

Detailed Risk Report (incl Control Measure Target Date)

Risk Ref	Risks	Triggers	Consequences	Existing Control Measures	Current Risk L I Total	Required Control Measures	Target Risk L I Total	Responsibility	СРТ
ASD0028	Overspend in adult social care services.	National proposal on long-term funding solution for adult social care from October 2023 onwards likely insufficient to meet demographic changes and increased demand. Short-term funding mechanisms which do not provide stability Increasingly complex needs of adults in need of care and support Growing demand of those in need of care and support	Pressures on care package budgets across client groups. Pressures on staffing budget. Cost pressures on other areas of the Directorate. Non-delivery of savings targets	Robust budget management Regular budget monitoring meetings held across the service. Staffing within costed establishment budget. Budget realignment exercise undertaken. Budget training with all budget managers. SLT ASC and Financial Assessment Team. Budget Call over in place that includes oversight of saving projects. Care and Support Plan Assurance Meetings (CSPAM) in place to manage spend and assurance over care recommendations. Invoicing for income from ICB for s117 and CHC. Debt recovery panel in place for user charges. Vacancy factor in place for 24/25 at 3% will be monitored via Budget call over meeting. Applying for short term grants, i.e. Hospital Discharge. Implementing strategies and commissioning services which are focused on community support Commissioning effective preventative services including advice and information Ensuring sufficient community support services and accommodation options which minimise the need to use expensive residential care	4 4 16	ASC Transformation A refreshed Adult Social Care strategy was developed at the end of 2021, this sought to embed a refreshed vision for Adult Social Care and transformation and support with developing a more sustainable budget. Adult Social Care Transformation & Improvement Programme seeks to implement this vision and provides opportunities for medium to long term savings with a particular focus on technology enabled care and housing with support. The Tech Enabled Care project has been supported via the MTFS process as an invest to save. This will provide tangible cost avoidance and savings in the medium to long term. Katie O'Driscoll <u>Required Control Measure</u> Target Date: 30/06/2024	3 4 12	Katie O'Driscoll	A Dynamic Outcomes-Based Council Using Digital Innovation And Partnership Working To

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ASD0015	Death or serious harm to a Vulnerable Adult who was or should have been, in receipt of services, either from the Council or a Partner Agency.	There is a failure of one or more of the controls in place to identify the degree of risk to a vulnerable adult (multi-agency safeguarding procedures) Poor practice, insufficient information sharing and/or inadequate management oversight. Failure of quality control systems. Service user fails to work to agreed partnership / agency arrangements. Poor communication and partnership work. Poor resourcing of service areas against increased demand. Local authority contracted out service do not have sufficiently robust safeguarding arrangements.	Harm to an individual. Reputational damage to the Council. Potential for legal proceedings against the council leading to financial loss. Loss of confidence in safeguarding capability.	Oversight through management reportingSocial workers have 1:1 supervision monthly on their casework includes safeguarding cases.Safeguarding case work is managed via s.42 Safeguarding Procedures in line with the Care Act 2014High risk cases are present to the High-Risk panel The Senior Management Team managers are responsible for the review and monitor Adult Safeguarding cases in their services in supervision with their Team Managers.The Principal Social Worker leads on implementing learning from Safeguarding Adult Reviews in the Council alongside the Safeguarding Adults Board Hoarding Panel.Evictions Panel - MH Cases - supported accommodation in borough.Safety Huddles / MDTs with GP's Interface documents - pending.Waiting List - RAG rated Safeguarding Adults Board Strategy The actions within the SAB strategy aim to mitigate the risks associated with safeguarding. These are linked to the principles of Safeguarding with is Empowerment, Prevention, Proportionality, Partnership, Protection and Accountability. They are also linked to the principles of Making Safeguarding Personal. The SAB will be focusing on 3 key priorities relating to Adults with Learning Disability, Homelessness	3 5 15	Information campaigns to raise awareness of safeguarding with oversight from Safeguarding Adult's Board This is an ongoing priority for the Safeguarding Adults Board and includes the annual 'Safeguarding Month' campaign in November each year. The Independent Chair takes a key role in this and all SAB partners participate. Specific campaigns are run at other times including financial abuse & scams, modern slavery, domestic abuse etc. <i>Katie O'Driscoll</i> <u>Required Control Measure</u> <u>Taraet Date:</u> 07/07/2024 Recruit a new Independent Chair of the Safeguarding Adult Board Following the death of the previous chair, recruit a new independent chair. Denise Radley <u>Required Control Measure</u> <u>Taraet Date:</u> 30/04/2024	2 5	10	Denise Radley	People Are Aspirational, Independent And Have Equal Access To Opportunities

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				and Substance Misuse and Self					
				Neglect.					
				Safeguarding issues as part of					
				contract management procedures					
				Procedures overseen by Joint					
				Director for Integrated					
				Commissioning - contract					
				management procedures continue					
				to focus on safeguarding.					
				Care Quality Commission embargo					
				list used.					
				This list is available from the Care					
				Quality Commission highlighting all					
				providers where the CQC has					
				raised concerns.					
				London ADASS branch circulate					
				any service suspensions or					
				restarts due to safeguarding					
				concerns and these are passed to					
				the Brokerage service.					
				Provider Concerns and interface					
				with Adult Safeguarding is a					
				standard agenda item at Joint Adult					
				Social Care and Integrated					
				Commissioning Senior Management					
				Team meeting.					
				Failed visit policy and procedures in					
				place.					
				The Failed visits policy and					
				procedures were originally agreed					
				in 2018 and have been reviewed					
				over the last year. They are					
				currently in use and should be					
				reviewed and amended if					
				necessary annually.					
				Safeguarding Adult Reviews Action					
				Plan - implementation of					
				recommendations of all SARs					
				We have a Safeguarding Adults					
				Review Tracker in place to monitor					
				and oversee the implementation of					
				actions arising out of Safeguarding					
				Adult Reviews.					
				This is monitored for the					
				Safeguarding Adult Review sub					

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				group and Board.					
ASDASC0 018	Regulatory censure and Safeguarding failure arising from deficient process for new and ongoing employee vetting (i.e. pre-employment checks, ongoing vetting of DBS status, verification of qualifications and other suitability/ screening checks).	Non-adherence to procedures in relation to recruitment and employee vetting Failure of reporting mechanisms to provide assurance on vetting Vetting not renewed/updated where required	 Harm to individual children, young person or vulnerable adult Poor audit/review findings Reputational damage to the council including poor inspection outcomes Poor quality assurance Potential for legal proceedings against the council leading to financial loss 	Existing protocols and procedures relating to DBS checks and recruitment more generally Existing procedures and guidance on DBS checks and recruitment are available to staff on the Bridge.	3 4 12	Reporting Tool To oversee the renewal of the DBS check reporting tool and ensure it is fit for purpose now and in the future to assure compliance with agreed procedures. Catriona Hunt <u>Required Control Measure</u> Target Date: 30/04/2024 Identify any actions needed to ensure compliance using the renewed DBS reporting tool Identification of any DBS checks requiring non-statutory updating, sharing with service managers and HR business partners and completing the process to update. Prioritise children's and adults services, risk assess where required and put appropriate waivers in place if needed. Catriona Hunt <u>Required Control Measure</u> Target Date: 31/05/2024 Review of posts in scope of DBS Review posts identified for DBS checking and ensure consistency across the organisation. Draw on best practice over and above statutory requirements particularly for children's and adult social care working closely with the Principal Social Workers. Ensure consistency in checks across adults/children's registers.		Denise Radley	Risk Corporate Plans

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						Catriona Hunt			
						Required Control Measure			
						Target Date: 31/05/2024			
						Review DBS process & policy			
						Review all aspects of the vetting			
						process including moving to the			
						automatic annual check platform			
						as standard.			
						Catriona Hunt			
						<u>Required Control Measure</u> Target Date: 31/05/2024			
ASDCH00	Home care	New adult homecare	This decision could lead		3 4 12	Open procurement process	3 3 9		
16	recommissioning - electronic home care	tender process , new contracts awarded	to issues around safeguarding and service			Open procurement process will		Tomsett	
	monitoring has been	contracts awarded	delivery being more		_	test providers response and how	-	_	Plans
	excluded from the		difficult to monitor,			they will deliver safely despite this position. The response rate			E E
	specification in line with		discover and prove. Also			has been high which is likely to			Corporate
	political preference.		there may be issues			lead to successful providers who			orpo
	Procurement process has		around confirming hours			can mitigate this risk.			Risk O
	taken much longer than expected.		worked/ delivered against hours paid for by the			Warwick Tomsett			الله الله
			Council. Delay to moving			Required Control Measure			
			to new model of home			Target Date: 27/09/2024			
			care and extensions to			External procurement expertise			
			existing contracts			commissioned and put in place.			
			required.			Due to capacity issues within the			
						Procurement Service, external			
						procurement support has been			
						put in place to mitigate any further			
						delay to the procurement. <i>Warwick Tomsett</i>			
						Required Control Measure			
						Target Date:			
						30/04/2024			

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ASDCH00 17	The failure of NRS to deliver the Community Equipment contract effectively.	NRS hands back the community equipment contract. NRS goes into administration. Hospital discharges are significantly impacted. Performance drops below a level that can be tolerated by the consortium.	Residents are left without the community equipment needed to safely live independently in the community. Residents are unable to be discharged from hospital in a timely way. Patient safety is impacted by the performance of the contract.	Contract management by Consortium lead Local Authority This service is commissioned through a Consortium that is led by the London Borough of Westminster Contract & performance management within Integrated Commissioning Within the Consortium arrangements, oversight for Tower Hamlets is maintained through a lead commissioner within Integrated Commissioning including monitoring local feedback from all prescribers/agencies	3 4 12	Agree contract variations designed to ease the financial pressure on NRS Contract variations around the pricing model and payment terms have been agreed to support business continuity. Darren Ingram <u>Required Control Measure</u> Taraet Date: 27/10/2023 Seek back-up arrangements to provide capacity during winter pressures Secure additional capacity from an alternative supplier to use in the event that NRS is unable to deliver what is required. Darren Ingram <u>Required Control Measure</u> Taraet Date: 31/05/2024 Supplier Action Plan - monitor A supplier action plan is in place and being managed by the consortium (led by RBKC). Darren Ingram <u>Required Control Measure</u> Taraet Date: 31/05/2024 Attendance on the daily discharge hub calls Commissioning attendance on the daily hospital discharge hub calls to support unblocking of issues relating to community equipment with NRS. This has had a positive impact and the request from the discharge hub is for this to continue until further improvements are seen.	3 3 9	Darren Ingram	Health and Adult Social Care

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						31/05/2024			