


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 a pandemic or health protection response and recovery of Public Health business as usual functions.</p> <p>IMPACT – reduced capacity to deliver pandemic/ health protection 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		<div style="text-align: center;"> </div> <p>Updated March 2023. 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	Recruitment and Team development throughout PH. Establish in-house Infection Prevention & Control (IPC) provision.	Sandra Husbands	Anthea Henry	March 2024	An Infection Prevention & Control (IPC) team, established in 2021 as part of the GP Confederation's response to Covid and funded short-term by LBH was insourced in Oct 2022 when the GP Confederation provision ended. Recruitment to vacancies to secure service continuity is ongoing, along with team development.

Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
AH&I PH 007 Sexual Health	<p>The London Sexual Health e-service (SHL) was part of a modernisation programme and to improve efficiency, no saving targets were stated. The pandemic and Mpox has meant a large shift in activity to online services. Risks include:</p> <ol style="list-style-type: none"> 1. Uncontrolled increases in sexual health activity spend 2. Sexual Health providers, including Homerton, not receiving payment. 3. Negative working relationships with other London commissioners and sexual health providers 4. Uneven access to services for residents across London. <p>These risks could pose serious financial and reputational consequences if not properly managed.</p>	Adults, Health & Integration		<p style="text-align: center;">↓</p> <p>March 2023. The contract for the e-service has been extended from August 2022 for a further three years until August 2025. Sexual health services (GUM/ ISHT), make up the most significant area of spend on sexual health, 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. Providers have been paid on a block contract during COVID and this is now being</p>

				<p>reviewed to move them back to ISHT tariff but on a lower baseline to reflect that a lot of testing activity has gone online.</p> <p>COVID 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 to 2023 and discussions started to move them to tariff for 2023/24. Increased spend on e-service offset by reduced activity in clinical based services.</p> <p>Activity may increase in 2023/24 due to unmet need and increase in sexual risk taking behaviours.</p>
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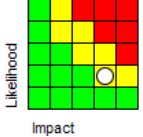

Control Title	Control Description	Responsible Officer	Service Manager	Due Date	Control - Latest Note
AH&I PH 007 Sexual Health	<p>Active participation of Deputy Director of Public Health leadership role in sexual health.</p> <p>Monitoring and supporting implementation of the pan-London e-testing service 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	Froeks Kamminga, Chris Lovitt	August 2023	<p>March 2023. Sub-regional service implementation complete and clinical leadership continues at a pan-London level.</p> <p>Contract discussion meetings with Homerton to move to ISHT started in Feb, met in March and given notice likely to move to tariff after q1 for 2023/24</p>

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AH&I PH 009 Budget	<p>That Public Health spend is not effectively controlled, creating overspends. Management of the budget is critical to try and prevent this happening. There is also a risk of there being a failure to deliver a variance to be used in related local authority services.</p> <p>The requirement to respond to the COVID pandemic reduced the amount of time that Public Health officers spent on recommissioning and budget management tasks, and this has now taken a renewed focus post pandemic.</p>	Adults, Health & Integration		<p style="text-align: center;"></p> <p>Risk updated March 2023 Risks are monitored through monthly financial reporting through the OFP report. 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>

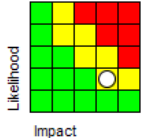

Control Title	Control Description	Responsible Officer	Service Manager	Due Date	Control - Latest Note
AH&I PH 009 Budget	<ol style="list-style-type: none"> 1. Quarterly reports produced for the management team on performance and spend for each contract across the service. Options for future budget reductions across Public Health continue to be considered with potential reduction to the ring-fenced grant. 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. 3. Monitor changes to wider context of public health funding and implications for the budget plan, including impact of changes to national public health services and possible retention of additional local responsibilities post pandemic. 4. SLA agreed with the City of London agreed with appropriate core funding and joint commissioning of services. 5. Maintaining close links with City Finance colleagues to ensure reporting is consistent and accurate. 	Sandra Husbands	Anthea Henry	Ongoing, with monthly reporting.	<p>Updated March 2023. Finance updates provided to PHSMT on a quarterly basis highlighting any key risks/issues.</p> <p>Short-term COVID related grant funding will be fully exhausted by 31 Mar 2023.</p> <p>City SLA review meeting undertaken in Feb 2023 and funding agreed for 2023/24.</p>

Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
AH&I PH 010 Health Protection	<p>Poor vaccination coverage across a variety of infectious diseases vaccinating the majority of the population.</p> <p>Impact</p> <ol style="list-style-type: none"> Without wide scale uptake of child, adult and seasonal vaccination, there will be ongoing outbreaks of vaccine preventable disease. Cooperation of the entire population is required to reduce the risk of further outbreaks. Widening health inequalities as a result of inequitable uptake of vaccines. 	Adults, Health & Integration		<p style="text-align: center;"></p> <p>Risk updated March 2023 . There is also a separate Health Protection Board risk register providing even greater detail into the 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"> Engagement with communities and staff groups who have been vaccine hesitant. Production of Q&As for lay audiences Direct work with the Charedi community to encourage behaviour change and vaccine uptake Risk assessments of staff and access to vaccination for those with occupational risk. Regular targeted comms to manage individual behaviours Support for adherence to local/national guidelines for self isolation Strengthening intelligence and capacity to respond to outbreak threats and variants of concern. Agreeing new ways of working with UKHSA to respond to outbreaks, as COVID emergency infrastructure is dismantled 	Sandra Husbands	Carolyn Sharpe	31 April 2023	<p>March 2023. Regular asymptomatic testing is no longer recommended in any education or childcare setting and LFTs are no longer available. No further guidance is expected from the Department of Education. CQC registered care homes still have access to test kits.</p> <p>Vaccination work is being prioritised with priority groups and children.</p>

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>Impact</p> <ol style="list-style-type: none"> 1. Sensitive, special or patient/ resident level data is compromised and placed into the public domain 2. Reputational damage prevents data sharing due to perception that data is insecure 	Adults, Health & Integration		 Risk updated March 2023

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"> 1. Data retention policy implemented for PH and pop health hub 2. All data held by PH is known, secure and kept according to best practice requirements 3. Health intelligence strategy developed which includes ensuring best practice data management 4. DSAs put in place to cover data sharing with partners 5. Anonymisation policy developed and implemented 	Sandra Husbands	Diana Divajeva, Chris Lovitt	30 April 2023	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

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>Impact</p> <ol style="list-style-type: none"> 1. Reputational damage 	Adults, Health & Integration		 Risk updated March 2023

	<ol style="list-style-type: none"> 2. Insufficient capacity to separate the staff into two services to meet the needs of both organisations 3. Disgruntled staff 4. Financial risk 			
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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"> 1. Clear PH service identity as a joint service and work plan communicated 2. All commissioned contracts report against Hackney and CoL resident activity/ outcome and ensure summary of activity is communicated to relevant stakeholders 3. Ensure SLA annual review meeting undertaken with outcomes report produced & agreement on recharge for forthcoming financial year 4. Provide updates to CoL and Hackney lead members on joint service provision 	Sandra Husbands	Chris Lovitt, Anthea Henry	31stMarch2024	<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 3 years.</p> <p>SLA review meetings undertaken quarterly</p>

Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
AH&I PH 013 Substance Misuse	<p>Our local substance misuse support system is obliged to establish a multi-agency, Combating Drugs Partnership to demonstrate progress towards national strategy goals. Significant increases in funding accompany this. Funding for 23/24 was confirmed early April 23, and funding for 24/25 is still indicative. Increasing funding to our incumbent SM provider has been approved by the CDP though suitable governance has not yet been agreed with legal advice still unclear - there is a risk the grant monies will not be fully spent.</p> <p>Impact</p> <ol style="list-style-type: none"> 1. Reputational damage 2. Damaged relationship with substance use provider 3. Failure to demonstrate progress towards national strategy objectives 4. Loss of central government funding in future financial years 	Adults, Health & Integration		Risk added, Apr 2023

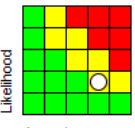

Control Title	Control Description	Responsible Officer	Service Manager	Due Date	Control - Latest Note
AH&I PH 013A Substance Misuse	<ol style="list-style-type: none"> 1. Use contract variation with incumbent provider to rapidly increase capacity through CPIC agreement 2. Regular meetings with DHSC representatives for transparency in our approach 3. Further recruitment planned to augment commissioning capacity with the public health team 	Sandra Husbands	Andrew Trathen	31/7/23	Added April 2023

2. ADULT SERVICES

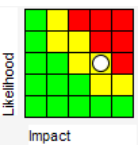

Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
AH&I AS 001 Existing budget and resources are not sufficient to meet demand (Financial, reputational and poor service user outcomes and experience)	<p>Demographic pressures and lack of in-Borough provision causing increased 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>Reviewed March 2023</p> <p></p> <p>Risk has increased</p> <ul style="list-style-type: none"> • Demand for ASC continues to rise. Costs of providing care are also rising, alongside impact from cost of living. • 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. Challenges now exist in claiming back this income. • The cost of the pandemic for the directorate significantly exceeded amounts provided by grants or corporate funding. • 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. • These risks continue to be monitored and reported through the monthly OFP report and through monthly updates at ASC SMT and AH&I DLT.

Control Title	Control Description	Responsible Officer	Service Manager
AH&I AS 001A Financial Controls	<ol style="list-style-type: none"> 1. A department savings tracker has been implemented and is coordinated by Finance, Head of Service Lead and relevant officers, and reported to ASC SMT monthly. 2. Mosaic Follow On work has priority areas around finance (Stream 7 of Mosaic Project Plan) 3. Quality assurance process for care and support commissioning 	Georgina Diba	Director Adult Social Care Operations

	<p>4. Closely monitoring future funding arrangements for hospital discharge pathway, including review being undertaken in winter 2022/23.</p> <p>5. Commissioned a provider to identify opportunities to make financial savings safely - work to implement to commence in 2023/24.</p>		
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Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
<p>AH&I AS 002 – Provider Failure and local market sustainability</p>	<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> <p>Cost of living and delivering services is adding further pressure. Concern around provider failure</p>	<p>Adults, Health and Integration</p>		<p>Reviewed March 23</p> <p style="text-align: center;"></p> <p>This risk has increased.</p> <ul style="list-style-type: none"> • Covid-19 has placed additional pressures on providers. • 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). • Hackney is dependent on providers in other authorities, to which it has less influence on the market sustainability • Recent inflationary growth and issues in the supply market (e.g. fuel, utilities) add extra concern.

Control Title	Control Description	Responsible Officer	Service Manager
<p>AH&I AS 002A</p> <p>Provider Failure</p>	<ul style="list-style-type: none"> • Ongoing quality assurance of providers delivering care and supported living service • Distribution of extra funds through grants • Ongoing conversations with providers re: sustainability • Uplifts for 2023 on a case by case basis. • Continued use of Care-Cubed to understand the market and prices - considering expansion to Care Analytics to look at older people's care 	<p>Zainab Jalil</p>	<p>Commissioners</p>

Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
<p>AH&I AS 003 - Inability to attract and retain a stable, high calibre workforce for key roles within Adult Services</p> <p>(Financial and reputational risk, poor service user experience and outcomes)</p>	<p>Continued 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>Reviewed: March 2023</p>  <p>This risk has stayed the same.</p> <ul style="list-style-type: none"> Some posts remained unfilled, and Managers have reported challenges in attracting high quality candidates, as well as retaining staff. In Adult Services there is a steady shift in staff, with some dependency on interims Previous 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. HwC colleagues keen to consider professional and career development. 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.

Control Title	Control Description	Responsible Officer	Service Manager	Due Date	Control - Latest Note
<p>AH&I AS 003 A</p> <p>Inability to attract and retain a stable, high calibre workforce for key roles within Adult Services</p>	<ol style="list-style-type: none"> Career pathway redesign across health and social care sector Training and development opportunity - recruitment incentive and retention offer Recruitment campaign and apprenticeship expansion Retention focus through transformation programmes and culture change 	<p>Georgina Diba</p>	<p>Principal Social Worker</p>	<p>Ongoing</p>	<ul style="list-style-type: none"> New workforce team structure to develop health and social care recruitment and development platform/ offer Continued focus on positive working culture - led by transformation programme and codesigned with staff Moving to a rolling recruitment approach and embedding recruitment best practice across the service

					<ul style="list-style-type: none"> Idea generation around growing own and increasing newly qualified and career transfer across sectors
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Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
CACH AS 004 - Increased risk to data relating to vulnerable adults due to cyber attack	<p>Following the cyber attack, some data including ASC complaints data was published on the dark web.</p> <p>Identifiable and personal information has been published, putting some service users' data at increased risk.</p>	Adults, Health and Integration		<p>Reviewed March 2023</p> <p style="text-align: center;"></p> <p>This risk has decreased</p> <ul style="list-style-type: none"> 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.

Control Title	Control Description	Responsible Officer	Service Manager	Due Date	Control - Latest Note
AH&I AS 004 A Increased risk to data relating to vulnerable adults due to cyber attack	<ol style="list-style-type: none"> 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. 	Georgina Diba	Leanne Crook	Ongoing	All notifications carried out and no risks realised to date.

Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
CACH AS 005 Insufficient information and systems to safely run the service	<p>ASC returned to Mosaic in November 2022; however, this was recovery and additional work is required to ensure the system is optimised to support practice and risk management of our residents.</p> <p>Risk of judicial review or legal challenge if we are unable to complete statutory returns or provide relevant information needed.</p>	Adults, Health and Integration		<p style="text-align: center;"></p> <p>Updated January 2023 This risk has decreased</p> <p>Mosaic provides a good basis but further work is needed to optimise the system to support recording, processes and our statutory returns.</p>

Control Title	Control Description	Responsible Group Director / Officer	Head of Service	Due Date	Control - Latest Note
AH&I AS 005 A Insufficient information and systems to safely run the service	<ol style="list-style-type: none"> 1. Deliver a project of Mosaic follow-on actions to ensure the system has all functionality present prior to cyber attack, and to consolidate finance and case management actions that were out of scope of the initial recovery project. 2. As part of the follow on project, explore functions to improve financial oversight such as electronic call monitoring systems. 3. Ensure project scope and progress is carefully monitored, and risks and issues mitigated against via a Board chaired by the Director. 4. During the duration of the project, work with ICT to determine ongoing mosaic support and development functionality and resources required as business as usual. 	Georgina Diba / Rob Miller	Leanne Crook	Sep 2024	<p>Resources for a Mosaic follow-on project are in the process of being approved (via Capital Bid request process), to facilitate subsequent procurement .</p> <p>Work is split into three phases - phase 1 (Jan-April) is funded through mosaic recovery underspend plus 10% extension to existing PO.</p> <p>Phase 2 and 3 are requested to be funded via the Capital Bid request.</p> <p>Phase 1 work is underway and progressing well. Board is established and meets fortnightly.</p> <p>Discussions with ICT RE ongoing support are underway.</p>