

Adult Social Care Committee

Item No.

Report title:	Risk Management
Date of meeting:	25 January 2016
Responsible Chief Officer:	Harold Bodmer, Executive Director of Adult Social Services
Strategic impact Monitoring risk management and the departmental risk register helps the Committee undertake some of its key responsibilities and provides contextual information for many of the decisions that are taken.	

Executive summary

At the Adult Social Care Committee meeting of 11 May 2015 Members requested a full report at the first meeting of the year followed by exception reports to subsequent meetings. The first exceptions paper was reported to the 9 September meeting.

This report includes the departmental risk summary together with an update on progress since the last committee meeting on 9 November 2015. There are no changes to risk scores for 2015/16 but it is proposed that two risks be removed, RM 14149 (the impact of the Care Act), until implementation of part 2 of the Care Act in 2019/20 and the portal element from the DNA risk score (RM 14150).

There is a proposal to delegate risk RM012 (Negative outcome of the Judicial Review into fee uplift to care providers) from the Corporate Risk Register to the Adult Social Care Committee risk register. There has also been an addition to the Corporate Risk Register in respect of a risk in respect of the pace of reduction in adult social services transport costs.

Risks are where events may impact on the Department and County Council achieving its objectives.

Recommendations: Committee Members are asked to:

- a) Note and comment on progress with departmental risks since 9 November 2015
- b) Note the addition to the Corporate Risk Register of RM014b (Inability to reduce the amount spent on adult social care transport)
- c) Consider recommendations to:
 - i) accept the delegation of risk RM012 from the Corporate Risk Register to the ASC Committee,
 - ii) temporarily remove risk RM14149 Impact of the Care Act until 2019/20, and,
 - iii) remove of the portal element from DNA risk RM14150
- d) Consider if any further action is required

1 Proposal

- 1.1 The Adult Social Care Risk Register has been reviewed and this report provides Members with an update of the most recent changes. Changes that have arisen to the Corporate Risk Register that are relevant to this committee are also included.

- 1.2 The Senior Management Team has been consulted in the preparation of the Adult Social Services risk register and this report.

2 Evidence

- 2.1 The Adult Social Services departmental risk register reflects those key business risks that need to be managed by the Senior Management Team and which, if not managed appropriately, could result in the service failing to achieve one or more of its key objectives and/or suffering a financial loss or reputational damage. The risk register is a dynamic document that is regularly reviewed and updated in accordance with the Council's "Well Managed Risk – Management of Risk Framework".
- 2.2 Each risk score is expressed as a multiple of the impact and the likelihood of the event occurring:
- a) Original risk score – the level of risk exposure before any action is taken to reduce the risk when the risk was entered on the risk register
 - b) Current risk score – the level of risk exposure at the time the risk is reviewed by the risk owner, taking into consideration the progress of the mitigation tasks
 - c) Target risk score – the level of risk exposure that we are prepared to tolerate following completion of all the mitigation tasks
- 2.3 In accordance with the Risk Matrix and Risk Tolerance Level set out within the current Norfolk County Council "Well Managed Risk - Management of Risk Framework", three risks are reported as "High" (risk score 16–25) and 11 as "Medium" (risk score 6–15). A copy of the Risk Matrix and Tolerance Levels appears at Appendix 2.
- 2.4 The prospects of meeting target scores by the target dates are a reflection of how well mitigation tasks are controlling the risk. It is also an early indication that additional resources and tasks or escalation may be required to ensure that the risk can meet the target score by the target date. The position is visually displayed for ease in the "Prospects of meeting the target score by the target date" column as follows:
- a) Green – the mitigation tasks are on schedule and the risk owner considers that the target score is achievable by the target date
 - b) Amber – one or more of the mitigation tasks are falling behind and there are some concerns that the target score may not be achievable by the target date unless the shortcomings are addressed
 - c) Red – significant mitigation tasks are falling behind and there are serious concerns that the target score will not be achieved by the target date and the shortcomings must be addresses and/or new tasks are introduced
- 2.5 The current risks are those identified against the departmental objectives for 2015/16 and have been updated for this report.
- 2.6 NCC Corporate Risk Register
- 2.6.1 A new item was introduced on the Corporate Risk Register in December 2015 for Adult Social Services: RM014b (Inability to reduce the amount spent on adult social care transport). This risk came from Risk RM14187 (Inability to reduce the amount spent on home to school and adult social care transport) which was raised to Corporate level by the Community and Environment Department. This risk was raised on the Corporate Risk register because it represents a large area of spend (£42m) involving both the Adult Social Care Committee and Children's Services.

Members are asked to note this addition to the Corporate Risk Register.

- 2.6.2 There is a proposal from the Corporate Risk Team to delegate the risk RM012 (Negative outcome of the Judicial Review into fee uplift to care providers) from the Corporate Risk Register to the ASC Committee as the mitigations mostly lie within the remit of this Committee.
Members are asked to comment on and consider this proposal.
- 2.6.3 After a review in November 2015 by the Audit team responsible for Corporate Risk Management the following risks will only appear on the Adult Social Care Risk Register going forward:
- RM14079 “Failure to meet the longer term needs of older people”
 - RM0207 “Failure to meet the needs of older people”
- 2.7 Changes to the Adult Social Services Risk Register
- 2.7.1 There are no changes to risk scores this time.
- 2.7.2 At the risk RM14149 ‘Impact of the Care Act’, there is a recommendation to temporarily remove this risk until 2019/20 when it is expected that Part 2 will commence, see para 2.9.1.
- 2.7.3 At the risk RM14150 ‘Impact of DNA’, there is a recommendation to remove the portal element from this risk as it will no longer form part of the Adult Care DNA programme, see para 2.9.1.
- 2.8 Appendix 1 provides Committee members with a summary of the risks on the register.
- 2.9 **Progress with departmental risks**
- 2.9.1 Since the last report to this Committee progress has been made with the following risks:

Risk Number	Risk Name	Progress Update
RM13926	Failure to meet budget savings	Overall at period 8 to 30 November there is a forecast overspend of £3.737m on a net budget of £241.7m (1.5 %). The budget assumes delivering savings of £16.296m and the forecast reflects current expectations for achievement in 2015/16. These savings include a reduction in the budgets used to pay for packages of care, which has meant reviewing and reducing elements of personal budgets. There is an action plan in place to bring the forecast back into line with the budget which is reviewed in terms of progress at every Adult Social Service Senior Management Team for progress and is also reported to every cycle to Adult Social Care Committee.
RM14149	Impact of the Care Act	Project delivered necessary changes for April 2015 (part one of the Care Act). On 17 July 2015 the Government announced that Part Two of the Care Act is deferred until 2020. It is recommended that this risk is temporarily removed until closer to Part Two (2019/20).

RM0207	Failure to meet the needs of older people	<p>The cost of care exercise is being carried out in 2015/16.</p> <p>The department is working on delivering Promoting Independence, the new strategy for Adult Social Services: keeping people independent in their homes, meeting their needs in the local community and reducing the need for paid services. Some of the CCGs are considering reducing their funding for social care in the Better Care Fund in 2016/17.</p>
RM13929	The speed and severity of change	The Promoting Independence training programme, for social work staff is underway.
RM14150	Impact of DNA	<p>The roll-out of DNA devices to Adult Social Services will be fully completed by mid January 2016 after the installation of Dragon software for a small number of accessibility users.</p> <p>The Customer Portal project was previously reported as 'on hold'. The portal will now form an Adult Care business requirement for the CareFirst Re-procurement project and this element is recommended to be removed from the DNA risk line as it will no longer be part of the Adult care DNA programme.</p>
RM14237	Deprivation of Liberty Safeguarding	<p>Recruitment to Best Interest Assessor posts has not been successful, only one application has been received to date.</p> <ul style="list-style-type: none"> • Ten Best Interest Assessor staff are in training – due to qualify June. All are current council employees so will offer sessional input to rota • Course 2016/17 planned – initial discussion to develop with UEA planned for early January • Training for locality staff re domestic Deprivation of Liberty Safeguards (DoLS) is being planned
RM14238	Failure in our responsibilities towards carers.	The Carer's audit is complete. A report with action plan will be presented to the Adult Social Services Finance and Performance Board in January 2016.

RM012	Negative outcome of the Judicial Review into fee uplift to care providers	<ul style="list-style-type: none"> • The process of collecting information about the market in Norfolk is complete • Returns and other financial information analysed • Consultation document issued • Consultation completes on 22 January • Outcome of the consultation will be brought to Committee for decision
RM14247	Failure in the care market	<ul style="list-style-type: none"> • A revised Harwood Charter scheme based on the Trusted Carer schemes and Code of Practice is under development for completion • A new real time quality (risk) dashboard has been produced and is circulated each month • A draft work force strategy as a key element with the market development strategy will be presented to SMT early in 2016

- 2.10 There remains a strong corporate commitment to the management of risk and appropriately managing risk, particularly during periods of organisational change. A clear focus on strong risk management is necessary as it provides an essential tool to ensure the successful delivery of our strategic and operational objectives.

3 Financial Implications

- 3.1 There are no financial implications other than those identified within the risk register.

4 Issues, risks and innovation

- 4.1 There are no further risks than those described elsewhere in this report.

5 Background

- 5.1 Appendix 1 provides the Committee members with a summary of the risks on the register. Appendix 2 is a copy of the risk scoring matrix to show the scoring methodology for Impact and Likelihood.
- 5.2 The review of existing risks has been completed with responsible officers.
- 5.3 There remains a strong commitment to the management of risk, particularly during periods of organisational change, such as the accelerated programme to deliver all the elements of the vision for the County Council.
- 5.4 An on-going clear focus on strong risk management is necessary as it provides an essential tool to ensure the successful delivery of our strategic and operational objectives.

6 Recommendations:

Committee Members are asked to:

- a) Note and comment on progress with departmental risks since 9 November 2015
- b) Note the addition to the Corporate Risk Register of RM014b (Inability to reduce the amount spent on adult social care transport)
- c) Consider recommendations to:
 - i) accept the delegation of risk RM012 from the Corporate Risk Register to the ASC Committee,
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Officer Contact

If you have any questions about matters contained in this paper or want to see copies of any assessments, e.g. equality impact assessment, please get in touch with:

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