

From: Peter Oakford, Cabinet Member for Specialist Children's Services
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To: Children's Social Care and Health Cabinet Committee
21 April 2015

Subject: **DRAFT 2015-16 SOCIAL CARE, HEALTH AND WELLBEING DIRECTORATE BUSINESS PLAN AND STRATEGIC RISKS**

Classification: Unrestricted

Past Pathway of Paper: Adults Social Care & Health Cabinet Committee – 3 March 15
Social Care, Health and Wellbeing DMT - 14 December 2014 and 11 February 2015

Future Pathway of Paper: Cabinet – 27 April 2015

Electoral Division: All

Summary: This paper presents the draft Directorate Business Plan (Appendix 1) and Strategic risks (Appendix 2) for the Social Care, Health and Wellbeing directorate

The paper sets out the arrangements for developing and approving 2015/16 business plans and explains the management process for review of key risks, which, although reported to Members in September 2014, are being reported to this Cabinet Committee to align with the Business Planning Process.

Recommendation: The Children's Social Care and Health Cabinet Committee is asked to:

- a) **CONSIDER** and **COMMENT** on the draft 2015-16 Directorate Business Plan (Appendix 1) for the Social Care, Health and Wellbeing directorate, in advance of the final version being approved by the relevant Cabinet Members and Corporate Director.
- b) **CONSIDER** and **COMMENT** on the directorate risk register (Appendix 2).

1 Business Plans 2015/16

- 1.1 This report presents the draft Directorate Business Plan 2015/16 and sets out the arrangements for developing and approving 2015/16 business plans, which was agreed by Policy and Resources Cabinet Committee in December 2014. The draft Directorate Business Plan is included as Appendix 1 to this paper.

- 1.2 The Directorate Business Plan is intended to provide a summary of the key strategic priorities for the directorate, along with high level resourcing, risk and performance management information.
- 1.3 This paper presents the draft directorate business plan 2014-15 for the Social Care, Health and Wellbeing directorate, for consideration and comment by the Cabinet Committee.
- 1.4 Directorate business plans will be approved by the relevant Cabinet Members and Corporate Director. Final approval by the Leader and Cabinet Members will be sought following consultation with the Adult Social Care and Health Cabinet Committee on 3 March 2015 and Children's Social Care and Health Cabinet Committee on 21 April 2015.

2. Policy Framework

- 2.1 The priorities set out in the draft Social Care, Health and Wellbeing Directorate Business Plan will support the overall objectives of the County Council's strategic priorities in the Corporate Outcomes Framework (the County Council's strategic statement from 2015/16 onwards) and the County Council's Strategic Commissioning Plan.
- 2.2 In the context of Facing the Challenge, the Directorate Business Plan identifies priorities for the directorate in terms of service delivery and transformation to meet future challenges.

3. Draft Directorate Business Plan for Social Care, Health and Wellbeing directorate

- 3.1 The draft Directorate Business Plan for the Social Care, Health and Wellbeing directorate reflects the move towards supporting Kent County Council becoming a strategic commissioning authority and comprises the following sections:
 - Corporate Director's foreword
 - Who we are, what we do – providing a summary of the role and purpose of the five divisions in the directorate and the key service delivery priorities for the coming year
 - Cross-cutting strategic priorities – setting out three strategic themes for the directorate that are relevant to all of the services provided by Social Care, Health and Wellbeing. The strategic themes reflect the current context in terms of the Facing the Challenge transformation agenda, the Corporate Outcomes Framework, and the wider economic challenges that the county is facing. This section explains how Social Care, Health and Wellbeing will make a contribution to addressing these challenges. The Business Plan aligns with the Corporate Outcomes Framework and the Commissioning Framework.
 - Key divisional objectives and priorities enhancing and supporting the strategic priorities
 - Directorate resources – providing a summary of the financial and staff resources of the Social Care, Health and Wellbeing directorate
 - Workforce development priorities
 - Key directorate risks and resilience

- A description of how the Directorate considers sustainability and social value in its commissioning and service delivery
 - Performance Indicators and Activity Indicators
- 3.2 The Directorate Business Plan brings together information about each of the services of Social Care, Health and Wellbeing directorate. The Directorate brings together Specialist Children's Services, Older People and Physical Disability, Disabled Children and Adults Learning Disability and Mental Health, Commissioning and Public Health divisions. The three shared strategic themes set out in the Directorate Business Plan demonstrate how the Social Care, Health and Wellbeing directorate will work together collectively to deliver a diverse range of services more efficiently and effectively for the people of Kent.
- 3.3 The Directorate Business Plan includes a section on workforce development. The Directorate has identified a number of priorities for the year which will support staff to achieve the directorate's strategic priorities. The priorities are drawn from KCC's Organisation Development Plan and Social Care, Health and Wellbeing's Organisational Development Group Action Plan, both of which provide more detail. Workforce development is supported by four organisation-wide development frameworks managed by Human Resources.
- 3.4 Each directorate business plan includes a section on performance, listing the Key Performance Indicators (KPIs) and Activity Indicators that will be used to monitor and report on the directorate's performance over the year. A selection of KPIs and Activity Indicators is included in the Quarterly Performance Report to Cabinet and the Performance Dashboards are presented to Cabinet Committees. It should be noted that the KPIs for the directorate will be published in the final version of the Directorate Business Plan, once approved, before it is presented to the Leader and Cabinet Members.
- 3.5 Each directorate business plan also includes a section on the key directorate risks, which are set out in more detail in the Directorate Risk Register. Directorate Risk Registers are brought to Cabinet Committees for consideration in the planned round of meetings.

4. Business Planning Next Steps

- 4.1 Following any final amendments, including responses to comments made by members of both the Adult Social Care and Health and Children's Social Care and Health Cabinet Committees, the final version of the Directorate Business Plan for Social Care, Health and Wellbeing will be cleared by the Corporate Director and the respective Cabinet Members. All Directorate Business Plans will be collectively agreed by the Leader and Cabinet and will be published on the Council's website.
- 4.2 The 2015/16 business planning round requires the directorate to provide additional information to support Members on the Commissioning Advisory Board and Cabinet Committees to better identify forthcoming issues they may wish to explore in more detail, in support of their role in a strategic commissioning authority.

- 4.3 The information required in addition to the 2015/16 Directorate Business Plan is:
- a) An indicative list of any major service redesign, commissioning or procurement exercises expected over a rolling three-year period that would require a Key Decision
 - b) Identification of where the Directorate will consider putting in place a Service Level Agreement (SLA) with new service delivery vehicle such as a Local Authority Trading Company (LATCO)
- 4.4 The information will be collated separately and provided in a corporately agreed format.
- 4.5 The business planning process does not remove the need for business planning below the directorate level. It is a management responsibility to ensure that business plans are produced at divisional and/or business unit level by Directors and Heads of Service in order to run their area of the business effectively. Divisional level plans will be approved by the Corporate Director in consultation with the relevant Cabinet Member and published on KNet for accessibility and transparency purposes.
- 4.6 The Divisional level Business Plans will identify key actions and milestones for business-as-usual priorities and will reflect the actions and milestones required in order to deliver key projects and changes set out in the Directorate Business Plan.

5. Conclusions

- 5.1 The draft Directorate Business Plan 2015/16 for the Social Care, Health and Wellbeing directorate provides a simple reference guide to the services that make up the directorate and the top level directorate priorities for 2015/16. It sets out how the directorate is contributing to the strategic direction of the Council in meeting the outcomes of the Corporate Outcomes Framework and Facing the Challenge agenda.

6. Strategic Risks

- 6.1 As part of the Authority's business planning process and reporting cycle, a section of the business plan includes a high-level section relating to key directorate risks. These are set out in more detail in this section.
- 6.2 Risk management is a key element of the Council's Internal Control Framework and the requirement to maintain risk registers ensures that potential risks that may prevent the County Council from achieving its objectives are identified and controlled. The process of developing the registers is therefore important in underpinning business planning, performance management and service procedures. The risks outlined in risk registers are taken into account in the development of the Internal Audit programme for the year.
- 6.3 Directorate risk registers are reported to Cabinet Committees annually, and contain strategic or cross-cutting risks that potentially affect several functions

across the Social Care, Health and Wellbeing Directorate. Some risks also have wider potential interdependencies with other services across the Council and external parties.

- 6.4 Corporate Directors also lead or co-ordinate mitigating actions in conjunction with other Directors across the organisation to manage risks featuring on the Corporate Risk Register. The Corporate Director for Social Care Health and Wellbeing is designated 'Risk Owner' for several corporate risks included in the Corporate Risk Register.
- 6.5 A standard reporting format is used to facilitate the gathering of consistent risk information and a 5x5 matrix is used to rank the scale of risk in terms of likelihood of occurrence and impact. Firstly, the current level of risk is assessed, taking into account any controls already in place to mitigate the risk. If the current level of risk is deemed unacceptable, a 'target' risk level is set and further mitigating actions introduced, with the aim of reducing the risk to a tolerable and realistic level.
- 6.6 The numeric score in itself is less significant than its importance in enabling categorisation of risks and prioritisation of any management action. Further information on KCC risk management methodologies can be found in the risk management guide on the KNet intranet site:
<http://knet/ourcouncil/Pages/MG2-managing-risk.aspx>
- 6.7 The presentation of risk registers to Cabinet Committees is a requirement of the County Council's Risk Management Policy.

7. Risks relating to the Social Care, Health and Wellbeing Directorate

- 7.1 There are currently eighteen risks featured on the Directorate's risk register (Appendix 2). The higher level risks include:
 - Transformation
 - Safeguarding
 - Austerity and Pressures on Public Sector Funding
 - Health and Social Care Integration and the Better Care Fund.
 - Increasing Demand for Social Care Services
 - Mental Capacity Act and Deprivation of Liberty.
- 7.2 The more significant risks for the directorate are also included in the Corporate Risk Register. Another key risk at present is the preparation for the implementation of the Care Act 2014. Many of the risks highlighted on the register are discussed implicitly as part of regular items to Cabinet Committees.
- 7.3 Inclusion of risks on this register does not necessarily mean there is a problem. On the contrary, it can give reassurance that they have been properly identified and are being managed proactively.
- 7.4 The directorate risk register is monitored and reviewed quarterly at Directorate Management Team meetings, although individual risks can be identified and added to the register at any time. Key questions to be asked when reviewing risks are:

- Are the key risks still relevant?
- Has anything occurred which could impact upon the risks?
- Has the risk appetite or tolerance levels changed?
- Are the controls in place effective?
- Has the current risk level changed and, if so, is it decreasing or increasing?
- Has the “target” level of risk been achieved?
- If risk profiles are increasing, what further actions might be needed?
- If risk profiles are decreasing, can controls be relaxed?
- Are there risks that need to be discussed with or communicated to other functions across the Council or with other stakeholders?

8. Recommendation(s)

Recommendation: The Children’s Social Care and Health Cabinet Committee is asked to:

- CONSIDER** and **COMMENT** on the draft Directorate Business Plan 2015-16 (Appendix 1) for the Social Care, Health and Wellbeing Directorate, in advance of the final version being approved by the relevant Cabinet Members and Corporate Director.
- CONSIDER** and **COMMENT** on the directorate risk register (Appendix 2).

9. Background Documents

- 9.1 KCC Risk Management Policy on KNet intranet site.
<http://knet/ourcouncil/Pages/MG2-managing-risk.aspx>

10. Contact details

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