

Report to: Audit and Best Value Scrutiny Committee

Date: 3 March 2010

By: Director of Adult Social Care

Title of Report: Putting People First, Risk Management and Governance

Purpose of report: To update the Committee on the actions in place to manage risk in the 'Putting People First' (PPF) Programme, in Adult Social Care

RECOMMENDATION: The Committee is recommended to note the actions that have been put in place to mitigate risk in the PPF Programme

1. Financial implications

1.1 There are no direct financial implications from this report. However the operation of Personal Budgets and a Resource Allocation System [RAS] from the 5/4/2010 may require Adult Social Care (ASC) to make budget changes within year.

1.2 The Putting People First change programme is now approximately half way through it's three year life and continues to be financially supported by the Department of Health via the Social Care Reform Grant. The Programme has identified some potential cash pressures associated mainly with improving 'choice' in social care services. These pressures are being managed through the RP&R process.

1.3 Personal budgets will be offered routinely to new service users in the next financial year, and to existing clients when their services are reviewed. There are several areas of potential financial risk implicit in offering personal budgets:

- aligning current resources with the system of resource allocation
- ensuring that support plans promote the most cost effective solutions to meet social care needs
- arrangements to deliver personal budgets through direct payments
- potential double running costs if people opt out of traditional services

To accommodate these risks it is possible that ASC budget adjustments may be needed 'in year' during 2010/11.

2. Background

2.1 This report was requested to address issues raised in the Strategic Risk Monitoring report provided to this Committee in November 2009. The Director of Adult Social Services has recorded in the corporate risk log that 'Putting People First' is one of a number of factors that might affect the delivery of an effective medium term service plan.

The 'Putting People First' programme aims to transform Adult Social Care by:

- building 'social capital' – making the most of the help provided by carers, communities, family friends and volunteers
- creating more choice in the local care market
- a greater role for 'user led' organisations in providing services
- Providing advice and support for people who will fund and arrange their own social care
- shift towards interventions that prevent people from losing their independence, or becoming more dependent on carers

2.2 The PPF Programme locally has been established using MSP [Managing Successful Programmes] as a guide. This system for managing change in the public sector is approved by the Office of Government Commerce [OGC].

2.3 A programme board has been established, Chaired by the Director of Adult Social Care, and with corporate representation from finance; and policy and communications. The programme has a full time programme manager, four work streams each sponsored by an Assistant Director in ASC; work stream managers. The PPF Programme Manager leads a dedicated support team that includes staff with specific responsibility for performance and service development; logistics; and an equalities and inclusion officer.

2.4 The Programme Board has signed off a programme brief and PID [Programme Initiation Document], a programme milestone plan, business case, and a communications and engagement plan. The Board receives quarterly updates on the Social Care Reform Grant budget, the business case and the communications and engagement plan. The PPF Programme has been fully integrated into the ASC 3 year business plan.

2.5 Action has been taken to identify, tackle and actively manage risks and issues in the programme – see Appendix 1 attached.

2.6 The programme is proceeding on target and is achieving the milestones set by the Department of Health and Association of Directors of Adult Social Services – see Appendix 2 attached.

3. Conclusion

3.1 To note that action has been taken in line with the strategic risk log to mitigate the risks inherent in the 'Putting People First' Programme and Adult Social Care transformation agenda by:

- Fully integrating the PPF programme into the ASC 3 year business plan
- Providing a robust business change process

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Local Members: All

BACKGROUND DOCUMENTS None

Appendix 1: Risk identification and mitigation in the PPF Programme

1. Ensuring a robust programme management process:

- Use of MSP as a foundation for the programme, plus investment early in the programme in training PPF Programme staff and operational managers in MSP.
- Early involvement and briefing of members
- Regular reports to ASC scrutiny, COMT lead member committees
- Early involvement and close co-working with internal audit. An internal audit plan and approach to support the PPF programme is in place.

2 Risk identification

- Protocol established for escalation of risks
- Extensive consultation and engagement of staff and stakeholders
- Local people involved in service redesign and identifying issues and risks through Partnership Boards, Older People's Reference Group, Inclusion Advisory group [to reach minority groups], Citizen Involvement Post, Carers Forum meetings.
- Service users and carer involvement in pilot projects
- Tracking and actively managing critical dependencies between programme work streams; between ESCC departments, and with key stakeholders.

2. Risk mitigation

- Pilot project for personal budgets
- Pilot project for the self directed support and assisted self assessment
- Pilot projects for offering advocacy
- 'Joint information and access project' co produced with the local PCT's
- Resource Allocation System [RAS] peer development through FACE
- Peer support through regional 'adult social care transformation' networks
- Workforce planning in consultation with a wide range of local providers, including the voluntary and private sectors
- Establishing a 'Buy social care with confidence scheme' – jointly developed with ESCC Trading Standards team.

3. Tracking risk, self assessment and peer review

- The PPF programme maintains risk and issues logs, and logs decisions made in a range of forums affecting the progress of the programme.
- Risk and issues logs are routinely reviewed and monthly highlight reports to the Board provide a structured way of monitoring escalated risks through a 'traffic light' system.
- The Department of Health have provided a self assessment format for local authorities to track progress in implementing PPF. Attached the most recent PPF self assessment summary.
- PPF progress, risks and mitigation flagged to the Care Quality Commission in their routine update visits.

Appendix 2: PPF Programme progress update

1. Progress against PPF self assessment milestones & targets

No	Milestone	April 2010	October 2010	April 2011	Progress
1	Effective partnerships	Public communication Move to personal budgets well understood	Service users activity involved	One ULO directly contributing to transformation [Dec 10]	Very likely on all targets
2	Self-directed support and personal budgets	PB's introduced	New service users [with ongoing support needs] & existing users on review offered a PB.	At least 30% of service users have PB's	As above
3	Prevention and cost effective services	Clear joint [NHS] strategy for shifting resource towards prevention	Process in place to monitor & capture resource shifts & rtn on investment	Evidence of 3% cash able savings	Fairly likely on April 2011 target
4	Information and advice	Strategy in place	Arrangement in place	Infor' & advice being used	Very likely on all targets
5	Local commissioning	Strategies address likely future needs - JSNA	Increased range of choice – providers & third sector engaged. Investment requirements scoped	Stakeholders clear about the impact of PB's and ASC & PCT commissioning intentions	Fairly likely on October 2010 and April 2011 targets

2. Highlight issues

- Engagement in PPF based on well established Partnership Boards and special interest groups
- Service users involved through Personal Budget pilot and Mental Health 'In Control' Pilot
- Inclusion advisory group and Citizen involvement post established – clear evidence that engagement has influenced planning and decision making
- Staff and members consulted at an early stage – training in place & being delivered in personalisation and system changes
- Capacity building with ULO's underway, soft market testing for 'brokerage pilot', 3 specialist advocacy pilots one for carers, 'Buy social care with confidence' scheme: all underway and progressing well

3. Challenges

- Mental Health – structural changes in arrangements with Partnership Trust slow down PPF implementation for that area
- Joint Commissioning – Good legacy from the POPP Programme but progress slow in other areas