

From: Clair Bell, Cabinet Member for Adult Social Care and Public Health
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To: Adult Social Care Cabinet Committee – 5 March 2021

Subject: **RISK MANAGEMENT: ADULT SOCIAL CARE AND HEALTH**

Classification: **Unrestricted**

Past Pathway of Paper: Adult Social Care and Health Directorate Management Team Meeting – 2 February 2021

Future Pathway of Paper: None

Electoral Division: All

Summary: This paper presents the strategic risks relating to the Adult Social Care and Health Directorate, in addition to the risks featuring on the Corporate Risk Register for which the Corporate Director is the designated 'Risk Owner'.

Recommendation(s): The Adult Social Care Cabinet Committee is asked to **CONSIDER** and **COMMENT** on the risks presented.

1. Introduction

- 1.1 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 Authority from achieving its objectives are identified and controlled. The process of developing the registers is therefore important in underpinning service delivery planning, performance management and operating standards. Risks outlined in risk registers are considered in the development of the Internal Audit programme for the year.
- 1.2 Directorate Risk Registers are reported to Cabinet Committees annually and contain strategic or cross-cutting risks that potentially affect several functions across the Strategic and Corporate Services Directorate, and often have wider potential interdependencies with other services across the council and external parties.
- 1.3 Adult Social Care and Health (ASCH) Directors also lead or coordinate mitigating actions in conjunction with other Directors across the organisation to manage risks featuring on the Corporate Risk Register. The Directors in the ASCH Directorate are designated 'Risk Owners' (along with the rest of the Corporate Management Team) for several corporate risks.

1.4 The majority of these risks, or at least aspects of them, will have been discussed in depth at relevant Cabinet Committee(s) throughout the year, demonstrating that risk considerations are embedded within core business.

2. Adult Social Care and Health Directorate Led Corporate Risks

2.1 The ASCH Directorate currently leads on four of the Corporate Risks.

Risk No.*	Risk Title	Current Risk Rating	Target Risk Rating	Direction of Travel since July 2020
CRR0002	Safeguarding – protecting vulnerable adults	20	15	↔
CRR0005	Development of Integrated Care System (ICS) / Integrated Care Programmes (ICPs) in Kent and Medway NHS system	12	8	↔
CRR0006	Resourcing implications arising from increasing complex adult social care demand	20	15	↔
CRR0015	Managing and working with the social care market	25	15	↔

2.2 These risks were reviewed in December 2020 by the Corporate Management Team, Corporate Board and Cabinet. These are detailed in Appendix 1

2.3 Although there is no change in the direction of travel for the ASCH led Corporate Risks the review highlighted the challenges currently being faced:

- **CRR0002** – Evidence from statutory and voluntary agencies has emphasised the increased risks of domestic abuse, as well as safeguarding concerns for older vulnerable adults that live alone.
- **CRR0005** - A practical programme of joint commissioning is being developed, focusing on areas such as the discharge process and mental health recovery. A NHS Bill is expected in early 2021, to include creating a legal framework for the Integrated Care System (ICS), which will be an opportune time for a more fundamental review of the opportunities and risks relating to health and social care integration.
- **CRR0006** - During the coronavirus pandemic demand has been unpredictable, with significant reductions in some areas and increases in others, and there is still the potential for latent demand. Supply and demand is monitored to help inform service planning. The ASCH Winter Pressure Plan

for 2020-21, incorporates the actions required by the Department for Health and Social Care.

- **CRR0015** - Continued concern regarding the viability of local care markets in the wake of the COVID19 outbreak. Care home occupancy rates have fallen in some areas, in part due to deaths from coronavirus and possibly a reluctance on the part of families to see loved ones go into care homes.

3. Adult Social Care and Health Directorate Risk Profile

- 3.1 In August 2020, the directorate level risk register was reviewed, and the following risks withdrawn as below:
- **AH0017 Facilities Management** was withdrawn due to the property issues contained now resolved and managed within the appropriate services as business as usual.
 - **AH0009 ICT and System's Replacement** was withdrawn as the Adult Social Care Management Information System (MOSAIC) had been implemented and the focus is now on sustainability and development.
- 3.2 Due to a series of developments during 2020 that included changes in the senior leadership team, structural redesign into localities and the impacts of COVID19, it was agreed that a full refresh of the directorate level risk register was required to consider the implications for risk management.
- 3.3 A workshop took place in October 2020 jointly with the ASCH Directorate Management Team and the Corporate Risk Team. This workshop identified the prominent risks, the current controls in place and supported a discussion on risk appetite.
- 3.4 The following risks already on the register were identified within the workshop and have been refreshed in consideration of the challenges currently faced and actions for 2021/22:
- **AH0005 Continued Pressure on Public Sector Funding –** Delivery of future savings across the directorate whilst seeking a best-in-class service and change programme.
 - **AH0033 Workforce Recruitment and Retention- renamed Appropriately skilled and resourced workforce –** The ability to attract, retain and grow appropriately skilled and experienced staff for our future ways of working.
 - **AH011 Business Disruption -** To identify the probability of additional waves of COVID19, winter pressures, EU exit and bad weather impacting at the same time and having a profound impact on the whole system.

3.5 The following risks were identified to be added to the directorate level risk register:

- **AH0035 Making a Difference Everyday Programme** - to reflect the change programme of the directorate and the Council's Strategic Reset, ensuring a joined-up approach to delivery.
- **AH0037 Information Asset Management** - The development of a fit for purpose system, leading to improved data consistency and effective support for managers.

3.6 **AH0006 Working with Health** which was contained on the Directorate Risk Register was identified to be reframed due to the locality changes within the service and operation of a single Clinical Commissioning Group (CCG). The following risk was removed and added to the Operational Risk Register to reflect daily multidisciplinary working practices.

3.7 The below table outlines the current risks in the directorate (the detailed register can be seen in Appendix 2)

Risk No.*	Risk Title	Current Risk Rating	Target Risk Rating	Direction of Travel since August 2020
AH0005	Continued pressures on public sector funding impacting on revenue and saving Efficiencies	20	16	↔
AH0011	Business Disruption	16	9	↔
AH0033	Appropriately Skilled and Resourced Workforce	16	2	↔
AH0009	Information Asset Management	12	6	N/A
AH0035	Making a Difference Everyday Programme	9	6	N/A

4. Future Developments

4.1 Work is planned for 2021 within ASCH to look at creating a dashboard tool to assist in raising any key risk indicators to enable this to become a more live tool, creating timely and appropriate response.

4.2 The Corporate Risk Management Team is also looking at developing more interactive tools and both services will continue to work together on future developments.

5. Recommendation

5.1 Recommendation: The Adult Social Care Cabinet Committee is asked to **CONSIDER** and **COMMENT** on the risks presented.

6. Background Documents

KCC Risk Management Policy and associated risk management toolkit
<http://knet/ourcouncil/Management-guides/Pages/MG2-managing-risk.aspx>

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