

ASCH Risk Register

Risk Register - Adult Social Care and Health

Current Risk Level Summary

Green	0	Amber	2	Red	3	Total	5
		1	-3 ↓	2	8 ↑	3	5 ↑

Current Risk Level Changes

0	0	0	1	0
0	0	1	2	0
0	0	1	0	0
0	0	0	0	0
0	0	0	0	0

Risk Ref	Risk Title and Event	Owner	Last Review da	Next Review
----------	----------------------	-------	----------------	-------------

AH0005	Continued pressures on public sector funding impacting on revenue and savings efficiencies There continues to be a need to achieve significant efficiencies for the foreseeable future. KCC has had to find major savings and there has been considerable pressure on budgets with the Directorate. There continues to be an increase in demographic across the county resulting in increased demand. The impact of COVID and the prospect of a additional waves that has the potential to coincide with winter pressures.	Richard Smith	29/01/2021	31/03/2021
---------------	--	---------------	------------	------------

Cause	Consequence	Current Risk	Previous Current Risk	Control / Action	Control / Action	Target Date	Target Risk
	Major funding pressures impacting on the delivery of social care services. Changes in demand due to COVID-19. Ability to deliver a savings programme whilst also seeking to achieve a best in class service. The ability to accurately monitor and forecast activity and spend.	High 20 Serious (4) Very Likely (5)		<ul style="list-style-type: none"> The operational plans set for 21/22 will be reviewed and aligned to the MADE programme. Development of a programme of activity specifically under the meaningful measures pillar to encompass future development of analytics and financial modelling. Embedding a culture of curiosity and usage of tools and reports. MADE programme established to oversee the implementation and delivery of future improvement activity in a comprehensive programme of projects. A detailed programme plan identifying all activity and priorities will be agreed early 2021. A practice model which is fit for purpose and strength based. - Meaningful measures to develop tools and modelling to support budget managers and informed decision making in future. - Innovation to look at increased digital offer and new efficiency's. 	ASCH Directorate Management Team Janice Duff Richard Smith	A -Proposed Control Control	High 16 Serious (4) Likely (4)

Adult Social Care and Health

Risk Register - Adult Social Care and Health

			<ul style="list-style-type: none"> • Benefit Realisation Sub group of DMT has been established to oversee and plan the delivery of : Savings, Recovery, MTFP, Pressures and Sustainability. • Implementation of Geographical split and reduction of client silos improving system benefits. Fit for purpose operating model embedded. • Continue to work innovatively with partners, including health services, to identify any efficiencies across the wider sector. To build on Health and Social Care recovery Cell action plan and partnership working arrangements as a result of COVID-19. 	<p>Carl Griffiths</p> <p>ASCH Divisional Directors</p> <p>ASCH Divisional Directors</p>	<p>Control</p> <p>Control</p> <p>Control</p>		
--	--	--	---	---	--	--	--

Review Comments

Reviewed with DMT members in October/November. Controls updated and adjusted.

29/01/2021

Adult Social Care and Health

Risk Register - Adult Social Care and Health

Risk Ref	AH0033	Risk Title and Event	Owner	Last Review da	Next Review			
Appropriately skilled and resourced workforce The recruitment and retention of staff continues to be a challenge for Adult Social Care and the wider care sector. There is a need to ensure that a suitably qualified and experienced workforce is in place to deliver services. This includes making sure critical roles are filled with staff who have the right skill set. Staff feel engaged and supported within the workplace.			Chris McKenzie	29/01/2021	31/03/2021			
Cause	Consequence	Current Risk	Previous Current Risk	Control / Action	Control / Action	Target Date	Target Risk	
	Without the right workforce in place there is a risk that statutory services will not be delivered and there will be gaps in care provision. Ability to attract staff to work in social care and provide a competitive employment offer. Lack of experienced staff in specialist roles such as BIA, AMPH. Gaps in training and career pathways for staff to support growth and retention. Disenchanted staff due to change, affecting motivation and productivity. Embedding lessons learnt into practice delivery.	High 16 Serious (4) Likely (4)	12 ↗ 4	<ul style="list-style-type: none"> To develop a workforce dashboard to support workforce planning A comprehensive needs analysis will be led by the ASCH Organisational Development group to benchmark where we are, and to form a Strategic workforce plan alongside the outcomes of the PWC diagnostic and MADE(Making a difference everyday) Board. Review of Recruitment and Retention Market premiums A Communications and Engagement plan is in place for the workforce to support increased engagement with relevant matters and change activity. Increased engagement plan for senior leadership and front line teams. Project resource in place within the Design Learning Centre to address workforce issues highlighted by independent care services with the wider workforce The ASCH Equalities Board was re introduced in July 2020. The Board has participated in a peer review with LGA and development of an Equalities action plan for 21/22 for the directorate which will be monitored by the Board. Establishment of a resourcing sub group in January 2021 to oversee the recruitment activity and develop a programme of activity for the year to support recruitment and retention. 	Chris McKenzie Jade Caccavone Chris McKenzie Wayne Gough Paula Parker Richard Smith Chris McKenzie	A -Accepted A -Accepted A -Proposed Control Control Control	31/03/2021	Low 2 Minor (1) Unlikely (2)


Adult Social Care and Health

Risk Register - Adult Social Care and Health

			<ul style="list-style-type: none"> • A reformed ASCH Organisational Development (OD) Group was established in Autumn 2020 to have oversight of all workforce issues affecting the Directorate and wider social care market. • The Kent Academy was Launched on 3rd July 2020, this is a dedicated space where social care staff will be thoroughly supported and encouraged to better their knowledge, skills and practice, no matter what role they hold in the service. This will be a focal point in the approach towards social care development, making sure our staff have the resources available and feel supported in terms of both professional development and career progression. • Availability of wellbeing resources on KNET and pro active engagement with teams to access and use the tools available. 	Chris McKenzie	Control		
				Julie Davidson	Control		
				ASCH Directorate Management Team	Control		
Review Comments	Revised with ASCH DMT and adjusted controls and actions. 29/01/2021						

Adult Social Care and Health

Risk Register - Adult Social Care and Health

Risk Ref	AH0011	Risk Title and Event	Owner	Last Review da	Next Review			
Business disruption			Helen Gillivan	29/01/2021	31/03/2021			
Impact of emergency or major business disruption on the ability of the Directorate to provide essential services to meet its statutory obligations The potential of a multitude of business resilience measures impacting together.								
Cause	Consequence	Current Risk	Previous Current Risk	Control / Action	Control / Action	Target Date	Target Risk	
Possible disruption to services	Ability to deliver statutory services to member of the public. The potential for market failure of providers. Dealing with multiple factors of disruption within one period of time	High 16 Serious (4) Likely (4)	12  4	<ul style="list-style-type: none"> Development of a training programme specific to adult social care to support business resilience and bolster resource is underway. Terms of Reference and membership of Directorate Resilience Group revised in light of current threats (COVID 19). Group Frequency adjusted regularly to respond to situations - currently fortnightly. Management system in place to quality assure contingency arrangements including review and identification of lessons arising from the way incidents/exercises are managed. Lesson from COVID-19 are implemented into future arrangements and output of Internal audit review are embedded. 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. 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. 	Wayne Gough Wayne Gough Wayne Gough Wayne Gough	A -Accepted Control Control Control	31/03/2021	Medium 9 Significant (3) Possible (3)

Adult Social Care and Health

Risk Register - Adult Social Care and Health

			<ul style="list-style-type: none"> • To review Service Level Business Continuity Plans as part of Service Realignment. Develop new Service Level Business Continuity Plans to fit new geographical structure. Service Managers to review Plans annually or in light of significant changes or events. • 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. • Revised Winter plan developed in November 2020 encompassing whole system plans . Live document to be revised ongoing basis. • As part of the COVID 19 national pandemic technology and use of digital measures has been tested across the division, staff have been exposed to digital solutions. Ongoing development of digital solutions and functionality continues to be explored. • Should pressures become unprecedented the local authority has the ability to apply care act easements. Care Act easements allow local authorities to cease formal Care Act assessments, applications of eligibility and reviews and focus on those at highest risk. The powers in the Act enable us to prioritise more effectively where necessary than would be possible under the Care Act • Good partnership working across KCC departments and multi-agency partners including joint planning with NHS organisations and increased district working. 	Wayne Gough	Control		
				Wayne Gough	Control		
				Chris McKenzie	Control		
				Helen Gillivan	Control		
				Julie Davidson	Control		
				ASCH Directorate Management Team	Control		

Review Comments

Reviewed with DMT and adjusted controls and actions
29/01/2021

Adult Social Care and Health

Risk Register - Adult Social Care and Health

Risk Ref	AH0037	Risk Title and Event	Owner	Last Review da	Next Review			
Information Asset Management Fit for purpose configuration of ASCH systems to enable data quality, consistency and trust of data.			Helen Gillivan		29/04/2021			
Cause	Consequence	Current Risk	Previous Current Risk	Control / Action	Control / Action	Target Date	Target Risk	
	. Interface issues between different systems. Data Quality issues and different information from different sources and use of manual spreadsheets. Internet based telephone systems and risk of lines being down and unable to reach services. The risk of not being able to access client data if the client system goes down. Missing assessments from the migration from AIS/SWIFT to MOSAIC client system	Medium 12 Significant (3) Likely (4)		<ul style="list-style-type: none"> Upload of 7000 data records which did not take place during the migration of SWIFT to MOSAIC. Through the annual business continuity planning process , services are being sought for their requirements should the system be down . Following this analysis systems will work to develop reports and systems to support operational teams should this occur. Development of a Data quality framework and Action plan to support delivery. Digital Implementation Programme is in place to coordinate and oversee any systems activity. Work is happening to look at the improvement of Oracle and MOSAIC interface. Regular disaster recovery testing is in place with Cantium. Mosaic Systems Group operates on a monthly basis as a user group forum to discuss and escalate any matters of concerns to the Digital Implementation Board. An audit of all manual spreadsheets has been undertaken to understand the data and purpose. Through the MOSAIC programme of work. A prioritisation activity has taken place to identify which areas will be enabled within the system. Emergency client report is produced overnight every day and saved for restricted use should MOSAIC be down. 	Matt Chatfield Matt Chatfield Matt Chatfield Helen Gillivan Matt Chatfield Matt Chatfield Matt Chatfield	A -Accepted A -Accepted A -Proposed Control Control Control Control Control	31/03/2021 31/03/2021	Low 6 Significant (3) Unlikely (2)

Adult Social Care and Health

Risk Register - Adult Social Care and Health

			<ul style="list-style-type: none">• Kent and Medway Care Record is due to go live early 2021 which will enable better functionality between NHS and Social Care records• Internal processes and systems are in place for contact if telephone systems are down. Different systems are in place to that of KCC contact point to prevent all system downtime.	Matt Chatfield ASCH Directorate Management Team	Control Control		
--	--	--	--	--	------------------------	--	--

Review Comments

Adult Social Care and Health

Risk Register - Adult Social Care and Health

Risk Ref	AH0035	Risk Title and Event	Owner	Last Review da	Next Review		
Making a Difference Everyday Programme			Richard Smith		29/04/2021		
Delivery of large scale change programmes across both KCC and Adult Social Care and Health ensuring alignment of priorities and proportionality.							
Cause	Consequence	Current Risk	Previous Current Risk	Control / Action	Control / Action	Target Date	Target Risk
	If the resources required to lead and drive the design elements at pace are not available the programme timescales may slip. Lack of staff engagement due to staff experiencing change fatigue and conflicting priorities. There is a risk that silo working will develop between workstreams, services, ASC and the strategic Reset programme within KCC. There is a risk that if any other COVID-19 activity needs to be co-ordinated, planned and actioned, resource from existing project and SRO's would need to be diverted and could reduce the overall availability of staff to deliver elements of the MADE programme. There is a risk that budgetary constraints / savings targets will impact the viability of potential solutions.	Medium	12	<ul style="list-style-type: none"> Recruitment to a communication and engagement officer to support the programme is underway A full communications and engagement plan will be developed and deployed. Ensuring that staff and the people we support can shape the future of services Forward planning all MADE activity and assigning resource to future projects is ongoing; staggering where possible. Robust governance and reporting lines will be in place to prevent silo working and that all SRO are aware of any decision's made within each pillar of activity. Programme governance will ensure priorities are aligned across the whole piece. Detailed project planning will be undertaken on each project to identify realistic timescales; There will be plans to flex and adjust based of changing circumstances A full range of options will be developed as potential solutions under each project area with full investment appraisal Review of In house service provision strategic review is a key project within the MADE programme to develop future options of service delivery. 	A	28/02/2021	Low
		9	12		-Accepted		6
		Significant (3)	↓			Control	Significant (3)
		Possible (3)	-3			Control	Unlikely (2)
						Control	
						Control	
						Control	

Review Comments