

Risk Reference	Risk Description	Opened	Risk score before controls	Existing Controls in Place	Risk score after controls	Change since last reported	Risk Owner	Reporting Level
CR.015 AWB.001	Deprivation of Liberty IF: the authority does not meet the statutory requirements for Deprivation of Liberty Safeguards and individuals are unlawfully deprived of their liberty THEN: the authority faces a risk of being taken to the Court of protection, increasing the risk of Costs and Financial penalties for the Local Authority.	Oct-14	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 ADASS guidance for case prioritisation is being followed within the DoLS service. Further awareness training with staff and providers, additional legal support and constant review and prioritisation of cases waiting for assessment. Programme to train staff as BIAs in place. Independent BIA engagement plan ongoing two additional full time seconded posts created and filled. Multi agency MCA and DoLS policies completed.	12	◀▶	Assistant Director Care and Support	Corporate
CR.017 AWB.002	Demographic Pressures IF: 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 THEN: clients might not receive the timely interventions required and we might miss the opportunity to maximise independence	Oct-14	25	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. Further to the implementation of the new pathway, there is evidence of improving outcomes for people and reducing the amount of people requiring social care intervention. In addition, we have implemented a SAS team to focus on re-assessment work. Pilot scheme being implemented to boost capacity to undertake assessments.	16	◀▶	Assistant Director Care and Support	Corporate
CR.021 AWB.003	Welfare Reform IF: the impact of further welfare reform has a financial implication THEN: there might be a reduction in council tax, other financial liabilities to the council and increasing pressure for local support to be met by the council.	Jun-15	20	Welfare Rights service in place, IAS service will support individuals into community capacity that gives specialist advice on welfare issues .	12	◀▶	Interim Director Adults & Wellbeing	Corporate
CR.022 AWB.004	Integration (One Herefordshire) IF: there is a limited shared vision on the operational implications for One Herefordshire and integration THEN: there will be continued challenges in areas such as BCF/BCF and continued risk of 'cost shunting' between agencies rather than focussing on system costs.	Jun-15	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	◀▶	Interim Director Adults & Wellbeing	Corporate
AWB.006	Market workforce economy IF: the current limited capacity within the social care workforce continues THEN: will there will be an impact on availability of services - this is particularly true of Registered Managers and Nurses.	Mar-17	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	Directorate
AWB.007	Letting social and affordable housing IF: housing providers act independently and try to operate unilaterally, the arrangements to let social and affordable accommodation may break down THEN: housing for many people in need may be limited and risk of provider failure.	Jun-17	20	There is now an agreed redesign solution for new arrangements there is an agreed timeline and project plan. Key governance is in place and provider partners are engaged and working closely with the council. Re-procurement of IT service has now been launched with somewhat increased confidence of contract award. Dedicated project management support.	15	◀▶	Community Capacity & Wellbeing Manager	Directorate
AWB.008	Out of Hours IF: the current model of Out of Hours and emergency duty delivery are not improved THEN: the limited numbers of AMHP's available within our workforce will fail to manage urgent out of hours MH work.	Sep-17	16	AMHP training has recently been run. Review of the service is currently underway and includes consultation with the AMHP practitioners. Pathway phase 3 has started and service is now under review.	12	◀▶	Assistant Director Care & Support	Directorate
AWB.009	Market viability IF: provider services fail THEN: we will need to manage the transfer of a (large) number of service users in very short timescales, in an already difficult market, with limited capacity.	Sep-17	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	Directorate
AWB.010	Market Capacity IF: due to increasing demographic pressures, social care provision within Herefordshire is becoming increasingly limited THEN: we will experience significant difficulties in placing packages of care, delaying placements and increasing the cost of placements. This is particularly true of nursing care provision.	Sep-17	25	Managing the market work programme will include redesign of block contract beds to increase nursing capacity. Further strategic analysis work underway to review feasibility of council controlled care capacity complex/dementia care. Visits to care homes being scheduled to gain understanding of market which will inform a care home market position statement.	16	◀▶	Assistant Director of Care & Support	Directorate
AWB.011	Staff Continuity IF: staff within the service area with extensive knowledge of current processes etc., leave or are not available THEN: there are risks associated with effectively managing continuity.	Sep-17	15	Limited controls in place at present for example staff notice periods, IT systems, PPdP. Guiding principles need to be established, a process of identifying the relevant people, avoiding single points of failure when designing the organisation and application of principles by managers.	10	◀▶	Interim Director Adults & Wellbeing	Directorate
AWB.012	Staff Culture: IF: staff culture through the organisation remains inconsistent with the outcomes desired through the new pathways being implemented THEN: delivery of the pathway and its desired outcomes will be undermined.	Sep-17	15	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	◀▶	Interim Director Adults & Wellbeing	Directorate

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AWB.013	Continuing budget pressures IF: a reduction in budgets, following reductions in the council's RSG results in staffing reductions THEN: there is a risk in our ability to undertake the work required to make further savings.	Sep-17	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. Improving budget forecasting processes, connecting budget forecasting more closely with operational activity, CPIP approach.	12	◀▶	Interim Director Adults & Wellbeing	Directorate
AWB.014	Contract & Quality Management Capacity IF: we have limited capacity in both contracts management and quality assurance teams THEN: there is a risk on pro-actively engaging with commissioned providers and focus is on providers subject to concerns.	Sep-17	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	Directorate
AWB.015	Agency Staffing IF: there is an over-reliance in agency staffing for key posts THEN: this will impact on the timeliness of delivery and increased costs.	Sep-17	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. PpP. Additional work required with Hoople to ensure that appropriate recruitment processes are in place. Pilot for mixed economy staffing model in planning for August 2018.	9	◀▶	Interim Director Adults & Wellbeing	Directorate
AWB.016	Management of client financials IF: integration between core client finance systems is ineffective and debt management process are not adequate for AWb processes THEN: client financials will be managed poorly, and increase the risk of not collecting all available client income.	Sep-17	16	Processes in place to invoice and manage finances, as well as an existing debt management process.	6	◀▶	Assistant Director Care & Support	Directorate
AWB.017	Increased Homelessness IF: there are significant increases in homelessness arising from welfare reform and limited availability of short term and transitional accommodation THEN: there is an increased chance of poor outcomes for vulnerable people and reputational and regulatory harm for the council.	Sep-17	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	◀▶	Head of Prevention and Support	Directorate
AWB.018	Provider delivery problems IF: there are periods of inclement weather, or provider workforce difficulties or financial issues THEN: providers may be unable to delivery services leaving vulnerable people at risk.	Sep-17	25	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	◀▶	Interim Director Adults & Wellbeing	Directorate
AWB.019	Availability of supported and targeted housing IF: 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 THEN: we will potentially miss the opportunity to place people in more appropriate locations.	Mar-18	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.	9	▲	Community Capacity & Wellbeing Manager	Directorate
AWB.020	Supported Housing for Younger People IF: there is insufficient availability of short term supported housing THEN: we will not effectively meet the needs of young people and homeless people.	Mar-18	12	Accommodation strategy for vulnerable young people. Temporary post implementing supported housing policy changes. C-PIP process. New whole system working group and proposed protocol.	9	▲	Community Capacity & Wellbeing Manager	Directorate
AWB.021	General Asylum Dispersal IF: joining the General Asylum Dispersal scheme is not managed effectively THEN: there are risks to social cohesion and to demand on local services from the council. Asylum seekers have no access to public funds and are often vulnerable to poor housing and other risks.	Mar-18	9	Council has agreed conditions on the profile of the asylum population to be family groups only and no more than 40 people. There is 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. Joint working with DWP on NI numbers and benefits. Exploratory commissioning of specialist housing agency to source private sector accommodation for family stay. Also G4S encountering great difficulty in sourcing accommodation so scheme is now regarded as a pilot and may develop very slowly.	6	◀▶	Community Capacity & Wellbeing Manager	Directorate
AWB.022	Voluntary Sector Disconnection IF: the voluntary sector are unable/unwilling to change their practices THEN: there will be a disconnect from key council strategic agendas, leading to procurement problems and potential confusion and associated challenge.	Mar-18	12	Proposed new facilitated discussion between council and key cohort of voluntary organisations, allied to closer partnership working with NHS partners. cabinet members and directors engaged in developing a corporate approach to recasting the relationships.	6	◀▶	Community Capacity & Wellbeing Manager	Directorate
AWB.023	Nursing Capacity IF: the current trends of difficulty in placing in nursing beds due to increased complexity continue THEN: there will be a further increase in the spend in this area in order to make placements.	Mar-18	12	Continual engagement with providers, supporting planning applications, scoping alternative models of delivery.	2	▼	Head of Care Commissioning	Directorate
AWB.024	Flu Immunisation: IF: flu immunisation up-take with Council staff is low THEN: this will impact on the business continuity of the council.	Mar-18	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	◀▶	Director of Public Health	Directorate
AWB.025	Court of Protection & Appointeeship IF: the reduced capacity of the Hoople team managing court of protection and/or appointeeship due to recruitment difficulties, are unable to meet the needs of vulnerable adults who not have mental capacity THEN: this would result in vulnerable people's finances not being dealt with in a timely manner and failure of the council's legal duties to court of protection.	Mar-18	16	Team in place to work with Hoople. Need to review future handling and delivery of the service.	16	◀▶	Interim Director Adults & Wellbeing	Directorate
AWB.026	Sleep-In Shifts IF: following national guidance sleep-in shifts have to be paid at National Living Wage legislation rates THEN: the council might be subject to increased spend, a backdated bill, as well as increased risk of provider failure.	Apr-18	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	◀▶	Interim Director Adults & Wellbeing	Directorate

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AWB.027	Market Capacity from Provider Failure IF: providers fail due to increased costs, reduced packages due to reablement through Home First, changes to CQC inspections and increase in quality concerns THEN: package costs are likely to increase for our clients and there will be further pressure on capacity in the market.	Jun-18	16	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.	2	▼	Head of Care Commissioning	Directorate
AWB.028	NHS Re-organisation IF: there is a major NHS re-organisation THEN: this might hinder effective joint working with social care.	Jun-18	16	One Herefordshire Group gives us strong communication with the NHS. Links through to ADASS give advance warning if developments in the NHS. Strengthen the One Herefordshire and Health and wellbeing board arrangements.	16	◀▶	Interim Director Adults & Wellbeing	Directorate
AWB.029	Care Home Ratings IF: the increasing trend of care homes with reduced ratings by CQC (to either Inadequate or RI) THEN: placing people will be more challenging and these homes will require additional support from our staff.	Jun-18	25	Proposal for future working with CCG and increased staff support within QA team. QAF under review and working closely with CCG on improvements. Training programme being developed for providers.	20	◀▶	Head of Partnerships and Integration	Directorate
AWB.030	Contract Interest IF: we get limited interest when re-procuring services (due to market fragility, limited budgets and innovation) THEN: we might have difficulties in successfully awarding contracts.	Jun-18	12	Substantial work with existing providers and potential markets to raise awareness of opportunities and the changes in design of services.	6	◀▶	Head of Strategic Housing & Wellbeing	Directorate
AWB.031	Legal Support IF: we do not receive appropriate levels of commercial contract legal services THEN: we run the risk of not underpinning contracts with the appropriate contract documents etc.	Jun-18	12	frequent requests for legal support and escalation of concerns over risks. The existence of a binding contractual relationship with providers despite the absence of a documented contract.	9	◀▶	Head of Strategic Housing & Wellbeing	Directorate
The following risks have been removed from the Register								
CR.024 AWB.005	System resilience and urgent care The role and responsibility of adult social care alongside system and process is not clearly set out in relation to system resilience and urgent care.	Oct-15	16	Transformation Board and Joint Commissioning Board in place underpinned by refreshed Health and Well Being strategy. Social care pathway for prevention of hospital admission and discharge is aligned with WVT. Joint post funded through SRG to manage interface is in place, number of schemes funded through BCF to support urgent care - however this post has now ceased. On call arrangements in place and AMPH/EDT rota is in place. Senior Management attend operational and strategic SRG. IUCS in place. Recently appointed a complex care pathway lead, to lead on EDT OOH provision.	16	◀▶	Interim Director, Adults & Wellbeing	Corporate