

# Risk Register ASC Jan 2024



## Adults Social Care (DASS - MLock)

Risk Description - uncertain event that has effect on objectives	Cause of the risk	Consequence of the risk - which would lead to	Current Risk Assessment	Controlled Risk Assessment									
<b>AANDH0024</b> Overspend of contract budget	Failure to effectively plan, forecast and cost the expectations of new service, coupled with additional unexpected costs	Aspects of service delivery undelivered/ceasing/restricted, with safeguarding risk associated due to impact on individuals reliant on support	Red - V. High Risk <div style="background-color: red; color: white; padding: 2px; display: inline-block;">20</div> Impact 5 Likelihood 4	V. Low Risk <div style="background-color: green; color: white; padding: 2px; display: inline-block;">2</div> Impact 1 Likelihood 2	<table border="1"> <thead> <tr> <th data-bbox="1520 395 1686 520">Next Review Date</th> <th data-bbox="1686 395 1823 520">Last Review Date</th> <th data-bbox="1823 395 1921 520">Days Overdue</th> <th data-bbox="1921 395 2128 520">Risk Owner</th> </tr> </thead> <tbody> <tr> <td data-bbox="1520 520 1686 671">27/01/2024</td> <td data-bbox="1686 520 1823 671">27/12/2023</td> <td data-bbox="1823 520 1921 671">10</td> <td data-bbox="1921 520 2128 671">Paul Coles</td> </tr> </tbody> </table>	Next Review Date	Last Review Date	Days Overdue	Risk Owner	27/01/2024	27/12/2023	10	Paul Coles
Next Review Date	Last Review Date	Days Overdue	Risk Owner										
27/01/2024	27/12/2023	10	Paul Coles										
<p><b>Risk Review Update</b></p> <p>Review Summary: Mitigations have been put in place to manage the CEWS overspend including: a formal communication has gone out to all prescribers/ managers from ICB director of finance and ASC service director for commissioning, confirming the current budget spend and request for additional scrutiny over equipment and wheelchair orders. Each prescribing areas has an indicative budget, if the service area goes over there predictive spend, further intervention is required to bring the budget back in-line. Updated on 04/09/2023 16:53:34</p>													
<b>Control Measure</b>	<b>Control Review Update</b>	<b>Status</b>	<b>Days Overdue</b>	<b>Review Date</b>	<b>Control Owner</b>								
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Adults Social Care (DASS - MLock)

Risk Description - uncertain event that has effect on objectives	Cause of the risk	Consequence of the risk - which would lead to	Current Risk Assessment	Controlled Risk Assessment												
<p><b>AANDH0028</b></p> <p>Insufficient capacity within ASC Internal operational workforce to meet growing demand for social care support</p>	<p>Increased demand on Adult Social Care services due to an ageing population and people living longer with greater complexity of needs. Growing rates of carer breakdown Demand for social care packages via hospital discharge activity National shortage of Social Workers and Occupational Therapists – very competitive market. Somerset’s population is older than the national average, however, our workforce budget, remains comparatively lean compared to other Councils (average being around 29% as at September 2022; workforce accounts for around 10% of</p>	<p>Inability to respond to/meet people's care and support needs in a timely, effective, person-centred way; reputational risk; financial risk; safeguarding risk; failure to deliver strategy ambitions; failure to meet statutory duties under The Care Act 2014; risk of poor inspection outcome</p>	<p>Red - V. High Risk</p> <p><b>16</b></p> <p>Impact <b>4</b></p> <p>Likelihood <b>4</b></p>	<p>V. Low Risk</p> <p><b>8</b></p> <p>Impact <b>4</b></p> <p>Likelihood <b>2</b></p>	<table border="1"> <thead> <tr> <th>Next Review Date</th> <th>Last Review Date</th> <th>Days Overdue</th> <th>Risk Owner</th> </tr> </thead> <tbody> <tr> <td>04/03/2024</td> <td>04/02/2024</td> <td>0</td> <td>Niki Shaw</td> </tr> </tbody> </table>	Next Review Date	Last Review Date	Days Overdue	Risk Owner	04/03/2024	04/02/2024	0	Niki Shaw			
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04/03/2024	04/02/2024	0	Niki Shaw													

**Risk Review Update**

Review Summary: The service continues to face significant challenges with internal capacity to meet high demand for social care and support. There is a recognised national shortage of Social Workers and Occupational Therapists coupled with a very competitive market. There is increased demand on Adult Social Care services due to an ageing population and people living longer with greater complexity of needs. Somerset’s population is older than the national average, however, our workforce budget, remains comparatively lean compared to other Councils (average being around 29% as at September 2022, whereas workforce accounts for around 10% of overall Adults budget locally). Whilst our ASC Operational restructuring has progressed well, and we continue to progress our workforce strategy, this risk and its associated impacts remains very high and has been complicated by the Council’s financial emergency declaration and the spend control measures that have been implemented. Business cases for ASC Ops have been submitted by the Deputy Director of ASC Operations to the new Establishment Control and Recruitment Board to enable us to continue to progress recruitment for critical posts and work to reduce reliance on locums/agency staff. We continue to focus on recruitment and retention as an ASC workforce board following review of our strategic priorities in Dec 2023 - this will be a focus of the Feb Workforce Board meeting. The Council's VR Scheme is set to launch on 09/02/24 - we will monitor the impact this is likely to have on capacity across the service and organisation; however critical/hard to recruit posts will be exempt from applying for VR.

Insufficient capacity within ASC Internal operational workforce to meet growing demand for social care support Updated on 03/01/2024 12:52:40

Control Measure	Control Review Update	Status	Days Overdue	Review Date	Control Owner

Adults Social Care (DASS - MLock)

Control Measure	Control Review Update	Status	Days Overdue	Review Date	Control Owner

Adults Social Care (DASS - MLock)

Risk Description - uncertain event that has effect on objectives	Cause of the risk	Consequence of the risk - which would lead to	Current Risk Assessment	Controlled Risk Assessment												
<p><b>AANDH0030</b></p> <p>Adult Social Care unable to achieve MTFP targets/deliver a balanced budget (costs exceed available resources)</p>	<p>Rising demand for care and support Demographic changes and pressures Challenges in independent care sector market - workforce/sustainability and fair cost of care Delays of Govt strategy/plan for social care reform and lack of guarantee of medium term funding to respond to rising need The impact / legacy of COVID on service costs, loss of income and de-conditioning of adults</p>	<p>Council unable to set a balanced budget and reserves reduced to unacceptable level; reputational risks; risks placed on other Council departments</p>	<p>Red - V. High Risk</p> <p><b>16</b></p> <p>Impact 4</p> <p>Likelihood 4</p>	<p>Yellow - Medium Risk</p> <p><b>9</b></p> <p>Impact 3</p> <p>Likelihood 3</p>	<table border="1"> <thead> <tr> <th data-bbox="1532 335 1682 443">Next Review Date</th> <th data-bbox="1686 335 1834 443">Last Review Date</th> <th data-bbox="1839 335 1921 443">Days Overdue</th> <th data-bbox="1926 335 2103 443">Risk Owner</th> </tr> </thead> <tbody> <tr> <td data-bbox="1532 446 1682 574">04/03/2024</td> <td data-bbox="1686 446 1834 574">04/02/2024</td> <td data-bbox="1839 446 1921 574">0</td> <td data-bbox="1926 446 2103 574">Niki Shaw</td> </tr> </tbody> </table>				Next Review Date	Last Review Date	Days Overdue	Risk Owner	04/03/2024	04/02/2024	0	Niki Shaw
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**Risk Review Update**

Review Summary: The current ASC budget is £185.5m. The actual overspend in year is £24.2m - this is offset by a number of in year mitigations to reduce this overspend to £ 14.9m. These mitigations include the My Life my Future transformation work with Newton, one off funding from the NHS and robust in year financial management .

We have rebased the budget for 2024/25 on actuals. This is the first time this has happened in a number of years.

90% of the ASC budget is spent on individual placements purchased through the market via block and spot placements . Therefore, there is a recognised risk that this budget will continue to overspend.

This is due to increased demand, the cost-of-living rise, particularly the increases in petrol, gas, electric, and food.

We have a number of mitigations in place which include :

- a) Enhanced Peer Forum – Robust financial and operating challenge;
- b) Reviewing Interim Placements – This review will identify those who should be self-funding/contributing towards their long-term care.
- c) My life, my future – reduce the overreliance on bed placements and redesign the reablement service.
- d) Review all high cost/complex placements.
- e) Review void costs.

Adult Social Care unable to achieve MTFP targets/deliver a balanced budget (costs exceed available resources) Updated on 03/01/2024 11:35:14

Control Measure	Control Review Update	Status	Days Overdue	Review Date	Control Owner
<p><b>AANDH0030/005</b></p> <p>Ensure routine monitoring of MTFP actions, mitigations and savings at SMT level in ASC</p>		<p>Existing (Proactive)</p>			<p>Niki Shaw</p>

Adults Social Care (DASS - MLock)

Control Measure	Control Review Update	Status	Days Overdue	Review Date	Control Owner
<b>AANDH0030/006</b> Contribute to MTFP Challenge Sessions during Oct 2023 and seek external scrutiny/support	Review Summary: ASC has actively contributed to and participated in multiple MTFP challenge sessions and scrutiny activity as part of wider council response and activity associated with the financial emergency it faces  Contribute to MTFP Challenge Sessions during Oct 2023 and seek external scrutiny/support	In Progress (Reactive)	0	04/03/2024	Niki Shaw

Adults Social Care (DASS - MLock)

Risk Description - uncertain event that has effect on objectives	Cause of the risk	Consequence of the risk - which would lead to	Current Risk Assessment	Controlled Risk Assessment	Next Review Date	Last Review Date	Days Overdue	Risk Owner
AANDH0041 Over-reliance on locum/temporary staff in frontline adult social care operational teams	National challenges recruiting sufficient permanent social workers and Occupational Therapists into local authority adult social care services	Significant added pressure to adult social care staffing budget; negative impact on some aspects of practice quality, knowledge, consistency and team morale due to temporary nature of workforce; inequality in pay and conditions	Red - V. High Risk	Yellow - Medium Risk				
			16	12				
			Impact 4	Impact 4	06/03/2024	06/02/2024	0	Niki Shaw
			Likelihood 4	Likelihood 3				

Risk Review Update

Review Summary: Update from Ops Director: Recruitment into permantant positions remains a risk. Robust mapping of our workforce with Strategic Management oversight and HR Business Partner support has identified key areas of risk that need to be supported, therefore additional locum workforce has been requested to the ERCB. Weekly monitoring is undertaken at ASC Operational DMT meetings to ensure we have the right spread of workforce across the operational workforce.

Over-reliance on locum/temporary staff in frontline adult social care operational teams Updated on 03/01/2024 12:51:09

Control Measure	Control Review Update	Status	Days Overdue	Review Date	Control Owner
AANDH0041/001 Ensure all locum (matrix) orders are authorised at Strategic Manager level with finances approved	Review Summary: This work continues in line with approval process established and wider financial/recruitment controls in place	In Progress (Reactive)	0	04/03/2024	Niki Shaw
	Ensure all locum (matrix) orders are authorised at Strategic Manager level with finances approved				
AANDH0041/002 Review existing locums in ASC for opportunities to cease/amend / make permanent contracts	Review Summary: This work continues within ASC Ops and has been supported by HR and Strategic Manager colleagues	In Progress (Reactive)	0	04/03/2024	Niki Shaw
	Review existing locums in ASC for opportunities to cease/amend / make permanent contracts				

Adults Social Care (DASS - MLock)

Risk Description - uncertain event that has effect on objectives	Cause of the risk	Consequence of the risk - which would lead to	Current Risk Assessment	Controlled Risk Assessment				
AANDH0039  Recruitment of staff internally and externally into new operational structure creates gaps or challenges in other parts of Adult Social Care service	Major ASC Operational restructuring plans, additional roles, activity and timeline	Gaps in service Capacity challenges Demand on staff or teams	Amber - High Risk	V. Low Risk	Next Review Date	Last Review Date	Days Overdue	Risk Owner
			15	6				
			Impact 3	Impact 2				
			Likelihood 5	Likelihood 3	26/02/2024	26/01/2024	0	Niki Shaw

**Risk Review Update**

Review Summary: Following the creation of the Corporate Establishment Control and Recruitment Board to support the Council in managing it's financial pressures, the Deputy Director for ASC Operations submitted a business case which was approved on the 30th November to enable the service to continue to recruit to critical social worker, occupational therapist, advanced practitioner and service manager posts. A further request was submitted to the Board on 19 December 2023 surrounding our Locum workforce to look to extend and replace our temporary workforce. The Ops Director and her Strategic Managers have met to look at the priority areas for recruitment and to map through where we need replacement temporary workforce pending permanent recruitment. Recruitment is ongoing; based on ASC Workforce Board data in early Jan 2024 there were 19 operational staff in the recruitment pipeline, including ASCPs and OTs. 5 were social workers. Jan 2024 data indicated we had 50 locums in place.

We are conscious of the likely need for Council re-sizing/re-organisation and are aware of the potential for VR to be launched for non-exempt/ critical staff roles imminently - this has the potential to impact in a number of ways across both ASC Ops/Commissioning but also on key partner services and capacity.

Recruitment of staff internally and externally into new operational structure creates gaps or challenges in other parts of Adult Social Care service Updated on 20/12/2023 15:31:13

Control Measure	Control Review Update	Status	Days Overdue	Review Date	Control Owner
AANDH0039/001 ASC to contribute to new corporate Establishment and Recruitment Control Board	Review Summary: ASC Operations completed a business case to the Establishment and Recruitment Control Board which was approved on the 30th November for us to continue to recruit to SW's, OT's, AP's and Service Managers. A further request to the Board was progressed on 19 Dec 2023 surrounding our Locum workforce to look to extend and replace our temporary workforce. Work to be done as part of contract extensions affecting staff in Commissioning / Transformation over coming weeks  ASC to contribute to new corporate Establishment and Recruitment Control Board	In Progress (Reactive)	0	26/02/2024	Niki Shaw

Adults Social Care (DASS - MLock)

Risk Description - uncertain event that has effect on objectives	Cause of the risk	Consequence of the risk - which would lead to	Current Risk Assessment	Controlled Risk Assessment				
AANDH0001  Failure to undertake timely and effective client assessments and reviews	High and growing levels of demand on service coupled with significant workforce capacity pressures	Reputational risk Financial risk Inability to meet statutory responsibilities Poor external assurance/CQC assessment outcome	Yellow - Medium Risk	V. Low Risk	<b>Next Review Date</b>	<b>Last Review Date</b>	<b>Days Overdue</b>	<b>Risk Owner</b>
			<b>12</b>	<b>6</b>	26/04/2024	26/01/2024	0	Niki Shaw
			Impact 3 Likelihood 4	Impact 3 Likelihood 2				

**Risk Review Update**

Review Summary: The Council has a statutory duty to conduct annual reviews of the support to individuals where needs have been assessed and are funded by the LA. Overdue assessments and reviews remain high and above target, with overdue assessment levels continuing to rise based on data to end of Dec 2023. Detailed assurance reports in relation to waiting lists and prioritisation are presented on a quarterly basis to the Safeguarding Adults Board's performance and quality subgroup, with the latest report received in November 2023 and the next one due early February 2024. Whilst significant work is being undertaken by ASC Ops to address waitlists, capacity and demand pressures continue to impact on performance. A 12 month trajectory plan was signed off in May 2023 for overdue assessments and reviews. Each neighbourhood team has created a recovery plan based on the monthly trajectories and targets. Advanced practitioners are expected to undertake regular monitoring of the teams' performance and reporting statistics. Service Managers meet with APs weekly to review and update the Action plans. A monthly Operational Assurance Group has been established to scrutinise individual team performance against trajectories and it is expected that strategic and service Managers will provide regular feedback to teams re their performance toward their trajectory and addressing any issues that are restricting the flow through of work. We know our approach to waiting lists and prioritisation will be a key focus of both any Care Quality Commission assessment in future, and the Local Government Association Peer Challenge scheduled for early March 2024.

Failure to undertake timely and effective client assessments and reviews Updated on 24/10/2023 11:12:53

Control Measure	Control Review Update	Status	Days Overdue	Review Date	Control Owner
AANDH0001/007 Establish and progress an Operational Assurance Group to provide strategic overview of activity (Angela King)	Review Summary: Whilst levels of overdue reviews are continuing to reduce, the number of overdue assessments and reviews continue to remain high and above target, impacted by rising demand, complexity of need and ongoing internal workforce pressures.  A weekly Operational Assurance Group has been established to provide strategic overview on the completion of assessments and reviews in operational teams, and to support reduction of backlogs through close monitoring of trajectories and regular reporting to governance/assurance boards, including the Safeguarding Adults Board.	Existing (Proactive)			Niki Shaw



Adults Social Care (DASS - MLock)

Control Measure	Control Review Update	Status	Days Overdue	Review Date	Control Owner
<p><b>AANDH0001/008</b> Provide detailed quarterly assurance reports to SSAB / PIMS regarding progress in addressing overdue assessments/reviews</p>	<p>Review Summary: Following a presentation to SSAB Quality &amp; Performance subgroup in May where scrutiny was applied to current position and plans to address, a weekly Operational Assurance Group has been established to provide strategic overview on the completion of assessments and reviews in operational teams, and to support reduction of backlogs through close monitoring of trajectories and regular reporting to governance/assurance boards, including the Safeguarding Adults Board (next due August 2023)</p>	<p>Existing (Proactive)</p>			<p>Niki Shaw</p>

Adults Social Care (DASS - MLock)

Risk Description - uncertain event that has effect on objectives	Cause of the risk	Consequence of the risk - which would lead to	Current Risk Assessment	Controlled Risk Assessment									
<p><b>AANDH0003</b></p> <p>Adult social care staff fail to receive good quality, regular, reflective supervision in line with policy</p>	<p>Inconsistent practice and poor compliance with supervision logging across teams</p>	<p>Unable to meet statutory employer responsibilities/codes of conduct; failure to provide a safe service; workforce not supported to deliver Promoting Independence Strategy</p>	<p>Yellow - Medium Risk</p> <p><b>12</b></p> <p>Impact 3</p> <p>Likelihood 4</p>	<p>V. Low Risk</p> <p><b>4</b></p> <p>Impact 2</p> <p>Likelihood 2</p>	<table border="1"> <thead> <tr> <th data-bbox="1529 336 1682 443">Next Review Date</th> <th data-bbox="1686 336 1816 443">Last Review Date</th> <th data-bbox="1821 336 1921 443">Days Overdue</th> <th data-bbox="1926 336 2114 443">Risk Owner</th> </tr> </thead> <tbody> <tr> <td data-bbox="1529 443 1682 593">25/02/2024</td> <td data-bbox="1686 443 1816 593">25/08/2023</td> <td data-bbox="1821 443 1921 593">0</td> <td data-bbox="1926 443 2114 593">Niki Shaw</td> </tr> </tbody> </table>	Next Review Date	Last Review Date	Days Overdue	Risk Owner	25/02/2024	25/08/2023	0	Niki Shaw
Next Review Date	Last Review Date	Days Overdue	Risk Owner										
25/02/2024	25/08/2023	0	Niki Shaw										

**Risk Review Update**

Review Summary: A new supervision template, incorporating appraisal, was formally launched on Monday 26 June. Invites to 3 virtual 'lunch and learn' sessions about how to use the new template were sent out across the workforce with staff only needing to attend one session . Additionally a new Practice Quality Framework has been launched in August 2023; one of the 10 practice standards it references relates to supervision. The PQF contains an aligned auditing schedule to help us audit practice in relation to supervision across our workforce and seek to understand whether progress has been made on historic audits and feedback from health checks Updated on 16/02/2023 08:21:13

Control Measure	Control Review Update	Status	Days Overdue	Review Date	Control Owner

Adults Social Care (DASS - MLock)

Risk Description - uncertain event that has effect on objectives	Cause of the risk	Consequence of the risk - which would lead to	Current Risk Assessment	Controlled Risk Assessment				
AANDH0027  Insufficient capacity across Independent Adult Social Care Provider workforce to meet need	High turnover rates and recruitment/retention challenges Impact of Brexit Cost of living challenges Care Home closures and business failures	Inability to meet people's care and support needs in a timely, effective, person-centred way; reputational risk; financial risk; safeguarding risk; risk of business failure; failure to deliver strategy ambitions	Yellow - Medium Risk	V. Low Risk	<b>Next Review Date</b>	<b>Last Review Date</b>	<b>Days Overdue</b>	<b>Risk Owner</b>
			12	6	04/03/2024	04/02/2024	0	Niki Shaw
			Impact 4	Impact 3				
			Likelihood 3	Likelihood 2				

**Risk Review Update**

Review Summary: Skills for Care 2022/23 data (published Oct 2023) shows that vacancy and turnover rates have reduced slightly both in Somerset and nationally when compared with the previous year. The Local Authority recognises the tremendous importance and value of our independent care workforce, which the wider health and care sector relies heavily upon. We are proud of our care sector here in Somerset with 81.7% good or outstanding CQC-rated provision (Dec 23) but recognise the considerable and growing pressures they continue to face in relation to recruitment, retention and sustaining their businesses financially. Workforce for the residential sector (particularly nursing) is a particular challenge with some struggling with recruitment and in extreme cases this has led to homes having to close whole wings of their property. This reduces the amount of capacity available in Somerset to support hospital discharge flow and people who need to move into a permanent placement. However, levels of unmet home care need continue to be sustained at very low levels as of end of Jan 2024, despite demand for home care remaining significant. We are now in a position where provision outstrips demand, meaning we are not currently accepting any new home care providers onto our procurement framework. Care package contract handbacks from home care providers have also significantly reduced when compared with recent years suggesting stabilisation in the market. Our ICB People Board is committed to supporting the wider health and care workforce and is progressing plans for a Somerset Training Academy to help establish occupational parity of esteem. Our Proud to Care Somerset team has also worked hard to support the wider workforce by raising the profile of the care sector and address recruitment challenges. We are preparing plans to celebrate 'You Can Care Week' in Feb 2024, and also monitoring an emerging risk relating to suspension/ revocation of overseas recruitment licences affecting the sector.

Insufficient capacity across Independent Adult Social Care Provider workforce to meet need Updated on 03/01/2024 12:34:20

Control Measure	Control Review Update	Status	Days Overdue	Review Date	Control Owner

Adults Social Care (DASS - MLock)

Control Measure	Control Review Update	Status	Days Overdue	Review Date	Control Owner
<p><b>AANDH0027/008</b> Progress homecare re-commissioning activity to support better use of available capacity in care market</p>	<p>Review Summary: Commissioners have completed the 2 stage procurement process for 6 blocks contracts to deliver in areas of high demand, and formally presented their recommendations to award to successful applicants to the Council's Executive on 8 November 2023. This service will deliver better outcomes for people, enabling them to continue living at home for as long as it is safe to do so. This will contribute to the reduction of hospital admissions, delayed discharge or long-term care home placements and the costs associated with these.</p> <p>A further process will be developed and implemented that will utilise a Dynamic Purchasing System (DPS) to purchase care and support services with providers that have met the eligibility criteria to join. The DPS will be set up across 13 zones, which are broadly aligned with the Primary Care Networks. This will enable Somerset Council to manage the market and joint working more effectively</p> <p>Progress homecare re-commissioning activity to support better use of available capacity in care market</p>	<p>In Progress (Reactive)</p>	<p>0</p>	<p>04/03/2024</p>	<p>Niki Shaw</p>

Adults Social Care (DASS - MLock)

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<b>AANDH0037</b> Somerset Council's Adult Social Care Service fails to secure a positive assessment by the Care Quality Commission (regulator) as part of new Local Authority Assessment Framework launching 1 April 2023	Poor compliance with LA's delivery of regulated care functions set out in Part 1 of the Care Act 2014, and failure to adequately prepare for external assessment and sector-led improvement activity	Reputational damage to the Service and Council Increased scrutiny and demands on service to respond to areas of concern Potential for Secretary of State to intervene in rare circumstances under statute	Yellow - Medium Risk <span style="background-color: yellow; padding: 2px;">12</span>	V. Low Risk <span style="background-color: green; padding: 2px;">8</span>				
			Impact 4 Likelihood 3	Impact 4 Likelihood 2	04/03/2024	04/02/2024	0	Niki Shaw

**Risk Review Update**

Review Summary: The service continues to prepare and plan for the new CQC assessment of LA duties under The Care Act Part 1. Assessments will focus on how LAs discharge their duties under Part 1 of the Care Act (2014), and will focus on 4 overarching themes:

- How local authorities work with people
- How local authorities provide support
- How local authorities ensure safety within the system
- Leadership

We are now finalising the refresh of our self-assessment following engagement with staff and key partner colleagues, as well as consideration of learning emerging from the CQC's published pilot inspections to date. We have also been progressing our evidence/document library as part of preparation activity.

On 15 Dec 2023 we hosted colleagues from Lincolnshire County Council who shared their learning and experience/top tips following their inspection earlier this year as part of CQC pilots - they achieved a Good overall rating.

Work has also taken place in engaging with key partners and stakeholders, including the Council leadership team and elected members, the Integrated Care Board, the Safeguarding Adults Board and System Quality Group. We have also supported wider workforce in understanding the focus of assessment and how best to support /prepare via a handbook and video, as well as attending team meetings.

Additionally, Somerset has been 'buddied' up with Devon and Gloucestershire as part of regional SW ADASS sector-led improvement work. Somerset has supported their respective LGA peer reviews in Jul and Sept 2023, and they will support ours which is now confirmed by CEO and DASS as going ahead (5-7 March 2024). A timetable for the Peer Challenge has been drawn up and auditing work is underway to inform this.

Somerset has not yet been one of LAs notified by the CQC of the next round of 'inspections'

Somerset Council's Adult Social Care Service fails to secure a positive assessment by the Care Quality Commission (regulator) as part of new Local Authority Assessment Framework launching 1 April 2023 Updated on 03/01/2024 11:39:32

Control Measure	Control Review Update	Status	Days Overdue	Review Date	Control Owner

Adults Social Care (DASS - MLock)

Control Measure	Control Review Update	Status	Days Overdue	Review Date	Control Owner
<b>AANDH0037/001</b> Contribute to SW ADASS / Sector Led Improvement Programme of work	Review Summary: Somerset continues to actively contribute to SW ADASS Leads Meetings and also has fortnightly meetings with 'peer buddy group' Devon and Gloucestershire to support sector led improvement activity. Information about pilot CQC learning shared across regional group, and buddy group have supported each other's LGA peer review activity - Somerset's LGA peer challenge confirmed for 5-7 March 2024 and will involve colleagues from both Devon and Glos	In Progress (Reactive)	0	04/03/2024	Niki Shaw
<b>AANDH0037/003</b> Establish inspection readiness folders, information and document library to inform/prepare staff and stakeholders	Contribute to SW ADASS / Sector Led Improvement Programme of work Review Summary: Inspection readiness folders established on Policy, Performance and Assurance sharepoint site Inspection evidence/document library hosted here with folders for each element of CQC requirements Work undertaken with leads across ASC ops and commissioning to review and enhance our evidence - this work continues to be progressed and monitored by our Policy and Assurance officer. Current work progressing to support evidence requirements for LGA Peer Challenge in March 2024 - including online hosted 'library' of key information to support ease of access	In Progress (Reactive)	0	04/03/2024	Niki Shaw
<b>AANDH0037/002</b> Progress and maintain a detailed self-assessment against CQC Assessment Framework across 4 theme areas	Establish inspection readiness folders, information and document library to inform/prepare staff and stakeholders Review Summary: Self-assessment refreshed in December 2023 to reflect latest developments and changes, and pick up learning from CQC published pilots. Extension given for feedback and contributions from staff and key partners to 31/01/24 to ensure it reflects current context. Due for sign off by ASC Directors 05/02/24. The document will inform the March 2024 LGA Peer Challenge and we also plan to use the self-assessment as a supporting appendix to the Lead Member Annual Report to Full Council in Feb 2024. Progress and maintain a detailed self-assessment against CQC Assessment Framework across 4 theme areas	In Progress (Reactive)	0	26/02/2024	Niki Shaw

Adults Social Care (DASS - MLock)

Risk Description - uncertain event that has effect on objectives	Cause of the risk	Consequence of the risk - which would lead to	Current Risk Assessment	Controlled Risk Assessment												
<p><b>AANDH0040</b></p> <p>Insufficient ongoing financial and workforce resources to meet statutory duties towards people deprived of their liberty</p>	<p>April 2023 Government announcement that the Liberty Protection Safeguards (LPS) were delayed indefinitely means the current DoLS system for authorising deprivations of liberty remain 'bureaucratic and burdensome', continuing to be affected by the Supreme Court's judgment in Cheshire West which extended the requirement for authorisation of deprivations of liberty to a wider group of people.</p>	<p>Failure to comply with legislation Risk of challenge (via Courts or Local Govt Ombudsman) Inadequate safeguards for individuals with high levels of support needs whose arrangements are not fully scrutinised Reputational damage Poor levels of assurance</p>	<p>Yellow - Medium Risk</p> <p><b>12</b></p> <p>Impact 3 Likelihood 4</p>	<p>V. Low Risk</p> <p><b>6</b></p> <p>Impact 2 Likelihood 3</p>	<table border="1"> <thead> <tr> <th>Next Review Date</th> <th>Last Review Date</th> <th>Days Overdue</th> <th>Risk Owner</th> </tr> </thead> <tbody> <tr> <td>26/02/2024</td> <td>26/01/2024</td> <td>0</td> <td>Niki Shaw</td> </tr> </tbody> </table>	Next Review Date	Last Review Date	Days Overdue	Risk Owner	26/02/2024	26/01/2024	0	Niki Shaw			
Next Review Date	Last Review Date	Days Overdue	Risk Owner													
26/02/2024	26/01/2024	0	Niki Shaw													

**Risk Review Update**

Review Summary: In common with LAs across the country, Somerset remains unable to meet its statutory duties towards people deprived of their liberty due to insufficient ongoing financial /workforce resources and demand. The Government announced on 5 April their decision not to implement LPS 'within the life of this parliament' which recognised that the current DoLS process was not fit for purpose.

Chris Hamilton, DoLS/MCA Service Manager, produced a risk position summary which he presented to ASC Joint DMT on 22 May 2023, highlighting known risks and concerns, as well as listing existing robust mitigations to triage effectively and support advocacy of individuals, and opportunities for additional ones which have informed this JCAD Risk. A further update assurance report was produced for the Aug 2023 Safeguarding Adult Board's performance and quality subgroup and has informed the Board's Oct 2023 multi-agency meeting. Report available on request but offers assurances and ongoing plans to mitigate risks.

CQC Assessment of LA duties under the Care Act will require us to submit DoLS waiting list info as part of the initial information request and will be subject to further scrutiny. DoLS, MCA & Advocacy will also feature as part of upcoming LGA Assurance Peer Challenge in March 2024

Insufficient ongoing financial and workforce resources to meet statutory duties towards people deprived of their liberty Updated on 20/12/2023 15:25:57

Control Measure	Control Review Update	Status	Days Overdue	Review Date	Control Owner
<p><b>AANDH0040/001</b></p> <p>Rigorous/well tested triage process from application stage to identify cases where objection to the arrangements may be present</p>		<p>Existing (Proactive)</p>			<p>Niki Shaw</p>

Adults Social Care (DASS - MLock)

Control Measure	Control Review Update	Status	Days Overdue	Review Date	Control Owner
<b>AANDH0040/002</b> High quality DoLS assessments and scrutiny for those people who do get seen		Existing (Proactive)			Niki Shaw
<b>AANDH0040/003</b> High proportion of authorised DoLS cases triggering advocacy involvement (approx. 75%)		Existing (Proactive)			Niki Shaw
<b>AANDH0040/004</b> Proactive work with advocacy service to place situations before the CoP in a timely manner where objections cannot be resolved		Existing (Proactive)			Niki Shaw
<b>AANDH0040/006</b> Periodic administrative contact with care home/hospitals about people on the waiting list to see if priority still appropriate		Existing (Proactive)			Niki Shaw
<b>AANDH0040/007</b> Comprehensive list of SC funded people with 24h care in supported living/housing identifying lack of capacity/priority info		Existing (Proactive)			Niki Shaw



Adults Social Care (DASS - MLock)

Risk Description - uncertain event that has effect on objectives	Cause of the risk	Consequence of the risk - which would lead to	Current Risk Assessment	Controlled Risk Assessment												
<p><b>AANDH0042</b></p> <p>Inability to identify and conduct checks and assessments required within timeframe and within available capacity/resources</p>	<p>National MHRA alert issued - Medical beds, trolleys, bed rails, bariatric beds, bed grab handles and lateral turning devices: risk of death from entrapment or falls. MHRA details number of deaths and serious injuries in recent years.</p> <p>Thousands of pieces of equipment falling into these categories across Somerset (and beyond) in hospitals, communities and in private settings requiring checks and risk assessment - target completion by 1st March 2024.</p>	<p>Risk of death or serious injury from entrapment or falls Legal / insurance related risks (statutory service with a legal obligation to carry this out) Reputational damage Financial and capacity impacts at a time of significant challenge on Council/Health funding (financial emergency declared)</p>	<p>Yellow - Medium Risk</p> <p><b>12</b></p> <p>Impact <b>4</b> Likelihood <b>3</b></p>	<p>V. Low Risk</p> <p><b>2</b></p> <p>Impact <b>2</b> Likelihood <b>1</b></p>	<table border="1"> <thead> <tr> <th data-bbox="1529 343 1682 443">Next Review Date</th> <th data-bbox="1682 343 1834 443">Last Review Date</th> <th data-bbox="1834 343 1928 443">Days Overdue</th> <th data-bbox="1928 343 2110 443">Risk Owner</th> </tr> </thead> <tbody> <tr> <td data-bbox="1529 443 1682 576">26/02/2024</td> <td data-bbox="1682 443 1834 576">26/01/2024</td> <td data-bbox="1834 443 1928 576">0</td> <td data-bbox="1928 443 2110 576">Niki Shaw</td> </tr> </tbody> </table>				Next Review Date	Last Review Date	Days Overdue	Risk Owner	26/02/2024	26/01/2024	0	Niki Shaw
Next Review Date	Last Review Date	Days Overdue	Risk Owner													
26/02/2024	26/01/2024	0	Niki Shaw													

**Risk Review Update**

Review Summary: - A new risk assessment has been designed and attached to TCES ordering system as a mandatory field ; Medequip have existing servicing and maintenance contracts in place;

- A training video has been circulated to all staff, and staff have been made aware of new reqts and process for risk assessment and newflashes on TCES system . OTA and ASCP training updated to reflect new process;
- Medequip system already up to date and suitable for requirements for medical device management system;
- Maintenance and servicing schedules already in place and up to date through Medequip;
- Primary challenge linked to reviewing and undertaking risk assessments. Work done to cross check data with case records system held by ASC . A draft options appraisal is now in development that will provide the range of opportunities available to address the issue and meet the MHRA requirements , but we are struggling to identify the costs. Additionally we have been creating a risk matrix that will reflect all of the actions taken and those that should be considered to mitigate risks to individuals and commissioning bodies.

Inability to identify and conduct checks and assessments required within timeframe and within available capacity/resources Updated on 20/12/2023 15:24:15

Control Measure	Control Review Update	Status	Days Overdue	Review Date	Control Owner
<p><b>AANDH0042/001</b></p> <p>Determine specific risk for Somerset and how we can take action within timeframe</p>		<p>Existing (Proactive)</p>			<p>Niki Shaw</p>

Adults Social Care (DASS - MLock)

Control Measure	Control Review Update	Status	Days Overdue	Review Date	Control Owner
<b>AANDH0042/002</b> Flag situation with Legal, H&S, finance and Insurance Council teams	<p>Review Summary: The risk and MHRA alert has been shared by Niki Shaw with finance and insurance teams on 25/10/23. Subsequent engagement from and meetings with Keith Hawke in Insurance team who has reviewed the contract for insurance/indemnity clauses. He has been exploring the option of challenging the target deadline - some other LAs across the country are understood to be doing the same - but responses have confirmed that the target timeframe remains in place. Jo Caughlin has also engaged with Legal Services and submitted a form outlining the situation. Additionally, the situation, risk and proposed action plan has been raised with the Health, Safety and Wellbeing Board in Nov 2023.</p> <p>Flag situation with Legal, H&amp;S, finance and Insurance Council teams</p>	In Progress (Reactive)	0	04/03/2024	Niki Shaw
<b>AANDH0042/004</b> Ensure risk register mirrors that of ICB and coordinate our activity with health partners	<p>Review Summary: Jo Caughlin has met with the Community Services Manager in health to provide a detailed update. Health are not planning to add to their risk register until clear action plans in place, but we understand they have appointed a Consultant to undertake their own piece of work responding to the alert within hospitals. This helps reduce some of the wider risk/demand as means our focus is on communities. Consistency of risk assessment form approach remains key across all services.</p> <p>Ensure risk register mirrors that of ICB and coordinate our activity with health partners</p>	In Progress (Reactive)	0	04/03/2024	Niki Shaw
<b>AANDH0042/005</b> Work with commissioning bodies to undertake checks required and ensure risk assessment on system	<p>Review Summary: Work undertaken in December 2023 to match equipment data and information against clients known to adult social care on Eclipse, and support risk and prioritisation activity.</p> <p>We now have a draft options appraisal in development that will provide the range of opportunities available to address the issue and meet the MHRA requirements but we are struggling to identify the costs. Secondly, we have been creating a risk matrix that will reflect all of the actions taken and those that should be considered to mitigate risks to individuals and commissioning bodies.</p> <p>Work with commissioning bodies to undertake checks required and ensure risk assessment on system</p>	In Progress (Reactive)	0	04/03/2024	Niki Shaw
<b>AANDH0042/006</b> Notify local care market (care providers) of situation and any actions required to support identification of equipment	<p>Review Summary: Care providers notified and reminded of alert and risks via Care Provider Briefing issued on 24 November 2023</p> <p>Video link also shared to support risk assessments and staff awareness /induction and contact details given for staff in Council should further info be required pending further developments</p> <p>Notify local care market (care providers) of situation and any actions required to support identification of equipment</p>	In Progress (Reactive)	0	04/03/2024	Niki Shaw

Adults Social Care (DASS - MLock)

Risk Description - uncertain event that has effect on objectives	Cause of the risk	Consequence of the risk - which would lead to	Current Risk Assessment	Controlled Risk Assessment				
AANDH0004  Operational practice quality falls short of service / expected standards	Practice Quality framework / activity not implemented	Inability to meet statutory responsibilities; failure to provide a safe, effective service; workforce not supported to deliver Promoting Independence Strategy; recruitment/retention impacts; financial impacts	Yellow - Medium Risk	V. Low Risk	<b>Next Review Date</b>	<b>Last Review Date</b>	<b>Days Overdue</b>	<b>Risk Owner</b>
			9	6	26/04/2024	26/01/2024	0	Niki Shaw
			Impact 3 Likelihood 3	Impact 3 Likelihood 2				

**Risk Review Update**

Review Summary: Practice quality concerns can emerge within a service facing significant pressure and demand resulting in staff feeling overwhelmed , overstretched and overloaded. A range of work has been undertaken or commenced to support address demand and also improve practice quality. The service procured Tri.X procedures online to support staff induction , clarity of expectations and staff adherence with standards.

The operational restructuring is designed to help address wider demand/capacity issues and improve opportunities for enhanced practice quality and have seen the introduction of new Practice Development Advanced Practitioners across teams . A revised Practice Quality Framework was published and is now being supported by an aligned monthly auditing schedule and Practice Quality Board chaired by our Principal Practice leads. Additionally work has progressed on improved processes to support learning from serious incidents, with a draft policy shared with Practice Development APs in October and training in Dec 2023. Practice leads have also relaunched the supervision/appraisal process following audit learning, and created a new competency framework to support CPD. In Jan 2024 SWAP confirmed full completion of all 'Quality Assurance' recommendations arising from their audit; this was presented to Council's Audit Committee with following SWAP statement: "Overall, there has been a large level of work completed by the Adults Social Care Team in relation to Quality Assurance controls since the 2021 audit, with the successful implementation of all eight actions raised in that review. A new Practice Quality Framework was successfully issued in July 2023 which incorporates and clearly sets out the 10 key standards to which Adults Social Care will now work towards . From the evidence reviewed by audit this framework has been key in implementing a range of Quality Assurance controls that satisfy the original actions and more . A clear audit schedule has been set out within the Practice Quality Framework, with the successful completion of over 490 audits since September 2023 on three of the ten practice standard topics in line with the planned schedule"

Operational practice quality falls short of service / expected standards Updated on 24/10/ 2023 11:16:36

Control Measure	Control Review Update	Status	Days Overdue	Review Date	Control Owner
AANDH0004/009 Ensure dedicated Principal Practice Leads for SW & OT recruited and influencing decision making within service		Existing (Proactive)			Niki Shaw
AANDH0004/011 Implement a new social care recording system (Eclipse) to address and improve recording practice and standards		Existing (Proactive)			Niki Shaw

Adults Social Care (DASS - MLock)

Risk Description - uncertain event that has effect on objectives	Cause of the risk	Consequence of the risk - which would lead to	Current Risk Assessment	Controlled Risk Assessment									
<b>AANDH0031</b> ASC Operational Teams unable to meet demand or existing commitments to social work/OT students and newly qualified staff in short and medium term	Insufficiency of qualified Practice Educators coupled with Locality Lead vacancies/experience and capacity challenges	Good students 'lost' to children's services or other organisations Struggle to help 'grow our own' and support recruitment of newly qualified staff into the service Pressure on existing operational services grows, impacting on morale and turnover Staff unable to prioritise PEP Qualification training due to team work pressures	Yellow - Medium Risk <span style="background-color: yellow; padding: 2px;">9</span>	V. Low Risk <span style="background-color: green; padding: 2px;">6</span>	<table border="1"> <thead> <tr> <th>Next Review Date</th> <th>Last Review Date</th> <th>Days Overdue</th> <th>Risk Owner</th> </tr> </thead> <tbody> <tr> <td>04/03/2024</td> <td>04/02/2024</td> <td>0</td> <td>Niki Shaw</td> </tr> </tbody> </table>	Next Review Date	Last Review Date	Days Overdue	Risk Owner	04/03/2024	04/02/2024	0	Niki Shaw
			Next Review Date	Last Review Date	Days Overdue	Risk Owner							
04/03/2024	04/02/2024	0	Niki Shaw										
Impact 3 Likelihood 3	Impact 3 Likelihood 2												

**Risk Review Update**

Review Summary: Practice Development Advanced Practitioners across the majority of ASC teams took up their roles by 4th September. Two further practice development leads were appointed (Safeguarding and Yeovil Neighbourhoods) and have taken up posts in the New Year. Another has now returned from long term sick which is helping address our capacity to support learners and NQSW in teams. The PD APs are supporting monthly Practice Quality Board requirements as part of their broader remit /roles.

ASC Operational Teams unable to meet demand or existing commitments to social work /OT students and newly qualified staff in short and medium term Updated on 03/01/2024 12:13:31

Control Measure	Control Review Update	Status	Days Overdue	Review Date	Control Owner
<b>AANDH0031/006</b> 9 x Practice Development Leads within ASC Ops restructure fully operational and supporting students/NQ staff	Review Summary: Since last update, two practice development leads have taken up post in Jan 2024 (Safeguarding and Yeovil Neighbourhoods). Another has returned to work following long term sick which is assisting with capacity to support learners and NQSW in teams.  9 x Practice Development Leads within ASC Ops restructure fully operational and supporting students/NQ staff	In Progress (Reactive)	0	04/03/2024	Niki Shaw

Adults Social Care (DASS - MLock)

Risk Description - uncertain event that has effect on objectives	Cause of the risk	Consequence of the risk - which would lead to	Current Risk Assessment	Controlled Risk Assessment												
<p><b>AANDH0033</b></p> <p>Insufficient staffing resource and capacity to contribute to/deliver against transformation projects alongside core business as usual activity</p>	<p>Extent and amount of new and emerging pipeline transformation projects and ambitions associated with adult social care and wider system partners</p>	<p>Failure to influence/support decisions that later impact on service, organisation or wider health/care system Failure to harness benefits/opportunities arising from transformation and business change</p>	<p>Yellow - Medium Risk</p> <p><b>9</b></p> <p>Impact 3 Likelihood 3</p>	<p>Yellow - Medium Risk</p> <p><b>9</b></p> <p>Impact 3 Likelihood 3</p>	<table border="1"> <thead> <tr> <th data-bbox="1534 338 1680 443">Next Review Date</th> <th data-bbox="1684 338 1830 443">Last Review Date</th> <th data-bbox="1834 338 1921 443">Days Overdue</th> <th data-bbox="1926 338 2110 443">Risk Owner</th> </tr> </thead> <tbody> <tr> <td data-bbox="1534 446 1680 587">04/03/2024</td> <td data-bbox="1684 446 1830 587">04/02/2024</td> <td data-bbox="1834 446 1921 587">0</td> <td data-bbox="1926 446 2110 587">Niki Shaw</td> </tr> </tbody> </table>				Next Review Date	Last Review Date	Days Overdue	Risk Owner	04/03/2024	04/02/2024	0	Niki Shaw
Next Review Date	Last Review Date	Days Overdue	Risk Owner													
04/03/2024	04/02/2024	0	Niki Shaw													

**Risk Review Update**

Review Summary: Corporate support (and funds) in place to secure the corporate roles for the ASC My Life My Future transformation programme (Business Change, HR and Finance), with Newton Europe contract also signed securing their resource for the programme. There remains some risk around ASC capacity to engage with / deliver any changes which we review routinely as part of the transformation steering group due to significant demand pressures on teams, coupled with high levels of vacancies in operational teams. The Council' s financial emergency measures and MTFP activity has further potential to impact capacity - and potentially Business Change resource currently involved in Adults . A Programme review and resourcing meeting took place between the Transformation Senior Project Change Manager and Newton Europe on 25/01/24 to mitigate risks in this space

Insufficient staffing resource and capacity to contribute to/deliver against transformation projects alongside core business as usual activity Updated on 03/01/2024 12:51:37

Control Measure	Control Review Update	Status	Days Overdue	Review Date	Control Owner

Adults Social Care (DASS - MLock)

Risk Description - uncertain event that has effect on objectives	Cause of the risk	Consequence of the risk - which would lead to	Current Risk Assessment	Controlled Risk Assessment												
<p><b>AANDH0034</b></p> <p>Unable to undertake contract management activity in line with SCC/Service commercial/procurement requirements and quality standards</p>	<p>Insufficient staffing resource and capacity across our ASC Contract and Quality functions</p> <p>Change in BAU due to the pandemic / commissioners workloads focused on different areas</p> <p>Challenging care market conditions and demands resulting in business failures/response activity</p> <p>Poor practice or oversight</p> <p>Time needed to complete a successful fully integrated commissioning process impacted by other work demands</p>	<p>Reputational risk</p> <p>Legal/assurance risk</p> <p>Financial impacts - failure to ensure spending well and spending wisely</p>	<p>Yellow - Medium Risk</p> <p><b>9</b></p> <p>Impact 3</p> <p>Likelihood 3</p>	<p>V. Low Risk</p> <p><b>6</b></p> <p>Impact 3</p> <p>Likelihood 2</p>	<table border="1"> <thead> <tr> <th data-bbox="1532 335 1682 443">Next Review Date</th> <th data-bbox="1686 335 1834 443">Last Review Date</th> <th data-bbox="1839 335 1921 443">Days Overdue</th> <th data-bbox="1926 335 2103 443">Risk Owner</th> </tr> </thead> <tbody> <tr> <td data-bbox="1532 446 1682 574">26/02/2024</td> <td data-bbox="1686 446 1834 574">26/01/2024</td> <td data-bbox="1839 446 1921 574">0</td> <td data-bbox="1926 446 2103 574">Niki Shaw</td> </tr> </tbody> </table>				Next Review Date	Last Review Date	Days Overdue	Risk Owner	26/02/2024	26/01/2024	0	Niki Shaw
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26/02/2024	26/01/2024	0	Niki Shaw													

**Risk Review Update**

Review Summary: Detailed ASC Contracts Register in place, routinely maintained and supporting commissioning oversight - contracts register informs regular Commissioning & Procurement Meetings chaired by Commissioning leads. ASC Commissioning and contract staff have been completing Foundation level contract management training (100% of contract officers have now completed this and majority of commissioning officers) - this is informing a SWAP Audit action plan recommendation.

Contracts Team staff have moved under the Commissioning service in a line management change from Jan 2024 onwards to support greater links/alignment with key colleagues, away from Strategy/Transformation/Performance.

The Council introduced a new Commercial and Procurement Control Board as part of taking steps to manage overspends; the board is focused on reducing commercial and procurement spend across the Council by reviewing all new commissions, new contracts, annual uplifts and contract renewals.

They will work with the Spend Control Board to examine all off-contract spend and target reductions in discretionary areas of spend and challenge anyone that should be using an existing contract. ASC Commissioners and contract officers are actively contributing to this work.

Contracts officers and commissioners are also progressing work in relation to ensuring all contracts have purchase orders in place as part of the 'No PO, No Pay' approach being implemented.

Unable to undertake contract management activity in line with SCC/Service commercial/procurement requirements and quality standards Updated on 20/12/2023 15:12:02

Control Measure	Control Review Update	Status	Days Overdue	Review Date	Control Owner

Adults Social Care (DASS - MLock)

Control Measure	Control Review Update	Status	Days Overdue	Review Date	Control Owner
<p><b>AANDH0034/004</b> All ASC Commissioners/Contract &amp; Quality officers to complete Foundation Level Govt Contract Mngt training</p>	<p>Review Summary: All ASC Commissioning and Contract Officers were instructed to complete Foundation level training in Contract Management Capability Programme and Module 1 Passport to Procure training by end of Dec 2023. A review of progress was undertaken in Dec 2023 and revealed overall good compliance with this ask across the relevant workforce. 100% of ASC Contract Officer staff have completed the required training which is most pertinent to their role and responsibilities. This has been shared with SWAP Auditors for scrutiny.</p> <p>All ASC Commissioners/Contract &amp; Quality officers to complete Foundation Level Govt Contract Mngt training</p>	In Progress (Reactive)	0	04/03/2024	Niki Shaw
<p><b>AANDH0034/005</b> ASC Commissioners and Contract Officers to ensure compliance and contribution to Commercial and Procurement Control Board</p>	<p>Review Summary: ASC Commissioners and contract officers all aware of the expectations and requirements relating to the Council's new Commercial and Procurement Board.</p> <p>ASC Deputy Director for Commissioning contributes to the Board and supports adherence and decision making.</p> <p>ASC Commissioners and Contract Officers to ensure compliance and contribution to Commercial and Procurement Control Board</p>	In Progress (Reactive)	0	26/02/2024	Niki Shaw

Adults Social Care (DASS - MLock)

Risk Description - uncertain event that has effect on objectives	Cause of the risk	Consequence of the risk - which would lead to	Current Risk Assessment	Controlled Risk Assessment												
<p><b>AANDH0043</b></p> <p>Increased risk of care providers being unable to deliver safe staffing levels to meet individuals' care and support needs</p>	<p>National rise in Home Office revoking or suspending provider licences to recruit overseas workers</p>	<p>Care market capacity / sustainability impacts resulting in growth in levels of unmet need and delays in hospital flow Temporary duty revoked (Section 38 of The Care Act 2014) on Council to meet the needs for care and support in the event that a regulated provider becomes unable to provide a regulated activity to an individual due to a business failure. This duty applies regardless of whether the individuals care is funded by the local authority or not. Reputational damage</p>	<p>Yellow - Medium Risk</p> <p><b>9</b></p> <p>Impact 3 Likelihood 3</p>	<p>V. Low Risk</p> <p><b>6</b></p> <p>Impact 3 Likelihood 2</p>	<table border="1"> <thead> <tr> <th data-bbox="1536 339 1682 443">Next Review Date</th> <th data-bbox="1688 339 1834 443">Last Review Date</th> <th data-bbox="1841 339 1924 443">Days Overdue</th> <th data-bbox="1930 339 2112 443">Risk Owner</th> </tr> </thead> <tbody> <tr> <td data-bbox="1536 448 1682 571">24/02/2024</td> <td data-bbox="1688 448 1834 571"></td> <td data-bbox="1841 448 1924 571">0</td> <td data-bbox="1930 448 2112 571">Niki Shaw</td> </tr> </tbody> </table>				Next Review Date	Last Review Date	Days Overdue	Risk Owner	24/02/2024		0	Niki Shaw
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24/02/2024		0	Niki Shaw													

Risk Review Update

Control Measure	Control Review Update	Status	Days Overdue	Review Date	Control Owner
<p><b>AANDH0043/001</b></p> <p>Survey Somerset care providers to get a baseline on licence no's and confidence levels</p>		<p>In Progress (Reactive)</p>	0	24/02/2024	Niki Shaw



Adults Social Care (DASS - MLock)

Risk Description - uncertain event that has effect on objectives	Cause of the risk	Consequence of the risk - which would lead to	Current Risk Assessment	Controlled Risk Assessment									
<b>AANDH0015</b>  Unmet homecare need / handbacks of care packages escalate, with system pressures increasing	Care Provider/external market capacity and workforce challenges affect our ability to source suitable, timely, high quality home care	Local health and care system unable to deliver comprehensive, timely care. Outcomes for individuals not met in a timely, effective way - potential for client care and safety to be compromised (safeguarding risk) DTOC/hospital flow and performance significantly affected Care needs of those waiting for support increase reputational damage increase in respite / permanent res/nursing placements - failure to meet ambitions of Promoting Independence Strategy	V. Low Risk  <span style="background-color: #00FF00; padding: 2px;">8</span>  Impact 4  Likelihood 2	V. Low Risk  <span style="background-color: #00FF00; padding: 2px;">6</span>  Impact 3  Likelihood 2	<table border="1"> <thead> <tr> <th>Next Review Date</th> <th>Last Review Date</th> <th>Days Overdue</th> <th>Risk Owner</th> </tr> </thead> <tbody> <tr> <td>03/03/2024</td> <td>03/01/2024</td> <td>0</td> <td>Niki Shaw</td> </tr> </tbody> </table>	Next Review Date	Last Review Date	Days Overdue	Risk Owner	03/03/2024	03/01/2024	0	Niki Shaw
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03/03/2024	03/01/2024	0	Niki Shaw										

**Risk Review Update**

Review Summary: Somerset has continued to see the impact of additional investment and focused commissioning activity, as well as some pick up in care provider recruitment of new starters over recent months, with levels of unmet homecare need falling to their lowest ever levels since March 2021 and hitting 'zero' at the end of November 2023. We are presently in a position where provision of domiciliary care outstrips demand, meaning we are not currently accepting any new home care providers onto our procurement framework. This is a significantly improved position to where we were a year ago. November 2023 saw the highest number of contract handbacks this financial year to date; however, 16 of the 21 stemmed from one provider - Bluebird Care ( Taunton). Commissioners and contract officers are in regular contact with the organisation and have no current concerns about the company which has decided to rationalise some of their runs to make it more economically viable to deliver support in other areas.

Unmet care need / handbacks of care packages escalate, with system pressures increasing Updated on 24/10/ 2023 11:00:25

Control Measure	Control Review Update	Status	Days Overdue	Review Date	Control Owner
<b>AANDH0015/010</b> Start capturing provider turnover on a quarterly basis via PAMMS provider returns starting July 2023	Review Summary: Arrangements were made to progress this via quarterly PAMMS provider returns - this started in July 2023 and is continuing to be monitored via our Commissioning and Quality Board each quarter. Next Board meeting - 16 Feb 2024  Start capturing provider turnover on a quarterly basis via PAMMS provider returns starting July 2023	In Progress (Reactive)	0	04/03/2024	Niki Shaw

Adults Social Care (DASS - MLock)

Risk Description - uncertain event that has effect on objectives	Cause of the risk	Consequence of the risk - which would lead to	Current Risk Assessment	Controlled Risk Assessment																
<b>AANDH0019</b> Safeguarding Adults: We fail to deliver our statutory safeguarding activity in relation to adults	there is a risk that death or injury to a vulnerable member of the public or a member of staff, where the county council has not completely fulfilled its responsibilities may occur	leading to increased audit inspections, personal litigation claims, adverse publicity for the council and possible financial penalties	V. Low Risk	V. Low Risk	<table border="1"> <thead> <tr> <th>Next Review Date</th> <th>Last Review Date</th> <th>Days Overdue</th> <th>Risk Owner</th> </tr> </thead> <tbody> <tr> <td>29/02/2024</td> <td>29/11/2023</td> <td>0</td> <td>Niki Shaw</td> </tr> </tbody> </table>	Next Review Date	Last Review Date	Days Overdue	Risk Owner	29/02/2024	29/11/2023	0	Niki Shaw	<table border="1"> <tbody> <tr> <td>8</td> <td>10</td> </tr> <tr> <td>Impact 4</td> <td>Impact 5</td> </tr> <tr> <td>Likelihood 2</td> <td>Likelihood 2</td> </tr> </tbody> </table>	8	10	Impact 4	Impact 5	Likelihood 2	Likelihood 2
			Next Review Date	Last Review Date		Days Overdue	Risk Owner													
29/02/2024	29/11/2023	0	Niki Shaw																	
8	10																			
Impact 4	Impact 5																			
Likelihood 2	Likelihood 2																			

**Risk Review Update**

Review Summary: Safeguarding adults means protecting a person's right to live in safety, free from abuse and neglect; it is a crucial aspect of Local Authority work. Assurance and performance in this area is monitored predominantly via the county's statutory, multi-agency Safeguarding Adults Board and Performance & Quality subgroup, with a detailed Performance Scorecard and cover report presented to the Board. Strengths and areas of progress are explored and discussed, and matters of concern or focus were explored alongside recommendations to address these.

Following the appointment of a new, renowned Independent Chair (Professor Michael Preston-Shoot) the Board held a SSAB Development Day on 19 May informed by stakeholder feedback and findings emerging from a repeat effectiveness survey of members; this work supported the refresh of the Board's strategy. A Safeguarding Conference was held 2 March, and an annual report for 2022/23 has been published and shared with Scrutiny and the Somerset Board. 'Ensuring Safety' is a core strand of future CQC Assurance activity / LA sector-led oversight and will inform local monitoring plans.

The Safeguarding Adults Collection (SAC) national return was published by NHS Digital on 7th September 2023, providing findings for the period 1 April 2022 to 31 March 2023. Analysis has been undertaken and will be presented to the Safeguarding Adults Board in November and December 2023. Although Somerset has an overall lower / reducing number of safeguarding concerns, the county has a higher proportion of concerns accepted as requiring a safeguarding enquiry - 42% of concerns become enquiries in Somerset, compared to 33% nationally and 28% in our peer group. This adds further weight to suggest our approach to triaging contacts received and determining which meet the threshold for a safeguarding response is effective. Our conversion rate in October was 43.8%. Between April and October 2023, in approx. 93% of cases, the identified safeguarding risk was either removed or reduced following enquiry completion (this compares to 91% nationally in 2022/23). The Safeguarding Service and Safeguarding Adults Board have actively promoted national Stop Adult Abuse week in November and have also launched a new public awareness raising campaign this month to support knowledge and promotion of adult safeguarding and self-neglect. Updated on 25/08/2023 14:52:10

Control Measure	Control Review Update	Status	Days Overdue	Review Date	Control Owner
<b>AANDH0019/021</b> Ensure Safeguarding Adults Reviews are commissioned as required, learning extracted and shared, and results in improved practice	Review Summary: Review updated 19 April outlining existing robust process in place for consideration, commissioning and learning from Safeguarding Adult Reviews	Existing (Proactive)			Mel Lock

Adults Social Care (DASS - MLock)

Control Measure	Control Review Update	Status	Days Overdue	Review Date	Control Owner
<p><b>AANDH0019/025</b>                      Monitor and take steps to address current vacancy/capacity issues within ASC Safeguarding Adults Team</p>	<p>Review Summary: In recognition of the risk relating to current vacancy levels in our safeguarding adults team, permission granted to recruit 3 locums to cover vacancies. Matrix order completed by Safeguarding Service Manager, but Matrix have yet to source the support. In the past week we have recieved an application showing an interest in the AP South Somerset position, and 2 NQSW finishing soon. I have also had 3 people show an interest in the ASCP vacancies</p> <p>Monitor and take steps to address current vacancy/capacity issues within ASC Safeguarding Adults Team</p>	<p>In Progress (Reactive)</p>	<p>0</p>	<p>06/03/2024</p>	<p>Niki Shaw</p>

Adults Social Care (DASS - MLock)

Risk Description - uncertain event that has effect on objectives	Cause of the risk	Consequence of the risk - which would lead to	Current Risk Assessment	Controlled Risk Assessment				
<b>AANDH0036</b> Responding to significant implications for both Local Authorities and ICBs in relation to responsibility for the provision, commissioning and funding of mental health s.117 aftercare and ordinary residence	Impact of Court of Appeal decision in the case of Worcestershire County Council, R v Secretary of State for Health and Social Care	Added financial and commissioning requirements for the LA  Policy and practice related impacts in responding to and addressing requirements pending any further statutory guidance or decision by the Secretary of State  Relationships with other LA areas and ICBs	V. Low Risk	V. Low Risk				
			<span style="background-color: #00FF00; padding: 2px;">2</span>	<span style="background-color: #00FF00; padding: 2px;">1</span>	Impact 2	Impact 1	Likelihood 1	Likelihood 1
					<b>Next Review Date</b>	<b>Last Review Date</b>	<b>Days Overdue</b>	<b>Risk Owner</b>
					06/03/2024	06/02/2024	0	Niki Shaw

**Risk Review Update**

Review Summary: Risk downgraded - the risk was significant in that, if the Supreme Court had determined that subsequent detentions under section 3 of the mental health act changed the responsible authority, that would have had serious consequences. As an importer of people from other counties, if they are placed here and subsequently detained responsibility under s 117 would have transferred to us. That risk no longer exists following the ruling where the Supreme Court has made judgement that in effect maintains the status quo .

Somerset Ops Director has had discussions with the Deputy Director in Devon and these are ongoing

Responding to significant implications for both Local Authorities and ICBs in relation to responsibility for the provision , commissioning and funding of mental health s.117 aftercare and ordinary residence

Updated on 20/12/2023 15:16:01

Control Measure	Control Review Update	Status	Days Overdue	Review Date	Control Owner
<b>AANDH0036/004</b> Follow up s117 funding arrangements and approaches with ICB colleagues	Review Summary: Ongoing discussions being had with ICB and Devon County Council's Deputy Director  Follow up s117 funding arrangements and approaches with ICB colleagues	In Progress (Reactive)	0	06/03/2024	Niki Shaw