Adult Social Care

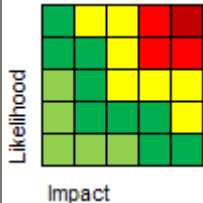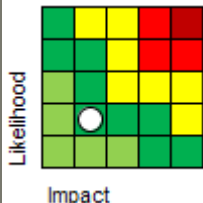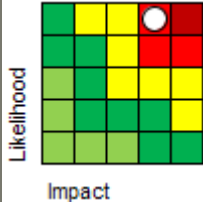## 2. AHC Adult Health and Care Service - RISK PROFILE

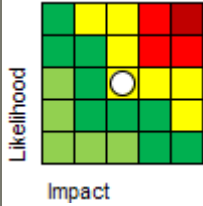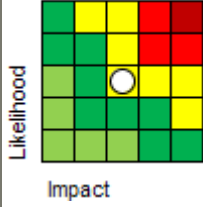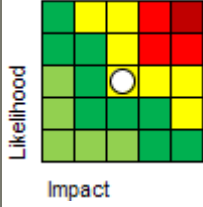| Risk Code & Title	Description	Current Rating	Current Risk Matrix	Latest Note
ASC.RR.01 Adult and Social Care Service	This is a Head of Service operational risk register which should set a risk appetite for risks/threats within the services run. Some are 'generic' and may be found in all HOS's risk registers e.g. Fraud, Waste and Error. It has been agreed that the risk register should only list operational risks that are above a risk appetite (residual risk). Once risks are reduced to low risk they can be sidetracked. Emerging risks of any consequence should be registered immediately. This risk register should correlate with the 'Successes/Challenges' part of the Quarterly Performance Report. Each risk must have an original/inherent risk score, a current risk score, a target risk (appetite) score and a target date for low risk achievement. Each quarter a latest note should be placed against each risk, projecting the future. Internal Controls should also be reviewed as to their effectiveness. The Heat Map below gives an indication of the level of risk within the service.			

RISKS .

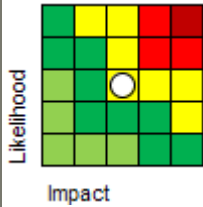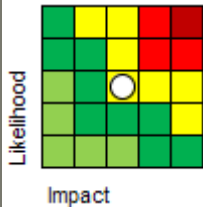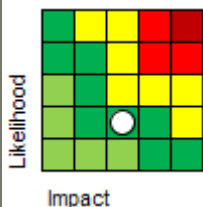| Risk Code & Title	Description	Current Rating	Current Risk Matrix	Latest Note
ASC.RR.01-01 Capacity of voluntary and private sector to meet Council's requirements in relation to quality and cost of services	Problems are not one of a limited supply of providers, more to do with capacity and quality. Main threats are commissioned care providers: i) delivering poor quality care that places service users at risk of harm; ii) unable to meet the increasing demands for provision particularly in relation to care at home; iii) ceasing trading due to financial difficulties creating risks around service provision for large groups of very vulnerable people. All of these risks have further risks of adverse publicity for the Council.	16		**Q1 18/19:** Ongoing work continues in the overall care at home review to support a new sustainable delivery model.

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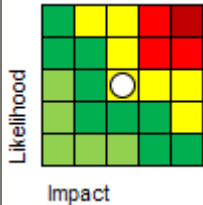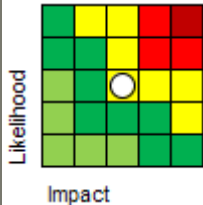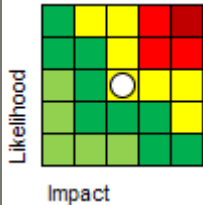| Risk Code & Title	Description	Current Rating	Current Risk Matrix	Latest Note
	Risk Cause:			
	Risk Event:			
	Risk Effect:			
ASC.RR.01-03 Compliance with procurement legislation and effective contract management	Risks around ensuring that all commissioning and procurement is compliant with legislative and policy requirements. Pressures to procure new services quickly to meet changing or new service users' needs as well as importance of appropriate engagement of service users and carers in procurement processes. **Risk Cause:** **Risk Event:** **Risk Effect:**			**Q1 17/18:** In order to address the continuing problems associated with the provision of care at home services, a new Framework Agreement will be introduced from 1st August.
ASC.RR.01-04 Ensuring best value	Risk of in-house and commissioned services not meeting the statutory requirements of best value **Risk Cause:** **Risk Event:** **Risk Effect:**	4		**Q1 17/18:** 1. Review of in-house homecare services continues, with some steps taken already to improve the efficiency of the service. 2. The redesign of Newbyres Care Home complete. 3. Review of service and staffing model in Highbank is being undertaken.
ASC.RR.01-05 Meeting growing demands with constrained /reduced budgets, especially from external funders	Community Care: Risks from demographic pressures arising from increasing elderly population and increasing numbers of adults with disabilities and complex needs. **Risk Cause:** **Risk Event:** **Risk Effect:**	20		**Q1 18/19:** Programme of work being overseen by the Council Transformation Steering Group including Redesign of Learning Disability Day Services; New Approach to the Provision and Review of Care Packages; Redesign of Care at Home Services; Increased Application of New Technology; and the expansion of special needs housing for older people and people with disabilities.

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Risk Code & Title	Description	Current Rating	Current Risk Matrix	Latest Note
ASC.RR.01-06 Capacity of communities to meet changing requirements of them to support social inclusion within local communities	In the current financial climate service users and family carers will become increasing dependent on support from local communities to ensure that their needs for meaningful activities and social interaction are met. Significant investment of resources and skills will be required to ensure that communities are able to respond to these needs. **Risk Cause:** **Risk Event:** **Risk Effect:**	9		**Q1 17/18:** 1. The CHIT service and the Wellbeing Service in health centres continue to be successful. Monies have been obtained to expand the service and maintain it through until March 2018. 2. Health and Social Care continue to participate in the area targetting work. 3. A number of more specific projects are underway, including weight management, bowel screening, and diabetes, which will all help address inequalities.
ASC.RR.01-07 Property risks in terms of maximising the property asset to the benefit of service delivery and accessibility including DDA compliance	Meeting the changing and developing needs of Service Users requires appropriate building space **Risk Cause:** **Risk Event:** **Risk Effect:**	9		**Q1 17/18:** Extra Care housing development to included in broader Council house building program. The need for more specialist housing provision is also being assessed in relation to both Learning Disabilities and Mental Health. Feasibility study being progressed to re-provide Highbank. A proposal to provide a recovery hub in existing Council premises will be considered by Council in August.
ASC.RR.01-08 Harm by offenders to members of the public	This is the risk of despite having comprehensive procedures and systems in place but one offender may commit a serious crime, causing harm to a member of the public and the council reputation damage. Risk Score likely to remain medium (low likelihood but high impact = medium). **Risk Cause:** **Risk Event:** **Risk Effect:**	9		**Q1 18/19** Risk continues to be monitored.

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Risk Code & Title	Description	Current Rating	Current Risk Matrix	Latest Note
ASC.RR.01-09 Adult Protection	The risk of harm to a vulnerable service user arising from the failure to identify the risk to the individual and initiate adult protection procedures or the failure of adult protection procedures when invoked to adequately assess and manage the risk and consequent reputation damage for the Council. **Risk Cause:** **Risk Event:** **Risk Effect:**	9		**Q1 18/19** Care Inspectorate report published. Positive feedback.
ASC.RR.01-10 Capacity to manage scale of transformational change	A major programme of service review and transformation is currently underway. Failure to manage this programme will lead to risks in not achieving coherent arrangements for the continuing delivery of sustainable public services in the new financial climate. **Risk Cause:** **Risk Event:** **Risk Effect:**	9		**Q1 17/18:** The primary role for managing transformational change in Health and Social Care lies with the Strategic Planning Group. Within the Council, the Realistic Care, Realistic Expectations Board is being supported by a member of staff in the Business Transformation Team. More specifically, a project officer was appointed to assist in the major project related to the review of Learning Disability Day Services.
ASC.RR.01-12 Failure to (a) control commitments and payments in relation care provision and (b) achieve a high accounts receivable collection rate	Frameworki system used to control commitments and payments. Significant sums are authorised through this system to external providers. In the spring of July, DMT discussed the relatively poor accounts receivable collection performance. **Risk Cause:** **Risk Event:** **Risk Effect:**	6		**Q1 17/18:** One of the key workstreams in the Realistic Care, Realistic Expectations Programme is to review the processes associated with financial commitment recording. This work is being supported by the Business Application Manager.

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ASC.RR.01-13 Staffing	Staffing is critical to the effectiveness of Adults and Community Care. There are a range or potential risks including difficulties or delays in recruitment; high levels of sickness absence; and failure to ensure a fully skilled confident workforce. In some areas of work such as Mental Health the service is dependant on the availability of specialist advice e.g. legal, to Community Care staff. **Risk Cause:** **Risk Event:** **Risk Effect:**	9		**Q1 17/18**: Work is in progress with social care providers in relation to careers in care, to increase the number of people entering the care sector. The Health and Social Care Partnership is developing a workforce plan across Heath, Social Care, and the external sector. A recent initiative has been undertaken to target groups of people who might not previously have considered a career in care, including through Facebook.
ASC.RR.01-14 Information Management and Data Protection	All Heads of Service are mandated to monitor compliance with the Data Protection Act. **Risk Cause:** **Risk Event:** **Risk Effect:**	9		**Q1 17/18:** 1. A number of information sharing agreements between Midlothian Council, IJB, and NHS Lothian have been signed off for operational purposes. 2. Delays continue in relation to implementation of the Interagency Information Exchange. 3. Work is underway to finalise the information sharing arrangements for the new Wellbeing Service in primary care.
ASC.RR.01-16 Legislative requirement for health and community care to integrate	This is viewed as a major change that will require huge investment in time and buy-in from stakeholders **Risk Cause:** **Risk Event:** **Risk Effect:**	9		**Q1 17/18:** The Strategic delivery plan for 2017/18 has been produced and directions provided to NHS and to Midlothian Council and are being implemented. More specific work is being undertaken to develop closer working relationships within the learning disability field. If successful, the proposal for a recovery hub will enable health, social care and voluntary sector staff in the mental health and substance misuse to be co-located. A new project is at the early stage of planning, which involves developing stronger interagency work at a locality level in Penicuik in relation to housebound patients.