

Deprivation of Liberty Safeguards (DoLS) V4.4			Master Schedule				Resource	Service Area	
	Updated 3/1/18		Start Date	End Date	Status	Project or Action Lead		Team	Comments
	Main Tasks with individual actions	Link	Dependency	09/08/17	31/03/18	On Target	Terry Corry		
1	Outstanding assessment requests					*			
1.01	Establish current case law to determine risk based approach to assessments		Roger Merry	15/09/17	17/11/17	Complete	Mike Corrigan/Terry Corry	Within existing resource	<ul style="list-style-type: none"> Instructions to Counsel for advice Legal services to advise on appropriateness of plan submitted
1.02	On receipt of written Counsels advice prepare and submit report to Carol Tozer and the wider leadership group		Roger Merry	14/11/17	08/12/17	Complete	Mike Corrigan/Terry Corry/Roger Merry	Within existing resource	Written confirmation to be submitted to Carol
1.03	Appoint authoriser on zero hours contract to authorise/sign off DoLS authorisations (needs to be considered with the procurement plan)		Roger Merry		09/10/17	Complete	Terry Corry	Within existing resources	<ul style="list-style-type: none"> 9/10/17 confirmation from Garion Bird (legal).Final stage of authorisation must remain with the LA IWC vicariously liable
1.04	Review outstanding assessment data & prioritise based on risk criteria			30/11/17	22/12/17	Complete	Terry Corry	Within existing resources	To reduce current circa 749 cases to 450 by 31/3/18. Manage and monitor the resource to support this (based on 30/11/17 data)
1.05	Establish baseline budget for overdue assessments and support			01/10/17	01/10/17	Complete	Terry Corry	£275K	Outline £275K - Clarification required of the actual funds after agency staff requirement and any other spend
1.06	Procurement methodology agreed		HH	29/11/17	29/11/17	Complete	Terry Corry	within existing	
1.07	Ensure reporting methodology for external provider for PARIS is secure		1.13	01/12/17	02/01/18	On Target	Stephen Ward	Within existing	Will this be in house or other method? Link to 1.13 below
1.08	Prepare specification include all supporting documentation		HH	29/11/17	22/12/17	Complete	Stephen Ward	Within existing resource	ensure performance/ expectations/completion dates robust and clear
1.09	Tender documents available on ProContract		HH	15/01/18	05/01/18	Complete	Stephen Ward	Within existing resource	Payments ,milestones, termination criteria agreed
1.10	Deadline for clarification questions				18/01/18		Stephen Ward	Within existing resource	
1.11	Return of tender		HH		25/01/18		Stephen Ward	Within existing resource	
1.12	Evaluation of tender				01/02/18		Stephen Ward	Within existing resource	
1.13	Decision notification to all potential suppliers				02/02/18		Hayley Holden	Within existing resource	
1.14	Commencement of contract				12/02/18		Stephen Ward	Within existing resource	
1.15	Commissioning/mobilisation plan for backlog			02/01/18	12/01/18		Stephen Ward	Within existing resource	Proposed commencement 12/02/18
1.16	Clarify IWC policy in relation to external provider access to PARIS			24/08/17	24/08/17	Complete	HW		Irene Woodford has confirmed that this would be treated as agency staff for access to PARIS they need to be trained and sign confidentiality policies
1.17	Ensure process agreed for the secure recording of data and reports (PARIS / Freestanding)			30/11/17	13/12/17	On Target	Stephen Ward	Within existing resource	
1.18	Review existing practices and processes to ensure compliance and consistency of approach.			01/11/17	31/03/18		Stephen Ward	Within existing resource	
1.19	Complete IR35 on line form to satisfy compliance that BIA's are outside of HMRC IR35			29/11/17	30/11/17	Complete	Stephen Ward	Within existing resource	Complete compliance form. If needed seek advice form IWC tax advisor Jo Thistlewood . As part of the procurement process this is an essential requirement/responsibility of the supplier . Will be a tender evaluation requirement pass/fail
1.20	Attend provider forum before commencement of work			03/11/17	30/11/17	Complete	Terry Corry/Roger Merry /Laura Gaudion	Within existing resource	Roger Merry to attend the next appropriate provider forum to outline our intention and to present the action plan. Needs to be agreed with legal/Carol Tozer
1.21	Letter to be drafted subject to counsels advice for families/advocates outlining the process and any potential 'duty of candour' issues			03/11/17	19/01/18		Terry Corry/Roger Merry /Laura Gaudion	Within existing resource	Letter to be sent prior to any visits/assessments. Needs to be signed off by legal/Carol Tozer

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1.22	Scrutiny report to be prepared for ASC & Health 22 January 2018			20/11/17	02/01/18	On Target	Stephen Ward/Roger Merry	Within existing resource		Need to confirm expectation for completion & submission • Report to be with Scrutiny by Weds 10 Jan 2018 • confirmation to Democratic services for agenda 2nd Jan 2018
1.23	Report must be with scrutiny			18/12/18	10/01/18	On Target	Terry Corry	Within existing resource		
1.24										
1.25										
1.26										
1.27										
1.28										
1.29										
2	Managing new requests					*				
2.01	Review and refresh existing JD and person spec for temp BIA post			06/10/17	02/01/18	Complete	Stephen Ward	Within existing resources		
2.02	Seek approval to recruit fully funded BIA post				17/08/17	Complete	Stephen Ward			
2.03	Advertise internally/externally for BIA 18 months fixed term contract			01/09/17	15/09/17	Complete		Fully funded		
2.04	Interview for position and appoint				01/11/17	Some Delay	Stephen Ward	Within existing resources		appointment made subject to satisfactory reference & DBS checks . Start date was due to be 2/1/18. Now 1/2/18 (due to family bereavement)
2.05	Backfill existing consultant prac. DoLS (GS) with agency for a temp period to free/assist SW implement the actions of this plan			03/11/17	15/12/17	Some Delay	Stephen Ward	Within existing resources		SW to contact applicants for interview & start date
2.06	Report performance development measures for BIA's . To be benchmarked with the SE region and reported to leadership group			01/09/17	31/01/18		Stephen Ward/Ginny Smith	Within existing resources		Agreed measure 3 assessments per week for each WTE based on high risk complex cases. This needs to be managed and monitored • Based on 12 hours per assessment to include leave/training . Subject to review following benchmarking exercise
2.07	Meeting with Group managers to agree assessment number expectations			01/11/17	21/11/17		Terry Corry/Ginny Smith	Within existing resources		Agree prioritised approach for all
2.08	Provide shadowing opportunities for new/existing BIA's started DoLS assessments			30/11/17	22/12/17	On Target	Ginny Smith	Within existing resources		Resilience offered within the contract opportunity for agency to mentor as appropriate
2.09	All service and group managers and consultant practitioners will be trained as DoLS Authorisers			05/11/17	30/11/17	On Target	Mike Corrigan/Terry Corry	Within existing resources		• To ensure that assessments are consistent and approved in appropriate timelines to meet legislative requirements • 11 additional existing staff will be qualified authorisers by December 2017 . Total 15 authorisers in house
2.10	Establish process ,rota and performance targets for Authorisers			30/11/17	15/12/17		Stephen Ward/Terry Corry	Within existing resources		To ensure that practice is supported
2.11	Review DoLS management and administration functions/process and capacity			30/11/17	22/12/17	Some Delay	Stephen Ward/Terry Corry	Within existing resources		To ensure that best practice is supported .
2.12	Review Initial screening of DoLS requests to ensure robust			30/11/17	15/12/17	Complete	Stephen Ward	Within existing resources		To ensure professional sign off. SW has qualified samples of requests
2.13	Complete specification for circa 20 'off Island' assessments to be carried out via agency			27/11/17	01/12/17	Complete	Stephen Ward	Within existing resources		Work to commence Jan 18 to be completed by end Feb 2018
2.14	Contract detail to be approved in relation to the above before let of contract		Jonathan Murphy	01/12/17	08/12/17	Complete	Terry Corry	Within existing resources		
2.15	Commission and instruct BIA assessments for circa 20 'off Island' placements outstanding DoLS assessments (Agency)			08/12/17	12/02/18	On Target	Stephen Ward	Within existing resources		Work to commence 2/1/18 to be completed 12/2/18

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2.16										
2.17										
2.18										
3	DoLS team resources and performance development					*				
3.01	Review current skillset and performance			01/11/17	31/03/18		Terry Corry/Stephen Ward	Within existing		
3.02	Scope resources for refreshed/new delivery of service			01/11/17	31/03/18		Terry Corry/Stephen Ward	to be determined		Barbara Milton profiling
3.03	Review process and key pathways for assessments			02/01/18	23/02/18		Terry Corry/Stephen Ward	Within existing		Ensure lean, compliant processes
3.04	Review existing performance measures			01/12/17	23/02/18		Terry Corry/Stephen Ward	Within existing		Ensure robust and measurable targets . Incorporate in PDR's and 1-1's
3.05	Ensure PARIS supports the process and its use in practice by all is consistent			01/10/17	31/03/18		Stephen Ward/ Irene Woodford	Within existing		Review the process /forms.
3.06	Research best practice with other LA's and partner agencies			01/10/17	20/10/17	On Target	Stephen Ward	Within existing		Knowledge share through regional network of DoLS leads
3.07	Improve links with commissioning team ,CCG , care homes and partners			01/11/17	31/03/18		Ginny Smith /Stephen Ward	Within existing		Updates through various boards such as SAB.Residential care homes forum
4.00	DoLS Training						*			
4.01	Identify internal key staff currently trained as BIA's including inactive BIA's			01/09/17	01/12/17	Complete	Ginny Smith	Within existing		Establish team of 10 BIA's within the existing workforce by December 2017
4.02	Identify additional internal ASC staff that have appropriate skill set to train as BIA's			30/11/17	15/12/17	On Target	Ginny Smith	Within existing		<ul style="list-style-type: none"> • 'activating' existing BIA's • starting newly qualified BIA's • Planning future training of BIA's
4.03	Refresher training for 'inactive' BIA's to be arranged as a priority		Laura Clark	31/11/17	22/12/17	On Target	Ginny Smith	Within existing		Identify inactive/lapsed trained BIA's. 2nd tranche identified
4.04	Scope fully costed training plan		Laura Clark	01/09/17	22/12/17	Complete	Terry Corry	Within existing		
4.05	Identify external dependencies training (link to overdue assessments needs identified)		Laura Clark	30/11/17	31/03/17	On Target	Terry Corry	Within existing . May need additional funding		e.g. Homes. May be delivered by way of regular updates through appropriate forums
4.06	Formal legal update training to be provided for BIA's on an annual basis		Laura Clark	01/11/17	13/12/17	Complete	Stephen Ward/Roger Merry	Within existing		Share training opportunity with Hampshire CC
4.07	Social Care Practitioners refresh to ensure placements are in line with the MCA		Laura Clark/Roger Merry	01/09/17	31/12/17	On Target	Stephen Ward	Within existing		Training session arranged 13/12/17 more to follow early Jan 18

DoLS - Risk & Issue Log

Last updated: 20/09/2017

RISK - An uncertain event that, if it occurs, has a positive or negative effect on the prospects of achieving project objectives.

ISSUE - A relevant event that has happened, was not planned, requires management action and has had a negative effect on the Programme, Project or work stream.

Status Key:

Closed

Low

Medium

High

Item No	Date Raised	Risk or Issue?	Raised By	Description	Mitigation	Escalation To	Resultion Date	Owner	Status
	09/08/17	Risk	Stephen Ward	Potential risk of legal challenge in relation to outstanding assessments	<ul style="list-style-type: none"> Seek legal advice in relation to the assessment compliance Commission agency to clear the backlog following legal advice 	Mike Corrigan	30/11/17		
	09/08/17	Issue	Stephen Ward	Admin. Process & checking for authorisation by manager limits capacity to 10 PW	<ul style="list-style-type: none"> Review current processes and escalation thresholds to ensure streamlined process Review and identify Managers to authorise DoLS assessments 	Terry Corry			Low
	09/08/17	Risk	Stephen Ward	Mental Health Assessors capacity may be compromised if the number of assessments increases	Monitor increase in demand and costs ,formulate action plan	Mike Corrigan			Low
	29/09/17	Risk	Stephen Ward	Management and Admin capacity may be insufficient to manage increased activity level	<ul style="list-style-type: none"> Manage and monitor work flow to prioritise in line with legal advice Review admin function & process to include escalation criteria 	Terry Corry			Low
	29/09/17	Risk	Stephen Ward	Authorisers may not be able to complete authorisations on time	Manage & monitor and escalate to senior management	Terry Corry			Low
	09/08/17	Risk	Stephen Ward	Inability to recruit/retain suitably trained and qualified staff	Consider use of agency/ partnership with other LA's	Terry Corry			Low
	09/08/17	Risk	Stephen Ward	Inability to release 15 in house staff to undertake BIA function	Escalate to senior management to ensure business continuity within service areas	Terry Corry			Low
	19/12/17	Risk	Stephen Ward	Inability to commence/complete the backlog work within this financial year. Potential lost funding	Explore options for a waiver to expedite the works to complete within the current financial year	Mike Corrigan			Closed
	09/08/19	Risk	Stephen Ward	Current budget potentially insufficient to meet the proposed level of activity for this financial year	Manage & monitor and escalate to senior management	Mike Corrigan			Low
	09/08/17	Risk	Stephen Ward	BIA- Current in house capacity limited to 6 assessments PW	<ul style="list-style-type: none"> Investigate procurement options & cost of external provider to clear the backlog 	Terry Corry			Low
	09/08/17	Risk	Stephen Ward	Paid representative for unsupported person (demand may exceed provider capacity)	Paid RPR estimated £600 per case. Review COP	Terry Corry			Low
	29/11/17	Risk	Stephen Ward	Not able to meet the anticipated target of 15 in house staff to undertake BIA function	Review cohort feed back and provide support to successfully complete	Terry Corry			