

Implementation of High Risk Mitigation Measures (People Directorate -ASC) – Quarter 2 to 30th September 2019

The purpose of this report is to provide an update concerning the implementation of mitigation measures for those areas of risk which have been assessed as high within the People Directorate Risk Register.

Business Objective / Project	
Ref	Description
1	Working in partnership with statutory and non-statutory organisations, evaluate, plan, commission and redesign services to ensure that they meet the needs and improve outcomes for people with Complex Care needs.

Assessment of current risk(s)				
Item	Identified risk	Impact (Severity)	Likelihood (Probability)	Score (I x L)
1	Risks associated with finding timely and appropriate placements for people with complex needs.	4	4	16
2	Financial risks related to complexity of needs for people returning to the borough from out of area treatment centres for Mental Health.	4	3	12
3	Ensure appropriate policies, processes and systems are in place to ensure the safe transition of service users from Children's Services to Adults Services.	4	3	12

Assessment of residual risk(s)						
Item	Risk control measure(s)	Lead Officer	Timescale / review frequency	Impact (Severity)	Likelihood (Probability)	Score (I x L)
1	Strategies and associated implementation plans in place. Work with front-line assessment teams and the provider market. Utilisation of a variety of support mechanisms (e.g. quality assurance processes and housing panel); work in care homes, early intervention and transforming domiciliary care.	Sue Wallace-Bonner	Ongoing	4	3	12
2	Pooled budget management now in place and includes escalation to management team.	Sue Wallace-Bonner	Quarterly	3	3	9

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3	Transition Team established for people with complex needs with associated policies, procedures and effective processes in place to ensure comprehensive assessments undertaken and service options explored.	Sue Wallace-Bonner	Quarterly	3	2	6
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Progress update:

1. Risks associated with finding timely and appropriate placements for people with complex needs. Strategies remain in place to manage risk
2. Financial risks related to complexity of needs for people returning to the borough from out of area treatment centres for Mental Health. Process remains in place for monitoring out of area treatment placements
3. Ensure appropriate policies, processes and systems are in place to ensure the safe transition of service users from Children's Services to Adults Services. Transition team remains in place

Originating Department:	Adult Social Care	Completion Date:	September 2019
Contact Officer:	Sue Wallace-Bonner	Authorising Officer:	Sue Wallace-Bonner

Business Objective / Project	
Ref	Description
2	Working in partnership with statutory and non-statutory organisations, evaluate, plan, commission and redesign services to ensure that they meet the needs of and improve outcomes for vulnerable people.

Assessment of current risk(s)				
Item	Identified risk	Impact (Severity)	Likelihood (Probability)	Score (I x L)
1	Ability to continue to deliver self-directed support and personal budgets due to current financial situation.	4	4	16
2	Failure to implement the Homelessness Reduction Bill - Completed	1	1	1

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Assessment of residual risk(s)						
Item	Risk control measure(s)	Lead Officer	Timescale / review frequency	Impact (Severity)	Likelihood (Probability)	Score (I x L)
1	Ensure that arrangement/mechanisms to deliver self-directed support and personal budgets remain financially viable. Undertake monthly monitoring of the Community Care Budget and if necessary prepare effective recovery plans and report progress through to Management Team.	Sue Wallace-Bonner	Monthly	4	4	16
2	<p>Effectively manage: Homelessness Reduction Bill</p> <p>The Homelessness Reduction Act was introduced in April 2018, placing additional statutory requirements on the Local Authority to prevent homelessness. Strategic and operational measures are in place to effectively administer the process. Ensure that IT, staffing and funding arrangements are in place to effectively deliver the service, which will be monitored quarterly by Ministry of Housing. Improve partnership working to develop consistency and joined up approach to tackle rough sleeping and reduce homelessness.</p> <p>Failure to comply and correctly administer the Homelessness Reduction Act will result in further judicial review and legal challenges. Homelessness reduction act fully implemented.</p>	Lindsay Smith	Ongoing	1	1	1

Progress update:

- Ability to continue to deliver self-directed support and personal budgets due to current financial situation. Systems remain in place to maintain self-directed support and personal budgets. Financial monitoring continues as planned

	Adult Social Care	Completion Date:	September 2019
Contact Officer:	Sue Wallace-Bonner	Authorising Officer:	Sue Wallace-Bonner

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Business Objective / Project	
Ref	Description
	Continue to effectively monitor the quality of services that are commissioned and provided in the borough for adult social care service users and their carers.

Assessment of current risk(s)				
Item	Identified risk	Impact (Severity)	Likelihood (Probability)	Score (I x L)
1	Failure to effectively monitor service quality, which could put service users at risk.	4	4	16
2	Financial constraints due to reduced budgets and continuing Government efficiencies.	5	4	20

Assessment of residual risk(s)						
Item	Risk control measure(s)	Lead Officer	Timescale / review frequency	Impact (Severity)	Likelihood (Probability)	Score (I x L)
1	1.1 Integrated Safeguarding Unit. 1.2 Effective systems within the Quality Assurance section. 1.3 Case File Audits 1.4 QA Framework	Sue Wallace-Bonner	Quarterly	4	2	8
2	Regularly monitor financial situation to ensure balanced budget and continued value for money services. Domi Care Care Homes Delivering Services Effectively	Sue Wallace-Bonner	Quarterly	5	4	20

Progress update:
1. Failure to effectively monitor service quality, which could put service users at risk. Quality assurance processes remain in place with regular reporting mechanisms.
2. Financial constraints due to reduced budgets and continuing Government efficiencies. Financial management systems remain in place.

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Originating Department:	Adult Social Care	Completion Date:	September 2019
Contact Officer:	Sue Wallace-Bonner	Authorising Officer:	Sue Wallace-Bonner

Business Objective / Project	
Ref	Description
	Effectively consult and engage with people who have Complex Care needs to evaluate service delivery, in the form of an annual survey to highlight any areas for improvement and contribute towards the effective re-design of services where required.

Assessment of current risk(s)				
Item	Identified risk	Impact (Severity)	Likelihood (Probability)	Score (I x L)
	No risks identified.			

Originating Department:	Adult Social Care	Completion Date:	September 2019
Contact Officer:	Helen Moir	Authorising Officer:	Sue Wallace-Bonner

Business Objective / Project	
Ref	Description
	Compliance with the legal requirements of Deprivation of Liberty Safeguards (DoLS). Court of Protection

Assessment of current risk(s)				
Item	Identified risk	Impact (Severity)	Likelihood (Probability)	Score (I x L)

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1	Failure to comply with statutory duty due to the impact of the Supreme Court Judgement.	4	4	16
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Assessment of residual risk(s)

Item	Risk control measure(s)	Lead Officer	Timescale / review frequency	Impact (Severity)	Likelihood (Probability)	Score (I x L)
1	1.1 Regular monitoring of demand and updates to SMT 1.2 Effective systems within IASU 1.3 Ensure ongoing training of BIA	Sue Wallace-Bonner	Quarterly	4	4	12

Progress update

- 1.1 Regular monitoring of demand and updates to SMT
- 1.2 Effective systems within IASU
- 1.3 Ensure ongoing training of BIA