# Full Risk Register

Kent County Council
kent.gov.uk

**Risk Register -** Adult Social Care and Health

Current Risk Level Summary

| Green | 0 | Amber | 4 | Red | 2 | Total | 6 |
|---|---|---|---|---|---|---|---|

Current Risk Level Changes

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| 0 | 0 | 0 | 2 | 0 |
| 0 | 0 | 2 | 0 | 0 |
| 0 | 0 | 1 | 1 | 0 |
| 0 | 0 | 0 | 0 | 0 |
| 0 | 0 | 0 | 0 | 0 |

| Risk Ref | *AH0005* | Risk Title and Event | Owner | Last Review da | Next Review |
|---|---|---|---|---|---|
| | | | Richard Smith | 07/07/2021 | 07/10/2021 |

**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 the demographic across the county resulting in increased demand and there is an uncertainty of the impact of COVID and how this may affect demand and services this year.

| 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 savings 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) | | • Making a difference every day approach and supporting activity established to oversee the implementation and delivery of future improvement in a comprehensive programme of activity. | Paula Parker | A -Accepted | | **Medium** 12 Serious (4) Possible (3) |
| | | | | • Benefit realisation sub group of DMT has been established to oversee and plan the delivery of : Savings, recovery, medium term financial plan, pressures and sustainability. | Carl Griffiths | Control | | |
| | | | | • 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. | Helen Gillivan | Control | | |
| | | | | • Monthly forecasting is in place to look at activity, demand and trends and escalating areas of concern for the directorate. | Michelle Goldsmith | Control | | |
| | | | | • Implementation of geographical split and reduction of client silos improving system benefits. Fit for purpose operating model and development of locality models in our making a difference everyday approach . | ASCH Divisional Directors | Control | | |

| | | | | • 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. | ASCH Divisional Directors | Control | | |
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| **Review Comments** | Reviewed at DMT 07/07 , agreed increase to likelihood due to uncertainty this year. |
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| | 07/07/2021 |

# 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 |
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| **Adult Social Care Workforce**<br>The recruitment and retention of staff continues to be a challenge for Adult Social Care . 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 | 13/05/2021 | 13/08/2021 |

| 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 with specialist skills such as Best Interest assessors, Approved Mental Health Professionals. Gaps in training and career pathways for staff to support growth and retention. Disenchanted staff due to change, affecting motivation and productivity. | High<br><br>20<br>Serious (4)<br><br>Very Likely (5) | | • To work with a external provider to develop a marketing approach and materials to support recruitment in to adult social care in Kent. | Sydney Hill | A -Accepted | | Medium<br><br>9<br>Significant (3)<br><br>Possible (3) |
| | | | | • A process and guidance for staff is being drafted to supported the proposed legislation that all staff coming into CQC registered care homes must have 2 doses of COVID-19 vaccination unless they are exempt. | Kerena Hunter | A -Accepted | 31/08/2021 | |
| | | | | • A baseline assessment has been undertaken and presented to the Organisational Development Group In June 2021.  The ASCH Organisational Development group will lead the development of a Strategic workforce plan which aligns to our future ways of working and our  future workforce requirements. | Chris McKenzie | A -Accepted | 30/09/2021 | |
| | | | | • To investigate improved reporting mechanisms to develop  workforce data for local management | Jade Caccavone | A -Accepted | 30/09/2021 | |
| | | | | • From the baseline assessment establishment of a short term action plan to support effective recruitment and retention in the directorate  that links to our future strategic workforce plan. | Jade Caccavone | A -Accepted | 30/09/2021 | |
| | | | | • The resourcing sub group to be reinstated to oversee the recruitment activity and develop a coordinated programme of activity to support recruitment and retention. | Sydney Hill | Control | | |

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| | | | | • A communications plan is in place for the workforce to support increased engagement with teams on relevant matters and change activity. Internal team roadshows are underway. Regular all-staff virtual live briefing events are in place across the year which are based on themed activity. Open door sessions with the corporate director are held regularly and staff questions and answers are posted on the intranet and circulated. Communications channels include monthly Adult Social Care staff bulletins, intranet content and Making a difference every day bulletins | Lisa Clinton | Control | |
| | | | | • A reformed ASCH Organisational Development (OD) Group was established in Autumn 2020 to have oversight of all workforce issues affecting the Directorate. | Chris McKenzie | Control | |
| | | | | • 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. | Julie Davidson | Control | |
| | | | | • Availability of wellbeing resources on KNET across the organisation and a continued push in Adults with messaging and resources available to teams to encourage access and use of the tools available. | ASCH Directorate Management Team | Control | |

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| **Review Comments** | Updated Action dates JC. |
| | 13/05/2021 |

## Adult Social Care and Health

Risk Register - Adult Social Care and Health

| Risk Ref | *AH0038* | Risk Title and Event | | Owner | Last Review da | Next Review |
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| **Information governance**<br>Responsibility of GDPR and Data Protection (2018) obligations are the responsibility of all ASCH staff and staff need to have a strong understanding of obligations, consequences and processes and working arrangements to ensure social care clients' data is looked after throughout their whole journey. It is paramount that strong Information Governance arrangements and working practices are in place to ensure social care clients' data is looked after throughout their whole journey. Adult Social Care & Health (ASCH) directorate are responsible for ensuring continued compliance with GDPR and Data Protection (2018) obligations. Failure to comply could lead to losses of information and data breaches which would have an impact on social care clients and cause reputational consequences. It could also mean a loss of access to data (e.g., health) and the success of this directorate is dependent on sharing information with multiple organisations to provide the best possible care and support to an individual. In significant circumstances failure to comply could also lead to fines or sanctions. | | | | Richard Smith | 17/08/2021 | 17/11/2021 |

| Cause | Consequence | Current Risk | Previous Current Risk | Control / Action | | Control / Action | Target Date | Target Risk |
|---|---|---|---|---|---|---|---|---|
| | Failure to comply with GDPR and Data Protection (2018) obligations could cause reputational damage to ASCH, impact negatively on a social care clients' support and care, lead to loss of access to data and ultimately lead to fines or sanctions. | Medium<br><br>12<br>Serious (4)<br><br>Possible (3) | | • Information Governance Lead to attend team meetings to raise awareness of GDPR and Data Protection (2018), regular newsletter and key briefings are scheduled for the next few months on specific topics for staff to attend and analysis on future briefings will take place. | Matt Chatfield | A -Accepted | 20/12/2021 | Medium<br><br>9<br>Significant (3)<br><br>Possible (3) |
| | | | | • Implement a governance structure to identify key contacts, roles, and remits for ASCH staff to use to ensure the right approval is sought, a process will be established and shared. | Matt Chatfield | A -Accepted | 28/11/2021 | |
| | | | | • Review privacy notices to ensure continued transparency and identify a responsible officer for each ASCH team to maintain and monitor these in lieu of guidance, operational and legislative changes. Seeking representatives from each team to lead on the area privacy notices, and supported provided by Information Governance Lead. | Matt Chatfield | A -Accepted | 31/12/2021 | |
| | | | | • Information Governance Lead is reviewing and updating the existing ROPA, input will be sought from key teams to ensure key information is captured. | Matt Chatfield | A -Accepted | 31/12/2021 | |

Risk Register - Adult Social Care and Health

| | | | | • An information Governance action plan was agreed in December 2020 following an in-depth analysis of our current working arrangements and practices. This action plan initially set in place 22 actions to improve our compliance and working practices, the action plan is a live document and is reviewed at regular intervals throughout the year to monitor progress. | Matt Chatfield | Control | | |
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| **Review Comments** | Reviewed control and actions 17/08/21 |
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| | 17/08/2021 |

# 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 ASC systems to enable data quality , consistency and trust of data. | | | | | Helen Gillivan | 13/05/2021 | 13/08/2021 |

| Cause | Consequence | Current Risk | Previous Current Risk | Control / Action | | Control / Action | Target Date | Target Risk |
|---|---|---|---|---|---|---|---|---|
| | Systems failure resulting in either temporary or permanent loss of information and functionality. Poor data quality resulting in poor decision making and errors Systems unfit for purpose Data breaches | Medium  12 Significant (3)  Likely (4) | | • Escalation of system issues and service recived from cantium is being taken to Service review group which is led by Rebecca Spore. | Helen Gillivan | A -Accepted | 31/07/2021 | Medium  9 Significant (3)  Possible (3) |
| | | | | • Through the annual business continuity planning process , services were consulted on their requirements should the system be down . Following analysis the emergency client report has been updated and additional consideration is underway to develop the appropriate offline forms that are required. | Matt Chatfield | A -Accepted | 30/12/2021 | |
| | | | | • Following an audit of all manual spreadsheets the performance team have been working with Safeguarding to ensure all information is recorded on and reported from MOSAIC.  The team will revisit the initial audit to ensure that all teams are using MOSAIC for reporting purposes and take remedial access for any spreadsheets that are still in existence | Matt Chatfield | A -Accepted | 31/12/2021 | |
| | | | | • The data flow for the Kent and Medway Care Record  (KMCR)  due to go live in October 2021. Ongoing discussion are taking place with Servlec regarding the installation of Graphnet to enable us to view data. | Matt Chatfield | A -Accepted | 30/11/2021 | |
| | | | | • 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 and appropriate links with the Strategic Reset Programme which will influence our direction. | Helen Gillivan | Control | | |

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| | | | • Regular disaster recovery testing is in place with Cantium. Future arrangements will move to Servlec when the contract changes. | Matt Chatfield | Control | |
| | | | • Monthly contract management meetings in place with Cantium and Servelec to improve performance of systems and resolve issues | Matt Chatfield | Control | |
| | | | • 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. | Matt Chatfield | Control | |
| | | | • A data quality strategy has been published including an action plan which will be monitored by a sub group to plan and resolve high priority data quality issues. | Matt Chatfield | Control | |
| | | | • Emergency client report is produced overnight every day and saved for restricted use should MOSAIC be down. | Matt Chatfield | Control | |
| | | | • Internal processes and systems are in place as detailed in team business continuity plans for contact if telephone systems are down. | ASCH Directorate Management Team | Control | |

**Review Comments**     Updated controls and actions
13/05/2021

# 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** 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 . | | | | ASCH Divisional Directors | 09/06/2021 | 09/09/2021 |

| Cause | Consequence | Current Risk | Previous Current Risk | Control / Action | | Control / Action | Target Date | Target Risk |
|---|---|---|---|---|---|---|---|---|
| | 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 | Medium<br><br>12<br>Significant (3)<br><br>Likely (4) | | • A series of training specific to adult social care to support business resilience and bolster resource is underway testing scenarios of our incident response. | Wayne Gough | A -Accepted | 28/11/2021 | Medium<br><br>9<br>Significant (3)<br><br>Possible (3) |
| | | | | • 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 monthly. | Wayne Gough | Control | | |
| | | | | • 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. | Wayne Gough | Control | | |
| | | | | • 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. | Wayne Gough | Control | | |
| | | | | • Revised Winter plan developed in November 2020 encompassing whole system plans . Live document to be revised ongoing basis. | Chris McKenzie | Control | | |
| | | | | • 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. | Helen Gillivan | Control | | |

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| | | <span style="background-color:#FFFF99"> </span> | | • Business Impact Analysis and Risk Assessment to be undertaken for all services, reviewed annually or when substantive changes in policy, process or procedure occur. | Assistant Area Directors | Control | |
| | | <span style="background-color:#FFFF99"> </span> | | • Resilience plans in place setting out how the Directorate is prepared to respond to a range of threats to business continuity including 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. | ASCH Divisional Directors | Control | |
| | | <span style="background-color:#FFFF99"> </span> | | • Good partnership working across KCC departments and multi-agency partners including joint planning with NHS organisations and increased district working. | ASCH Directorate Management Team | Control | |

**Review Comments**     Reviewed with WG, JC and PB. Amended Risk rating due to changes of COVID wave and winter period.
09/06/2021

# 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 Every Day Approach** Delivery of large scale change activity across both KCC and Adult Social Care and Health ensuring alignment of priorities and proportionality. Risk that Adult Social Care and Health work in silo and miss joint working opportunities . | | | | Carl Griffiths | 07/07/2021 | 07/10/2021 |

| 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 Senior Responsible Officer's would need to be diverted and could reduce the overall availability of staff to deliver elements of the making a difference every day activity. There is a risk that budgetary constraints / savings targets will impact the viability of potential solutions. | Medium 9 Significant (3) Possible (3) | | • A full communications plan has been developed and deployed. Ensuring that staff, partners and the people we support can shape the future of services. Team engagement roadshows are underway, collecting staff feedback to support our messaging and areas of activity as well as via the online form and through live staff events. Regular Making a difference every day bulletins are sent out and information is shared and promoted on the intranet, encouraging staff to get involved and give feedback on upcoming work areas. | Lisa Clinton | A -Accepted | | Low 6 Significant (3) Unlikely (2) |
| | | | | • Fortnightly dependency workshops are in place to help clarify any major interdependencies and manage shared resources; using them efficiently across the programme. Individual projects are working collaboratively where dependencies are known. | Paula Parker | A -Accepted | | |
| | | | | • The practice model is currently being rolled out into two test and build sites. The test and build will help to inform the future model. | Julie Davidson | A -Accepted | | |
| | | | | • Forward planning all Making a difference every day activity and assigning resource to areas of activity is ongoing and staggering where possible. | Paula Parker | Control | | |
| | | | | • 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 | Paula Parker | Control | | |
| | | | | • A full range of options will be developed as potential solutions under each area of work with full investment appraisal | Paula Parker | Control | | |

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| | | | • Robust governance and reporting lines are in place to prevent silo working and that all Senior Responsible Officers are aware of any decision's made within each pillar of activity through weekly meeting and the Programme Board. Programme governance will ensure priorities are aligned across the whole piece. | Carl Griffiths | Control |
| | | | • Joint working with children and young people teams and growth environment and transport Directorates to avoid silo working. | Carl Griffiths | Control |
| | | | • Regular Reporting to Strategic Reset Programme Board | Carl Griffiths | Control |
| | | | • Review of provider services is a key area of work within our activity to develop future options of service delivery. | Jennifer Anderton | Control |

**Review Comments**    Reviewed at DMT 07/07/21
07/07/2021