

From: Clair Bell, Cabinet Member for Adult Social Care and Public Health
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To: Adult Social Care Cabinet Committee – 15 March 2023

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

Classification: Unrestricted

Past Pathway of Paper: None

Future Pathway of Paper: None

Electoral Division: All

Summary: This paper presents the strategic risks relating to Adult Social Care , 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 Adult Social Care and Health 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 ASCH Directors are designated 'Risk Owners' (along with the rest of the Corporate Management Team) for two 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 2 of the Corporate Risks.

Risk No.*	Risk Title	Current Risk Rating	Target Risk Rating	Direction of Travel since April 2022
CRR0002	Safeguarding – protecting vulnerable adults	20	15	↔
CRR0015	Managing and working with the social care market	25	15	↔

2.2 The annual review of corporate risks in the Autumn of 2022 has led to a reduction in the number of ASCH led Corporate Risks. *Impacts of the ‘People at the Heart of Care’ Social Care Reform White Paper* was added earlier in 2022, but as the key reforms have been delayed as part of the Autumn Statement, the corporate risk is being withdrawn and reassessed pending further information on their implementation. However, one area of reform still progressing is the Care Quality Commission (CQC) Assurance Framework, which may contain risks that require capturing at corporate or directorate level.

2.3 Although there is no change in the direction of travel for the ASCH led corporate risks, there are a number of challenges still being faced:

- **CRR0002** – Number of safeguarding enquiries increased in 2021/22 but remains below pre pandemic levels. Challenges being faced in relation to cost of living and its impact on individuals health and wellbeing could lead to increased demand on services. The proposed change in legislation to Liberty Protection Safeguards Standard has been further delayed by Government with no new implementation date provided.
- **CRR0015** – Continued concern regarding the viability of local care markets. Providers are facing inflationary pressures and impacts of the cost-of-living crisis. The availability of workforce, and increased workloads and pressure on existing staff continues to be a factor. Nationally the number of vacancies across all providers of adult social care increased by 52% in 2021/22 to 165,000.

2.4 These risks were reviewed in December 2022 by the Corporate Management Team (CMT) and Cabinet, in addition the risks will be presented to the Governance and Audit Committee for assurance in May 2023. These are detailed in Appendix 1

3. Adult Social Care and Health Directorate Risk Profile

3.1 The below table outlines the current risks in the Adult Social Care Directorate Risk Register (the detailed register can be seen in Appendix 2)

Risk No.*	Risk Title	Current Risk Rating	Target Risk Rating	Direction of Travel since April 2022
AH0005	Continued pressures on public sector funding impacting on revenue and saving efficiencies	25	9	↑
AH0035	Culture Change	20	9	↑
AH0033	Adult Social Care Workforce	16	9	↔
AH0038	Information Governance	12	9	↔
AH0037	Information Asset Management	12	9	↔

3.2 The risk register has been reviewed and amended during the year with quarterly reporting into the Directorate Management team with the most recent review and discussion in February 2023.

3.3 The former Directorate risk **AH0040 Development of Integrated Care System/Integrated Care Partnership** was removed from the risk register with the introduction of the new Integrated Care Partnership.

3.4 The direction of travel for **AH0005 Continued pressures on public sector funding impacting on revenue and saving efficiencies** has increased since our last annual report with the likelihood increased from 'Possible' to 'Very Likely' and the impact has increased from 'Serious' to 'Major'. The reasons for this increase are due to the current financial pressures facing adult social care in Kent, Kent County Council (KCC) and social care nationally. Additional mitigations and controls have been put in place.

3.5 The direction of travel for **AH0035 Culture Change** has increased since our last annual report with the likelihood increased from 'Possible' to 'Likely' and impact from 'Significant' to 'Major'. The reasons for this increase are due to the large amounts of transformation taking place across the directorate, particularly in reference to our new locality operating model. The risk has increased to acknowledge the change in practice required from our staff to achieve our ambitions, and support required during a period of large-scale change. New mitigations have been put in place to support our workforce, develop our management and leadership functions and communication methods with our workforce.

3.6 The direction of travel for the following risks has remained static, however actions and controls have been revised during the year to further mitigate and reduce the risk.

- **AH0037 Information Asset Management** – Ongoing contract management is in place to review to improve the performance of systems and resolve issues. Prioritisation of large-scale change requirements to support new operating models and system requirements.
- **AH0038 Information Governance** – Actions continue to support awareness, training, and guidance within the workforce.
- **AH0033 Adult Social Care Workforce** - The level of risk has changed during the course of the year. The population of staff in our new structure has supported a more proportionate allocation of skills and experience across teams and recruitment to key management roles in our new structure. Actions are still in place to support recruitment and retention of the workforce and development is underway for a new recruitment campaign to attract staff to Kent.

4. Recommendation

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

5. 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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