

**To the Chair and Members of the
AUDIT COMMITTEE**

STRATEGIC RISK MANAGEMENT IN ADULTS HEALTH AND WELLBEING

Relevant Cabinet Member(s)	Wards Affected	Key Decision
Cllr Glyn Jones	None	No

EXECUTIVE SUMMARY

1. This report sets out the way in which the Adults Health and Wellbeing (AHWb) directorate manages strategic risks, as requested at the Audit Committee meeting in August 2016. It details the grip the directorate has on its 2 specific strategic risks and the variety of ways in which the key components of the risks are focussed upon.
2. Strategic risks are managed more rigorously and transparently than ever before. They are linked directly to AHWb strategic plans and managed in line with the governance and reporting arrangements of those plans. This includes reporting to internal leadership meetings and Elected Member groups and externally to public meetings and independent boards.
3. The AHWb Leadership Team has confidence that risks are robustly managed and challenged using the processes outlined in this report. The team also accepts that improvement to current arrangements is always possible and therefore external help and review is routinely considered to make sure that best practice is implemented. .

EXEMPT REPORT

4. Not exempt

RECOMMENDATIONS

5. That Audit Committee note and comment on the management of AHWb strategic risks.

WHAT DOES THIS MEAN FOR THE CITIZENS OF DONCASTER?

6. Although this report in itself has no implications for the people of Doncaster, the management of strategic risks is important in ensuring that the Council's priorities are delivered.
7. This report concentrates on the 2 key AHWb strategic risks and effective management of these risks will contribute towards ensuring that individuals are kept safe and that services are modern and provide value for money.

BACKGROUND

8. At the Audit Committee meeting on 17th August 2016, Members considered a report that listed the Council's strategic risks and highlighted the reports that were scheduled to be produced during the year for each of the risks, as set out in Appendix A of that report. Members were asked to nominate the strategic risks the committee wished to carry out 'deep-dive' reviews into.
9. This is the first 'deep-dive' report into the requested strategic risk (SR02), based on the criteria of the overall risk score being greater than 10 as at quarter 1 2016. However, the directorate considers it better governance to report on management arrangements for the 2 directorate strategic risks (SR01 and SR02) irrespective of the risk score. The 2 strategic risks included within this report are therefore:
 - SR01 - The agreed standards and policies are not adequately understood and implemented by practitioners who work with vulnerable adults increasing the risk of vulnerable people experiencing harm or abuse (current score, impact 5 *critical*, likelihood 2 *unlikely*).
 - SR02 - Health and social care services do not change fast enough , impacting on quality, accessibility and affordability of services for people who need them most (current score, impact 5 *critical*, likelihood 3 possible).

RISK MANAGEMENT ARRANGEMENTS

10. Governance arrangements for the AHWb strategic risks are detailed in Appendix A attached to this report.
11. Strategic risk **SR01** relates mainly to adults safeguarding procedures. In November 2015, the Council requested the Yorkshire and Humber Association branch of Directors of Adults Social Services to undertake a peer review of Doncaster's safeguarding arrangements. This review has informed and shaped the way that safeguarding risks are managed by the Council and its partners through the Doncaster Safeguarding Adults Board.
12. As a result of the peer review, a comprehensive action plan was put in place, containing a range of activities that contributed significantly towards managing the strategic risk. This action plan is strictly managed by the directorate's senior managers and progress is on track against agreed targets.
13. The peer review action plan is supported by a focussed operational risk register that is managed by a range of risk owners and is regularly reported to the Council's leadership and to external partners.
14. Specific reports relating to SR01 are presented at the AHWb Leadership meeting and the AHWb Improvement Board on a 6 weekly basis. Similar reports are also presented to the Doncaster Adults Safeguarding Board each quarter during the year.
15. Actions completed include the implementation of a new Safeguarding Adults Hub and the development of a new performance management framework.
16. A further independent quality assurance review was undertaken in September 2016, with positive feedback on progress made so far and some further more recent areas of national policy to consider.
17. Strategic risk **SR02** concerns the transformation of AHWb services, both to

modernise and improve support and to ensure that resources can be focussed on those most in need. Details of this Transformation Programme have previously been reported to the Mayor and Cabinet and 7 projects to instigate the improvements are being mobilised.

18. This risk was originated during the 2014/15 financial year when progress on critical change was too slow. In the last year, new leadership has brought in rigorous and robust programme, financial and resource management to deliver both transformation and significant and sustained improvement in business as usual. Risk management will now be focussed upon the transformation plans over the next 5 years.
19. Proactive work has been undertaken on a range of recently developed transformation projects. This has resulted in an initial risk register that will make sure that projects start off on the right footing and are developed further as the programme progresses.
20. In line with previous arrangements, the risk register will be managed by project leads and will be reported by the Programme Management Office to the Council's leadership, including Elected Members. Reports will be planned into the schedules of AHWb leadership, Directors, AHWb Improvement Board, Cabinet, OSMC and Audit Committee and mitigating actions will be built into relevant plans.
21. Reports relating to SR02 are managed by individual transformation project owners and relate to the various projects within the programme. Over the past year work has concentrated on "Immediate Business Improvement" projects. Risk reports have been produced on a regular basis, presented to the AHWb Leadership Team and then considered and challenged at the independent AHWb Improvement Board, which is chaired by the Chief Executive with the Deputy Mayor in attendance.
22. In addition to the arrangements set out above that are specific to each individual risk, there is a range of generic management procedures that are common to both risks. These procedures can be summarised as follows;
 - Strategic risks are monitored on Covalent, adhering to the requirements of the Council's Risk Management Policy;
 - There is a risk focus at monthly AHWb leadership performance sessions;
 - Quarterly strategic risk management is undertaken as part of the corporate performance management framework;
 - Risks are a standing item on the AHWb Governance Group agenda;
 - Staff performance is managed via the Council's Performance and Development Review (PDR) process. This ensures effective management of performance that contributes to risk mitigation.
23. Each strategic risk is also underpinned by an operational risk register that contains more detailed working risks. This facilitates easier and more effective management by the range of individuals, teams, groups and boards that are linked to the respective programmes of work.
24. The AHWb Leadership Team has committed to review the 2 strategic risks as part of the quarter 3 challenge cycle. The 2 risks were initiated more than a year ago, when progress on safeguarding and transformational change was not at the level that the Council required. Since then, significant headway has been made which now requires a different emphasis for the risks. It is anticipated that this

work will be completed in time to form part of the quarter 3 risk report to Audit Committee. There is also commitment to ensure that strategic risks are specifically referenced within staff PDR agreements.

OPTIONS CONSIDERED

25. Not applicable

REASONS FOR RECOMMENDED OPTION

26. Not applicable

IMPACT ON THE COUNCIL'S KEY OUTCOMES

27.

	Outcomes	Implications
	<p>All people in Doncaster benefit from a thriving and resilient economy.</p> <p><i>Mayoral Priority: Creating Jobs and Housing</i> <i>Mayoral Priority: Be a strong voice for our veterans</i> <i>Mayoral Priority: Protecting Doncaster's vital services</i></p>	<p>No implications for this particular report, but: Management of SR02 strategic risk will contribute to the local economy and help to protect Doncaster's vital services.</p>
	<p>People live safe, healthy, active and independent lives.</p> <p><i>Mayoral Priority: Safeguarding our Communities</i> <i>Mayoral Priority: Bringing down the cost of living</i></p>	<p>No implications for this particular report, but: Management of the SR01 strategic risk does contribute to ensuring that vulnerable adults are kept safe: Management of SR02 strategic risk will help to modernise services and contribute to the wellbeing and independence of individuals and communities.</p>
	<p>People in Doncaster benefit from a high quality built and natural environment.</p> <p><i>Mayoral Priority: Creating Jobs and Housing</i> <i>Mayoral Priority: Safeguarding our Communities</i> <i>Mayoral Priority: Bringing down the cost of living</i></p>	<p>No implications for this particular report, but: Management of SR02 strategic risk will contribute to safeguarding communities.</p>
	<p>All families thrive.</p> <p><i>Mayoral Priority: Protecting Doncaster's vital services</i></p>	<p>No implications for this particular report, but: Management of SR02 strategic risk will contribute to thriving</p>

		families and help to protect Doncaster's vital services.
	Council services are modern and value for money.	No implications for this particular report, but: Management of SR02 strategic risk will contribute to increasing the value for money of Council services.
	Working with our partners we will provide strong leadership and governance.	No implications for this particular report, but: Management of both risks will contribute to effective partnership working and stronger leadership.

RISKS AND ASSUMPTIONS

28. No assumptions made. Risks are contained within the body of the report and the appendix.

LEGAL IMPLICATIONS

29. There are no legal implications as a result of this report.

FINANCIAL IMPLICATIONS

30. There are no financial implications as a result of this report.

HUMAN RESOURCES IMPLICATIONS

31. There are no human resources implications as a result of this report.

TECHNOLOGY IMPLICATIONS

32. There are no technology implications as a result of this report.

EQUALITY IMPLICATIONS

33. There are no equality implications as a result of this report.

CONSULTATION

34. No consultation has been undertaken or is required as a result of this report.

BACKGROUND PAPERS

35. Audit Committee agenda and papers 17th August 2016

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