



Title of Report	ADULTS, HEALTH AND INTEGRATION DIRECTORATE RISK REGISTER - COVERING REPORT
For Consideration By	Audit Committee
Meeting Date	June 21st 2023
Classification	Open
<u>Ward(s) Affected</u>	All Wards
<u>Group Director</u>	Helen Woodland, Group Director Adults, Health and Integration.

1. GROUP DIRECTOR'S INTRODUCTION

- 1.1 This report updates members on the corporate risks for the Adults, Health and Integration Directorate as at March 2023. It also identifies how risks within the Directorate are identified and managed throughout the year and our approach to embedding risk management.

2. RECOMMENDATION

- 2.1 There are no specific recommendations from this report. The Audit Committee is asked to note the contents of this report and the attached risk registers and controls in place.

3. REASONS FOR DECISION

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

4. BACKGROUND

- 4.1 The current Directorate risk profile was reviewed by the Directorate of Adult, Health and Integration Services Management Team in March 2023. Detailed risk registers for Adults Services and Public Health have been prepared and were reviewed by the Management Team and the high-level Directorate risks highlighted and included in Appendix 1.

4.2 Policy Context

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

4.3 Equality Impact Assessment

For the purposes of this report, an Equality Impact Assessment is not applicable, although in the course of Risk Management (and

associated duties) all work is carried out in adherence to the Council's Equality policies.

4.4 Sustainability

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

4.5 Consultations

In order for Risk Registers to progress to the Audit Committee, they will already have been reviewed by the relevant Senior Management team within the corresponding Directorate. Any senior officer with any accountability for the risks will have been consulted in the course of their reporting.

4.6 Risk Assessment

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

5. DIRECTORATE RISK REVIEW

- 5.1. The Directorate Risk Register comprises those that represent the most significant risks faced by the Directorate.

Public Health

- 5.2. A sexual health needs assessment was conducted in 2022, and is annually updated, to assess service uptake and gaps or inequalities. The findings include high levels of STIs, especially among young people and men having sex with men (MSM), lower testing rates as a result of the pandemic, and a slow recovery towards pre-COVID levels of Long Acting Reversible Contraceptives (LARC).

Access to sexual health services remains an issue, with clinics predominantly offering appointments via phone or online booking systems, and reduced capacity due to staffing constraints. This also affects primary care, e.g. pharmacies, due to the loss and attrition of community pharmacists. The findings from the needs assessment will feed into a draft strategy currently in development to improve sexual health access, provision, and outcomes for all residents.

- 5.3. Testing for sexually transmitted disease is a demand-led service, delivered mainly by NHS providers in locations across London and beyond. The Council has limited control over that demand and the clinical imperative is for as many high risk, asymptomatic residents as possible to undertake regular tests. Activity in this area will increase in 2023/24 due to unmet need as service uptake fully recovers, post COVID. A sexual and reproductive health strategy is being developed in the coming year to improve sexual health access, provision and outcomes for all residents.
- 5.4. All short term, COVID-related grant streams (Contain Outbreak Management Fund (COMF), Test and Trace Funding, Community Testing Funds) were exhausted in 2022/23 significantly reducing the complexities around the management of Hackney funds detailed in risk 'AH&I PH 009' in 2023/24.
- 5.5. The joint service SLA recharges for 2023/24 were confirmed at a City Departmental Leadership Team (DLT) meeting in March and processes for regular review will continue.
- 5.6. Significant improvement has been made around risk 'AH&I PH 001', with the identified COVID legacy work maintained by the in-house Community Outreach and Infection Prevention and Control (IPC) resources. Developmental Senior Management Team (SMT) and full service awaydays take place every 3-4 months.

Adult Services

- 5.7. The core Adult Services risks remain largely consistent with the risks highlighted to the Audit Committee last year. Whilst risks related to ongoing improvement of ICT systems following the cyber attack remain, the recovery of Mosaic and subsequent robust Follow-On project that is in progress means the overall risk has reduced. The most significant risk to the service is the growing demand and insufficient budget and resources to effectively meet it.
- 5.8. Financial risks continue to increase, as demand for and cost of care has continued to increase, and 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. The demand for services is greater than the funding

available, meaning budgetary pressures will continue to worsen. We have worked with a Provider to identify areas where savings can be safely made without negatively impacting resident outcomes, however delivery of this programme has been delayed and is due to start in 2023/24, with financial benefits expected in the years following.

- 5.9. Within the service there remains a risk about the resilience and sustainability of the social care provider market in the context of rising demand and increased complexity and acuity of need for service users. This risk is compounded by the challenges that Covid-19 has presented, both operationally and financially, and that cost of living pressures have further compounded. In 2017 the Government set expectations of a Green Paper on future long-term funding for social care but this has not yet been forthcoming. In March 2020 the Government announced that it would be consulting widely on ideas for future funding arrangements. The focus of previous announcements to date has focused on support and funding for older adults and so far makes little mention of working age adults which is a concern as this represents a large proportion of people currently supported by Adult Services in Hackney. The White Paper published in February 2021 'Integration and Innovation: Working Together to Improve Health and Social Care for All' affirms that proposals to reform social care funding will be published later this year. Sustainable funding arrangements are critical for Adult Services and pose a significant risk which will continue to be monitored through monthly financial reporting.
- 5.10. There continues to be national concern about the sustainability of the provider market, including an increasing number of providers who are returning contracts to local authorities, and falling into administration. Work is continuing to support a healthy local provider market, as reflected in the risk register. This includes paying a fair but affordable rate to provide quality care, and a check of the financial health of organisations through the procurement process alongside robust, regular contract management and market development through provider networks.
- 5.11. Safeguarding remains an ongoing priority for Adult Social Care and managing the risks around safeguarding are part of the day to day work of Adult Social Care. The risk register highlights the specific safeguarding risks presented by the cyber attack, which has meant some personal and identifiable data for some service users has been made available on the "dark web". To safeguard service users who are affected by the cyber attack, cases were risk assessed and in

accordance with that assessment some individuals received personalised notification and ongoing support from ASC. Notifications were completed in 2021, and to date, no risks related to the cyber attacks have been realised, hence this risk has reduced significantly.

- 5.12. Due to the cyber attack, the service was without a complete and fully functioning case management and payment system for two years. This provided significant challenges for monitoring service user risk, making payments in an accurate and timely way, and managing team performance. Mosaic was recovered in November 2022, and a significant follow-on project is in progress to make necessary improvements to restore full functionality. So whilst overall risk is significantly lower, there remains improvements needed to both functionality and data quality before the risk is fully mitigated.
- 5.13. Recruitment and retention of social workers remains a pan-London issue. In Hackney we have some vacancies within operational teams, but levels are lower than they were. A greater issue is the retention of staff. Work to develop an improved career development and learning offer for staff is underway, as is work to improve the day to day working culture. A Principal Social Worker and new team focussing of workforce has also been appointed who will work closely to improve staff retention and embed strengths-based practice.

Integrated Commissioning

- 5.14. This approach will continue to develop as we transition to the Integrated Care Partnership Board (ICPB) which will have updated terms of reference, governance and risk management structures to enable the delivery of integrated health and care services for the system. A joint Director of Delivery has been appointed to establish good governance.

6. COMMENTS OF THE GROUP DIRECTOR OF FINANCE AND CORPORATE RESOURCES

- 6.1 Effective risk management is a key requirement for good financial management and stability. This becomes more significant as funds available to the Council are reduced and budget reductions are made.
- 6.2 The Directorate seeks to mitigate risks as they are identified. In some instances, where there are volatile external factors and uncertainty, this

will be through seeking access to reserves maintained by the Group Director of Finance and Corporate Resources.

- 6.3 There are no direct costs arising from this report, however risks linked to the ongoing Covid-19 pandemic and the Cyber Attack will continue to be monitored through the monthly Overall Financial Report (OFP).

7. COMMENTS OF THE DIRECTOR OF LEGAL, DEMOCRATIC AND ELECTORAL SERVICES

- 7.1 This report recommends that the Audit Committee note the contents of this report with the attached appendices. In accordance with Article 9.1.2 of the Council's constitution, the Audit Committee is responsible for assisting the Council in discharging its functions in relation to its risk management framework. The Accounts and Audit Regulations 2011 also requires the Council to have a sound system of control which includes arrangements for the management of risk. This report is part of those arrangements and is designed to ensure that the appropriate controls are effective.
- 7.2 There are no immediate legal implications arising from this report.

APPENDICES

Appendix one – Adults, Health and Integration risk register.

BACKGROUND PAPERS

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

None

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Comments on behalf of the Group Director of Finance and Corporate Resources	Jackie Moylan
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