

Risk Reference	Opened	Risk Description	Risk Rating before Controls	Existing Controls in Place	Risk Rating after Controls	Direction of Travel	Risk Owner (Name & Title)
	Oct-14	The authority does not meet the statutory requirements for Deprivation of Liberty Safeguards and individuals are unlawfully deprived of their liberty. An increasing number of cases already subject to DoLS are being taken to the Court of protection, increasing the risk of Costs and Financial penalties for the Local Authority	20	Additional investment into DoLS has been made, and weekly performance management of waiting list is in place. Regular reporting and review up to Director Level and to Safeguarding Adults Executive Group. Working with external Best Interest Assessors - although these are limited in availability due to national demand. DoLS team are checking all referrals for DoLS against list of open safeguarding referrals to ensure these cases are prioritised in terms of implementing DoLS. Other triage criteria are also followed to identify cases where there is a high risk to the individual and a high risk to the Council of litigation. Three full time BIA posts have been created and a MCA DoLS team manager post has been created as part of the adults social care restructure. The ADAS guidance for case prioritisation is being followed within the DoLS service	12	▶	Assistant Director Care & Support AWB
	Sep-17	The current model of Out of Hours and emergency duty delivery is out-dated. In addition, there are limited numbers of AMHP's available within our workforce in order to manage urgent out of hours MH work	16	AMHP training has recently been run. Review of the service is currently underway and includes consultation with the AMHP practitioners.	12		Assistant Director Care & Support AWB
	Sep-17	Due to increasing financial and demographic pressures, the council is unable to meet its statutory obligations and assess clients in a timely manner and annually review all long-term packages of care.	16	Operational performance data reviewed on a monthly basis with operational managers. Objectives have been set for Heads of Service to improve output of assessments aligned to the more streamlined pathways. As part of new pathway model, system expectations have been identified. Pathway work now being implemented with a view to more effectively managing potential service users at the front end so as to minimise the long term requirement for care	12		Assistant Director Care & Support AWB
	Sep-17	Market viability - Provider services fail, resulting in the need for a (large) number of service users to be transferred in very short timescales, in an already difficult market, with limited capacity (see risk xx below)	16	QAF in place to monitor. Provider failure policy and procedures in place. Commissioning Dashboards are now in place helping to monitor the exposure to risk.	12		Assistant Director of Care & Support
	Mar-17	Market workforce economy - current limited capacity within the social care workforce will impact on availability of services. This is particularly true of Registered Managers and Nurses	25	External market workforce project due for completion April 18 at which point we will launch the care heroes campaign to attract and retain more people into care.	16		Assistant Director of Care & Support
	Sep-17	Market Capacity - due to increasing demographic pressures, social care provision within Herefordshire is becoming increasingly limited, this is particularly true of nursing care provision.	25	Managing the market work programme will include redesign of Shaw block contract beds to increase nursing capacity. Further strategic analysis work underway to review feasibility of council controlled care capacity complex/dementia care.	16		Assistant Director of Care & Support
	Mar-18	There is misalignment between the availability and pipeline of supported and targeted housing and evolving demand for accommodation among people with Adult Social Care need. This is in the context of the new ASC pathway	9	General strategic approach and increased and phased pipeline of new accommodation. Discussion across services to develop more refined pathways for people with a range of different needs	6		Community Capacity & Wellbeing Manager
	Mar-18	Insufficient availability and alignment to needs of short term supported housing for young people and homeless people	16	Accommodation strategy for vulnerable young people. Temporary post implementing supported housing policy changes.	12		Community Capacity & Wellbeing Manager
	Jun-17	Arrangements for letting social and affordable housing to people in housing need break down. Essentially, this would occur because housing providers can and will act independently and try to operate unilaterally. Without proper nomination and information flow arrangements and a revised allocation policy the whole system will fail. The implications include no housing for many people in need, failure of providers business model and huge reputational and political damage for the council.	20	There is now an agreed redesign solution for new arrangements there is an agreed timeline and project plan. This includes sign-off by Cabinet and the plan is currently on track.	15		Community Capacity & Wellbeing Manager

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	Jun-15	A limited shared vision on the operational implications for One Herefordshire and integration, means continued challenges in areas such as BCF/BCF and continued risk of "cost shunting" between agencies rather than focussing on system costs	25	An approved BCF between CCG and the local authority that approves integration and schemes to be delivered. Ongoing negotiations and monitoring through the BCF partnership board and Joint Commissioning Board.	9		Better Care Fund & Integration Manager
	Sep-17	Staff within the service area with extensive knowledge of current processes etc., leave or are not available and there are with no current arrangements to manage continuity.	15	Limited controls in place at present for example staff notice periods, IT systems, PpDp	10		Director AWB
	Sep-17	The staff culture through the organisation is inconsistent with the outcomes desired through the new pathways being implemented, undermining delivery of the desired results.	12	Full strengths based training has been delivered to all staff. Managers bought in to process. Culture is maintained through active promotion of desired values.	6		Director AWB
	Sep-17	Continuing budget pressures, resulting from reductions in the council's RSG, lead to increasing difficulties in meeting a balanced budget within the directorate and potential reductions in the workforce - a reduction in staffing subsequently makes achieving savings more difficult.	25	MTFS in place, proposing balanced budget until March 2020, with planned savings due to mitigate known increases. Regular budget monitoring, regular monitoring of project delivery, member challenge sessions	12		Director AWB
	Sep-17	Limited capacity in both contracts management and quality assurance teams, means capacity to pro-actively engage with commissioned providers is minimal and focus is on providers subject to concerns	20	QAF in place, AWb restructure will support the effective monitoring of services by increasing capacity within the quality assurance team and contract and compliance support. Recruitment campaign currently being undertaken. A skills audit of current staff and develop training programme for new roles.	16		Better Care Fund & Integration Manager
	Jun-15	Welfare Reform - Impact of further welfare reform is currently not able to be quantified in terms of financial impact on Herefordshire residents with subsequent reduction in payment of council tax, other financial liabilities to the council and increasing pressure for local support to be met by the council	20	Welfare Rights service in place, IAS service will support individuals into community capacity that gives specialist advice on welfare issues	12		Director Adults & Wellbeing
	Sep-17	Over reliance on agency staffing for key posts within the directorate, impacts on the timeliness of key deliverables and increases costs	12	Work with Hoople through recruitment processes. Agency staff considered. Redesigning roles so that they are easier to recruit to. Steps taken to reduce staff turnover and sickness rates. PpDp	9		Director Adults & Wellbeing
	Sep-17	Risk of poor management of client financials, due to a lack of integrating between core systems and a debt management process which is not adequate for AWb processes.	16	Processes in place to invoice and manage finances, as well as an existing debt management process			Assistant Director Care & Support AWB
		Potentially significant increases in homelessness arising from welfare reform and limited availability of short term and transitional accommodation. Such increases would lead to poor outcomes for vulnerable people and reputational and regulatory harm for the council.	16	Accommodation strategy to greatly increase supported housing for vulnerable young people. Opportunity in new national supported housing policy to increase portfolio of short term housing for ex-offenders and young people. Review underway of hostel provision, allied to new posts working with rough sleepers.	6		Community Capacity & Wellbeing Manager/Head of Prevention and Support
	Mar-18	Risks to social cohesion and to demand on local services from the council joining the General Asylum Dispersal scheme. Asylum seekers have no access to public funds and are often vulnerable to poor housing and other risks.	16	Council has agreed conditions on the profile of the asylum population to be family groups only and no more than 40 people. It is now negotiating a detailed communication protocol to manage the process with G4S and HO. Improved availability of specialist legal support is being requested. A joined up approach by the council is being taken to monitor quality of asylum seekers accommodation.	6		Community Capacity & Wellbeing Manager
	Mar-18	Growing tendency for traditional voluntary sector to be unable/unwilling to provide contracted services and be disconnected from key council strategic agendas. Leading to procurement problems and potential confusion and associated challenge	12	Proposed new facilitated discussion between council and key cohort of voluntary organisations, allied to closer partnership working with NHS partners.	6		Community Capacity & Wellbeing Manager

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		Potential increase risk for Provider failure due to increase costs, reduced packages due to reablement through Home First, changes to CQC inspections and increase in quality concerns. In this event, there is likely to be an increase in cost of packages to the council, and pressure on capacity in the market.	12	Working with the market to identify issues early on to prevent failure and ensure quality through contract management and intel into the quality dashboard. Scope resilience plan to support/react to failing services quickly. Encourage new providers to the market where appropriate.	4		Adult Social Care Commissioning Manager /Better Care Fund & Integration Manager
	Mar-18	Capacity and willingness for providers to take complex nursing placements in county, at an affordable rate to the Local Authority.	12	Continual engagement with providers, supporting planning applications, scoping alternative models of delivery. Continued working to support the market	4		Adult Social Care Commissioning Manager
	Mar-18	Flu immunisation up-take with Council staff if low take up this will impact on the business continuity of the council	12	Flu watches scheme and flu clinics are in place. We run a flu campaign to encourage staff to take up the flu vaccine	6		DPH
	Sep-17	Providers unable to maintain delivery of services whether due to Finance, Workforce, facilities or weather	20	Quality and Review team and QA framework, market position statement, business continuity plans, Safeguarding process. Workforce recruitment and retention project, reviewing our fee rates and revising market position statement. Revising the QA framework.	12		Director AWB /Assistant DirectorCare & Support AWB
	Mar-18	Potential disruption or failure to meet court of protection and/or appointeeship responsibilities for managing finances of vulnerable adults who not have mental capacity, currently managed through Hoople LTD. Significant reduction in staff capacity and difficulty recruiting to posts could lead to vulnerable people's finances not being dealt with in a timely manner and failure of the council's legal duties to court of protection.	16	Team in place to work with Hoople	16		Director AWB /Head of Corporate Finance
	Apr-18	Sleep-in Shifts- Impact of National Living Wage legislation clarification is not yet quantifiable- potential significant financial risk if council has to fund pay arrears incurred by provider; potential operational risk is providers are not able to meet liabilities and go into administration	15	Limited ability to control risk- outcome dependent on current legal action and central government response to that outcome- council continue to monitor risk and respond once outcome is clear. Engagement with provider market to assess awareness of liabilities and exposure to risk.	15		Director AWB /Joint Strategic Finance Lead