

Risk Number	RM023		Date of update		23 April 2018					
Risk Name	Failure to understand and act upon changes to demography, funding, and government policy, with particular regard to Adults Services.									
Risk Owner	James Bullion		Date entered on risk register		18 August 2017					
Risk Description										
There is a risk of failure to fully understand and act upon changes to demography, funding, and government policy. Cause: Changes to demography, funding, and government policy. Event: The Council fails to plan and adapt to change effectively for the future. Effect: Outcomes for Norfolk citizens may worsen.										
Original			Current			Tolerance Target				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
5	5	25	4	5	20	2	4	8	Mar-20	Amber
Tasks to mitigate the risk										
<p>1) Implementation of Promoting Independence Strategy. This strategy is shaped by the Care Act with its call to action across public services to prevent, reduce and delay the demand for social care. The strategy aims to ensure that demand is understood and managed, and there is a sustainable model for the future.</p> <p>2) As part of the strategy, a shift of spend towards targeted prevention, reablement services, enablement, and strengthened interim care.</p> <p>3) Implementation of Better Care Fund plans which promote integration with the NHS and protect, sustain and improve the social care system.</p> <p>4) A new set of NCC corporate priorities which aims to address longer-term demand management in children's and adult services.</p>										
Progress update										
<p>1) Demand and demography modelling continues to be refined through the cost and demand model. Four main themes for transformation: Services for people with learning disability; maximising digital technology; embedding strength-based social work through Living Well; 3 conversations; health and social care integration.</p> <p>2) Sector based plans for providers which model expected need and demand associated with demographic and social change.</p> <p>3a) Strengthened investment in prevention, through additional reablement, social prescribing, local initiative's for reducing social isolation and loneliness.</p> <p>3b) Workforce – continued recruitment campaign to increase front line social workers and occupational therapy staff.</p> <p>3c) Better Care Fund targeted towards supporting people to stay independent, promoting and enabling closer integration and collaboration across health and social care.</p>										

Risk Number	RM019		Date of update		23 April 2018					
Risk Name	Failure to deliver a new fit for purpose social care system on time and to budget.									
Risk Owner	James Bullion		Date entered on risk register		24 February 2016					
Risk Description										
A new Social Care system is critical to the delivery and efficiency of Adults and Children's Social Services. This is a complex project and the risk is the ability to deliver on time along with the restriction on making any system changes to the existing system (Carefirst)										
Original			Current			Tolerance Target				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
4	5	20	3	5	15	1	4	4	Sep-18	Green
Tasks to mitigate the risk										
<ol style="list-style-type: none"> 1) Ensure effective governance is in place 2) Set up a project team to manage the project. 3) Determine go live dates for Adults Services, Children's Services, and Finance. 4) Deliver implementation of the new system. 5) Complete User Acceptance and Data Migration Testing. 6) Deliver change and training. 										
Progress update										
<p>1a) Clear governance is in place. The Project Sponsors are Janice Dane (Adults), Debby McKechnie (Children's) and John Baldwin (Finance). This is overseen by CLT. A Programme Board was set up including the Directors of Adults, Children's and Finance and Commercial Services.</p> <p>1b) There are weekly Joint Leadership Advisory Group (JLAG) meetings with the Project Sponsors and the Project Team and regular updates to Adults Committee and to CLT.</p> <p>2) A core Project Team has been up and running since January 2016 (with strong practitioner involvement). A network of champions has been established in Adult Social Services and Children's Services.</p> <p>3) Adults and Finance successfully went live on 22 November 2017. Children's and Finance were planned to go live in March 2018 however at the first Programme Board Go/No go decision point on the 16 January 2018 for the Children's and Finance systems it was forecast that implementation would not be ready by the w/c 19 March 2018. Therefore it was agreed to move the go live by a few weeks and to use an alternative go live date w/c 30 April 2018. Part of the contingency budget is funding the extension.</p> <p>3b) Children's and Finance - at the last Go/No Go point on 12 April the SCSR Programme Board agreed to continue the go live process in line with the agreed plans. The next SCSR Programme Board on 1 May will decide whether to proceed to make the systems live for end users.</p> <p>4) Delivery of implementation is proceeding in line with the plan. Considering the scale of the change that has happened, requiring some significant changes to behaviours in staff and managers, this process has been relatively smooth. Payment and billing runs have been made from the system and approximately 70 providers are using the Provider Portal. A support helpdesk is up and running in a central location.</p> <p>6) Training of staff is in progress for Children's.</p>										

Risk Number	RM014b		Date of update		23 April 2018					
Risk Name	The savings to be made on Adult Social Services transport are not achieved.									
Risk Owner	James Bullion		Date entered on risk register		04 November 2015					
Risk Description										
The risk that the budgeted savings of £1.7m to be delivered by 31 March 2020 will not be achieved.										
Original			Current			Tolerance Target				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
3	3	9	2	2	4	2	2	4	Mar-20	Green
Tasks to mitigate the risk										
<p>1) In 2017 the savings were reprofiled to future years (2018/19 and 2019/20).</p> <p>2) A corporate review of transport is also taking place.</p> <p>3) Transport Guidance has been updated in line with the revised transport policy</p> <p>4) Under the Younger Adults of the Promoting Independence Workstream, we're developing a joint approach to disability and transition from Children's to Adults.</p> <p>5) Exploring the use of an application to help with monitoring of the cost of transport. This application is currently being used by Children with Special Educational Needs.</p>										
Progress update										
<p>1) Adult Social Care Committee agreed on 4 September 2017 to amend the transport savings to £0.700m in 2018-19 (from £3m) and £1m in 2019-20 (from £0.800m) and that the difference of £2.1m in savings will be made through the purchase of care budget as a result of changes to patterns of care. The department achieved an underspend on Transport for 2017-18 of £0.813m - in effect the early delivery of the 2018-19 savings and some of the 2019-20 savings.</p> <p>2) Travel Independence Training Across the Nation (Titan) training is being rolled out. Have recruited to ASS specific posts to enable more people to use public transport.</p> <p>3) The revised Transport Guidance and Policy was agreed by ASC Committee on 6 March 2017 and shared with staff. This is being implemented for new service users now and for existing people at the point of review. This now links with the work on assessments and reviews as part of the Promoting Independence Programme. It appears that this is being embedded in working practices, given the forecast underspend on transport.</p> <p>4) The department has been advised that there is potentially scope for the development of the Elm Road site on a bigger scale. In light of this, the review of Learning Difficulties day services and the potential new opportunities this could lead to, the department is reviewing the Elm Road project.</p> <p>5) This is currently being developed. We have carried out the fieldwork to understand the current transition process from Children's services to Adult services. We have taken a joint approach and carried out 50 interviews with senior stakeholders from children's services, adult services and health, as well as meeting with transition workers, team managers and other key staff from children with disability teams, looked after care teams, leaving Care teams, Adult LD, Adult mental health and adult Physical disability team.</p> <p>5b) IMT have developed the first version of a Transport application for use by Adult Social Services and Travel and Transport where you can see for each day centre where people are travelling from, whether they are travelling alone/with others and which day services other people charged to that budget code are going to. It is based on an application IMT developed for Children with Special Education Needs. The application looks useful, and provides a clearer picture of transport provision than analysing pages of reports. The department is checking the viewer application and it will be trialled with Business Support initially.</p>										

Risk Number	RM13926		Date of update	23 April 2018						
Risk Name	Failure to meet budget savings									
Risk Owner	James Bullion		Date entered on risk register	30 April 2011						
Risk Description										
If we do not meet our budget savings targets over the next three years it would lead to significant overspends in a number of areas. This would result in significant financial pressures across the Council and mean we do not achieve the expected improvements to our services										
Original			Current			Tolerance Target				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
3	5	15	4	5	20	3	5	15	Mar-19	Red
Tasks to mitigate the risk										
<p>1) Efficiency and savings targets are being managed through the Promoting Independence Programme Board and the Finance and Performance Board.</p> <p>2) Monthly monitoring, locality team meetings and continued development of forecast to ensure timely focus on key budgets and any emerging issues.</p> <p>3) Norsecare Liaison Board to develop and monitor delivery of savings related to the Norsecare contract.</p> <p>4) County Council agreed budget for 2018-19 included investment and carried forward of unspent iBCF funds.</p> <p>5) Senior and concerted focus on transforming the LD service.</p> <p>6) Norfolk Future's programme in place, including Promoting Independence for vulnerable adults, smarter information and advice, towards a Norfolk housing strategy, Digital Norfolk, Commercialisation and Local Service Strategy. The programme will provide further support for delivery of savings.</p>										
Progress update										
<p>1) Promoting Independence programme of work in place and delivery plan developed. Target demand model complete and focussed work on entry points, processes for older people and younger adults, cross-cutting Living Well project and commissioning projects. Savings totalling £27m in 2018-19 with £17m through demand management work.</p> <p>2) Finance and Performance Board have moved to a panel style approach providing senior management scrutiny along with locality finance meetings. All managers are expected to take responsibility for budget savings via 1-1's, accountability meetings, appraisals etc.</p> <p>3) Work continues with Norsecare to deliver savings.</p> <p>4) Social care funding has been received and plans agreed by NCC and health partners. In addition to funding to support protection of social care and to support market stability, there are invest to save projects that will both support discharge from hospital and wider demand management.</p> <p>5) Reshaped management of the LD service and dedicated younger adults workstream within the PI programme.</p> <p>6) The service has delivered savings in 2017/18 of £14.353m against a target of £14.213m. £10.728m of the savings have been delivered in line with the planned savings programme.</p>										

Risk Number	RM14314		Date of update		23 April 2018					
Risk Name	Delayed Transfers of Care (DTC)									
Risk Owner	James Bullion		Date entered on risk register		05 December 2017					
Risk Description										
A significant increase in DTC might jeopardise additional funding (iBCF) and have adverse consequences as well as for the quality of care This would further increase financial pressures on the health and social care system.										
Original			Current			Tolerance Target				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
4	4	16	4	5	20	3	4	12	Mar-19	Amber
Tasks to mitigate the risk										
1) DTC Improvement Plan is now in place										
2) Improved Better Care Fund is targetted, in part, on reducing DTC										
Progress update										
1) Performance reporting mechanism established.										
1b) Daily capacity mapped and monitored and given high priority										
1c) The DTC Improvement Plan includes weekly meetings to monitor the figures and take action as required										
1d) Senior NCC presence at A&E Delivery Board which helps to ensure an integrated and coherent approach										
1e) Ongoing work with providers to increase capacity in the market to support safe discharges Trusted assessor and enhanced homecare now in place and full										
1f) implementation of the High Impact Change Model being pursued in partnership with health										
1g) Multidisciplinary review of flow through the health and social care system happening in June – will support adoption of best practice										

Risk Number	RM13931		Date of update		23 April 2018					
Risk Name	A rise in acute hospital admissions and discharges and pressure on acute services.									
Risk Owner	James Bullion		Date entered on risk register		30/06/2011 revised					
Risk Description										
A significant rise in acute hospital admissions / services would certainly increase pressure and demand on Adult Social Care. Potential adverse impacts include rise in Delayed Transfers of Care (DTOCs), pressure on Purchase of Care spend, assessment staff capacity and NCC reputation.										
Original			Current			Tolerance Target				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
3	4	12	4	4	16	2	3	6	Mar-19	Amber
Tasks to mitigate the risk										
<ol style="list-style-type: none"> 1) Integrated structure between NCC and NCHC allows AD's to make quick decisions and to flex resources to minimise impact. 2) Integration programme developing new approaches to reduce delays and prevent admissions. 3) Daily participation in whole system escalation process. 4) DTOC Improvement Plan is now in place 5) Senior manager oversight of emerging issues. 6) Careful management of reputational risk. 										
Progress update										
<ol style="list-style-type: none"> 1) Daily Capacity mapped and monitored and given high priority. 2) Within Phase 3 (of the Integration Programme) we have concentrated on flow and capacity. We are also working closely with the Promoting Independence Programme Team to alter the role of the OT to focus on pre Care Act eligibility determination cases; bed based offer for short term placements, and the discharge to assess pathways to ensure people are not making life changing decisions in an acute setting. 2b) The introduction of accommodation based reablement beds across Norfolk will aid the flow from the acute and community hospitals and reduce strain on the Purchase of Care budget and assist the department to meet DTOC targets. 2c) Integrated managers taking an active role in developing new models with primary care to avoid admissions eg NEAT (Norwich Escalation Avoidance Team) in Norwich. 3) Work closely with health colleagues on silver calls (a silver call is daily whole system monitoring and action planning call). 4) The DTOC Improvement Plan includes weekly meetings to monitor the figures and to take action as required. 5) Director of Integrated Care coordinates senior manager oversight to effectively manage issues. 6) SMT presence at A&E delivery Board which helps to improve reputation. 										

Risk Number	RM14237		Date of update		23 April 2018					
Risk Name	Deprivation of Liberty Safeguarding									
Risk Owner	Lorna Bright		Date entered on risk register		08 May 2015					
Risk Description										
Following the Cheshire West ruling it has been identified that we're not meeting our responsibilities around Deprivation of Liberty Safeguards (DoLS). This could lead to us being judicially reviewed.										
Original			Current			Tolerance Target				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
3	4	12	4	4	16	2	4	8	Mar-19	Red
Tasks to mitigate the risk										
<ol style="list-style-type: none"> 1) Reviewed staffing compliment 2) Reviewed processes and systems to ensure cases are dealt with in a timely manner. 3) Improved data quality and reporting to allow cases to be monitored. 4) Implementation of Liquid Logic may impact whilst staff become used to a new system. 										
Progress update										
<ol style="list-style-type: none"> 1) Limited DoH grant funds remain. SCCE are receiving e-dols, so inputting the referrals. Three temporary 12 month posts were advertised with iBCF money, however only been able to recruit into 1.5 FTE to start in August 2018. 1b) Independent BIA's are used for out of county reviews, relief BIA's are used regularly. Seven places have been made available for BIA training in September 18. 2) Currently unable to produce accurate figures of workload. Team are currently reviewing the process in order to streamline tasks – paper to be submitted to SMT (end May 18). 3) There is currently one legal challenge and two potential – but all are around objection to the DoLS and not NCC process. 4) Liquid Logic has impacted upon the team and management of workload due to required process. A Business Support Officer has been appointed for 12 weeks to cleanse the desktop. 										

Risk Number	RM14262		Date of update		23 April 2018					
Risk Name	The potential risk of shortfall between funding and pressures through integration of capital and revenue funding between the Council, health organisations and district councils									
Risk Owner	James Bullion		Date entered on risk register		16 June 2016					
Risk Description										
The integrated health and social care agenda has seen pooling of capital and revenue resources through the Better Care Fund and further policy drive to manage the transfer of people with learning disabilities from inpatient settings to community settings. There is a risk that this will have a negative impact on available resources for delivery of adult social care										
Original			Current			Tolerance Target				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
3	5	15	3	5	15	2	4	8	Mar-19	Amber
Tasks to mitigate the risk										
<ol style="list-style-type: none"> 1) Section 75 agreements to manage forward planning and joint arrangements 2) Partnership Boards in place attended by NCC. 3) Transforming Care Plan project in place and NCC involvement on all workstreams. 4) Introduction of the Improved Better Care Fund including planned use for additional social care grant. 5) Regular monitoring and liaison with health partners on outstanding debt. 										
Progress update										
<ol style="list-style-type: none"> 1) Two year Section 75 agreements finalised in Autumn 2017. 2) BCF plans in place and signed off. 3) Transforming Care Plan programme in place and baseline completed. Progress achieved with moving people from inpatient settings to community placements and targets being met. Further work completed on joint protocols, which have not been agreed. Work is progressing to develop criteria in line with operational processes. 4) Three year iBCF plans in place (2017-20), which are being monitored through ASC committee, Health and Wellbeing Board and regular updates to Norfolk and Waveney Chief Officer Group. Some projects align with the STP programme of work. Evaluation criteria to enable sustainable funding places for new interventions are being developed, but securing on-going funding remains a risk. 										

Risk Number	RM14260		Date of update		23 April 2018					
Risk Name	Failure of the care market (through the independent providers) due to difficulties in recruiting staff into the sector.									
Risk Owner	Sera Hall		Date entered on risk register		16 May 2016					
Risk Description										
The council invests over £54m through approximately 120 independent providers in provision of homecare to over 4000 vulnerable people at any one time. Failure of the care market (through the independent providers) due to problems recruiting staff into the sector may result in a risk to safeguarding of vulnerable people, delays in discharging people from hospital and inappropriate admissions to hospitals and care homes. Problems recruiting into and retaining care workers in the care sector are particularly acute in the west and north of the county but are experienced across the county as a whole.										
Original			Current			Tolerance Target				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
4	4	16	4	3	12	2	3	6	Jul-18	Amber
Tasks to mitigate the risk										
<ol style="list-style-type: none"> 1) A Quality Assurance Framework provides a risk based approach to the market of care services. 2) Ensure robust procurement processes that ensure providers cost provision adequately. 3) Work with providers, workforce professionals and other partners to develop and implement a workforce development plan and to ensure workforce terms and conditions are equitable. 4) Development of a care contingency network and emergency provision. 5) Clear communication needed with the market to publicise areas of need and future commissioning intentions. 										
Progress update										
<ol style="list-style-type: none"> 3) An executive board has been created to take responsibility for the promotion and delivery of a sector skills action plan and this includes a clear accountability structure with named leads for each priority. 3b) Inclusion of Unison Ethical Care Charter in all new Home Support contracts. 3c) Website for care workers which includes information and advice around the caring profession. There is also a recruitment portal for providers to advertise vacancies and a promotional campaign in order to make the profession more attractive. 4) Emergency capacity which provides additional funding for providers put in place over winter and periods of increased demand. 4b) Increase in capacity of in house resources. 										

Risk Number	RM13925		Date of update	23 April 2018						
Risk Name	Lack of capacity in ICT systems									
Risk Owner	James Bullion		Date entered on risk register	30 April 2011						
Risk Description										
A lack of capacity in IT systems and services to support Adult Social Services delivery, in addition to the poor network capacity out into the County, could lead to a breakdown in services to the public or an inability of staff to process forms and financial information in for example Care First.										
Original			Current			Tolerance Target				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
4	4	16	3	4	12	3	2	6	Mar-19	Amber
Tasks to mitigate the risk										
<ol style="list-style-type: none"> 1) As part of the Business Continuity plan steps are in place to mitigate any system loss and downtime. 2) Discuss and IMT issues at the monthly IMT Programme Board. 3) Develop the technology strategy for ASSD. 										
Progress update										
<ol style="list-style-type: none"> 1) Recovery steps are outlined in the Business Continuity plan. These are always reviewed following any serious incidents and updated where necessary. 2) Any IMT issues are discussed at the IMT Programme Board. 3) A technology strategy for Adults has been developed and reviewed by SOCITM. We will now devise an implementation plan to deliver which will drive improvements in care and efficiencies. 										

Risk Number	RM14247		Date of update		23 April 2018					
Risk Name	Failure in the care market									
Risk Owner	Sera Hall		Date entered on risk register		07 September 2015					
Risk Description										
The council contracts with independent care services for over £200m of care services. Risk of failure in care services would mean services are of inadequate quality or that the necessary supply is not available. The council has a duty under the Care Act to secure an adequate care market. If services fail the consequence may be risk to safeguarding of vulnerable people. Market failure may be faced due to provider financial problems, recruitment difficulties, decisions by providers to withdraw from provision, for example. Further reductions in funding for Adult Social Care significantly increases the risk of business failure.										
Original			Current			Tolerance Target				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
4	3	12	4	3	12	2	3	6	Jul-18	Amber
Tasks to mitigate the risk										
1) A Quality Assurance Framework is in place which provides a risk based approach to the market of care services, collating intelligence from a range of sources and triangulating to identify services for targeted intervention.										
2) Prioritising care workforce capacity within the learning and development programme.										
3) Revision of a market failure protocol based on established good practice.										
4) Liaison with Care Quality Commission to engage with their work with Norfolk care services.										
5) Stabilise market for provision of care.										
6) Procuring new domiciliary care contracts.										
7) Appropriate investment in the care market.										
8) Effective management of market failure.										
Progress update										
1) Real time quality (risk) dashboard produced and being utilised.										
2) Working with the Local Enterprise Partnership and Norfolk and Suffolk Care and Support.										
3) Care failure protocol's in place and market resilience strategy under development.										
4) Refreshed working arrangements with CQC and active work with providers to improve CQC compliance.										
5) New 'patch' based contracts in place.										
5a) Provider engagement and dialogue included in the 'cost of care' exercise which will support accurate identification of costs of provision and ensure investment targeted appropriately.										
5b) Proactive programme to settle increased fee rates as a result of NMW regulation in the area of sleep ins.										
5c) Provider dialogue process in place to ensure inflationary uplifts are correctly assessed and implemented.										
5d) New commissioning and market shaping framework agreed by members driven by new sector based plans and sector engagement.										
5e) Supporting the establishment of a formal care association for Norfolk.										

Risk Number	RM 14261		Date of update		23 April 2018					
Risk Name	Staff behaviour and practice changes to deliver the Promoting Independence Strategy									
Risk Owner	James Bullion		Date entered on risk register		25 April 2016					
Risk Description										
A significant change in staff behaviour and social care practice is required to deliver the Promoting Independence Strategy. Failure to make the culture change needed across the workforce would greatly impact the transformation of the service and its ability to deliver associated budget savings'										
Original			Current			Tolerance Target				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
3	5	15	3	4	12	2	4	8	Mar-19	Amber
Tasks to mitigate the risk										
1) Robust OD plan signed off by the PI Programme Board. 2) Reviewing staff supervision and process and training. 3) Management Development Programme for Team Managers and Practice Consultants will be rolled out throughout the year.										
Progress update										
1) Early evaluation survey of staff involved in innovation sites has been extremely positive, practitioners are engaged and responding positively to the new ways of working, which is also having a positive impact on staff morale and team engagement in the sites. 1b) 90% of additional capacity posts have been filled. 2) Implementation of new supervision procedure and roll out of new supervision training. 3) Manager Development programme continues which are being led by SMT- 5 cohorts have now completed.										

Risk Number	RM14085		Date of update		23 April 2018					
Risk Name	Failure to follow data protection procedures									
Risk Owner	Lorna Bright		Date entered on risk register		30 September 2011					
Risk Description										
Failure to follow data protection procedures can lead to loss or inappropriate disclosure of personal information resulting in a breach of the Data Protection Act and failure to safeguard service users and vulnerable staff, monetary penalties, prosecution and civil claims.										
Original			Current			Tolerance Target				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
3	5	15	3	4	12	1	3	3	Mar-19	Green
Tasks to mitigate the risk										
<p>1) New staff not allowed computing access until they have completed the data protection and information security e-learning courses.</p> <p>2) Mandatory refresher training every two years and monitoring rates of completion of training.</p> <p>3) An Information Compliance Group (with representation across each department) meet on a bi-monthly basis and reports back any issues to the Information Management Board.</p> <p>4) Changes to Data Protection rules (GDPR) will come into effect on 25 May 2018 - we are working closely with Information Management to ensure all of our policies and procedures are compliant.</p>										
Progress update										
<p>2) Reminders to individual staff to complete Data Protection e-Learning courses are sent out and managers are informed of staff who have not completed the e-learning course. The refresher e-learning course has now moved from every three year's to two year's in line with guidance received from the ICO.</p> <p>4) The Department has a Business Lead who is working closely with Information Management to ensure all of our processes and procedures are GDPR compliant from 25th May 2018.</p>										

Risk Number	RM13923		Date of update		23 April 2018					
Risk Name	Risk of failing to deliver Promoting Independence, change programme for Adult Social Services in Norfolk									
Risk Owner	James Bullion		Date entered on risk register		30 April 2011					
Risk Description										
Promoting Independence Change Programme oversees and co-ordinates the linked change and transformation activities required to deliver the strategy. If we fail to deliver the programme this will lead to a failure in developing a sustainable model for adult social care and a failure to deliver a balanced budget										
Original			Current			Tolerance Target				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
4	3	12	3	4	12	2	4	8	Mar-19	Amber
Tasks to mitigate the risk										
<ol style="list-style-type: none"> 1) Robust programme management arrangements with properly resourced capacity and skills in place. 2) Defined suite of business cases which are prioritised and sequenced to maximise impact and make best use of resources. 3) Clear leadership from senior managers to sponsor and champion changes. 4) Strong performance framework to measure and monitor the impact of change activities and to take action to address any issues. 										
Progress update										
<ol style="list-style-type: none"> 1) Demand and demography modelling continues to be refined through the cost and demand model. 2) Four main themes for transformation: Services for people with learning disability; maximising digital technology; embedding strengths-based social work through Living Well; 3 conversations; health and social care integration. 3) Additional corporate scrutiny through Norfolk Futures programme. 4) Key indicators monitored through performance reporting to Adults committee and P&R Committee. 										

Risk Number	RM13936		Date of update		23 April 2018					
Risk Name	Potential for integration to adversely affect delivery of statutory responsibilities or impact on reputation									
Risk Owner	James Bullion		Date entered on risk register		30/06/2011 - revised					
Risk Description										
Pressure on integrated staff could have an adverse impact on joint teams regarding capacity and take them away from departmental priorities impacting on reputation / ability to deliver.										
Original			Current			Tolerance Target				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
3	5	15	2	5	10	1	5	5	Mar-19	Green
Tasks to mitigate the risk										
<p>1) Pressure closely monitored by AD's and escalated to Director of Norfolk Adult Operations and Integration.</p> <p>2) SMT monitor and consider the implications and costs across both organisations.</p> <p>3) Issues can be escalated to S75 Monitoring Board (membership includes Director of Norfolk Adult Operations and Integration, Executive Director NCC and CEO of NCHC) for resolution.</p> <p>4) Budget and performance metrics and holding to account sessions are kept separate and focussed.</p>										
Progress update										
<p>1) SMiT (Senior Managers Integration Team) regularly discuss capacity issues and take action.</p> <p>3) Issues are escalated as and when necessary and also monitored through the Performance Board.</p>										

Risk Number	RM14287		Date of update		23 April 2018					
Risk Name	Potential failure to meet the needs and safeguarding of adults in Norfolk.									
Risk Owner	Lorna Bright		Date entered on risk register		14 December 2016					
Risk Description										
There is a national risk that Adults Social Service do not provide adequate safeguarding controls.										
Original			Current			Tolerance Target				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
2	5	10	2	5	10	2	4	8	Mar-19	Amber
Tasks to mitigate the risk										
<p>1) Multiagency Safeguarding Policy & Local Procedures in place.</p> <p>2) Adults Safeguarding Board in place.</p> <p>3) Delivery of Safeguarding training to providers.</p> <p>4) Appropriate checks / vetting of staff.</p> <p>5) Serious case reviews actioned where appropriate.</p> <p>6) Any recommendations made by Safeguarding Adults Review's (SAR's) are monitored by the Safeguarding Adults Review Group and also disseminated 1/4ly to all managers via the Quarterly Managers Forum (QMF).</p>										
Progress update										
<p>1) Multiagency safeguarding policy and procedure refreshed and updated by the Learning, Improvement and Policy sub group of the Norfolk Safeguarding Adults Board (NSAB). Now published on the NSAB and publicised among partners.</p> <p>2) Board is well established and has an independent chair.</p> <p>3) Specific training for providers is delivered (at a cost) via the commissioned training provider, St Thomas'. The NSAB can also signpost providers to safeguarding training.</p> <p>4) Enhanced DBS checks are carried out for all customer-facing staff in ASSD.</p> <p>5) ASSD has a representative on the multiagency Safeguarding Adult's Review (SAR) Group and the group is attended by NPLaw. There is a robust process in place for evaluating cases referred to the SAR Group against the SAR criteria. Claire Crawley (Senior Policy Advisor for the Department of Health) has visited the NSAB and has given advice on the interpretation of the SAR criteria and the importance of identifying and actioning learning.</p> <p>6) The SAR Group holds and monitors action plans for each SAR and is developing a thematic approach. They also have a standing item on the NSAB agenda to update the board on progress with actions, and any forthcoming reviews. The Head of Service (for Safeguarding) presents learning from SARs and reviews this alongside the relevant locality Assistant Director/Head of Operations. The learning is used as a platform for a more detailed look at a particular theme for ASSD.</p>										

Risk Number	RM14238		Date of update		23 April 2018					
Risk Name	Failure in our responsibilities towards carers.									
Risk Owner	Sera Hall		Date entered on risk register		27 May 2015					
Risk Description										
The failure of Adult Social Services to meet its statutory duties under the Care Act will result in poorer outcomes for service users and have a negative impact on our reputation. Funding reductions by health and other partners may adversely impact on provision of countywide carers services										
Original			Current			Tolerance Target				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
2	3	6	2	3	6	1	1	1	Mar-19	Amber
Tasks to mitigate the risk										
<ol style="list-style-type: none"> 1) Co-production with providers and users of services resulted in revised carers services specification. 2) Maintaining existing health investment in commissioned services. 3) Strong engagement and dialogue with the Carers Council. 4) Competitive procurement of a Carers Service delivered in Sept 2017. 5) Proposed investment as part of the improved Better Care Fund for enhanced support for carers. 6) Review of our offer to carers around respite, direct payments and commissioned services. 										
Progress update										
<ol style="list-style-type: none"> 1-5) The commissioned service has been operational since 1/10/17 and contract meetings take place to review performance as part of BAU. 6) A review of the respite policy has being considered by SMT and is now being developed further. The Commissioner links with the Operational Lead for Carers on developments in relation to this area. 7) A Carers Charter has been proposed by Members - a working group is now actively developing this. Commissioning forms part of this working group. 8) An operational post, with a focus on carers, has been advertised - no successful applicants. The Operational Lead for Carers is reconsidering the Job Description. 										

Risk Number	RM14149		Date of update		23 April 2018					
Risk Name	Impact of the Care Act									
Risk Owner	Janice Dane		Date entered on risk register		27 November 2013					
Risk Description										
Impact of the Social Care Act/Changes in Social Care funding (significant increase in number of people eligible for funding, increase in volume of care - and social care - and financial assessments, potential increase in purchase of care expenditure, reduction in service user contributions)										
Original			Current			Tolerance Target				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
4	3	12	1	5	5	1	3	3	Mar-20	Green
Tasks to mitigate the risk										
1) Project for Implementation of the Care Act. Ensure processes and resources in place to deliver Government requirements. Estimate financial implications.										
2) Keep NCC Councillors informed of issues and risks.										
Progress update										
1) 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.										
2a) ASC Committee members agreed to keep this on the risk register until government guidance was clearer. A Green Paper is due in the summer of 2018 - the date is currently unspecified.										
2b) We now have a Care Act Lead person who ensures all policy and procedure are Care Act compliant.										

Risk Number	RM14290		Date of update		23 April 2018					
Risk Name	Negative outcome of the Judicial Review into fee uplift to care providers									
Risk Owner	James Bullion		Date entered on risk register		07 September 2015					
Risk Description										
A successful Judicial Review being brought by a group of residential care providers may result in additional costs which were not anticipated in budget planning for the year.										
Original			Current			Tolerance Target				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
3	4	12	1	4	4	1	4	4	Mar-18	Met
Tasks to mitigate the risk										
1) Following the Older People residential and nursing care cost of care exercise and consultation process, the outcome and revised usual prices was recommended to the Adult Social Care Committee on 29th April 2016 and implemented.										
2) Ongoing work with the market to discuss annual increases to fees										
Progress update										
1) Consultation has been completed.										
2) Ongoing work continues with the care market to understand cost pressures as part of developing the annual fee uplifts.										