

Full Risk Register

Risk Register - Adult Social Care and Health

Current Risk Level Summary

Green	0	Amber	4	Red	9	Total	13
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Current Risk Level Changes

0	0	0	3	3
0	0	0	3	0
0	0	3	1	0
0	0	0	0	0
0	0	0	0	0

Risk Ref	Risk Title and Event	Owner	Last Review date	Next Review Date				
AH0005	Pressures on public sector funding	ASCH Directorate Management Team	12/02/2018	20/04/2018				
<p>KCC has had to find major savings and there has been considerable pressure on budgets. The Government has identified additional funding for Adult Social Care on a time limited basis but the workforce has depleted in recent years and there is less capacity to deliver services. Partner agencies have also experienced funding challenges potentially putting joint working at risk. Financial pressures in the health sector having repercussions for social care.</p>								
Cause	Consequence	Current Risk	Previous Current Risk	Control / Action	Control / Action	Target Date	Days Overdue	Target Risk Level
Pressures on public sector funding impacting on revenue and capital budgets. The Government identified additional funding for adult social care but there continues to be a need to achieve significant efficiencies for the foreseeable future.	Major funding pressures impacting on the delivery of social care services. The capital strategy putting specific projects at risk. Business viability of independent providers could be impacted with providers going out of business and a very fragile care market. Vulnerable people could be without support if there is insufficient resource in the system including sufficient staffing across the care sector to deliver services.	High 25 Major (5) Very Likely (5)		<ul style="list-style-type: none"> Resource allocation taskforce to focus on specific financial pressure areas. Continued drive to deliver efficient and effective services through the transformation and the modernisation agenda. An increased focus on prevention, enablement and independence for vulnerable adults. Continue to work innovatively with partners, including health services, to identify any efficiencies across the wider sector. Draft Business Plans produced for 2018/19 Robust financial and activity monitoring regularly reported to DMT and the Div Management Teams. A Management Action Steering Group in place in OPPD to review and ensure savings are on track for delivery. Monthly reports are shared with OPPD Div Mt and updates are provided through reporting for corporate reports Robust debt monitoring arrangements in place. 	<p>Anu Singh A -Accepted 01/10/2018</p> <p>Anu Singh A -Accepted 31/03/2018</p> <p>Anu Singh A -Accepted 30/03/2018</p> <p>Anu Singh A -Accepted 31/03/2018</p> <p>Anu Singh Control</p> <p>Anu Singh Control</p> <p>Anne Tidmarsh Control</p> <p>Michelle Goldsmith Control</p>			High 16

Adult Social Care and Health

Risk Register - Adult Social Care and Health

			<ul style="list-style-type: none">• More efficient use of assistive technology and equipment to help people to live independent lives and reduce dependence on service.	ASCH Directorate Management Team	Control			
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Review Comments Review of risk with Michelle Goldsmith
12/02/2018

Adult Social Care and Health

Risk Register - Adult Social Care and Health

Risk Ref	Risk Title and Event	Owner	Last Review date	Next Review Date				
AH0008	Managing and working with the Social Care Market.	ASCH Directorate Management Team	12/02/2018	12/05/2018				
<p>The Adult Social Care and Health Directorate commissions about 90% of services from outside the Directorate. Although this offers efficiencies and value for money it does mean the Directorate needs the care market to be buoyant to achieve best value and to give service users real choice and control. A risk is the residential, nursing and home care care markets not being sustainable and it is becoming increasingly difficult to obtain provider supply at affordable prices. The introduction of the Living Wage and Pension increases has impacted on the care market. There is evidence of an increase in the rate of closure of care homes. Also, there is a need to ensure there are mechanisms in place to monitor the quality of care provision.</p>								
Cause	Consequence	Current Risk	Previous Current Risk	Control / Action	Control / Action	Target Date	Days Overdue	Target Risk Level
	Some parts of the social care market are facing severe financial pressures, this has been compounded by the increase in the minimum wage and the National Living Wage. If some providers fail then there could be gaps in the care market for certain types of care or in geographical areas. This would make it difficult to place some service users. Financial pressures could result in difficulties purchasing care at affordable prices. A risk that providers will choose not to tender for services at Local Authority funding levels or accept service users with high levels of complex needs	High 25 Major (5) Very Likely (5)		<ul style="list-style-type: none"> Quality in Care Framework in development. Further work to be done to make it operational, linked to the transformation of services. Opportunities for Joint Commissioning in partnership with key agencies (health) being explored. Joint work regarding the provision of dementia nursing beds. Strategic Commissioning and Access to Resources functions in place to ensure KCC gets value for money - whilst maintaining productive relationships with providers. Placement data gathered through the County Placement Team and twice weekly contacts with market re availability. On going monitoring of Home Care and market coverage. Commissioners and operational managers reviewing the capacity of the Home Care market with a view to developing a commissioning and contract strategy to ensure market coverage. Refresh of the Accommodation Strategy to ensure care providers are aligned with the future needs of Kent residents. A risk based approach to monitoring providers with greater understanding of provider accounts and financial pressures. Development of a strategy assessment of providers and the introduction of regular meetings with provider and trade organisations 	Christy Holden Anu Singh Anu Singh Anu Singh Clare Maynard Clare Maynard Clare Maynard Clare Maynard	A -Accepted Control Control Control Control Control Control Control	30/03/2018	9 Medium
Review Comments	Risk reviewed							

Adult Social Care and Health

Risk Register - Adult Social Care and Health

Risk Ref	Risk Title and Event	Owner	Last Review date	Next Review Date					
AH0004	Safeguarding - Protecting adults at risk of abuse or neglect	ASCH Directorate Management Team	12/02/2018	12/05/2018					
If there are not robust and effective safeguarding arrangements in place it could place vulnerable people at risk.									
Cause	Consequence	Current Risk	Previous Current Risk	Control / Action	Control / Action	Target Date	Days Overdue	Target Risk Level	
Statutory responsibility of the Corporate Director and her staff to ensure effective safeguarding arrangements are in place to protect adults at risk of abuse or neglect.	Failure to achieve this could lead to the well-being of vulnerable people being compromised and put at risk.	High		<ul style="list-style-type: none"> Corporate Audit of adult safeguarding practices. Management action plan in place to follow up. Implement on going programme of safeguarding audits and follow up actions from audits. Review audit programme and plan further review. Awareness raising taking place and on going review and dissemination of key information including lessons from reviews. Project work to develop service user involvement linked to ADASS national Making Safeguarding Personal project. Initial project completed and has been rolled out. Review of MSP literature feedback mechanism and reporting processes. Safeguarding leaflets reviewed and disseminated. The Safeguarding and MCA capability framework in place and being implemented. A comprehensive, mandatory, staff training programme has been rolled out for staff to complete the appropriate level of training. The Kent and Medway Safeguarding Adults Board (KMSAB) in place with key agencies. Financial agreement between partnership agencies. 	Annie Ho	A -Accepted	31/03/2018		Medium
		25			Michael Thomas-Sam	A -Accepted	31/03/2018		15
		Major (5)			Michael Thomas-Sam	A -Accepted	31/03/2018		
		Very Likely (5)			Michael Thomas-Sam	A -Accepted	31/03/2018		
					Annie Ho	Control			
		Anu Singh	Control						

Adult Social Care and Health

Risk Register - Adult Social Care and Health

			<ul style="list-style-type: none"> The Kent and Medway Safeguarding Adult Board (KMSAB). <p>There are 3 key working groups within the KMSAB:</p> <ul style="list-style-type: none"> -Quality Assurance Working Group: This group has introduced a range of performance improvement tools including a dashboard of key indicators and a self-assessment framework -A Learning and Development Group; This group carry out structured work e.g redrafting the multi agency training package - Policy, Protocols and Practice Group to review and revise policies. <ul style="list-style-type: none"> In Kent a Transforming Care Steering Group is in place. Governance established across Kent and Medway additional support commissioned by NHS England is in place. A number of subgroups established focusing on delivery within L.D, autism and children services. Quarterly reporting to Directors and Cabinet Member and an Annual KMSAB Report to Members. Consistent scrutiny and performance monitoring through Divisional Management Teams, Deep Dives and Audit Activity. Also through the Quality Assurance Working Group and the Adult Safeguarding Quarterly Report. 	Anu Singh	Control			
				Penny Southern	Control			
				Michael Thomas-Sam	Control			
				ASCH Directorate Management Team	Control			

Review Comments Risk reviewed by Michael Thomas-Sam
12/02/2018

Adult Social Care and Health

Risk Register - Adult Social Care and Health

Risk Ref	Risk Title and Event	Owner	Last Review date	Next Review Date						
AH0013	MCA and Deprivation of Liberty Assessments	Michael Thomas-Sam	12/02/2018	12/05/2018						
<p>With the significant increase in Deprivation of Liberty applications, increasing numbers have not been processed within the statutory time frame. There are an increasing number that have been screened but not prioritised for assessment.</p>										
Cause	Consequence	Current Risk	Previous Current Risk	Control / Action	Control / Action	Target Date	Days Overdue	Target Risk Level		
<p>A Supreme Court Judgement led to a significant increase in demand for Deprivation of Liberty Assessments. There is no further funding from central government, resulting in significant pressures on DOLs resources. There are also increasing numbers of Court of Appeal cases.</p>	<p>This could result in some people living in circumstances where they are deprived of their liberty based on the legal interpretation but without the legal safeguards being in place. If DoLs assessments are not undertaken or outcomes issued in accordance with the statutory framework it could be detrimental to the individual and could result in a legal challenge, complaints from family members, financial and reputational damage.</p>	High		<ul style="list-style-type: none"> Close monitoring of budget situation in relation to assessment costs. It is anticipated that there will be some additional funding in the 2018/19 budget to tackle the backlog of cases. On-going implementation and review of management action plan in response to Internal audit. As this risk is the result of a national judgment - most Local Authorities are facing similar challenges. To keep abreast of any national (DH) and local developments or further court judgments. The government has released streamlined assessment documentation which will assist as one of the forms includes a streamlined assessment form for re-referral application for existing people who are under DOLS protection. MCA/DoLs Business Plan produced. Briefings provided to DMT/Members on the current DoLS activity and legal challenges.. BIA manager supervising and supporting the work of the BIAs and reviewing rota capacity. . Capability Framework developed for adult social care including MCA and DoLs for KCC. The BIA rota is regularly reviewed and BIA training has been commissioned. There are 5 FTE BIA Assessors and 1 DOLS Senior Practitioner. Recruitment is underway for 2 FT BIAs and 1 Senior Practitioner. 	Michael Thomas-Sam	A -Accepted	31/03/2018		Medium	
		20			Michael Thomas-Sam	A -Accepted	31/03/2018			8
		Serious (4)			Michael Thomas-Sam	A -Accepted	31/03/2018			
		Very Likely (5)			Michael Thomas-Sam	A -Accepted	31/03/2018			
					Michael Thomas-Sam	A -Accepted	31/03/2018			
					Annie Ho	Control				
					Annie Ho	Control				
					Annie Ho	Control				

Adult Social Care and Health

Risk Register - Adult Social Care and Health

			<ul style="list-style-type: none">• A new contract is in place for Mental Health Assessors and is being monitored.• Robust arrangements in place to screen and risk assess all incoming DOLs applications and identifying cases for prioritisation of assessments and issuing of outcomes.	Michael Thomas-Sam	Control			
				Michael Thomas-Sam	Control			
Review Comments	Risk Reviewed 12/02/2018							

Adult Social Care and Health

Risk Register - Adult Social Care and Health

Risk Ref	Risk Title and Event	Owner	Last Review date	Next Review Date				
AH0007	Increasing demand for social care services. Risk that demand will outstrip available resources.	ASCH Directorate Management Team	12/02/2018	12/05/2018				
Fulfilling statutory obligations and duties becomes increasingly difficult against rising expectations and increased demand for services. Increased demand due to: - demographic changes in population i.e. more people living longer, more people with dementia and an increase in clients with complex needs.								
Cause	Consequence	Current Risk	Previous Current Risk	Control / Action	Control / Action	Target Date	Days Overdue	Target Risk Level
	More reliance on informal carers leads to strain on families and individuals. More pressure on services to respond to increased demand, a risk of service failure if there is insufficient capacity to respond	High 20 Serious (4) Very Likely (5)		<ul style="list-style-type: none"> Ensure care Reviews are completed in a timely way to achieve good outcomes linked to effective arrangements for support. Monitoring of trusted assessor arrangements eg carers assessments. Continued modernisation of Older People and Learning Disability in house services. Continued use and development of Assistive Technology (Telecare) to enable people to live independent lives. To continue to monitor demand for services including new referrals and people requiring services for longer -often with complex needs. Developing community capacity particularly in relation to prevention and early help. Continued monitoring of Ordinary Residence regarding the number of people in need being placed by other local authorities into Kent. Adults Transformation Programme has been underway to review processes to achieve efficiencies and manage service demand. . Early intervention and Preventative services aimed at reducing demand-enablement, fast track minor equipment, short term care with step down and step up support. Working towards joint planning and commissioning with partners. 	Anu Singh A -Accepted 31/03/2018 Anu Singh A -Accepted 30/03/2018 Anu Singh A -Accepted 31/03/2018 Penny Southern A -Accepted 31/03/2018 ASCH Directorate Management Team Control ASCH Directorate Management Team Control ASCH Directorate Management Team Control ASCH Directorate Management Team Control ASCH Directorate Management Team Control			High 16

Adult Social Care and Health

Risk Register - Adult Social Care and Health

			<ul style="list-style-type: none">• Robust monitoring, reporting and analysis to DMT and Business Planning	ASCH Directorate Management Team	Control			
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Review Comments Risk reviewed
12/02/2018

Adult Social Care and Health

Risk Register - Adult Social Care and Health

Risk Ref	Risk Title and Event	Owner	Last Review date	Next Review Date				
AH0001	New Operating Model for ASCH	ASCH Directorate Management Team	12/02/2018	12/05/2018				
<p>A phased approach has been adopted to the change Programme in Adult Social Care. The new operating model is being implemented to move to an asset based approach to improve outcomes. Savings also need to be made through more efficient and effective ways of working. There will be challenges in implementing and embedding new ways of working. There are also interdependencies including the introduction of the TEC programme.</p>								
Cause	Consequence	Current Risk	Previous Current Risk	Control / Action	Control / Action	Target Date	Days Overdue	Target Risk Level
Implementing a new operating model for ASCH, adopting new ways of working and implementing a programme of significant change is not without risk.	If the change programme does not meet targets this will lead to significant pressures on the service and on the directorate and local authority budgets. How the new operating model is implemented is crucial as it expected to have a major impact on service delivery including efficiency and effectiveness.	High 20 Serious (4) Very Likely (5)		<ul style="list-style-type: none"> Ensure effective two way communication re the Transformation of Services to the new operating model. Need to ensure staff are informed and there is "ownership" of the message. A communication bulletin is produced and disseminated and local communication channels are actioned. Manage the interdependencies and relationship between the changes to the new Operating Model and other Corporate and Directorate programmes such as the system replacement project. Progression through to completion of the Projects in L.D services through project management arrangements. Governance for programme reporting is in place across ASCH and regular meetings are held to monitor whether the programme is achieving expectations. A Portfolio Management office is in place to ensure the right change initiatives are being delivered in the right way. A sustainability programme is in place and evolving in OPPD to monitor the impact of change and ensure the performance management measures are achieving intended outcomes. A virtual Transformation Engagement Team continues to ensure staff are engaged and leading change and improvement at a local level. 	<p>Anu Singh A -Accepted</p> <p>Anu Singh A -Accepted</p> <p>Penny Southern A -Accepted</p> <p>Anu Singh Control</p> <p>Anu Singh Control</p> <p>Anne Tidmarsh Control</p>	<p>31/03/2018</p> <p>28/09/2018</p> <p>31/03/2018</p>		<p>Medium</p> <p>9</p>
Review Comments	Risk reviewed 12/02/2018							

Adult Social Care and Health

Risk Register - Adult Social Care and Health

Risk Ref	Risk Title and Event	Owner	Last Review date	Next Review Date				
AH0017	Facilities Management	ASCH Directorate Management Team	12/02/2018	12/05/2018				
The implications of this are Health and Safety risks to residents and service users and the possibility of a KCC provider unit failing an inspection by CQC or OFSTED.								
Cause	Consequence	Current Risk	Previous Current Risk	Control / Action	Control / Action	Target Date	Days Overdue	Target Risk Level
Delays by the contracted service provider to complete maintenance work required within the in house care provision service. This includes works to the building and the maintenance of facilities and equipment within the buildings such as lifts and hoists.	The consequences are Health and Safety risks for service users and staff. It is also a reputational risk for the Council if a registered unit should fail an inspection by CQC or OFSTED. A further risk is if parts of buildings are not accessible while essential safety work is awaited.	High		<ul style="list-style-type: none"> FM updates to be shared with ASCH service representatives and communicated further within the Directorate as required FM dashboards to be discussed at infrastructure Stakeholder Group - ASCH representatives to be consulted on relevant dashboards. Engagement sessions to be arranged with GEN2 (FM Managing Agent) and relevant Assistant Directors in order to establish outstanding items, clarification of the FM specification for each site and explanation of the call log and escalation process. Escalation of cases to Directors where urgent works are required and the completion of risk assessments where required. 	A -Accepted	31/03/2018		Low
		16			A -Accepted	30/03/2018		4
		Serious (4)			A -Accepted	30/03/2018		
		Likely (4)			Control			
Review Comments					Risk Reviewed by Damien Ellis and Jane Barnes 12/02/2018			

Adult Social Care and Health

Risk Register - Adult Social Care and Health

Risk Ref	Risk Title and Event	Owner	Last Review date	Next Review Date					
AH0009	ICT and Systems Replacement.	ASCH Directorate Management Team	12/02/2018	12/05/2018					
<p>There is a risk that failure of critical systems or networks will impact significantly on the delivery of services. There is also a risk if systems do not have a disaster recovery plans arrangements in place. Cygnum (system used by KEaH) does not have disaster recovery - has been looked into but cannot be implemented.</p> <p>Replacing the SWIFT/AIS system and implementation of a new system is also a risk for the Directorate . Several associated risks : organisational change may affect the new system configuration causing rework, delay and data migration issues. Secondly, the ability to resource the implementation project due to other/competing priorities in the Directorate could impact on project deadlines. A third Risk that the business does not fully adopt the change so that the business benefits are not fully realised. A fourth risk is that suppliers (Servelec, BSC ICT) cannot provide resources to meet project deadlines.</p>									
Cause	Consequence	Current Risk	Previous Current Risk	Control / Action	Control / Action	Target Date	Days Overdue	Target Risk Level	
Need to ensure that information and Communication systems are fit for purpose and support business requirements. The replacement of SWIFT is also a risk.	Information Systems need to be fit for purpose to assist service delivery and performance management - if systems are not fit for purpose this could have a significant impact on the service. For example a problem with systems could impact on client billing. If there is a lot of down time or if systems are slow it can impede staff from accessing key information about service users and carers.	High		<ul style="list-style-type: none"> Clear and appropriate communication to be provided ahead of any planned ICT system change/maintenance that may impact ASCH Information Systems. Helen Bond to oversee communication from BSC to ASCH. Liaison with the Technology Commissioning Team regarding Disaster Recovery Testing to be coordinated. A risk area associated with the system replacement project is the data migration from one system to another. An experienced contractor has been commissioned to assist with the Data Migration. CCGs working towards local health and care economies being paper free by 2020. Expected that Local Authorities will participate. A risk associated with the system replacement project is the changing operating environment. The TEC Programme Board has oversight of the project and relationships with other changes taking place. Links are also in place with the modernisation leads involved in changes to the operating framework. 	Helen Bond	A -Accepted	31/03/2018		Low
		16			Helen Bond	A -Accepted	31/03/2018		6
		Serious (4)			Linda Harris	A -Accepted	01/01/2019		
		Likely (4)			Linda Harris	A -Accepted	31/03/2018		
					Linda Harris	A -Accepted	01/01/2019		
	The Adult Social Care client database is an essential requirement and needs to be fit for purpose.								

Adult Social Care and Health

Risk Register - Adult Social Care and Health

			<ul style="list-style-type: none"> • A Risk and Issues log is maintained for the Programme. High risks will be escalated to the TEC Programme Board. - Mitigation re system replacement: engage senior stakeholders through TEC Programme Board. Develop communication and change management strategy for TEC programme. Integrate plans with other change programmes. • Adult Systems TEC Board and governance in place to oversee the replacement of SWIFT/AIS. A Programme Manager has been appointed. The target date for implementation of the new system is by end of January 2019 (subject to planning with the successful supplier). 	Linda Harris	A -Accepted	01/10/2018		
				Linda Harris	Control	31/03/2018		

Review Comments risk reviewed 12/02/2018

Adult Social Care and Health

Risk Register - Adult Social Care and Health

Risk Ref	Risk Title and Event	Owner	Last Review date	Next Review Date					
AH0006	Working with Health, Integration, Pioneer, STP and BCF	ASCH Directorate Management Team	12/02/2018	12/05/2018					
<p>There is a need to develop integrated health and social care services, there is a risk if services do not become fully integrated. Local Authorities are required to put a plan in place and to be ready for integration by 2020. There are risks associated with joint working including ensuring commitments to Section 75 agreements. Pressures on NHS Trusts particularly at winter having repercussions for social care. A risk to BCF with funding only agreed for two more years. There is no information about what funding will be available after 2020.</p>									
Cause	Consequence	Current Risk	Previous Current Risk	Control / Action	Control / Action	Target Date	Days Overdue	Target Risk Level	
	Increased health and social care integration will impact on ways of working and the delivery of services. If services are not integrated there is a risk of gaps between services or in some instances duplication of services or inefficient use of the available joint resources. If health services are not meeting needs there can be increased pressures on social care services and budgets.	High 16 Serious (4) Likely (4)		<ul style="list-style-type: none"> • Closer working with health to align commissioning plans for social care and CCGs. • The Better Care Fund plan has been produced and agreed by the Health and Wellbeing Board and submitted to NHS England. Further updates to be provided to the Health and Wellbeing Board. The BCF quarterly returns need to be made by specific deadlines which can be challenging to achieve given the number of stakeholders. Communication through the Strategic Leads group should assist with getting input from the CCGs. • Work closely with the STP and CCGs. ASCH modernisation to focus on long term conditions to improve people's ability to self care. • Information management and technology strategy being developed within the CCG area Digital Roadmaps to support a shared intergration plan. • KCC is part of the STP and has input at various levels. Working with CCGs on Local Care and Hospital models as part of the STP. • Developing integrated performance measures and monitoring • Ensure adherence to the CHC Framework and monitor joint working arrangements to prevent cost shunting. Data now being collated to provide baseline measures and performance dashboard to monitor • JSNA to support health and social care commissioning. 	Anu Singh Anne Tidmarsh Anne Tidmarsh Anne Tidmarsh Anne Tidmarsh ASCH Directorate Management Team Anu Singh	A -Accepted A -Accepted A -Accepted A -Accepted A -Accepted Control	31/03/2018 31/03/2018 31/03/2018 31/03/2018 30/03/2018 30/03/2018 30/03/2018		Medium 9

Adult Social Care and Health

Risk Register - Adult Social Care and Health

			<ul style="list-style-type: none"> The Better Care Fund is supporting the integration programme and the development of joined up working and commissioning. High level county wide BCF Strategic Needs Group take place to monitor implementation, delivery including issues and risks. An integrated group is planning for graduation from BCF and a separate group is working with District Councils on the use of BCF funding for Disabled Facilities Grants. Programme management arrangements in place for integration with a Programme Plan and local action plans based on the Programme Plan. Co-ordination by a programme manager. Integrated steering groups to oversee priorities and delivery of action plan. This also includes the development of the Design and Learning Centre to support the integration of health, social care and the voluntary sector. Reporting and inputting to Transformation Board regarding integration but also to Health and Well Being Boards, and Locality boards and Clinical Commissioning Groups and Vanguard Groups. Already integrated working and commissioning in place for Learning Disability and Mental Health. Joint working with health on Section 75 agreements including the Section 75 agreement for the provision of the Community Equipment Service. Need to continue to monitor services delivered under Section 75 agreements. Close working at a leadership level through Health and Well Being Boards and meetings with CCG Accountable Officers. 	<p>Anne Tidmarsh</p> <p>Anne Tidmarsh</p> <p>Anne Tidmarsh</p> <p>Penny Southern</p> <p>ASCH Directorate Management Team</p> <p>ASCH Directorate Management Team</p>	<p>Control</p> <p>Control</p> <p>Control</p> <p>Control</p> <p>Control</p> <p>Control</p>			
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Review Comments Risk reviewed by Jo Frazer
12/02/2018

Adult Social Care and Health

Risk Register - Adult Social Care and Health

Risk Ref	Risk Title and Event				Owner	Last Review date	Next Review Date		
AH0016	Prevent Duties				ASCH Directorate	12/02/2018	12/05/2018		
Failure to meet the requirements of the "Prevent Duty" could lead to more people being drawn into terrorism and terrorist activities.									
Cause	Consequence	Current Risk	Previous Current Risk	Control / Action	Control / Action	Target Date	Days Overdue	Target Risk Level	
The Government's "Prevent Duty" requires the Local Authority to act to prevent people from being drawn into terrorism. The Local Authority needs to comply with the Counter Terrorism Act 2015.	Could lead to more terrorism and terrorist activity.	Medium		<ul style="list-style-type: none"> Awareness raising "Prevent" training for those working with people directly at risk. 	Anu Singh	A -Accepted	30/03/2018		Low
		12		<ul style="list-style-type: none"> Mandatory training being rolled out. 	Nick Wilkinson	A -Accepted	31/03/2018		4
		Serious (4)		<ul style="list-style-type: none"> Briefings produced and communication on Knet regarding the PREVENT agenda. Mandatory training package produced. 	Anu Singh	Control			
		Possible (3)		<ul style="list-style-type: none"> Kent Channel Panel (early intervention mechanism providing tailored support to people who have been identified as at risk of being drawn into terrorism) established at County Level, chaired and managed by KCC. 	Anu Singh	Control			
				<ul style="list-style-type: none"> Prevent Duty Delivery Board established to oversee the activity of the Kent Channel Panel, co-ordinate Prevnet activity across the County and report to other relevant strategic bodies in the county such as the Kent Safeguarding Boards, Kent Community Safety Partnership and Joint Kent Chiefs meeting. 	Anu Singh	Control			
Review Comments	Nick Wilkinson reviewed 12/02/2018								

Adult Social Care and Health

Risk Register - Adult Social Care and Health

Risk Ref	Risk Title and Event	Owner	Last Review date	Next Review Date					
AH0012	KCC KMPT partnership agreement	Penny Southern	12/02/2018	12/05/2018					
Risk that a failure to meet mental health statutory requirements would have legal, financial and reputational risks for the Local Authority and would impact on service quality for service users.									
Cause	Consequence	Current Risk	Previous Current Risk	Control / Action	Control / Action	Target Date	Days Overdue	Target Risk Level	
Changes to the Partnership Agreement with KMPT to deliver mental health services.	Legal, financial and reputational risks for the Local authority and impact on service users.	Medium		<ul style="list-style-type: none"> Close monitoring of the Key Performance Indicators. Measurement for Care Act assessments established but not yet implemented. KCC working in Partnership with KMPT to implement a new service model for the delivery of Mental Health Social Work. This will include direct line management of mental health social work services by October 2018. The new model will ensure the continuation of an integrated multi-disciplinary response to people with secondary mental health needs. Improve the supervision, support and Continuous Professional Development for social care staff. Arrangements for professional supervision in place. Implementation of job plans will form part of a new service delivery model. Targeted recruitment and succession strategy has been implemented. Continue to promote the personalisation agenda with social care clients in mental health services. The KERS service in the Primary Care Mental Health Service to ensure early intervention and prevention via enablement. Nine work streams have been set up involving KCC and KMPT to manage the transformation to a different operating model and support the Partnership Transformation Board. 	Cheryl Fenton	A -Accepted	30/03/2018		Low
		9			Cheryl Fenton	A -Accepted	01/10/2018		6
		Significant (3)			Cheryl Fenton	A -Accepted	30/03/2018		
		Possible (3)			Cheryl Fenton	A -Accepted	31/03/2018		
					Penny Southern	A -Accepted	01/10/2018		

Adult Social Care and Health

Risk Register - Adult Social Care and Health

			<ul style="list-style-type: none"> Annual report to Members regarding the Agreement. A detailed review of the Section 75 Agreement has been completed and a new model agreed for the future delivery of mental health social care services. Deliver a Primary Care and Well Being Service for mental health social care. Part of a wider multi-agency approach to community mental health service. This includes a primary care social work service. CQC highlighted a concern with high caseloads in KMPT. KMPT is introducing a new operating model to address demand and capacity. Introduction of a new model to deliver safeguarding duties under Section 42 Care Act 2014 with KCC providing designated senior officer role and oversight of all stages of enquiries. Increased monitoring of the appropriateness of proposed residential care placements through coordination of the Complex Needs Panel and the transfer of a number of residential clients to the KCC Primary Care Service. Reviewing M.H residential placements to maximise potential for a move to greater independence and embed good quality. Introduction of BCF projects to improve pathway flow from acute admission to independent living. Agreement across KCC, CCGs and KMPT to strategic approach to supporting and improving joint work and introducing joint processes. Improved governance and performance monitoring arrangements in place. 	Penny Southern	A -Accepted	01/10/2018		
				Penny Southern	A -Accepted	31/03/2018		
				Cheryl Fenton	Control			
				Cheryl Fenton	Control			
				Cheryl Fenton	Control			
				Penny Southern	Control			

Review Comments Review of risk by Cheryl Fenton
12/02/2018

Adult Social Care and Health

Risk Register - Adult Social Care and Health

Risk Ref	Risk Title and Event	Owner	Last Review date	Next Review Date					
AH0010	Information Governance	ASCH Directorate Management Team	12/02/2018	12/05/2018					
<p>The success of health and social care integration is dependent upon organisations being able to share information across agencies boundaries. Such working means that client information may be shared with other organisations which may have an implication on information sharing protocols. Also flexible working could lead to increased risk of loss of data or equipment. Delegated functions to other organisations raises issues about information sharing and what controls, systems and I.G assurance mechanisms the other organisations have in place. It is expected that the DP Regulations will change.</p> <p>The IG toolkit is a DH requirement and is completed annually by KCC and submitted to the HSCIC. The toolkit is a self assessment of compliance against IG requirements. Non completion means that access to NHS data is at risk and could be withdrawn.</p>									
Cause	Consequence	Current Risk	Previous Current Risk	Control / Action	Control / Action	Target Date	Days Overdue	Target Risk Level	
<p>With New Ways of Working, flexible working and increased information sharing across agencies there are increased risks in relation to data protection. General Data Protection Regulations (GDPR) will be implemented from 25 May 2018. These will have an impact on social care. A current issue is that there is no portal providing safe access to the client system with AIS/SWIFT. Providing external access to KCC client systems - such for carers assessments could be a risk for the organisation.</p>	<p>This could lead to breaches of the Data Protection Act if protocols and procedures are not followed and the new regulations are not adhered to when issued.</p>	<p>Medium</p> <p>9</p> <p>Significant (3)</p> <p>Possible (3)</p>		<ul style="list-style-type: none"> Need to continue to raise awareness across staff groups. all staff to undertake E-learning in information governance 	Anu Singh	A -Accepted	30/03/2018		Low
				<ul style="list-style-type: none"> All projects need to have information protocols and agreements where information is to be shared across agencies. 	Anu Singh	A -Accepted	31/03/2018		6
				<ul style="list-style-type: none"> Information Governance reports to DMT on an annual basis with updates. 	David Oxlade	A -Accepted	30/03/2018		
				<ul style="list-style-type: none"> CQC will introduce more rigour to IG inspection and it is expected this will have more power to hold organisations to account. 	Janice Grant	A -Accepted	30/03/2018		
				<ul style="list-style-type: none"> The new Case Certificate will replace the I.G Toolkit in April 2018. 	Janice Grant	A -Accepted	30/03/2018		
				<ul style="list-style-type: none"> As part of the preparation for the new Regulations, there is a need to: 	Janice Grant	A -Accepted	01/05/2018		
				<ul style="list-style-type: none"> Review all privacy notices; ensure staff awareness; review the way consent is obtained; review data flows; consider how the right to erasure impacts on social care; check the rights of individuals within policies and guidance; ensure awareness of the new timeframes for Subject Access Requests and how this might impact on operational teams. 					
<ul style="list-style-type: none"> On going work with health partners regarding information sharing through the Pioneer Programme. 	Anne Tidmarsh	A -Accepted	31/03/2018						

Adult Social Care and Health

Risk Register - Adult Social Care and Health

			<ul style="list-style-type: none"> • The specification for the new client system includes reference to the need for safe access to the system by external organisations. • Authority wide group in place to provide strategic leadership on Information Governance. • Caldicott Guardian in place and Caldicott Guardian Guidance and register in place. The Caldicott Guardian officers have regular formal meetings. • E Learning training for staff to raise awareness. All staff to complete the e-learning training on Information Governance and Data Protection. • In Shared Offices there are designated areas for SCHW staff to ensure phone calls are not overheard. • Clause in employment contracts requiring compliance with data protection requirements. • Organisational policies on IT security and the principles of Data Protection in place. • Information sharing agreements and protocols for specific projects are in place. I.G is considered during the PMO process. Where information sharing with non-government organisations then Egress can be used to lead to greater security 	<p>Janice Grant</p> <p>Benjamin Watts</p> <p>Michael Thomas-Sam</p> <p>ASCH Directorate Management Team</p>	<p>A -Proposed</p> <p>Control</p> <p>Control</p> <p>Control</p> <p>Control</p> <p>Control</p> <p>Control</p> <p>Control</p>			
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Review Comments Risk Reviewed by Janice Grant.
12/02/2018

Adult Social Care and Health

Risk Register - Adult Social Care and Health

Risk Ref	Risk Title and Event	Owner	Last Review date	Next Review Date				
AH0011	Business disruption Impact of emergency or major business disruption on the ability of the Directorate to provide essential services to meet its statutory obligations.	ASCH Directorate Management Team	12/02/2018	12/05/2018				
Cause	Consequence	Current Risk	Previous Current Risk	Control / Action	Control / Action	Target Date	Days Overdue	Target Risk Level
Possible disruption to services	Such an event would impact on service users and the wider public. Potentially people could be put at risk and the reputation of the service could suffer.	Medium 9 Significant (3) Possible (3)		<ul style="list-style-type: none"> Advanced Business Impact Analysis and Risk Assessment to be undertaken for all services, reviewed annually or when substantive changes in policy, process or procedure occur. Business Management Systems Team to work with Commissioning to ensure that business continuity arrangements are in place for contracted services to meet requirements. If necessary make recommendations for improvement as part of contract monitoring process. Good partnership working across KCC departments and multi-agency partners including joint planning with NHS organisations. System resilience plan in place setting out how the Directorate is prepared to respond to the increased needs and/or service demands as a result of seasonal pressures and other periods of escalations across the Kent and Medway Health and Social Care System. Business Continuity Risk Assessment to identify actions at divisional level Service Level Business Continuity plans in place for all services reflecting outcome of Business Impact Analysis and Risk Assessment. Service Managers to review Plans annually or in light of significant changes or events. Management system in place to quality assure contingency arrangements including review and identification of lessons arising from the way incidents/exercises are managed. 	David Oxlade A -Accepted 30/03/2018 David Oxlade A -Accepted 31/03/2018 Anu Singh Control Anu Singh Control Anu Singh Control 31/03/2018 Anu Singh Control David Oxlade Control			Medium 9

Adult Social Care and Health

Risk Register - Adult Social Care and Health

			<ul style="list-style-type: none">• A range of in-house and multi agency training available to ensure all staff are aware of their roles and responsibilities in responding to business disruption, increased needs and/or service demands.	Penny Southern	Control			
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Review Comments Risk Reviewed by John Callaghan
12/02/2018