



PEOPLE (April 2021) - Adults and Housing

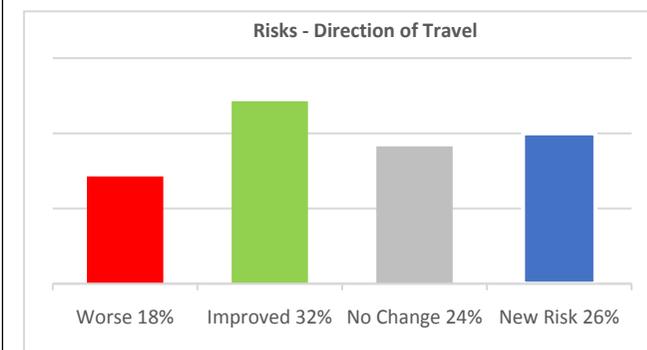
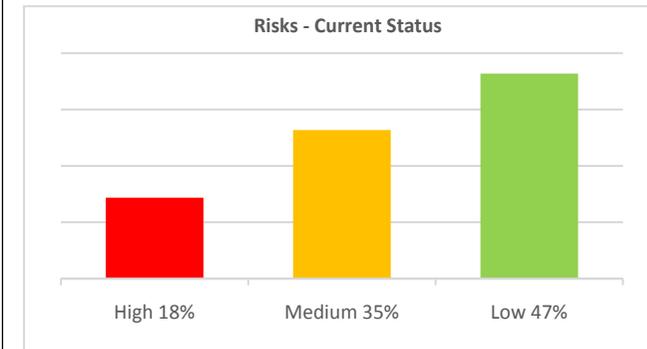
The continual development and promotion of risk management will ensure that the Council is well placed to demonstrate that objective and informed decisions are taken and that the Council is ultimately in a strong position to successfully face and address the challenges ahead.

Adults and Housing Service Risk Profile					
		Likelihood			High Risks 7 in total
		L	M	H	
Impact	H	3	4	2	Number of Risk: 38
	M	8	9	1	
	L	7	3	1	

Score IMPACT	Financial	Legal / Compliance	Strategic	Safety, Wellbeing & Safeguarding	Reputation	Service Delivery
<b>HIGH</b>	Over £500k	Non-compliance with legislation or regulatory breach  Significant regulatory impact	Complete failure of a strategic priority  Major impact on a strategic priority	Fatality or life-changing injury / illness; Significant safeguarding breach  Major injury / illness; moderate safeguarding breach	Complete failure in confidence (local or national)  Long term media attention (local or national)	Complete failure to deliver critical services (safeguarding; urgent statutory responsibilities etc)  Major impact on delivering critical services (safeguarding; urgent statutory responsibilities etc)
<b>MEDIUM</b>	£300k to £500k	Moderate regulatory impact	Moderate impact on a strategic priority	Moderate injury / illness	Medium term negative impact on public memory	Serious disruption to less critical services
<b>LOW</b>	£0k to £300k	Minimal regulatory impact  No legal or regulatory impacts	Minor impact on a strategic priority  Negligible impact on a strategic priority	Injury or illness requiring minimal intervention / treatment  No health and safety impact	Short term negative impact on public memory  Minor complaints or rumours	Minor disruption to services  Negligible disruption to service delivery

Version 2 – 6 April 2021

Score	LOW	MEDIUM	HIGH
LIKELIHOOD	0 to 40%	41% to 60%	61% to 100%
Description	Unlikely	Possible	Likely



### People Directorate - Adults and Housing - Overall

		Likelihood			<b>Commentary: High Risks = 7</b> The new format for risk reporting was agreed by Audit and Governance Committee at the May meeting. It was requested that closer links are enabled between the risk and performance measures. Also, members wanted to be able to see what updates more clearly have been made to the risk since the last report. Relevant changes were incorporated into reports with links to the control environment.
		L	M	H	
Impact	H	3	4	2	
	M	8	9	1	
	L	7	3	1	

### People Directorate - Adults and Housing - Adult Care

		Likelihood			The People Directorate - Adults and Housing delivers adult social care, housing, and community safety services to people living in Dorset within the context of the Council Plan. We invested over £1million through our Better Care funding to deliver increased capacity for Adult Care Operations and Commissioning. Dorset Council is one of the 4 pioneer authorities for Sustainability and Transformation Planning delivering a joint vision for working across the NHS and Local Authorities in Dorset around acute care, an integrated care system, and prevention at scale across our adult social care and health and commissioning functions.
		L	M	H	
Impact	H	1	3	1	
	M	2	3		
	L		2	1	

<b>High Risk: 125) Gap exists between amount of available resource and post-COVID statutory demand - Accountable Officer – Corporate Director for Adults / Head of Commissioning</b>	Direction of Travel	<b>Improved</b>
	Last Reviewed	<b>5 April 2021</b>

COVID-19 is likely to bring a legacy of increased risk of provider failure across all areas of adult social care provision. Strategic planning with system partners is ongoing to support appropriate levels of intervention to deliver the council's statutory responsibility for market shaping under the Care Act 2014. The increased demand for care and support services is increasing the pressure upon provider workforce capacity.

As part of the 'A Better Life' Programme (known as ABL), there is a workforce stream which is developing a Dorset social care initiative to enable improved recruitment training and retention plus a clear career pathway.

One of the financial impacts of COVID-19 may be that our collection rate for service user contributions and third-party contributions drops. COVID grant support for the provider market is continuing into quarter 1 of the new financial year, however we are still awaiting details regarding how national funding will support the long-term funding of care. We have looked at demand and activity data, and from that prioritised the work which needs to be done now and that which needs to stop and slow down. Following the easing of the first COVID wave contacts into adult social care doubled in the first month and took another quarter to reduce. This pattern is anticipated to repeat and consequently capacity is constantly under review. The amount of unused annual leave across the service and the impact on service delivery of spacing requests is being analysed.

The increased cost of statutory services especially in the Care Home market during COVID puts at risk the ABL savings plan.

Managers are focused on budget management and there is evidence from the staff survey that staff understand the importance of using resources efficiently to meet people's needs. Savings and budget spend are closely managed. Review of high cost packages are being undertaken in locality teams.

<b>High Risk: 165) Capacity, capability and focus within the Adult Social Care workforce is not appropriate to deliver statutory responsibilities and key priorities to an acceptable standard - Accountable Officer – Corporate Director for Adults</b>	Direction of Travel	<b>No Change</b>
	Last Reviewed	<b>21 March 2021</b>
<p>Although the impact of the 2nd wave of COVID-19 is easing there is a potential for a third wave peaking in June so preparation will continue to develop the system-wide Hospital Discharge process and resilience in the wider service. Following the easing of the first COVID wave, contacts into adult social care doubled in the first month and took another quarter to reduce. This pattern is anticipated at this point and so capacity is being looked at. The amount of unused annual leave across the service and the impact on service delivery of spacing requests is being analysed. The significant additional demands resulting from COVID-19, in particular delivering the Phase 1 Home First Model, increased safeguarding, Approved Mental Health Professional and Deprivation Of Liberty Safeguards referrals have had significant impact on the capacity within adult social care to deliver business as usual alongside the transformation required to deliver improved outcomes for vulnerable people and savings. Capacity is affected both by new COVID workload and by the impact of COVID on the availability of staff. For example, because they are themselves ill or because they have caring responsibilities.</p> <p>The hospital discharge COVID requirements have increased the number of people we are commissioning/contracting for across the system. This has impacted upon commissioning and brokerage functions, business intelligence and the finance teams who are required to recording and track cases to claim COVID funding support. For finance, the increase in workload alongside workforce changes and subsequent gaps may be a significant risk to the Council. We have developed an action plan for operational activities focused on the highest risk and stopping some lower priority work. We have brought in interim resources to support some of the COVID work and we are also looking to bring in resources to support us to deliver the 'A Better Life' (ABL) Transformation programme. Within the ABL programme we also have a workforce group looking to proactively address recruitment and retention and the issues of an ageing workforce.</p>		
<b>High Risk: 5) Failure to manage and shape the provider market results in increases in service costs and poor service - Accountable Officer – Head of Commissioning</b>	Direction of Travel	<b>Worse</b>
	Last Reviewed	<b>5 April 2021</b>
<p>This risk is one of the Directorate's most volatile and challenging to control risks. The risk 'likelihood' was originally 'High' but was then re-assessed as being 'Low' in March 2020 after a review of the controls and mitigating actions that had been introduced (see 'List of existing controls'). This reduced the overall risk score.</p> <p>Now, in March 2021, the risk has deteriorated due to the impact on the provider market of the COVID-19 pandemic. It is likely that the council will see an increase in quality and safeguarding concerns as care settings become more available for physical visits. The factors detailed in Risk 125 also apply to this risk. The mitigation that we have includes increased oversight of the market, (capacity etc) and the protocols in place to manage provider failure (extraordinary claims process, care home closure protocol).</p> <p>Since the pandemic began, the level of engagement and support that the Commissioning Team (including Quality and Brokerage) have been undertaking has significantly increased, there have been dedicated web pages created to support the sector. Moving forward the team will be focusing on working with providers on shaping their offer to reflect the changes in requirements, movement from the public to stay at home longer. Some care home providers may no longer be financially viable during and/or post-COVID. As we make the necessary transitions in the way in which service users' needs are met, there are risks that, for example, we do not fully meet the needs of carers for people receiving support that was previously provided in a buildings-based day service.</p> <p>Controls - Frameworks are in place with fixed rates for domiciliary care, both for older people and those with a learning disability. A tariff is in place for residential care placements, this is used as a starting position for any placements with providers outside of those on the Framework and accepting the tariff. Any new providers joining our Dorset Care Frameworks must sign up to accept the tariff rates. Regular Engagement events are held with the provider market to keep them informed of the Council budgetary position, strategic intentions, and the direction of travel.</p>		

<b>High Risk: 16) Breach of information rights legislation - Accountable Officer – Corporate Director for Adults</b>	Direction of Travel	<b>Worse</b>
	Last Reviewed	<b>5 April 2021</b>

There have been 2 recent data breaches by council employees in their daily duties. Both have been reported to the Information Commissioners Office (known as the ICO). No further action is being taken by the ICO at this point and action is in place to reduce the likelihood of further breaches through staff training and quality assurance processes.

Information rights are given under at least 10 pieces of UK legislation. These pieces of legislation include the Data Protection Act, the Freedom of Information Act, the GDPR and the RIPA. Rights are given to individual members of the public and to nominated officers of the Council. There is a risk of breach as we work towards full compliance with the expectations that are set out in the Information Commissioner's Accountability Framework. The risk is classified as 'deteriorating' because it has been reassessed to consider that our Information Asset Registers are overdue for review and update.

Several actions have already happened, are planned and/or proposed to improve compliance and a full list is summarised on the corporate risk register.

**People Directorate - Adults and Housing - Brexit**

		Likelihood			The UK left the EU on 31 January 2020.
		L	M	H	
Impact	H	<b>2</b>			The EU–UK Trade and Cooperation Agreement (TCA) is a free trade agreement signed on 30 December 2020, between the European Union (EU), the European Atomic Energy Community (Euratom) and the United Kingdom (UK).
	M	<b>1</b>			
	L	<b>3</b>			

No High Risks

**People Directorate - Adults and Housing - Community Safety Services**

		Likelihood			The Dorset Community Safety Partnership (CSP) aims to - reduce crime and the fear of crime - address risk, threat and harm to victims and local communities; and facilitate the strengthening of Dorset's communities in the delivery of local initiatives. Find out more about the <a href="#">Dorset Community Safety Partnership</a> CSPs are required to have three-year Community Safety Plans that are refreshed annually. This latest refresh of the 2017-2020 Plan sets out partners' current priorities based on the most recent assessment of community safety issues.
		L	M	H	
Impact	H				
	M		<b>3</b>		
	L				

No High Risks

## People Directorate - Adults and Housing - Housing Services

		Likelihood			There are over 300 households in temporary accommodation and an ongoing demand for assistance from people either facing homelessness or being homeless. This is in addition to over 6,000 households waiting on the Housing Register for a social or affordable rented home. The availability of those permanent lettings falls far below the demand from homeless people or those in housing need. Options and work to prevent homelessness are in train, but there are many households who are in the position where they need to be housed, and there is a shortfall in settled provision.
		L	M	H	
Impact	H			1	
	M	4	2	1	
	L	2			

<b>High Risk: 247) Temporary Accommodation is insufficient to meet community need - <b>Accountable Officer – Service Manager for Housing Solutions</b></b>	Direction of Travel	<b>Improved</b>
	Last Reviewed	<b>5 April 2021</b>

The Covid-19 pandemic has seen the Council's dependence on B&B accommodation for homeless households increase by over 50%. As of the 7 August 2020 the Council had 349 households in temporary accommodation of which 139 households are in B&B accommodation. The use of B&B has a direct revenue impact on the budget. The Council has an Accommodation Finder who is an officer in the Housing team who sources new properties for leasing from the private sector and continues to be successful in sourcing new properties which will help reduce the number in Bed and Breakfast and has had her part-time hours increased to full-time, additional capacity is being sourced for the team. However, as soon as someone moves on from B&B another person needs Council support. On average 10 homeless households per week are seeking support from the Council and are being accommodated.

Officers are preparing a bid to Ministry of Housing, Communities and Local Government (known as MHCLG) to obtain capital grant funding to purchase additional accommodation. However, the Council will also need to contribute capital funding to the project and a report is being prepared for Cabinet.

Dorset Council successful in bid for Next Steps Accommodation Programme funding £600K and Dorset Council capital funding £1 million to support the purchase of new accommodation and support services related to cohort of homeless and rough sleepers accommodated during first Covid19 measures 'Everyone In'. Several properties are purchased or nearly completed, projects to refurbish newly leased properties are ongoing. The total number of households in temporary accommodation including bed and breakfast is 285. Of those, 87 are in bed and breakfast. Families with children or pregnant women in bed and breakfast are being moved to more suitable temporary accommodation as quickly as possible and currently there are 9 families with children in bed and breakfast.

There is a direct cost to the Council for every household placed in B&B accommodation in housing benefit top up. Additional temporary accommodation takes the pressure off B&B placements and results in a cost avoidance.

<b>High Risk: 180) Increased homeless population - <b>Accountable Officer – Service Manager for Housing Solutions</b></b>	Direction of Travel	<b>Worse</b>
	Last Reviewed	<b>5 April 2021</b>

Risk of homelessness increasing due to the release of the ban on landlords taking possession proceedings to Court (eviction), income loss due to rises in unemployment and income loss due to the £20 Universal Credit top up being removed. Protections have been in place during the lockdown period, since March 2020, to prevent eviction and to top up income shortfalls through furlough or Universal Credit.

Controls - Advice and guidance available within the community and via website. Support to complete residency available at Citizens Advice Bureau and Race Equality group. Should additional people then become homeless they are not eligible for service and this should be considered as part of wider community strategy in partnership with all community and voluntary agencies. Clear engagement work required with relevant agencies to support this cohort.

**People Directorate - Adults and Housing - A Better Life Transformation Programme**

	Likelihood			A Better Life (ABL) is the transformation programme in the Adults and Housing Directorate. It takes the work we started in 2020 and the learning from COVID-19 through accelerated change. This is an evolving programme with a clear focus.
	L	M	H	
H		1		
M	1	1		
L	2	1		

<b>High Risk: 306) The impact of hospital pressures - Accountable Officer – Change Programme Manager</b>	Direction of Travel	<b>New</b>
	Last Reviewed	<b>8 March 2021</b>

There are several impacts of COVID-19 for the development of the Home First model. In the effort to discharge patients, some processes may not be followed; and recording and monitoring can be imperfect. In turn, this has impacts on the development of a successful Brokerage Model and on the opportunities to engage with providers - including through brokerage.

The mitigations include closer working with Operational Teams and the development of reliable data sets. There is also an opportunity to use current COVID-19 pressures to drive forward Home First at a faster pace.