

Risk ID	CRR0002	Risk Title	Safeguarding – protecting vulnerable adults			
Source / Cause of risk	Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact	
The Council must fulfil its statutory obligations to effectively safeguard vulnerable adults, in a complex and challenging environment e.g. challenges relating to demand for services and consistent quality of care in the provider market.	Failure to fulfil statutory obligations. Failure to meet the requirements of the “Prevent Duty” placed on Local Authorities.	Incident of serious harm or death of a vulnerable adult. Serious impact on vulnerable people. Serious impact on ability to recruit the quality of staff critical to service delivery.	Richard Smith Corporate Director Adult Social Care and Health (ASCH)	Likely (4)	Major (5)	
The Coronavirus pandemic and associated ‘lockdown’ measures have led to fluctuations in referral behaviours regarding safeguarding concerns and have raised concerns of increases in hidden harm, self-harm, neglect and domestic abuse.	Safeguarding risks are not identified to / by KCC in a timely fashion during the Coronavirus pandemic.	Serious operational and financial consequences. Attract possible intervention from a national regulator for failure to discharge corporate and executive responsibilities.	Responsible Cabinet Member(s): Clair Bell, Adult Social Care and Public Health Mike Hill (Lead Member for PREVENT)	Target Residual Likelihood Possible (3)	Target Residual Impact Major (5)	
Social care services are making substantial adaptations to service delivery across the system.						
This risk links to the demand risk (CRR0006)						
In addition, the Government’s “Prevent Duty” requires the Local Authority to act to prevent people from being drawn into terrorism.						

Control Title	Control Owner
KCC is a partner in multi-agency public protection arrangements (MAPPA) for managing sexual and violent offenders, a mechanism through which agencies can better discharge their statutory responsibilities and protect the public in a coordinated manner.	Richard Smith, Corporate Director ASCH
KCC is a member of the Kent & Medway Safeguarding Adults Board – a statutory service which exists to make sure that all member agencies are working together to help Kent and Medway’s adults safe from harm and protect their rights. The Board has an independent Chair and its work carried out by a number of working groups.	Richard Smith, Corporate Director ASCH / Julie Davidson, Head of Adult Safeguarding
Quarterly safeguarding report brings together key information to enable scrutiny and performance monitoring for management teams and the Cabinet Member.	Divisional Directors / Julie Davidson, Head of Adult Safeguarding
Kent & Medway Prevent Duty Delivery Board (chaired by KCC) oversees the activity of the Kent Channel Panel, co-ordinating Prevent activity across the County and reporting to other relevant strategic bodies in the county	Richard Smith, Corporate Director ASCH
KCC cross-directorate PREVENT group meets regularly and ensures the PREVENT duty is embedded across the organisation. Regular updates are provided to the Corporate Management Team. PREVENT training strategy in place and regularly reviewed.	Nick Wilkinson, Prevent and Channel Strategic Manager
Joint Exploitation Group (Kent & Medway) focuses on PREVENT agenda, gangs, modern slavery, human trafficking and online safeguarding matters – reports to Adults Safeguarding Board and Children’s Partnership.	Nick Wilkinson, Prevent and Channel Strategic Manager
Kent Channel Panel (early intervention mechanism providing tailored support to people who have been identified as at risk of being drawn into terrorism) in place	Nick Wilkinson, Prevent and Channel Strategic Manager
KCC contributes to the Multi-agency risk assessment conference (MARAC) process, which allows for the best possible safety planning for victims of domestic abuse who are considered to be at high risk of experiencing further significant harm/injury.	Chris McKenzie, Director Adult Social Care West Kent
Quality Surveillance Group - regular KCC meetings with Care Quality Commission to share intelligence. This is currently being relaunched and the function of the group reconsidered.	Sharon Dene, Strategic Commissioning
Strategic Safeguarding and Quality Assurance team in Adult Social Care and Health leads on a strategic framework for policy, service development, strategic safeguarding and quality assurance	Sarah Denson, Service Manager ASCH

KCC Safeguarding Competency Framework in place, including Mental Capacity Act requirements.	Julie Davidson, Head of Adult Safeguarding	
Safeguarding activity and practice is under review as a specific workstream within the Practice Pillar of the MADE programme. Current activity includes suite of performance data developed to provide practice intelligence.	Helen Gillivan, Head of ASCH Business Delivery Unit	
Action Title	Action Owner	Planned Completion Date
Preparation for introduction of new Liberty Protection Safeguards system under the Mental Capacity (Amendment) Act 2019.	Maureen Stirrup, Head of Deprivation of Liberty Safeguards	ON HOLD – awaiting further Govt update on timescales
Safeguarding activity and practice is under review as a specific workstream within the Practice Pillar of the MADE programme. Current activity includes an 'as is' systems review to explore the current delivery of safeguarding activity and performance.	Julie Davidson, Head of Adult Safeguarding	February 2021
Development of a Quality Assurance Framework that is a systemic integrated approach to monitoring and evaluating the effectiveness of delivery of services using a variety of approaches to enable Adult Social Care to review the performance of the service against its' aspirations. This framework is informed by key plans, legislation and the performance framework.	Julie Davidson, Head of Adult Safeguarding / Helen Gillivan, Head of ASCH Business Delivery Unit	May 2021

Risk ID	CRR0005	Risk Title	Development of ICS/ICPs in Kent and Medway NHS system			
Source / Cause of Risk	Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact	
The Kent & Medway NHS system is under significant pressure with increasing levels of demand driving across financial deficits across commissioner and provider budgets, placing pressure on the Kent & Medway NHS system control total.	Failure to develop more partnership and aligned health & social care services and commissioning at both ICS and ICP level places pressure on system finances and hinders highest possible quality of care	Further deterioration in the financial and service sustainability of health and social care services in Kent and Medway.	Richard Smith, Corporate Director Adult Social Care & Health (ASCH)	Possible (3)	Serious (4)	
In response the NHS in Kent and Medway has formed an Integrated Care System (ICS) with 8 CCGs merging to form the basis of the System Commissioner, above four ICPs (Integrated Care Partnerships) and 42 PCN's (Primary Care Networks).	Development of four ICP generates additional demand/work on strategic leadership of KCC, particularly in ASCH and Public Health which has significant opportunity costs, including impact on business as usual activity.	Additional budget pressures transferred to social care as system monies are used to close acute and primary care service gaps.	Vincent Godfrey, Strategic Commissioner	Target Residual Likelihood	Target Residual Impact	
The policy intent of structural reform is to deliver better strategic planning and delivery of health and social care services at place-based community level and shift from acute to primary and community level services.	Multiple ICP's leads to differences in form, function and relationships between ICPs and the ICS and/or KCC which increases system complexity and leads to variation which increase costs/risks.	Legal challenge/judicial review of decisions and decision-making framework for joint decisions.	Andrew Scott-Clark, Director Public Health	Unlikely (2)	Serious (4)	
The relative roles and responsibilities between the proposed ICS and the emerging ICPs in Kent is still under development. The final legal structure and functional responsibilities of ICPs is still under development and may	System complexity leads to failure to meet statutory duties around the sufficiency of the care market, care quality and safeguarding.	Social care and public health priorities not sufficiently factored into/shaping emerging ICS/ICP plans and priorities, weakening integrated approach.	Responsible Cabinet Member(s): Roger Gough, Leader of the Council			
		Focus on structural changes workstreams prevents more agile improvements/joint	Clair Bell, Adult Social Care and Public Health			

require primary legislative change. Regulators (CQC / Ofsted) increasing review health and care services and the commissioning/performance of those services and 'system' level.	Lack of understanding within KCC of NHS policy and regulatory environment; and vice versa, lack of understanding of local authority legislative, policy and democratic environment in NHS.	working being undertaken. Reputational damage to either KCC or NHS or both in Kent. Adverse outcome from CQC local system review.
Control Title	Control Owner	
Health Reform and Public Health Cabinet Committee provides non-executive member oversight and input of KCC involvement in the STP	Ben Watts, General Counsel	
Senior KCC political and officer representation on the System Transformation Executive Board and System Commissioner Steering Group	Richard Smith, Corporate Director ASCH Andrew Scott-Clark, Director Public Health Vincent Godfrey, Strategic Commissioner	
Senior KCC level officer representation on the East Kent, West, North and Medway & Swale ICP Development Boards	Richard Smith, Corporate Director ASCH	
County Council agreed framework for KCC engagement within the ICS/ICPs	Richard Smith, Corporate Director ASCH	
A joint KCC and Medway Health and Wellbeing Board for system-wide related matters/issues has been established	David Whittle, Director SPRCA	
Public Health Leadership for the STP Prevention workstream	Andrew Scott-Clark, Director Public Health	
Working through KCC Public Health partnership with the Kent Community Healthcare Foundation Trust (KCHFT) to ensure Public Health improvement programmes are linked and delivered alongside Local Care through Primary Care Networks and other primary care providers (e.g. community pharmacy)	Andrew Scott-Clark, Director Public Health	
Kent and Medway Integrated Care System update paper taken to County Council in May 2019.	Richard Smith, Corporate	

Director ASCH

Risk ID	CRR0006	Risk Title	Resourcing implications arising from increasing complex adult social care demand			
<p>Source / Cause of risk</p> <p>Adult social care services across the country are facing growing pressures. The cost of adult social care services in Kent continues to increase due to the complexity of presenting need, including increasing numbers of young adults with long-term complex care needs.</p> <p>This is all to be managed against a backdrop of public sector funding restraint, implications arising from the implementation of the Care Act, increases in Deprivation of Liberty Assessments, impacts associated with reducing budgets of partner agencies and longer-term demographic pressures.</p> <p>In addition, the Coronavirus pandemic is resulting in fluctuations for demand in services, with the expectation of increasing demand as recovery progresses. The workforce will face significant further pressure in the short, medium and long term against this backdrop of working in unprecedented conditions and delivering rapid change. Altered demand as well</p>	<p>Risk Event</p> <p>Council is unable to manage and resource to future demand and its services consequently do not meet future statutory obligations and/or customer expectations.</p>	<p>Consequence</p> <p>Incident of serious harm or death of a vulnerable adult.</p> <p>Customer dissatisfaction with service provision.</p> <p>Increased and unplanned pressure on resources.</p> <p>Decline in performance.</p> <p>Legal challenge resulting in adverse reputational damage to the Council.</p> <p>Financial pressures on other council services.</p>	<p>Risk Owner</p> <p>Richard Smith, Corporate Director Adult Social Care and Health (ASCH)</p> <p>Responsible Cabinet Member(s):</p> <p>Clair Bell, Adult Social Care and Public Health</p>	<p>Current Likelihood</p> <p>Likely (4)</p> <p>Target Residual Likelihood</p> <p>Possible (3)</p>	<p>Current Impact</p> <p>Major (5)</p> <p>Target Residual Impact</p> <p>Major (5)</p>	

as increasing demand – more in some areas, some of demand that would have taken a long to come up has come up sooner and may be more intense needs. More complexity on how teams prepare to carry out review.

Adult social care services are part of a complex system to meet needs, which requires the whole system to work cohesively.

Control Title	Control Owner
Regular analysis and refreshing of forecasts to maintain the level of understanding of volatility of demand, which feeds into the relevant areas of the MTFP and the business planning process	Richard Smith, Corporate Director ASCH / Rachel Kennard, Chief Analyst
Continued support for investment in preventative services through voluntary sector partners	Richard Smith, Corporate Director ASCH / Vincent Godfrey, Strategic Commissioner
Public Health & Social Care ensures effective provision of information, advice and guidance to all potential and existing service users, promoting self-management to reduce dependency	Andrew Scott-Clark, Director Public Health/ ASCH Divisional Directors
Continual review and monitoring of demand in relation to Deprivation of Liberty assessments (DoLs) with external resources brought in as necessary. Increased data cleansing has led to an improved overview of backlog cases	Maureen Stirrup, Head of Deprivation of Liberty Safeguards
Targeted use of additional social care monies received from Government, investing in services which evidence suggests will have the greatest impact. Set out in Kent Integration and Better Care Fund plan.	Richard Smith, Corporate Director ASCH
New operating model for Adult Social Care and Health, including Promoting Wellbeing approach to help manage demand	Richard Smith, Corporate Director ASCH
Core services have been significantly adapted during the Coronavirus pandemic, requiring new models of	ASCH DMT and Heads of

delivery, realignment of staff, and delivery of services through remote provision where possible.	Services	
Ongoing monitoring and modelling of changes in supply and demand in order to inform strategies and service planning going forward.	Rachel Kennard, Chief Analyst	
Action Title	Action Owner	Planned Completion Date
Development of MADE programme as part of KCC Strategic Reset	Richard Smith, Corporate Director ASCH	March 2021 (review)
ASCH representatives have worked with partners in the Kent Resilience Forum to assess health and social care impacts and contributed to a local recovery strategy and action plan	Richard Smith, Corporate Director ASCH	March 2021

Risk ID	CRR0015	Risk Title	Managing and working with the social care market				
Source / Cause of Risk	Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact	Target Residual Likelihood	Target Residual Impact
A significant proportion of adult social care is commissioned out to the private and voluntary sectors. This offers value for money but also means that KCC is dependent on a buoyant market to achieve best value and give service users optimal choice and control.	Care home market (particularly residential and nursing care) not sustainable.	Gaps in the care market for certain types of care or in geographical areas meaning difficulty in placing some service users.	Richard Smith, Corporate Director ASCH, in collaboration with Vincent Godfrey, Strategic Commissioner	V. Likely (5)	Major (5)	Possible (3)	Major (5)
Factors such as the introduction of the National Living Wage, potential inflationary pressures and uncertainty over care market workforce in light of new settled status arrangements mean that the care market is under pressure.	Inability to obtain the right kind of provider supply at affordable prices.	Significant numbers of care home closures or service failures.	Responsible Cabinet Member(s): Clair Bell, Adult Social Care and Public Health				
The Coronavirus pandemic has added additional pressures, such as the availability and affordability of adequate insurance for service providers, further threatening sustainability of the market.	Providers choose not to tender for services at Local Authority funding levels or accept service users with complex needs.		Roger Gough, Leader of the Council				
Control Title				Control Owner			
Opportunities for joint commissioning and procurement in partnership with key agencies (i.e. Health) being regularly explored, including joint work regarding the provision of dementia nursing beds				Vincent Godfrey, Strategic Commissioner			
As part of the Commissioning Success model, Analytics function utilises data to inform decision making before moving commissioning activity forward				Rachel Kennard, Chief Analyst			
Regular engagement with provider and trade organisations				Vincent Godfrey, Strategic			

	Commissioner	
Ongoing contract monitoring, working in partnership with the Access to Resources team	Clare Maynard, Head of Commissioning Portfolio – Outcome 2 and 3	
Ongoing monitoring of Home Care market and market coverage. Commissioners and operational managers review the capacity of the Home Care market with a view to developing a strategy to ensure market coverage	Clare Maynard, Head of Commissioning Portfolio – Outcome 2 and 3	
Ensuring contracts have indexation clauses built-in, managed through contract monitoring	Strategic Commissioning	
KCC is part of local and regional Quality Surveillance Groups that systematically bring together the different parts of the health and care system to share information, identify and mitigate risks to quality, including those relating to care providers	Sharon Dene, Strategic Commissioning (KCC lead)	
Older Person's accommodation strategy refreshed, which analyses demand and need and sets the future vision and direction for accommodation to support vulnerable Kent residents alongside the Adult Social Care Strategy – Your Life, Your Wellbeing.	Richard Smith, Corporate Director ASCH	
Phase 1 of Care and Support in the Home Services contract live, combining homecare and community based supporting independence services. This has reduced the number of care packages being placed off contract	Tracey Schneider, Commissioning Manager	
Ongoing work to improve maturity of the market	Vincent Godfrey, Strategic Commissioner	
Phase 2 of the Care in the Home Services refresh commenced, bringing the various Discharge services and Supported Living Services under the "Care in the Home" Umbrella.	Tracey Schneider, Senior Commissioner	
New contracts commenced relating to Disability and Mental Health Residential Care services.	Paula Watson, Senior Commissioner	
Action Title	Action Owner	Planned Completion Date
Community Support Market Position Statement being refreshed, to inform market shaping, oversight and sustainability	Simon Mitchell, Interim Commissioner	March 2021
Analytical work is being conducted on assessments and reviews in adult social care to help inform key commissioning activity, including Winter planning and impact of Covid.	Rachel Kennard, Chief Analyst	March 2021

