

28 January 2022

High Risk Ratings between 16 - 25 (high): Major risks that require immediate attention.
Medium Risk Ratings between 12 - 15 (medium): Significant risks to be monitored.
Low Risk Ratings below 12 (low): To be monitored.

Area Director ASC Service Delivery: Chris Hastings

Risk Ref	Date logged	Risk Description and Impact	Risk Owner	Action Owners	Impact (1-9)	Probability (1-9)	Score (Pre-controls)	Inherent risk level (no controls)	Countermeasures Consider risk response Mitigate/Reduce/Transfer/Accept/Contingency (Date and update as appropriate)	Impact (1-9)	Probability (1-9)	Score (Residual)	Residual risk level (after existing controls)	Review Date	Changes made during last review
1	Jan-22	Building infrastructure breaks down requiring whole or part building closure that in turn requires immediate/fairly prompt evacuation of some or all residents.	Simon White	Chris Hastings	5	3	15	Med	ACCEPT: Building infrastructure is being monitored. The council's Provider Support Policy would be invoked if needed.	5	3	15	Med		
2	Jan-22	All care home buildings do not comply with current building standards for new builds expected by some service regulators e.g. fire service	Simon White	Chris Hastings	3	5	15	Med	ACCEPT: Buildings will not meet expectations of new builds without redesign. This limits the support that can be provided at the care home and the council's care offer will become less attractive to potential residents.	3	5	15	Med		
3	Jan-22	The design of buildings does not enable support to be provided to people assessed to have complex care and support needs e.g. small size of bedrooms and open stairways. Constraints of building footprints will not enable the council to be seen as a market leader and deliver on its own commissioning strategy for older people.	Simon White	Chris Hastings	4	5	20	High	ACCEPT: The council continues to provide residential care to people who do not have complex care and support needs and may run with vacancies where people chose to live in services run by independent sector providers.	4	5	20	High		
4	Jan-22	Privacy and dignity may not always be provided as residents are required to use non sex specific shared bathroom and toilet facilities.	Simon White	Chris Hastings	3	5	15	Med	MITIGATE: Non sex specific facilities will continue to be shared. Staff are trained and well practiced in maintaining residents' privacy and dignity.	3	3	9	Low		
5	Jan-22	The control of infectious viruses and diseases is more challenging to manage where residents share facilities	Simon White	Chris Hastings	5	5	25	High	MITIGATE: Regular review of practice to ensure guidelines are being followed to minimise the risk of infections spreading. Staff have thorough training in relation to infection control.	5	3	15	Med		
6	Jan-22	As the rooms in the current homes are fairly small there is a risk that it would be a challenge to support some people with high level needs as space would be limited to accommodate some larger pieces of equipment	Simon White	Chris Hastings	5	4	20	High	MITIGATE: 'Moving and Handling' training is provided to staff to encourage good practice. If care and support needs can not safely be met, residents would be assessed and transferred to a care setting that is more appropriate to meet their assessed needs.	5	3	15	Med		
7	Jan-22	Residents of Surrey decline the offer of living in an in-house residential care home resulting in a higher vacancy rate than planned.	Simon White	Chris Hastings	3	3	9	Low	MITIGATE: It is possible that an increasing number of people decline in-house services resulting in increased operating costs. Living and working in a care home with increasing vacancies will negatively impact on the health and wellbeing of all.	2	2	4	Low		
8	Jan-22	New or revised regulations may require the council to make improvements to buildings	Simon White	Land and Property	5	2	10	Low	MITIGATE: Early warnings from Property Maintenance Team to support planning for upcoming changes to regulations.	4	2	8	Low		
9	Jan-22	Our ability to recruit and retain staff becomes more difficult as a result of a highly challenging labour market that could lead to insufficient staffing to deliver safe levels of care. Since the start of the consultation the care homes have been advertising for staff on a fixed term basis, this may change after Cabinet decisions.	Simon White	Chris Hastings	5	3	15	Med	MITIGATE: Monitor workforce data and ensure business continuity plans are up to date. Work with recruitment staff to ensure adverts are seen by as many potential staff as possible and that delays in the recruitment process are minimised.	4	3	12	Med		
10	Jan-22	There would be financial pressure on the Adult Social Care budget if the care homes were not able to return to a normal level of occupancy e.g. due to the homes not accepting new long term admissions, unable to meet care needs or people choose to move to alternative homes.	Simon White	Chris Hastings	4	4	16	High	MITIGATE: Clear communications between locality teams and commissioning by the service on the admissions status for each care home. Increased admissions of both long term and respite service users. Identify budget pressures and plan alternative action(s) to offset pressures.	3	3	9	Low		

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Low Risk Ratings below 12 (low): To be monitored.

Area Director ASC Service Delivery; Chris Hastings

Risk Ref	Date logged	Risk Description and Impact	Risk Owner	Action Owners	Impact (-/0)	Probability (-/0)	Score (I x P)	Inherent risk level (no controls)	Countermeasures Consider risk response Mitigate/Reduce/Transfer/Accept/Contingency (Date and update as appropriate)	Impact (-/0)	Probability (-/0)	Score (I x P)	Residual risk level (after existing controls)	Review Date	Changes made during last review
1	Jan-22	It is estimated that any significant redesign of buildings will take some time to be completed (tendering, design, sign off and build). All risks listed for Option 1 will apply in planning phase.	Simon White	Chris Hastings	5	5	25	High	ACCEPT: continue to provide care as now	5	5	25	High		
2	Jan-22	Investment in buildings will improve some internal facilities and not address the issues linked to the ageing infrastructure of the building.	Simon White	Chris Hastings	5	5	25	High	MITIGATE: regular building inspections identify issues that are addressed through the planned maintenance programme and will ensure all health and safety issues are addressed.	4	4	16	High		
3	Jan-22	Disruption caused by refurbishment may require residents to move to a different part of the care home while work is undertaken which may raise anxieties for residents and impact on service provision.	Chris Hastings	Senior Manager's OP	5	5	25	High	MITIGATE: consider impacts and plan alternatives when extent of refurbishment required is known, involve residents and families in the discussions, supporting residents to have the same room layout in new room if this is what they wish.	5	4	20	High		
4	Jan-22	Disruption caused by refurbishment may require residents to move out of the care home while work is undertaken, causing residents and relatives anxiety	Chris Hastings	Senior Manager's OP	5	5	25	High	MITIGATE: Residents, their families and the workforce are at the heart of service considerations. The council is experienced in supporting people to move between care settings and will follow the Provider Support Protocol that is in place to ensure moves are handled sensitively and follow good practice. Residents, their families and carers will be involved in planning moves. Issues that are important to each resident will be considered e.g. maintaining friendship groups, links to local communities, faith groups and location of their new home. Resident's will be offered the opportunity to return to the home when works have been completed.	4	5	20	High		
6	Jan-22	If part of a care home or the whole home closes, redeployment and/or redundancy may be required for the workforce. It may then be difficult to recruit a new workforce in a challenging labour market when required to support the re-opening of the care home.	Chris Hastings	Senior Manager's OP	5	5	25	High	MITIGATE: Provide workforce support to aid internal redeployment and consider alternatives to redundancy to enable staff to move to different roles with a commitment to return when the home reopens.	4	4	16	High		
7	Jan-22	Refurbishment may not result in people choosing to live in one of the refurbished services over other options.	Chris Hastings	Senior Manager's OP	4	5	20	High	MITIGATE: plan for potential scenarios and encourage new referrals, refurbishment will result in more comfortable environments. Choice Guidance has been developed by Adult Social Care.	3	4	12	Med		
8	Jan-22	The potential impact on the environment should a care home require remodelling	Director, Land and Property	Land and Property	2	2	4	Low	MITIGATE: An Environmental Impact Assessment would be completed for any remodelling/redevelopment of the site.	1	1	1	Low		

Risk Ref	Date logged	Risk Description and Impact	Risk Owner	Action Owners	Impact (1-5)	Probability (1-5)	Score (F x G)	Inherent risk level (no controls)	Countermeasures Consider risk response Mitigate/Reduce/Transfer/Accept/Contingency (Date and update as appropriate)	Impact (1-5)	Probability (1-5)	Score (KxL)	Residual risk level (after existing controls)	Review Date	Changes made during last review
1	Jan-22	Consultation feedback has highlighted concerns regarding impact home closures will have on residents' physical and mental wellbeing.	Chris Hastings	Senior Manager's OP	5	5	25	High	MITIGATE: Residents, their families and the workforce are at the heart of service considerations. The council is experienced in supporting people to move between care settings and will follow the Provider Support Protocol that is in place to ensure moves are handled sensitively and follow good practice. Residents, their families and carers will be involved in planning moves. Issues that are important to each resident will be considered e.g. maintaining friendship groups, links to local communities, faith groups and location of their new home.	4	5	20	High		
2	Jan-22	A decision to close a care home causes uncertainty and anxiety for staff.	Chris Hastings	Senior Manager's OP	5	5	25	High	MITIGATE: The service will work closely with HR to ensure the staff are kept briefed and supported. This will include opportunities for shadowing in other roles and redeployment within SCC. Staff will have access to the Employee Assistance Programme at all times.	4	5	20	High		
3	Jan-22	Closure of services causes anxiety for external parties who support the care homes (volunteers, entertainers, chiropodist, hairdressers etc)	Chris Hastings	Senior Manager's OP	4	4	16	High	ACCEPT: The service will work closely to ensure those impacted by decisions are informed and supported.	4	4	16	High		
4	Jan-22	Building infrastructure breaks down requiring whole or part building closure before the care home is planned to close	Chris Hastings	Senior Manager's OP	5	3	15	Med	ACCEPT: Building infrastructure is currently monitored to ensure legislative requirements are met.	5	3	15	Med		
5	Jan-22	Impact of COVID-19 and changing guidance requires a change to planned approach, delaying planned activity	Chris Hastings	Senior Manager's OP	5	3	15	Med	ACCEPT: Service plans are reviewed and updated each time Government guidance is updated.	5	3	15	Med		
6	Jan-22	Decision to close either of the two services that provided day care (Barnfield and Keswick) will mean people who have been waiting for the day carer services to reopen may need alternative arrangements.	Chris Hastings	Senior Manager's OP	5	5	25	High	MITIGATE: Day care services have not been provided since March 2020. Alternative services have been provided where requested.	5	3	15	Med		
8	Jan-22	New or revised regulations may require the council to make improvements to buildings prior to closure	Chris Hastings	Land and Property	4	1	4	Low	ACCEPT: The service works closely with the council's compliance team to understand and plan for changes in legislative requirements.	4	1	4	Low		
9	Jan-22	There may not be sufficient capacity in Adult Social Care or other council services to support closure related activity resulting from cabinet decisions	Chris Hastings	Workstream leads	5	2	10	Low	MITIGATE: Any closures will be done on a phased approach. Regularly brief and involve other services who support activity so that they can plan appropriately.	1	2	2	Low		
10	Jan-22	The council no longer is a care provider and can not act as a provider in an emergency or have the capacity to directly support NHS initiatives e.g. hospital discharge	Simon White	Commissioning	2	5	10	Low	MITIGATE: The council has robust commissioning arrangements in place to secure the best deal for Surrey residents. There are currently a high number of independent care providers providing services purchased by SCC.	2	3	6	Low		
11	Jan-22	Existing market capacity within care homes sector may be reduced due to other factors in Surrey.	Chris Hastings	Commissioning	2	2	4	Low	ACCEPT: Provider engagement and gap analysis undertaken. Signs of increasing demand within market during November 2021 but not a cause of concern.	2	2	4	Low		
12	Jan-22	The council may have to fund alternative care at costs above the market rate due to a higher than usual number of people looking for alternative care arrangements at the same time	Simon White	Commissioning	3	5	15	Med	MITIGATE: The council has robust commissioning arrangements in place to secure the best deal for Surrey residents. There are currently a high number of independent care providers providing services purchased by SCC.	3	4	12	Med		
13	Jan-22	A resident paying the full costs of care incurs increased care charges should the new care provider have higher costs.	Simon White	ALT	4	4	16	High	MITIGATE: The council would support residents to find alternative homes that charge the same or similar rates.	4	3	12	Med		
14	Jan-22	Staff employed in corporate services will be impacted by service closures should part or all of their role be focussed on supporting services that are closed	Chris Hastings	Workstream leads	3	5	15	Med	MITIGATE: Work with services who may be impacted and plan to minimise any potential impact	3	3	9	Low		
15	Jan-22	Local communities where care homes are currently located may be impacted by the loss of employment opportunities	Chris Hastings	Workstream leads	3	5	15	Med	MITIGATE: Inform those impacted by decisions taken to enable them to plan and make informed choices. SCC will look at each site to decide its future use which may include care work that may provide new opportunities	2	5	10	Low		

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