

# Adult & Communities – Q3 2016/17

## 1. SUMMARY

### 1.1 SERVICE DASHBOARD

Finance	Revenue Budget Variance	Capital Actual Variance
	6,205	341

Performance	Indicators	Actions
Green rated	50% (9)	56% (10)
Green Amber rated	22% (4)	22% (4)
Red Amber rated	6% (1)	17% (3)
Red rated	22% (4)	6% (1)

Risks	Low	Medium Low	Medium High	High	Reduced/Same	Increased	New
	0% (0)	12% (2)	53% (9)	35% (6)	76% (13)	0% (0)	24% (4)

## 1.2 TOP ACHIEVEMENTS AND ACTIONS

### Key Successes

The Delivery Unit continues to perform strongly against key demand management indicators – new admissions to residential care remain low and take-up of preventative services such as telecare remains high.

The Your Choice Enablement service was successfully mobilised less than four months after issues emerged with the previous enablement provider. The service began receiving referrals in December and is now increasing its capacity. The Delivery Unit, in partnership with the Barnet Group, successfully mobilised the new service less than four months.

The Delivery Unit ran a successful series of ‘Silver Sunday’ events in October 2016 – part of a national event which celebrates the contribution older people make to our communities while combating loneliness and social isolation. 662 people attended events and 92 signed up for regular activities (such as sport and leisure activities or digital inclusion classes) as a result.

Key Challenges	Actions Required
Managing the continuing financial pressure on adult social care – at the end of the quarter the Delivery Unit is forecasting spend of £5.77m above budget.	<ul style="list-style-type: none"> <li>• Continuing activity to monitor immediate spend, with senior management scrutinising any high cost packages authorised.</li> <li>• Recruitment freeze</li> <li>• Plan for in-year savings agreed by Strategic Commissioning Board</li> <li>• Short, medium and long-term work to identify savings in spend on placements</li> </ul>
Devoting sufficient resource to realise the opportunities arising from implementation of the new adult social care case management system, which has required significant staff time and investment in Quarter 3 and will continue to do so until the system ‘goes live’ in 2017/18.	<ul style="list-style-type: none"> <li>• Detailed resource plan showing timing and amount of pressure on Delivery Unit resources. Budget agreed to secure capacity.</li> <li>• Close work with project team to ensure system meets business requirements</li> <li>• Fortnightly programme board meetings to ensure project remains on track</li> </ul>
Managing the knock-on impact of pressure on the NHS	<ul style="list-style-type: none"> <li>• Intensive focus on discharge logistics – managing discharge lists, setting up quick escalation routes, senior management based in hospitals</li> <li>• Work to increase capacity in the enablement and homecare provider markets</li> </ul>

### 1.3 OVERVIEW – FINANCE, PERFORMANCE AND RISK

Adults & Communities has continued to experience financial challenges in Q3, with a forecast overspend of £6.2m at the end of the quarter. The pressures highlighted at Q2 continue. This is driven by a number of factors:

- £0.535m to cover the costs of service users now likely to be deemed ordinarily resident in Barnet in this financial year, following a national court ruling which affects all local authorities
- a net increase of £0.47m in the cost of specialist nursing care for people with dementia
- £0.29m in new supported living placements for people with learning disabilities
- £84,000 in additional costs for older adults, mostly relating to a group of 17 clients who were previously funding their own care but whose funds have depleted to the point where the costs of their care are now the legal responsibility of the local authority.

Performance in Q3 remains positive overall with 9 indicators out of 18 (50%) rated green and 12 out of 18 (67%) rated green or green amber. For some indicators which have not achieved the target (for example, the proportion of service users receiving ongoing services that have a telecare package), performance has improved but has fallen just short of the progressive quarterly target. Four indicators are red (two measures of delayed transfers of care, the proportion of people with mental health needs in paid employment, and the number of carers' assessments carried out).

The Delivery Unit has continued successful implementation of the new operating model for social care. All operational teams and the majority of staff working in 'back office' services have now received training on Barnet's strengths-based working approach, which aims to improve quality of practice, promote resilience for service users and reduce the reliance on funded packages of care, as well as major enablers such as mobile technology and the second phase of assessment hubs. The approach was shortlisted for an innovative practice award at the Social Worker of the Year awards.

Good progress has been made on maintaining the rate of case reviews and improving the number of reviews carried out in 2016/17 and the actual number of reviews is 13% higher than at the same time in 2015/16. Priority cohorts for review have been identified by Heads of Service and are being tracked through reporting to the Adults Transformation Programme to ensure high risk clients continue to be prioritised for review before year end.

Delayed transfers of care (DTOCs) have continued to increase for both NHS and Social Care delays during the reporting period. This mirrors the national picture, in which DTOCs for both NHS and social care delays have risen over the last twelve

months. Barnet's total rate of delays attributable to social care – 4.1 per 100,000 population – is below the average for its comparator group of nearest statistical neighbours, which is 5.6 delays per 100,000 population over the same period.

This indicator is subject to a time lag while data is validated and shows delays between November 2015 and October 2016, which coincides with the period in which the Delivery Unit experienced significant issues with enablement provision in Barnet. Pressures on the health and social care system have continued throughout winter with a historic number of hospital trusts across the country on the highest level of alert. The primary cause of social care delays remains shortages in capacity in the homecare and residential care markets and the measures Barnet has in place to avoid delays resulting from the assessment process continue to perform well. The Council's rate of delays due to the assessment process is 0.3 per 100,000 people - 5th lowest of its 15 nearest statistical neighbours. The average rate of delays due to assessments for this comparator group is 0.7 per 100,000. The number of non-elective admissions remains within the target. The Delivery Unit has worked to mitigate the issues with enablement provision in the Borough and has successfully mobilised a new service, in partnership with the Barnet Group, within the quarter.

The performance of other preventative services has remained strong; the number of telecare installations is high (772 at the end of the quarter against the target of 600 for Quarter 3) and 77 long-term service users who were not previously receiving telecare now have a telecare package. The rates of new admissions to residential care for both older and working age adults show strong performance against their respective targets.

There has been an increase in the actual number of adults with learning disabilities recorded as being in paid employment – from 67 at the end of Quarter 2 to 74 at the end of Quarter 3. However, this increase was offset by an increase in the overall cohort from 725 to 737. A programme of work is being carried out to improve employment outcomes for working age adults with disabilities. The new YCB contract has a specific focus on employment and includes establishment of a dedicated employment service within YCB. 60 users have already expressed an interest in finding employment. Employment support training has been carried out in Quarter 3 and procurement of an approved list of employment support providers will take place in early 2017, with the aim of increasing choice and provision for users.

The Delivery Unit's new involvement structure is being embedded and the Prevention and Wellbeing team delivered a successful programme of activities for the national Silver Sunday event, with 662 people attending events during the week and 92 signing up for ongoing activities as a result. The team has developed strong links with local voluntary and community organisations and is using these to support the development of the assessment hub model into a holistic approach enabling service users and carers to access a broad range of preventative services when they attend for an assessment or review.

Customer satisfaction measures continue to perform strongly with Social Care Direct reporting that 95% of customers give positive feedback on their experience. The Delivery Unit's programme of customer feedback continues with 51 follow-up calls made to

service users to capture their satisfaction with their experience of assessment or review. 19 calls received a response and 100% of respondents reported that they were satisfied or very satisfied with services.

## 2. Financial

### 2.1 Revenue

Description	Variations				Comments	% Variation of revised budget
	Original Budget	Revised Budget	Quarter 3	Variation		
	£000	£000	£000	£000		
Performance & Improvement	992	1,412	1,388	(24)		-1.7%
Safeguarding	604	674	1,116	441	Deprivation of Liberty Safeguards (DOLS) service continues to have significant pressures in 2016/17, as a result of Supreme Court judgements in 2014/15 and a loss of grant funding since 2015/16.	65.4%
Care Quality	4,736	4,438	4,354	(84)	Contract underspends within Housing related support	-1.9%
Community Well-being	733	538	0	(537)	The non-placements budget areas continue to be closely monitored and managed as savings reduced some of these areas significantly in 2016/17. These areas are projecting an underspend position which is offsetting placements pressures at this point.	-99.9%
Customer Care	334	254	226	(28)		-10.9%
Customer Finance	719	842	820	(22)		-2.6%
Dir Adult Soc Serv & Health	186	795	180	(616)	The non-placements budget areas continue to be closely monitored and managed as savings reduced some of these areas significantly in 2016/17. These areas are projecting an underspend position which is offsetting placements pressures at this point.	-77.4%
Integrated care - LD & MH	40,587	39,842	43,987	4,145	The care budgets within Adults have seen significant overspends since 2014/15 as a result of rising demand for services and increasing complexity in relation to those supported. The main pressure for learning disabilities also continues to be in relation to clients complex needs increasing and individuals transitioning from children's services into adult services. There are further pressures on the LD budget resulting from Ordinary Residents clients transitioning into Barnet.	10.4%
Integrated care - OP & DP	35,609	38,876	41,841	2,965	The care budgets within Adults have seen significant overspends since 2014/15 as a result of rising demand for services and increasing complexity in relation to those supported. In 2016/17, demand continues to grow for older adults placements with a particular growth in clients with dementia requiring complex packages of care.	7.6%
Prevention & Well Being	653	561	553	(8)		-1.5%
Social Care Management	412	736	709	(27)		-3.7%
<b>Total</b>	<b>85,566</b>	<b>88,968</b>	<b>95,173</b>	<b>6,205</b>		<b>7.0%</b>

## 2.2 Capital

	2016-17 Approved Budget	Additions/ Deletions Recommended	Slippage / Accelerated Spend Recommended	Proposed 2016/17 Budget	Spend to date	2016-17 Forecast to year-end	Variance from Approved Budget	% slippage of 2016/17	Comments
	£000	£000	£000	£000	£000	£000	£000	%	
Adults and Communities	1,039	341	-	1,380	908	1,380	341	0.0%	Budget transfer from the IT Strategy project in Commissioning
<b>Adults and Communities</b>	<b>1,039</b>	<b>341</b>	<b>-</b>	<b>1,380</b>	<b>908</b>	<b>1,380</b>	<b>341</b>	<b>0.0%</b>	

### 3. Key Actions and Performance Dashboards

#### 3.1 How the Delivery Unit is performing against its Key Actions

RAG ratings					No. of Actions due this quarter
Green - Met	Green Amber - delayed, Low Impact	Red Amber - delayed, Medium Impact	Red - Risk of Not Delivering Or High Impact	Not Rated (Not due, N/A or TBC)	
59% (10)	24% (4)	17% (3)	0% (0)	1	17

#### Key

RAG	Description
Green	Action Met
Green Amber	Action delayed, Low Impact
Red Amber	Action delayed, Medium Impact
Red	Risk of Not Delivering Or High Impact

#### 3.2 How the Delivery Unit is performing against its Performance Indicators

	RAG						Long Term Direction of Travel			No. of indicators expected to report this quarter
	Green	Green Amber	Red Amber	Red	Total RAG ratings	Monitor	Improving or the same	Worsening	No Direction of Travel	
CPI	5	2	0	1	8	0	5	0	3	8
Other Indicators	4	2	1	3	10	5	4	3	8	15
<b>Total</b>	<b>50% (9)</b>	<b>22% (4)</b>	<b>6% (1)</b>	<b>22% (4)</b>	<b>100% (18)</b>	<b>22% (5)</b>	<b>75% (9)</b>	<b>25% (3)</b>		<b>23</b>

#### Key

CPI	Corporate Plan Indicator
Other Indicators	Commissioning Plan Indicators, Management Agreement Indicators, Cross Cutting Indicators.

### 3.3 Performance: Key Actions and Indicators Reported this Quarter

The tables below provide an update on progress against delivering the Strategic and Commissioning priorities as set out in the revised Corporate Plan and Adults Commissioning Plan

#### Managing demand for services (Fairness)

PLANNING FOR LIFE - Working age adults and older people live a healthy, full and active life, in homes that meet their needs, and their contribution to society is valued and respected.

This priority drives work to improve the range of accommodation options for vulnerable or potentially vulnerable people in the borough, and other initiatives to help people live and work independently in their homes. All indicators with a RAAG rating are green or green amber for this priority.

Commissioning Intention	RAG Status	Comments
Increase the supply and take-up of supported living and independent housing opportunities.	GREEN	<p>The Your Choice Barnet (YCB) innovation offer (Crashpad, Independent Living and Neighbourhood Living schemes) has been designed and rolled out.</p> <p>The Council is working with Barnet Homes to ensure regular referrals into appropriate HRA developments and the Commissioning Group and Delivery Unit are monitoring this through a joint Housing Oversight Panel.</p> <p>Adults and Safeguarding Committee agreed plans for 125 extra care and enabled care places to be delivered by public and private developers by 2022. Work has commenced on the Moreton Close site.</p> <p>More creative support planning has seen residential admissions for working age adults remaining low.</p>
Support more people to live in a home of their own with support.	RED AMBER	<p>The Accommodation and Support tender was launched in September, aiming to commission an approved provider list for eight accommodation and support lots, including supported living, extra care, and new innovative accommodation and support options.</p> <p>A successful provider event was held with over 50 providers. The tender went live on 16th September 2016 and closed at the start of December.</p> <p>The new homecare provider framework continues to be implemented. Transition took place to a contract with a new enablement provider; there were significant issues with contract delivery</p>



Commissioning Intention	RAG Status	Comments
		and an alternative service has now been mobilised.
Commission high quality flexible specialist home support services including personal assistants (PAs) that enable people to remain independent.	GREEN AMBER	The PA service is now operational and being promoted to social work teams to increase referrals. Over twenty placements have been made so far with more in the process of being completed.  The Shared Lives service is running but needs further work to embed the scheme and ensure referrals reach target. Regular meetings are being held with the provider (LB Harrow) commissioners held to review take-up of the scheme.

Indicator description	Polarity	2016/17 Annual Target	Q3 2016/17 Target	Numerator and Denominator	Q3 2016/17 Result	Q2 2016/17 Result	DOT Short Term (From previous Quarter)	Q3 2015/16 Result	DOT Long Term (From Q3 previous Year)	Benchmarking <i>How performance compared to other councils</i>
Percentage of adults with learning disabilities who live in their own home or with their family	Bigger is Better	63.0%	63.0%	460/737	62.4%	65.9%	Worsening	61.8%	Improving	68.8% (CIPFA) 70.1% (London)  ASCOF Comparators (2015/16)
Percentage of adults with mental health needs who live independently, with or	Bigger is Better	83.2%	82.5%	571/674	84.7%	83.2%	Improving	82.9%	Improving	74.4% (CIPFA) 73.5% (London)  ASCOF Comparators (2015/16)

Indicator description	Polarity	2016/17 Annual Target	Q3 2016/17 Target	Numerator and Denominator	Q3 2016/17 Result	Q2 2016/17 Result	DOT Short Term (From previous Quarter)	Q3 2015/16 Result	DOT Long Term (From Q3 previous Year)	Benchmarking <i>How performance compared to other councils</i>
without support										
Number of assessments completed	Monitor	Monitor	Monitor	N/A	1584	987	N/A	N/A	N/A	N/A
Percentage of customer contacts into Social Care Direct resolved at first point of contact	Monitor	Monitor	Monitor	N/A	51.0%	50.0%	N/A	N/A	N/A	N/A

**EARLY INTERVENTION AND PREVENTION** - Working age adults and older people are provided with the tools to manage their own health and wellbeing and maintain independence.

This priority covers employment, enablement and prevention, reducing social isolation, better information and advice, and the use of equipment and technology to promote independence. Of the four indicators with a RAAG rating, two are green, one red/amber and one red.

Commissioning Intention	RAG Status	Comments
Develop the employment support offer for working aged adults with disabilities	<b>GREEN</b>	A data audit has commenced to improve data quality for employment records relating to this cohort.

Commissioning Intention	RAG Status	Comments
(including mental health and learning disabilities) and ensure there are sufficient employment opportunities available in the Borough.		<p>The current daycare offer has been reviewed for its potential for transformation into a supported employment offer. Recommendations included developing the provider market and specification of a new range of day opportunities.</p> <p>British Association for Supported Employment training was given to providers in November 2016. A Strategic Commissioning Plan for Employment and Supported Employment has been drafted and the tender for new services will commence in February 2017 with a provisional go-live day of May 2017.</p> <p>Work to develop new LD employment initiatives is underway. The new YCB contract has a specific focus on employment and includes establishment of a dedicated employment service within YCB. 60 users have already expressed an interest in finding employment.</p> <p>The two mental health services, MAPS and IPS, are increasingly working with service users with funded care packages as well as those on CPA only. Results for this group have improved.</p> <p>Procurement of an approved list of employment support providers will take place in early 2017 with the aim of increasing choice and provision for users.</p>
Implement a 0-25 disabilities service for people with learning disabilities; that better brings together health, care and education to enable young people with disabilities to fulfil their potential to be an active citizen and improves relationships between families and local authorities	RED AMBER	<p>A new Head of Service has been appointed in Family Services to take this work forward.</p> <p>The transfer of a second tranche of additional service users will be completed on 1st April 2017.</p> <p>The project delivery mechanisms will be refreshed to include development of:</p> <ul style="list-style-type: none"> <li>• The practice model in Family Services and how this links to the Resilience</li> <li>• agenda and strength based social work in Adult social care</li> <li>• Thresholds and eligibility criteria</li> <li>• Appropriate Systems &amp; IT – a proper options appraisal is needed</li> <li>• Ongoing Financial Dashboard development.</li> </ul>
Increase access to meaningful activities and reduce social isolation	GREEN	<p>The Neighbourhood Model and Later Life Planning services continue to perform strongly with well attended events and high volunteer involvement. January's Adults and Safeguarding Committee will consider a paper regarding the extension of Later Life Planning for 2017/18.</p> <p>The Delivery Unit delivered a successful programme of Silver Sunday events in October as part of a national event which celebrates the contribution older people make to our communities while combating loneliness and social isolation. Extensive work had taken place over the previous year to build voluntary and community sector links to support the event.</p>

Commissioning Intention	RAG Status	Comments
		662 people attended events and 92 signed up for regular activities (such as sport and leisure activities or digital inclusion classes) as a result of Silver Sunday.
Continue to improve the review and support planning process (including how equipment and technology can increase independence)	GREEN	<p>The Alternative Delivery Model, including proposals to revise the review and support planning process, was agreed by the Adults and Safeguarding Committee along with rollout of the new operating model for adult social care in Barnet.</p> <p>Strengths-based working is now live across SW teams with training completed. Back office staff have been trained in Q3.</p> <p>Phase 2 of the Council's Assessment Hubs is now live across the borough with an increased focus on preventative services.</p> <p>The new telecare model is in mobilisation stage with a contract awarded for the new service</p>
Stimulate the market to encourage providers to effectively focus on enablement and prevention	GREEN AMBER	<p>Work is being undertaken with the providers in the residential care, accommodation and support markets. The West London Alliance has now engaged with over 120 residential care providers, and engagement events are scheduled in the borough in February 2017 and May 2017 to increase the number of Barnet providers registered.</p> <p>An early support service shaping event is scheduled for February 2017 and this will be the first of a series of scheduled events to engage with providers from all sectors about the shape and scale of Council commissioned early support services.</p> <p>Two strategic provider forum networks will meet in February 2017 – the accommodation and support network, and a residential care network.</p>
Continue to embed improved information, advice and planning services	GREEN AMBER	<p>Work has continued, through the Council's Customer Transformation Programme, to redesign and rewrite content for the carers' section of the Adults &amp; Communities website. This has been achieved through coproduction with service users and carers and is being launched in early 2017.</p> <p>The Delivery Unit's communications lead is developing the broader information and advice offer. Information and advice are also being promoted through monitoring of the service level agreement (SLA) with Social Care Direct (SCD) and SCD's role in promotion has been discussed as the SLA has been renewed.</p> <p>As noted above, the Neighbourhood Model and Later Life Planning Services are performing effectively.</p>

Indicator description	Polarity	2016/17 Annual Target	Q3 2016/17 Target	Numerator and Denominator	Q3 2016/17 Result	Q2 2016/17 Result	DOT Short Term (From previous Quarter)	Q3 2015/16 Result	DOT Long Term (From Q3 previous Year)	Benchmarking <i>How performance compared to other councils</i>
Percentage of adults with learning disabilities in paid employment	Bigger is Better	10.8%	10.4%	74/737	10.0%	9.4%	Improving	9.5%	Improving	9.9% (CIPFA) 7.5% (London)  ASCOF Comparators (2015/16)
Percentage of adults with mental health needs in paid employment	Bigger is Better	7.2%	6.8%	41/674	6.1%	5.8%	Improving	5.4%	Improving	6.5% (CIPFA) 5.0% (London)  ASCOF Comparators (2015/16)
Number of new telecare packages installed	Bigger is Better	800	600	N/A	772	539	Improving	637	Improving	N/A

Indicator description	Polarity	2016/17 Annual Target	Q3 2016/17 Target	Numerator and Denominator	Q3 2016/17 Result	Q2 2016/17 Result	DOT Short Term (From previous Quarter)	Q3 2015/16 Result	DOT Long Term (From Q3 previous Year)	Benchmarking <i>How performance compared to other councils</i>
Percentage of service users receiving ongoing services with telecare	Bigger is Better	17%	15.9%	695/4414	15.7%	14.9%	Improving	12.0%	Improving	N/A
Percentage of contacts that result in a care package	Monitor	Monitor	Monitor	1125/5632	20.0%	18.8%	N/A	N/A	N/A	N/A

**PERSON-CENTRED INTEGRATED SUPPORT** - Working age adults and older people have timely access to health and social care support that maintains independence and avoids hospital admission or admission to residential care.

This priority includes support to promote positive outcomes for service users and maximise the quality of care, as well as outcome measures which indicate the current state of the health and social care system, including admissions to residential care, non-elective admissions to hospital, and delayed transfers of care. Of the ten indicators with a RAAG rating, six are rated green, one green amber, one red amber and two red.

Commissioning Intention	RAG Status	Comments
Re-focus mental health social care on recovery, maximising inclusion and reduce long term costs.	GREEN	The implementation of the new mental health structure and delivery model is taking place to schedule and is on track for full implementation in April 2017.  The new mental health Collaborative and Wellbeing Hub was soft launched and has been receiving referrals from November onwards. The Council's Network service meets weekly with the Collaborative and with CCG-commissioned Primary Care Link Workers.
Joining up services so that residents have a better experience and that services are delivered more effectively and efficiently	GREEN AMBER	Partnership groups and forums such as the Health and wellbeing Board, Joint Commissioning Executive Group and Health and Social Care Integration Boards are working effectively. Attendance and engagement are strong and agendas have covered the Sustainability and Transformation Plan, CAMHS and specific topics such as childhood immunisations.  Revised Better Care Fund plans are being developed for 2017/18.

Indicator description	Polarity	2016/17 Annual Target	Q3 2016/17 Target	Numerator and Denominator	Q3 2016/17 Result	Q2 2016/17 Result	DOT Short Term (From previous Quarter)	Q3 2015/16 Result	DOT Long Term (From Q3 previous Year)	Benchmarking <i>How performance compared to other councils</i>
Percentage of new clients, older people accessing enablement	Bigger is Better	63.0%	63.0%	340/539	63.1%	53.2%	Improving	62.1%	Improving	N/A
Permanent admissions to residential and nursing care homes, per	Smaller is Better	530 (new method)	363.8	N/A	262.0	169.7	Worsening	N/A	N/A	445.2 (CIPFA) 516.5 (London)  ASCOF Comparators

Indicator description	Polarity	2016/17 Annual Target	Q3 2016/17 Target	Numerator and Denominator	Q3 2016/17 Result	Q2 2016/17 Result	DOT Short Term (From previous Quarter)	Q3 2015/16 Result	DOT Long Term (From Q3 previous Year)	Benchmarking <i>How performance compared to other councils</i>
100,000 population age 65+										(2015/16)
Proportion of service users with a direct payment (ASCOF 1C/2A)	Bigger is Better	42.0%	41.5%	1009/2589	40.0%	38.81%	Improving	39.5%	Improving	29.5% (CIPFA) 27.6% (London)  ASCOF Comparators (2015/16)
Percentage of people meeting their outcomes at support plan review	Bigger is Better	90.5%	90.5%	21/21	100%	100%	Same	90.5%	Improving	N/A



Indicator description	Polarity	2016/17 Annual Target	Q3 2016/17 Target	Numerator and Denominator	Q3 2016/17 Result	Q2 2016/17 Result	DOT Short Term (From previous Quarter)	Q3 2015/16 Result	DOT Long Term (From Q3 previous Year)	Benchmarking <i>How performance compared to other councils</i>
Percentage of clients receiving an ongoing package of care reviewed	Bigger is Better	75.0%	56.0%	3333/7192	46.3%	31.6%	Improving	Not comparable	N/A	N/A
Number of delayed transfers of care from hospital per 100,000 population (aged 18+) which are attributable to both NHS and Adult Social Care	Smaller is Better	7.25	7.39	N/A	9.1	8.3	Worsening	7.0	Worsening	8.8 (CIPFA) 7.8 (London)  ASCOF Comparators (2015/16)

Indicator description	Polarity	2016/17 Annual Target	Q3 2016/17 Target	Numerator and Denominator	Q3 2016/17 Result	Q2 2016/17 Result	DOT Short Term (From previous Quarter)	Q3 2015/16 Result	DOT Long Term (From Q3 previous Year)	Benchmarking <i>How performance compared to other councils</i>
Number of delayed transfers of care from hospital, and those which are attributable to adult social care, per 100,000 population	Smaller is Better	2.5	2.7	N/A	4.1	3.8	Worsening	2.7	Worsening	3.6 (CIPFA) 3.3 (London)  ASCOF Comparators (2015/16)
Permanent admissions to residential and nursing care homes, per 100,000 population age 18-64*	Smaller is Better	16.6	10.1	N/A	8.5	5.1	Worsening	N/A	N/A	TBC
Number of referrals to hospital social work teams	Monitor	Monitor	Monitor	N/A	526	364	N/A	571	N/A	N/A

Indicator description	Polarity	2016/17 Annual Target	Q3 2016/17 Target	Numerator and Denominator	Q3 2016/17 Result	Q2 2016/17 Result	DOT Short Term (From previous Quarter)	Q3 2015/16 Result	DOT Long Term (From Q3 previous Year)	Benchmarking <i>How performance compared to other councils</i>
Percentage of Social Care Direct customers who are satisfied or very satisfied with the service they have received post resolution	Bigger is Better	85.0%	85.0%	N/A	100.0%	91.0%	Improving	98.0%	Improving	N/A
Total non-elective admission in to hospital (general & acute) all-age, per 100,000 population*	Smaller is Better	30098	7749	N/A	7173	7302	Improving	Not comparable	N/A	N/A

**SAFEGUARDING** - Working age adults and older people are supported to live safely through strategies which maximise independence and minimise risk.

This priority covers measures to monitor the Council's safeguarding responsibilities and the way in which it processes Deprivation of Liberty Safeguards applications.

Indicator description	Polarity	2016/17 Annual Target	Q3 Target	Numerator and Denominator	Q3 2016/17 Result	Q2 2016/17 Result	DOT Short Term (From previous Quarter)	Q3 2015/16 Result	DOT Long Term (From Q3 previous Year)	Benchmarking <i>How performance compared to other councils</i>
Percentage of DoLS applications completed within statutory timeframes	Bigger is Better	Monitor	Monitor	4/131	3.1%	5.0%	N/A	10%	N/A	N/A

**CARERS** - Carers are valued as expert partners in supporting working age adults and older people to live independent lives.

Carers, and their role in supporting people to live independently, are a key strategic focus for the Council's commissioning plans. This priority covers a range of work including a full Carers' Strategy as well as pilot schemes such as a programme of support for carers for people with dementia. Of the two indicators with a RAAG rating, one is rated green and one is red.

Commissioning Intention	RAG Status	Comments
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Commissioning Intention	RAG Status	Comments
To prioritise meeting the needs of carers, including young carers, through the assessment and support planning process by better supporting carer's own physical and mental health needs to ensure carers feel able to continue to support an individual for as long as they can.	GREEN	The strategy is in delivery mode with its steering group meeting regularly
To strengthen the current carers' support offer e.g. assistive technology, intensive support for carers of people with dementia	GREEN	The specialist carers' dementia team is up and running. The first training cycle for the team completed at the beginning of October with lessons learned being used to develop further training and improve the support programme.
Reduce the number of carer breakdowns and improve family satisfaction from sustaining the family environment.	GREEN	The contract for the new carers' support provider is now live and will start to report on assessments carried out from Quarter 4 onwards.
To better support carers to balance work and caring commitments. Local small businesses know how to retain carers in their workforce.	GREEN	The Employers For Carers scheme is live and continues to be promoted.

Indicator description	Polarity	2016/17 Annual Target	Q3 2016/17 Target	Numerator and Denominator	Q3 2016/17 Result	Q2 2016/17 Result	DOT Short Term (From previous Quarter)	Q3 2015/16 Result	DOT Long Term (From Q3 previous Year)	Benchmarking How performance compared to other councils
Number of carers' assessments	Bigger is Better	1045	732	N/A	593	390	Improving	N/A	N/A	N/A

Indicator description	Polarity	2016/17 Annual Target	Q3 2016/17 Target	Numerator and Denominator	Q3 2016/17 Result	Q2 2016/17 Result	DOT Short Term (From previous Quarter)	Q3 2015/16 Result	DOT Long Term (From Q3 previous Year)	Benchmarking How performance compared to other councils
Number of instances of information, advice and guidance provided to carers	Bigger is Better	3000	2250	N/A	2584	1649	Improving	N/A	N/A	N/A

#### ADULTS – Cross Cutting

This priority covers commitments relating to cross-cutting, enabling activity such as workforce issues, engagement with service users, use of information technology and other resources.

Commissioning Intention	RAG Status	Comments
Ensure the voice of people who use adult social care and carers contributes to the design and delivery of services	GREEN	Work continues to embed the new involvement structure. The regular customer feedback survey programme has continued throughout Q3. Consultation is taking place on the new Fairer Charging policy.
Develop effective and efficient management reporting tools.	RED AMBER	Delivery Unit is making good progress in designing and building a new reporting toolset but use of this is dependent on the implementation of the Mosaic case management system, which is expected in 2017/18. New programme team is in place for Mosaic and making progress though there is much work to do to confirm business requirements and build the system. Awaiting final timescales for implementation.

### 3.3a Comments and proposed interventions for indicators which did not meet target

Ref and title	Comments and Proposed Intervention
<p>AC/S3 (ASCOF 1G) Percentage of adults with learning disabilities who live in their own home or with their family</p>	<p>The number of people recorded as living in stable accommodation has fallen by 18 (from 478 to 460) since the end of Q2, and the cohort has increased from 725 to 737 people.</p> <p>A data cleansing audit is being currently being carried out with this cohort, which may be responsible for some fluctuation in the proportion of people reported as living in stable accommodation. The cohort also includes cases of 18-24 year olds under the care of the Family Services Delivery Unit – while their cases are managed separately they are retained within this indicator to allow it to be benchmarked.</p> <p>The Delivery Unit is addressing the shortfall in performance through its ongoing reviews with service users and their families, at which different accommodation options are explored. The Delivery Unit is also working with Barnet Homes to ensure regular referrals into appropriate HRA developments and the Commissioning Group and Delivery Unit are monitoring this through a joint Housing Oversight Panel.</p> <p>Commissioners are also carrying out work to ensure the market has enough capacity and a broad range of provision. In November, Adults and Safeguarding Committee agreed plans for 125 extra care and enabled care places to be delivered by public and private developers by 2022.</p> <p>Intervention is at Level 1.</p>
<p>AC/S4 (ASCOF 1E) Percentage of adults with learning disabilities in paid employment</p>	<p>There was an increase in the actual number of adults with learning disabilities recorded as being in paid employment – from 67 at the end of Quarter 2 to 74 at the end of Quarter 3. However (as in AC/S3 above), this increase was offset by an increase in the overall cohort from 725 to 737.</p> <p>A programme of work is being carried out to improve employment outcomes for working age adults with disabilities.</p> <p>The current daycare offer has been reviewed for its potential for transformation into a supported employment offer through specification of a new range of day opportunities. The new YCB contract has a specific focus on employment and includes establishment of a dedicated employment service within YCB. 60 users have already expressed an interest in finding employment.</p> <p>Employment support training has already been carried out and procurement of an approved list of employment support providers will take place in early 2017, with the aim of increasing choice and provision for users.</p> <p>Intervention is at Level 1.</p>
<p>AC/S5 (ASCOF 1F) Percentage of adults with mental health needs in paid employment</p>	<p>This measure relates only to service users on the Care Programme Approach (CPA), whose needs are relatively intensive. It is showing the impact of a programme of mental health reviews which were undertaken to support implementation of the mental health transformation programme, where service users from this cohort</p> <p>In addition to the actions described in AC/S4 above, the two mental health services, MAPS and IPS, are now increasingly</p>

Ref and title	Comments and Proposed Intervention
	<p>working with service users with funded care packages as well as those on CPA only. 223 service users in this category (10% of the cohort) were in employment at the end of the quarter.</p> <p>Intervention is at Level 1.</p>
<p>AC/S16 (ASCOF 1C/2A) Proportion of service users with a direct payment (ASCOF 1C/2A)</p>	<p>The proportion of service users with a direct payment has increased slightly since Quarter 2. This indicator remained roughly static throughout 2015/16 and performance fell slightly in Q1 and Q2 of the current year - a number of reviews of direct payment recipients have been carried out using the external reviewer capacity available in the first part of the year and as a result a number of services have been ended. Approximately 40 people moved onto a direct payment in Quarter 3 as the Council completed its homecare contract transition, but this was not enough to offset the reduction in the cohort against the increase required to meet the progressive target for the quarter.</p> <p>Barnet remains a high performer nationally against this indicator even at 38.8% with benchmarking data for 2015/16 showing a comparator group average of 29.5% and a London average of 27.6%.</p> <p>Intervention is at Level 1.</p>
<p>AC/S18 Percentage of service users receiving ongoing services with telecare</p>	<p>This indicator is rated Green Amber, and has just fallen short of meeting the quarter's progressive target by 6 individuals (out of more than 4000 service users). This is still an increase of 77 individuals now receiving telecare in comparison to the end of the previous quarter. The Delivery Unit is seeing positive progress against this target this year and will continue to monitor referrals into the current service. The contract has been awarded for the new telecare service and as the review of the Front Door continues further opportunities will be found to improve referral rates into the service and use technology to deliver better care and support.</p> <p>Intervention is at Level 1.</p>
<p>AC/S21 Number of carers' assessments</p>	<p>This indicator has fallen below Green Amber for first time in the year this quarter. Data on the number of carers' assessments completed is monitored by Heads of Service on a monthly basis as well as other key activity such as case reviews. Overall productivity in the Delivery Unit has fallen slightly during Quarter 3 – this is due to a combination the resource commitment required to develop and implement the new case management system, and the impact of releasing staff for the training required to implement strengths-based practice and deliver the new operating model.</p> <p>The total number of instances of information, advice and guidance given to carers – which includes work done by the Council's specialist partner organisations as well as the work done directly by the Council – is much higher, at 2584, which is in line with the Council's strategic aim to channel a greater proportion of people towards specialist support. The new carers' support contract is now live and from Q4 onwards it will also be possible to report on assessments carried out under this contract, giving a better picture of the total support available to carers in the Borough. The Delivery Unit is also making sure carers are referred for assessment within assessment hubs where possible, which also gives carers access to a broader range of preventative services.</p> <p>Intervention is at Level 1.</p>



Ref and title	Comments and Proposed Intervention
<p>AC/C10 Percentage of clients receiving an ongoing package of care reviewed</p>	<p>Good progress has been made on improving the rate of case reviews in 2016/17 and this indicator is currently performing at Green Amber with the actual number of reviews 13% higher than at the same time last year. The Delivery Unit is exploring the feasibility of allocating further cases through the contract with its external reviews provider. Priority cohorts for review have been identified by Heads of Service and are being tracked through reporting to the Adults Transformation Programme to ensure high risk clients are prioritised for review before year end.</p> <p>Intervention is at Level 1.</p>
<p>AC/C12 (ASCOF 2c(1)) Number of delayed transfers of care from hospital per 100,000 population (aged 18+) which are attributable to both NHS and Adult Social Care</p>	<p>Performance against this indicator reflects the significant pressures across the health and social care system in Quarter 3, with historic numbers of hospitals on the highest level of alert across the country. To some extent this has been exacerbated by reduced capacity in the social care provider market even though Barnet is commissioning significantly more hours of homecare, for example, than in previous years ((707,000 hours at the end of Quarter 3 2016/17 in comparison to 649,000 at the same time in 2015/16). The issues with Barnet's enablement contract took place during the period covered by this indicator which increased the pressure on the provider market.</p> <p>The Delivery Unit continues to work closely with the NHS to maintain the operational arrangements which enable assessments to take place in an efficient and timely manner. Barnet is an active participant in its local Accident and Emergency Delivery board and senior managers have taken part in a series of 'rapid improvement events' in hospitals early in 2017.</p> <p>Intervention is at Level 1.</p>
<p>AC/C13(ASCOF 2c(2)) Number of delayed transfers of care from hospital, and those which are attributable to adult social care, per 100,000 population</p>	<p>As in AC/C12 above. Barnet does not have a significant number of delays due to the assessment process – the Council's rate of delays due to the assessment process is 0.3 per 100,000 people - 5<sup>th</sup> lowest out of its 15 nearest statistical neighbours. The average rate of delays due to assessments for this comparator group is 0.7 per 100,000. Barnet's total rate of delays attributable to social care – 4.1 per 100,000 – is also below the comparator group average of 5.6 delays.</p> <p>Intervention is at Level 1.</p>

## 4. Customer Experience

Customer Experience description	Comments and Proposed Intervention
Front Door	<p>Strong performance continues against customer satisfaction measures including satisfaction with the Social Care Direct service and with outcomes met at support plan review.</p> <p>A review of the future of the Adults &amp; Communities Front Door has been taking place in Quarter 3 and the results are being used to inform the development of the Mosaic case management system.</p>
FOIs	Performance in responding to FOIs within the statutory timescales remains at 100%
Complaints	<p>19 complaints were received in Quarter 3 and 23 were due for response during the quarter. 10 were upheld, 9 partially upheld, and 4 not upheld or rejected. All complaints received and due were responded to within the statutory timescales.</p> <p>Improvements to the complaints process have been embedded and this is being demonstrated in the timely response to complaints received, as well as success in resolving a number of historic complaints.</p> <p>The process received a satisfactory audit rating and the service is now implementing the recommendations from the audit with a particular focus on identifying, and tracking responses to, the lessons learned from complaints received.</p>
Member Enquiries	All Member Enquiries have been responded to within the statutory timescales

## 5. Risk

The 5 X 5 matrix (heat map) below shows the residual risk assessment (probability and impact scores) for each risk.  
*(The heat map should show the position of all risks on the service risk register)*

Score:		LIKELIHOOD					
		1	2	3	4	5	
		Rare	Unlikely	Possible	Likely	Almost Certain	
IMPACT	5	Catastrophic			2	2	
	4	Major		2	4	1	
	3	Moderate		2	3		1
	2	Minor					
	1	Negligible					

### Risk Commentary:

- *There are 18 risks on the risk register, 11 of which are rated 12 or above.*
- *The risk register is currently being circulated for review once a month, and an update is a standing item at each monthly leadership team meeting to flag any concerns or escalations and capture any performance risks.*
- *Additional actions are being taken to mitigate risks further, including*
  - *Strengthening strategic links with Barnet CCG to mitigate issues relating to joint work with health*
  - *Continuing to embed good practice in relation to health and safety and information management*
  - *Further developing preventative activities*
- *The most significant strategic risk for Adults is the challenge of meeting statutory duties within current resources. This could have a negative impact on the Council's strategic priority to manage demand on services.*

The table below lists all risks rated 12 and above.

Risk ID	Short Risk Title	Long Description	Risk Owner	Nature of Risk	Controls and mitigations in place	Inherent Risk (without controls)		Residual Risk (with controls in place)			Direction of travel	Response Option	
						Impact	Likelihood	Impact	Likelihood	Highest impact area			Risk Score
ACO 01	Increased overspend to meet statutory duties	Adults & Communities Delivery Unit could have insufficient resources to meet its statutory duties due to operating in an environment in which there is inherent uncertainty in future demand for services, exacerbated by a potential inability to deliver savings, reduced ability to raise income from clients, the rising cost of care, other in year financial pressures due to unexpected demand, the increasing complexity and cost of care packages, and legislative changes. This could result in harm to individuals, legal challenge, worsening budget overspend, and reputational damage.	Adults and Communities Director	Statutory Duty	The Council's budget management process (MTFS) forecasts demographic growth and pressures over a 3 year period. Budget and performance monitoring and management controls are used throughout the year. Work to reduce addressable spend (such as expenditure on agency staff) is being carried out in year.  The Joint Strategic Needs Assessment will identify future demand pressures, and the Council will undertake initiatives focused	5	5	5	4	Statutory Duty	20	Same	Treat

Risk ID	Short Risk Title	Long Description	Risk Owner	Nature of Risk	Controls and mitigations in place	Inherent Risk (without controls)		Residual Risk (with controls in place)				Direction of travel	Response Option
						Impact	Likelihood	Impact	Likelihood	Highest impact area	Risk Score		
					on reducing and managing future demand in response, including the Adults' New Operating Model/ Alternative Delivery Vehicle which focus on reducing demand for services and finding more creative ways to manage complex need.								

Risk ID	Short Risk Title	Long Description	Risk Owner	Nature of Risk	Controls and mitigations in place	Inherent Risk (without controls)		Residual Risk (with controls in place)				Direction of travel	Response Option
						Impact	Likelihood	Impact	Likelihood	Highest impact area	Risk Score		
ACO 02	Failure of care provider	<p>A care provider could suddenly be unable to deliver services, due to:</p> <ul style="list-style-type: none"> <li>- provider going into administration</li> <li>- failure of regulatory inspection relating to quality of service</li> <li>- care provider chooses not to deliver services</li> <li>- HS&amp;E breach leading to operational disruption to manage the situation, harm to individuals by not having their care and support needs met, unexpected financial consequences, breach of statutory duty,</li> </ul>	Head of Integrated Care Quality	Business continuity	<p>For contracted services, extensive due diligence is carried out before and during any contract. The Delivery Unit carries out ongoing contract management and monitoring to ensure it continues to engage with providers, complemented by relationship management work, and monitoring of individuals placed with providers.</p> <p>The Council also works with the market as a whole, making a programme of best practice and improvement initiatives available to the provider sector.</p>	5	5	5	4	Statutory Duty	20	Same	Treat

Risk ID	Short Risk Title	Long Description	Risk Owner	Nature of Risk	Controls and mitigations in place	Inherent Risk (without controls)		Residual Risk (with controls in place)				Direction of travel	Response Option
						Impact	Likelihood	Impact	Likelihood	Highest impact area	Risk Score		
					A regular report setting out provider risks and concerns is circulated to the DASS and to the DU's Leadership team on a monthly basis and discussed through the regular DASS assurance meeting.								
ACO 03	Unacceptable level of quality services provided by care providers	Unacceptable levels of quality of services provided by care provider could lead to additional dedicated Barnet resource needing to be put in place to address the situation, resulting in reduced ability to manage BAU, financial consequences. If the additional resource is not able to	Head of Integrated Care Quality	Statutory Duty	For contracted services, extensive due diligence is carried out before and during any contract. The Delivery Unit carries out ongoing contract management and monitoring to ensure it continues to engage with providers,	4	5	4	4	Statutory Duty	16	Same	Treat

Risk ID	Short Risk Title	Long Description	Risk Owner	Nature of Risk	Controls and mitigations in place	Inherent Risk (without controls)		Residual Risk (with controls in place)				Direction of travel	Response Option
						Impact	Likelihood	Impact	Likelihood	Highest impact area	Risk Score		
		address the underperformance of the care provider, this could also lead to harm to individuals, reputational consequences			<p>complemented by relationship management work, and monitoring of individuals placed with providers.</p> <p>The Council also works with the market as a whole, making a programme of best practice and improvement initiatives available to the provider sector.</p>								
ACO 04	Surge in demand from NHS	An unpredictable surge in demand from the NHS in situations where there is limited capacity could lead to the DU being unable to meet this demand within the NHS's required timescales. This could result in financial consequences, operational disruption leading to rushed	Assistant Director Adult Social Care	Statutory Duty	System-wide resilience monies have been made available and these can be used to buy in extra capacity, subject to agreement by the NHS-led Improvement Board. There are monthly system resilience and operational	4	5	3	5	Statutory Duty	15	Same	Treat



Risk ID	Short Risk Title	Long Description	Risk Owner	Nature of Risk	Controls and mitigations in place	Inherent Risk (without controls)		Residual Risk (with controls in place)				Direction of travel	Response Option
						Impact	Likelihood	Impact	Likelihood	Highest impact area	Risk Score		
		decisions being made that have unintended negative consequences, potentially for individuals that have been discharged, and increased central government scrutiny.			resilience meetings between LBB, CCG and NHS Provider Trusts to discuss & manage pressures in the system, and to deliver action plans. Daily conference calls are in place to deal jointly with events as these happen.								
AC005	Challenges to recruit and retain qualified staff	A challenging job market (rest of London competing for the limited supply of social workers, qualified occupational therapists and other social care staff across all levels) could lead to difficulties in recruiting and retaining sufficient staff, resulting in insufficient staff to meet demand, reliance on agency workers impacting on budget, inability to carry out quality work,	Assistant Director Adult Social Care	Staffing & Culture	The Unified Pay & Reward project puts in place options to offer incentives. The Delivery Unit can also make use of agency staff. There is a workforce development plan in place to mitigate this risk in the medium to long term.	4	4	4	3	Financial	12	Same	Treat

Risk ID	Short Risk Title	Long Description	Risk Owner	Nature of Risk	Controls and mitigations in place	Inherent Risk (without controls)		Residual Risk (with controls in place)				Direction of travel	Response Option
						Impact	Likelihood	Impact	Likelihood	Highest impact area	Risk Score		
		knock on effect on morale, non-statutory duties being de-prioritised											
ACO 06	Wellbeing and safety of DU staff	The need for staff to work in high-risk situations (in locations with high levels of crime, entering homes on their own, working with volatile individuals) could impact on staff's general wellbeing and could also lead to a Health & Safety incident resulting in harm to Barnet employees, legal challenge, reputational damage as well as lowering workforce morale	Assistant Director Adult Social Care	Health & Safety	Corporate and local HS&E policies and guidance control and mitigate risk. The Delivery Unit records risk flags for certain cases on the client record system.  Corporate HS&E training and HS&E audits help discharge the duty of care to staff. Regular supervision is used to address specific issues. Wellbeing initiatives are deployed across	5	4	4	3	Health & Safety	12	Same	Treat

Risk ID	Short Risk Title	Long Description	Risk Owner	Nature of Risk	Controls and mitigations in place	Inherent Risk (without controls)		Residual Risk (with controls in place)				Direction of travel	Response Option
						Impact	Likelihood	Impact	Likelihood	Highest impact area	Risk Score		
					the Delivery Unit.								

Risk ID	Short Risk Title	Long Description	Risk Owner	Nature of Risk	Controls and mitigations in place	Inherent Risk (without controls)		Residual Risk (with controls in place)				Direction of travel	Response Option
						Impact	Likelihood	Impact	Likelihood	Highest impact area	Risk Score		
ACO 08	Non-adherence to safeguarding policies and procedures	Staff non-adherence to policies and procedures (specifically safeguarding within the Care Act, and London-wide safeguarding policies and procedures), resulting in death or serious harm to individuals, legal challenge, financial loss, decreasing staff morale due to greater pressure and reputational damage.	Head of Safeguarding Adults	Statutory Duty	Staff are required to undertake CPD of 5 days training & development per year, supported by practice forums. Quality assurance framework, led by the Quality Board, monitors supervision. Regular case file audits take place (using a pool of auditors from across the Department). Monthly reporting to leadership team on safeguarding activity. Monthly quality and safeguarding meeting with DASS includes review of high risk cases. External case file audits are conducted.  The Safeguarding	5	4	5	3	Statutory Duty	15	Same	Treat

Risk ID	Short Risk Title	Long Description	Risk Owner	Nature of Risk	Controls and mitigations in place	Inherent Risk (without controls)		Residual Risk (with controls in place)				Direction of travel	Response Option
						Impact	Likelihood	Impact	Likelihood	Highest impact area	Risk Score		
					<p>Adults Board (multi-agency) meets regularly. Tools are available to support practitioners (e.g. recording templates, assessment tools etc.), as well as learning processes such as safeguarding adult reviews (SARs) and the domestic homicide review process.</p> <p>Social workers are required to maintain professional standards for statutory registration with HCPC.</p> <p>Staff are supported and supervised by a senior social worker/ team</p>								

Risk ID	Short Risk Title	Long Description	Risk Owner	Nature of Risk	Controls and mitigations in place	Inherent Risk (without controls)		Residual Risk (with controls in place)				Direction of travel	Response Option
						Impact	Likelihood	Impact	Likelihood	Highest impact area	Risk Score		
					manager in accordance with policy; in addition supervision, advice and guidance is provided from the Head of Safeguarding and specialist Safeguarding Team.								

Risk ID	Short Risk Title	Long Description	Risk Owner	Nature of Risk	Controls and mitigations in place	Inherent Risk (without controls)		Residual Risk (with controls in place)				Direction of travel	Response Option
						Impact	Likelihood	Impact	Likelihood	Highest impact area	Risk Score		
ACO 09	Data protection breach	The high quantity of sensitive information handled by the Adults & Communities Delivery Unit could lead to a data protection breach, resulting in risk to individuals, legal challenge, financial penalty and reputational damage	Head of Performance and Improvement	Statutory Duty	Data protection training is mandatory for all staff. Data protection and information governance policies are in place. DBS checks are required for new members of staff accessing sensitive personal data. There is refresher training and there are regular communications to highlight issues in relation to common breaches.  A monthly Information Management Governance Group is in place as the route for raising, identifying and resolving risks and breaches, with strategic ownership	4	5	4	3	Information Governance	12	Same	Treat

Risk ID	Short Risk Title	Long Description	Risk Owner	Nature of Risk	Controls and mitigations in place	Inherent Risk (without controls)		Residual Risk (with controls in place)				Direction of travel	Response Option
						Impact	Likelihood	Impact	Likelihood	Highest impact area	Risk Score		
					over information governance. An action log is being embedded to ensure mitigating actions are implemented.								
AC011	Breach of mental capacity act or code of practice	Insufficient experienced staff and non-adherence to policies and procedures (permanent and agency, at all levels) to meet rising demand and complexity could lead to breach of the Mental Capacity Act or Code of Practice, resulting in Barnet not acting in someone's best interest (Mental Capacity Act), and as a result serious harm to individuals and/or the	Assistant Director Social Care	Statutory Duty	As with safeguarding issues, staff training is in place, supported by practice forums. Quality assurance framework, led by the Quality Board, monitors supervision (and responds to, for example, supervision and other quality audits). Regular case file audits take place (using a pool	5	4	5	3	Statutory Duty	15	Same	Treat



Risk ID	Short Risk Title	Long Description	Risk Owner	Nature of Risk	Controls and mitigations in place	Inherent Risk (without controls)		Residual Risk (with controls in place)				Direction of travel	Response Option
						Impact	Likelihood	Impact	Likelihood	Highest impact area	Risk Score		
		ongoing impact of such a breach on an individual's life; legal challenge, financial loss (legal costs) and reputational damage.			<p>of auditors from across the Department).</p> <p>Monthly reporting to leadership team on safeguarding activity</p> <p>Monthly quality and safeguarding meeting with DASS includes review of high risk cases. External case file audits are conducted.</p> <p>The Safeguarding Adults Board (multi-agency) meets regularly.</p> <p>Tools are available to support practitioners (e.g. recording templates, assessment tools etc.), as well as learning processes such as safeguarding adult</p>								

Risk ID	Short Risk Title	Long Description	Risk Owner	Nature of Risk	Controls and mitigations in place	Inherent Risk (without controls)		Residual Risk (with controls in place)				Direction of travel	Response Option
						Impact	Likelihood	Impact	Likelihood	Highest impact area	Risk Score		
					reviews (SARs) and the domestic homicide review process.								

Risk ID	Short Risk Title	Long Description	Risk Owner	Nature of Risk	Controls and mitigations in place	Inherent Risk (without controls)		Residual Risk (with controls in place)				Direction of travel	Response Option
						Impact	Likelihood	Impact	Likelihood	Highest impact area	Risk Score		
ACO 19	Capacity in the provider market	Market conditions could create shortages in both generalist and specialist service provision (such as specialist accommodation or Personal Assistants) which in turn could drive up placement prices and challenge the Council's ability to meet service users' needs in accordance with its strategic objectives or within the desired budget.	Associate Director, Commissioning, Joint Commissioning Unit	Statutory Duty	<p>The Council has developed commissioning strategies and a five year commissioning plan which is updated each year to ensure the market is kept informed about current and future direction. The Council also works with the market as a whole, making a programme of best practice and improvement initiatives available to the provider sector.</p> <p>The Delivery Unit carries out ongoing contract management and monitoring to ensure it continues to engage with providers,</p>	4	4	4	3	Statutory Duty	12	Same	Treat

Risk ID	Short Risk Title	Long Description	Risk Owner	Nature of Risk	Controls and mitigations in place	Inherent Risk (without controls)		Residual Risk (with controls in place)				Direction of travel	Response Option
						Impact	Likelihood	Impact	Likelihood	Highest impact area	Risk Score		
					complemented by relationship management work, and monitoring of individuals placed with providers.								

## 6. Equalities

Equalities description	Comments and Proposed Intervention
Equality Impact Assessments	Equality Impact Assessments have been undertaken to support development of the Council's business plan for 2017/18. Consultation is being undertaken on specific proposals, including changes to the Council's Fairer Charging policy, to identify any further equality impacts.