery from corporate cyber attack Feb 2022, no change
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Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
AH&I PH 012 Joint Service	<p>Hackney or the City of London do not feel that they are getting suitable PH services as part of joint service and seek to withdraw from joint service causing disruption to PH service provision</p> <p><b>Impact</b></p> <ol style="list-style-type: none"> <li>1. Reputational damage</li> <li>2. Insufficient capacity to separate the staff into two services to meet the needs of both organisations</li> <li>3. Disgruntled staff</li> <li>4. Financial risk</li> </ol>	Adults, Health & Integration		<p>Risk updated April 2022</p>

Control Title	Control Description	Responsible Officer	Service Manager	Due Date	Control - Latest Note
AH&I PH 012A Joint Service	<ol style="list-style-type: none"> <li>1. Clear PH service identity as a joint service and work plan communicated</li> <li>2. All commissioned contracts report against Hackney and CoL resident activity/ outcome and ensure summary of activity is communicated to relevant stakeholders</li> <li>3. Ensure SLA annual review meeting undertaken with outcomes report produced &amp; agreement on recharge for forthcoming financial year</li> <li>4. Provide updates to CoL and Hackney lead members on joint service provision</li> </ol>	Sandra Husbands	Chris Lovitt, Anthea Henry	31st April 2022	<p>DSA agreed that covers joint PH service, joint privacy notice agreed.</p> <p>SLA signed with CoL for implementation from 1st April 2021 for 2-3 years.</p> <p>SLA review meetings pending</p>

## 2. ADULT SERVICES

Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
<b>AH&amp;I AS 001</b> <b>Existing budget and resources are not sufficient to meet demand (Financial, reputational and poor service user outcomes and experience)</b>	<p>Demographic pressures and lack of in-Borough provision causing increased demand on budget.</p> <p>Pressure on the provider market and social care workforce may mean insufficient resources to meet demand.</p> <p>Covid-19 and cyber recovery costs have added cost pressures across the system.</p>	Adults Health and Integration		<p><b>Reviewed March 2022</b></p> <p style="text-align: center;"></p> <p><b>Risk has increased</b></p> <ul style="list-style-type: none"> <li>• Demand for ASC continues to rise. Costs of providing care are also rising.</li> <li>• The cyber attack further added to these pressures as resources were diverted to work on the recovery. Payment processes were severely impacted - we were unable to complete financial assessments for new service users for ~18 months, resulting in a significant loss of care-charging income.</li> <li>• The cost of the pandemic for the directorate significantly exceeded amounts provided by grants or corporate funding in 2021/22.</li> <li>• The funding settlement outlined in the Government White paper 'People at the Heart of Care' is widely thought to be insufficient to meet the current or future demands on social care.</li> <li>• These risks continue to be monitored and reported through the monthly OFP report and through monthly updates at AH&amp;I SMT.</li> </ul>

Control Title	Control Description	Responsible Officer	Service Manager
<b>AH&amp;I AS 001A</b> <b>Financial Controls</b>	<ol style="list-style-type: none"> <li>1. A department savings tracker has been implemented and is coordinated by the Transformation team, Finance and relevant officers, and reported to AH&amp;I SMT monthly.</li> <li>2. Mosaic recovery is being planned to restore the payments process, and an interim process has been set up (Feb 2022) to restart financial assessments and care charging.</li> <li>3. Tracking of Covid-related expenditure</li> <li>4. Tracking Cyber related expenditure</li> <li>5. Tracking delivery of the 6 week Scheme 2 Assessments, and closely monitoring future funding arrangements for hospital discharge pathway. This will cease at the end of March 2022, and we will work closely across the health and social care system to agree processes for 2022/23.</li> </ol>	Ann McGale	Heads of Service

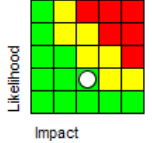



Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
<b>AH&amp;I AS 002 – Provider Failure and local market sustainability</b>	<p>Within the continuing challenging financial climate, the ability of Social Care providers to continue to deliver high quality, cost effective services is at risk.</p> <p>There are risks regarding sustainability of the market, and financial viability of providers.</p>	Adults, Health and Integration		<p><b>Reviewed March 22</b></p> <p style="text-align: center;"></p> <p><b>This risk has increased.</b></p> <ul style="list-style-type: none"> <li>• Covid-19 has placed additional pressures on providers.</li> <li>• There continues to be instability in the homecare market nationally. Cost models developed with ADASS London and NICE indicate that no boroughs are currently meeting the true cost of homecare according to our own criteria (e.g. London Living Wage and the Ethical Care Charter).</li> <li>• Local impact - two of the 10 framework home care providers have exited the contract due to economic reasons.</li> <li>• Recent inflationary growth and issues in the supply market (e.g. fuel, utilities) add extra concern.</li> </ul>

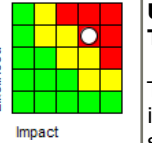
Control Title	Control Description	Responsible Officer	Service Manager
<b>AH&amp;I AS 002A Provider Failure</b>	<ul style="list-style-type: none"> <li>• Ongoing quality assurance of providers delivering care and supported living service</li> <li>• Distribution of extra funds through a number of Covid related grants</li> <li>• Ongoing conversations with providers re: sustainability</li> <li>• Uplifts for 2021, with a review of uplifts procedure for commencing in 2022</li> <li>• Continued use of Care-Cubed to understand the market and prices - considering expansion to Care Analytics to look at older people's care</li> <li>• New workstream on Costs of Care / Fair funding to support ambition to introduce financially sustainable rate across care markets.</li> </ul>	Zainab Jalil	Commissioners

Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
<p><b>AH&amp;I AS 003 - 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>Increase of staff turnover leading to instability and loss of continuity in service delivery. Risk that recruitment becomes increasingly difficult due to market pressures and reputational damage to LBH caused by cyber attack/impact on social care systems.</p>	<p>Adults, Health and Integration</p>		<p style="text-align: center;"></p> <p><b>Reviewed: March 2022</b></p> <p><b>This risk has decreased.</b></p> <ul style="list-style-type: none"> <li>Some posts remained unfilled, and Managers have reported challenges in attracting high quality candidates, as well as retaining staff. However, across Adult Services, the number of vacancies is not significant, though turnover continues to be a challenge.</li> <li>Recent LGA Health Check survey 'The Standards for Employers of Social Workers' found that in Hackney, Continuous Professional Development was the area that scored lowest, therefore may be a contributing factor to increased staff turnover.</li> <li>Housing with Care has a high reliance on agency staff use. Whilst use of agency staff allows us to be flexible and will always be required, levels remain higher than is ideal. Recruiting permanent staff into this service remains a challenge.</li> </ul>

Control Title	Control Description	Responsible Officer	Service Manager	Due Date	Control - Latest Note
<p><b>AH&amp;I AS 003 A</b></p> <p><b>Inability to attract and retain a stable, high calibre workforce for key roles within Adult Services</b></p>	<ol style="list-style-type: none"> <li>Ongoing recruitment</li> <li>Redesign and relaunch of improved L&amp;D offer and career pathway progression routes</li> <li>Implementation of a Strengths Based Approach to practice</li> <li>Recruitment to vacant Principal Social Worker post</li> </ol>	<p>Ann McGale</p>	<p>AD - Safeguarding, Quality Assurance and Workforce</p>	<p>Ongoing</p>	<ul style="list-style-type: none"> <li>Transformation team working with Workforce Development team to redesign and launch an improved and more cohesive L&amp;D offer</li> <li>Launched a workstream to embed a more positive working culture - led by transformation programme and codesigned with staff</li> <li>Moving to a rolling recruitment approach and embedding recruitment best practice across the service</li> <li>Review of Housing with Care being planned</li> </ul>

Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
<b>CACH AS 004 - Increased risk to data relating to vulnerable adults due to cyber attack</b>	Following the cyber attack, some data including ASC complaints data was published on the dark web.  Identifiable and personal information has been published, putting some service users data at increased risk.	Adults, Health and Integration		<b>Reviewed March 2022</b>    <b>This risk has decreased</b> <ul style="list-style-type: none"> <li>Risks to individuals have been assessed, and any high risk cases have been notified, including discussing how they can mitigate and reduce risk to themselves and who to contact if they have further concerns.</li> </ul>

Control Title	Control Description	Responsible Officer	Service Manager	Due Date	Control - Latest Note
<b>AH&amp;I AS 004 A</b>  <b>Increased risk to data relating to vulnerable adults due to cyber attack</b>	1. Risk assessment, mitigations and notifications strategy in place and in progress to mitigate against any potential risks. Personalised approach adopted due to level of risk associated.	Ann McGale	John Binding - Head of Adults Safeguarding	Mid April 2021	All notifications carried out and no risks realised to date.

Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
<b>CACH AS 005</b> <b>Insufficient information and systems to safely run the service</b>	Due to the loss of Mosaic in the cyber attack, ASC is using an interim social care database, with limited historical service user data. This provides a significant risk to Adult Services - both ensuring safety of service users and to staff.  Risk of judicial review or legal challenge if we are unable to complete statutory returns or provide relevant information needed.	Adults, Health and Integration		<b>Updated March 2022</b> <b>This risk has decreased</b>  The Cyber attack continues to add significant risks to adult services, including our ability to monitor risks, manage waitlists, store and safely share service user data, and process and make payments.  Whilst oversight of client data has improved with interim systems, it is still incomplete, and prone to human error due to manual processes.

Control Title	Control Description	Responsible Group Director / Officer	Service Manager	Due Date	Control - Latest Note
<b>AH&amp;I AS 005 A</b> <b>Insufficient information and systems to safely run the service</b>	<ol style="list-style-type: none"> <li>1. Development of an interim social care database will support social workers to access current data/information about residents, and to manage casework.</li> <li>2. Development of interim payments processes to manage payments to providers</li> <li>3. Development of an interim brokerage system.</li> <li>4. Mosaic recovery programme to begin in April 2022, aiming to restore Mosaic by the end of 2022.</li> </ol>	Ann McGale / Rob Miller	ICT / Heads of Service	Nov 2022	<p>All staff have access to interim google forms. A 'core pathway' has been developed, which significantly improves the practitioner experience, increases efficiency and reduces risks. All ASC staff will be able to use the core pathway by the end of March 2022, reducing risks and improving efficiency.</p> <p>These tools will be used until Mosaic is recovered. The recovery programme for ASC kicks off in April 2022 and is estimated it will take about six months to launch.</p> <p>Once Mosaic is recovered and data successfully migrated, full service oversight and statutory reporting can resume.</p>

Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
<b>AHI AS 006</b> <b>Insufficient capacity to implement charging reforms</b>	<p>As part of the reforms to Adult Social Care, lifetime caps to care costs are being introduced from Oct 2023, as well as introduction of fair costs of care. Planning and preparation for these changes needs to take place throughout 2022/23, as these changes require significant capacity and demand modelling, systems preparation, communications etc.</p> <p>Significant involvement from key teams across the department is required, in addition to project management. Work to prepare systems is also required, which is an additional challenge for Hackney given we are still in the process of recovering our systems following the cyber attack.</p> <p>There is a risk we may not be prepared for these changes by the implementation deadline, or that preparation may divert resources from statutory service provision.</p>	Adults, Health and Integration	<p>Likelihood</p> <p>Impact</p>	New risk added March 2022.

Control Title	Control Description	Responsible Group Director / Officer	Service Manager	Due Date	Control - Latest Note
<b>AH&amp;I AAS 006</b> <b>Insufficient capacity to implement charging reforms</b>	<ul style="list-style-type: none"> <li>• Working Groups are being established</li> <li>• Some funding will be made available to Local Authorities to implement changes</li> <li>• A Project Manager will be recruited to coordinate the required activity</li> <li>• Modelling to understand likely demand and impact on residents will be undertaken</li> </ul>	Helen Woodland	Zainab Jalil/Jenny Murphy Reza Paruk	Ongoing	New - March 2022