

## Appendix One – Adult Social Care and Health led Corporate Risks

Risk ID	CRR0002	Risk Title	Safeguarding – protecting adults at risk			
<b>Source / Cause of risk</b>	<b>Risk Event</b>	<b>Consequence</b>	<b>Risk Owner</b>	<b>Current Likelihood</b>	<b>Current Impact</b>	
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.	Incident of serious harm or death of a vulnerable adult.	Richard Smith Corporate Director Adult Social Care and Health (ASCH)	Likely (4)	Major (5)	
The change from 'safeguarding alerts' to 'safeguarding enquiries' has led to a significant increase in the number of safeguarding concerns received. There has also been an increase in domestic abuse referrals.	Failure to meet the requirements of the "Prevent Duty" placed on Local Authorities.	Serious impact on vulnerable people.  Serious impact on ability to recruit the quality of staff critical to service delivery.		<b>Target Residual Likelihood</b>	<b>Target Residual Impact</b>	
The Covid-19 pandemic and the associated 'lockdown' measures raised concerns of increases in hidden harm, self-harm and neglect resulting in impacted demand profiles.	Safeguarding risks are not identified to / by KCC in a timely fashion.	Serious operational and financial consequences.	<b>Responsible Cabinet Member(s):</b>	Possible (3)	Major (5)	
Social care services have made substantial adaptations to service delivery across the system.	Spike(s) in demand impact on quality of controls	Attract possible intervention from a national regulator for failure to discharge corporate and executive responsibilities.	Clair Bell, Adult Social Care and Public Health  Mike Hill (Lead Member for PREVENT)			<b>Timescale to Target</b> 1-2 years
In addition, the Counter Terrorism and Security Act 2015 sets out the Government's "Prevent Duty"						

and requires the Local Authority to act to prevent vulnerable people from being drawn into terrorism.	
<b>Control Title</b>	<b>Control Owner</b>
Locality Commissioners and operations teams regularly meet with Care Quality Commission to share intelligence	Simon Mitchell, Strategic Commissioning
Regular liaison between Director Adult Social Care and the Director of Care Quality Commission	Richard Smith, Corporate Director ASCH
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, Assistant Director– Principal Social Worker
Kent and Medway Prevent Duty Delivery Board (chaired by KCC) oversees the activity of the Kent and Medway Channel Panel, co-ordinating Prevent activity across the County and reporting to other relevant strategic bodies in the county. Currently chaired by KCC's Director of Adult Social Care and Health until end of 2023.	Richard Smith, Corporate Director ASCH
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 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.	Jim Beale Assistant Director
KCC Safeguarding Competency Framework in place, including Mental Capacity Act requirements.	Sarah Denson, Assistant Director– Principal Social Worker
KCC Safeguarding Competency Framework reviewed to ensure currency and look for areas for improvement.	Sarah Denson, Assistant Director– Principal Social Worker
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	Sarah Denson, Assistant Director– Principal Social Worker/David Whittle Director

working groups.	SPRCA
Kent and Medway 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
PREVENT training strategy in place and regularly reviewed.	Nick Wilkinson, Prevent and Channel Strategic Manager
Semi-regional PREVENT model of delivery across Kent and Medway developed.	Nick Wilkinson, Prevent and Channel Strategic Manager
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.	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
The annual assurance statement is a self-declaration approved by the Head of Paid Service which captures the Authority's compliance with the requirements of the Counter Terrorism Act. Actions identified within the annual assurance statement are transferred to the Kent and Medway Action Plan. Kent and Medway Board for PREVENT have oversight of action progress	Nick Wilkinson, Prevent and Channel Strategic Manager
Quarterly safeguarding report brings together key information to enable scrutiny and performance monitoring for management teams and the Cabinet Member.	ASCH Divisional Directors
Safeguarding operating model aligns multidisciplinary safeguarding teams to the locality model	Sarah Denson, Assistant Director– Principal Social Worker
Quality Assurance Framework in place	Sarah Denson, Assistant Director– Principal Social Worker
Practice Framework in place	Sarah Denson, Assistant Director– Principal Social Worker
Programme of training events to support practitioners to develop knowledge and skills as part of continuing professional development. Manager training commenced July 2022.	Sarah Denson, Assistant Director– Principal Social

		Worker
'Be the best we can be' Board oversees quality of practice. Monthly quality assurance board takes place on a quarterly basis.		Sarah Denson, Assistant Director– Principal Social Worker
Programme of training events to support practitioners to develop knowledge and skills as part of continuing professional development.		Sarah Denson, Assistant Director– Principal Social Worker
Performance improvement plan monitors safeguarding activity and supports managers to identify safeguarding concerns for closure		Sarah Denson, Assistant Director– Principal Social Worker
<b>Action Title</b>	<b>Action Owner</b>	<b>Planned Completion Date</b>
KCC Safeguarding Competency Framework in place, including Mental Capacity Act requirements. Reviewing both frameworks in order to amalgamate and potentially have one all-encompassing framework	Sarah Denson, Assistant Director– Principal Social Worker	April 2023
Preparation for introduction of new Liberty Protection Safeguards system under the Mental Capacity (Amendment) Act 2019.	Maureen Stirrup, Head of Deprivation of Liberty Safeguards	April 2023

Risk ID	CRR0015	Risk Title	Managing and working with the social care market			
<p><b>Source / Cause of Risk</b></p> <p>The current social care system is under significant strain as a result of the increasing cost and complexity of demand for services and constrained local authority budgets.</p> <p>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.</p> <p>The market has high vacancy levels, and high staff turnover rates. Factors such as the increase to the National Living Wage, inflationary pressures, mandated vaccinations, and a buoyant job market mean that the care market is under pressure to recruit and retain adequate numbers of staff.</p> <p>Recovery from the Covid-19 pandemic has added additional pressures, further threatening sustainability of the market. Latent demand and a reduction in</p>	<p><b>Risk Event</b></p> <p>Social Care market particularly domiciliary care is not sustainable.</p> <p>Inability to obtain the right kind of provider supply at affordable prices.</p> <p>Significant numbers of care home closures or service failures.</p> <p>Increases in hand backs of care</p> <p>Providers choose not to tender for services at Local Authority funding levels or accept service users with complex needs.</p>	<p><b>Consequence</b></p> <p>Gaps in the care market for certain types of care or in geographical areas meaning difficulty in placing some service users.</p> <p>Unable to offer care packages immediately leading to delays with discharging from Health Services</p> <p>Reduction in quality of care provided due to workforce pressures</p>	<p><b>Risk Owner</b></p> <p>Richard Smith, Corporate Director ASCH, in collaboration with Clare Maynard, Interim Strategic Commissioner</p> <p><b>Responsible Cabinet Member(s):</b></p> <p>Clair Bell, Adult Social Care and Public Health</p>	<p><b>Current Likelihood</b></p> <p>V. Likely (5)</p> <p><b>Target Residual Likelihood</b></p> <p>Possible (3)</p>	<p><b>Current Impact</b></p> <p>Major (5)</p> <p><b>Target Residual Impact</b></p> <p>Major (5)</p> <p><b>Timescale to Target</b></p> <p>3+ years</p>	

access to health care has led to an increase in clients presenting with more complex needs. There is increased demand for care and support, and pressures arising from hospital discharges.

Increase in use of individual contracts for care and support in the home. Using more independent providers than framework providers. Over reliance on independent providers with significant increase in spend.

**Control Title**

**Control Owner**

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.

Simon Mitchell, Strategic Commissioning

New contracts commenced relating to Disability and Mental Health Residential Care services.

Simon Mitchell, Strategic Commissioning

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.

Paul Stephen, Senior Commissioning Manager

Ongoing Contract Monitoring, working in partnership with the Access to Resources team

Clare Maynard, Interim Strategic Commissioner

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.

Clare Maynard, Interim Strategic Commissioner

Regular engagement with provider and trade organisations

Clare Maynard, Interim Strategic Commissioner

Older Persons Accommodation Strategy refreshed, which analyses demand and need and sets the future

Richard Smith, Corporate

vision and direction for accommodation to support vulnerable Kent residents alongside the Adult Social Care Strategy - Your Life, Your Wellbeing	Director ASCH
Ensuring contracts have indexation clauses built-in, managed through contract monitoring	Michael Bridger, Commissioning Standards Manager
Analytics function utilises data to inform decision making before moving commissioning activity forward.	Rachel Kennard, Chief Analyst
Care in the Home Services refresh completed bringing Supported Living Services under the Care in the Home Umbrella.	Paul Stephen, Senior Commissioning Manager
Care and Support in the Home Services contract combines homecare and community based supporting independence services.	Paul Stephen, Senior Commissioning Manager
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
Daily risk assessment for people in the community awaiting packages of care and short-term bed provision for those at high risk	Jim Beale, Assistant Director ASCH
Adult Social Care Pressures Plan 2022/23 - outlining the strategic and operational response to a range of factors including COVID-19, vacancies in the health and social care workforce, waiting lists for care and support, winter pressures and budgetary pressures.	Richard Smith, Corporate Director for Adult Social Care and Health
Community Support Market Position Statements to inform market shaping, oversight and sustainability are in place and regularly refreshed.	Clare Maynard, Interim Strategic Commissioner
Continue to work innovatively with partners, including health services, districts and boroughs, and providers to identify any efficiencies across the wider sector.	ASCH Divisional Directors
Contract for Discharge Services presented to Cabinet Committee and approved by the Cabinet Member.	Paul Stephen, Senior Commissioning Manager
Quarterly market pressure reports to ASCH DMT	Simon Mitchell, Strategic Commissioning
Pipeline prioritisation tool is in place for Strategic Commissioning projects, shared with DivMT and Director of Strategy Policy, Relationships and Corporate Assurance	Michael Bridger, Commissioning Standards Manager

Analytics of the current market, and potential future market to ensure appropriate provision for regulated/unregulated care. Three sets of performance data to be triangulated (Analytic/Performance Data/Budget)	Simon Mitchell, Strategic Commissioning	
Key performance information in relation to strategic commissioning arrangements will be shared with the Corporate Management Team on a regular basis, commencing November 2022.	Clare Maynard, Interim Strategic Commissioner	
Development of micro providers market with partner Community Catalysts. Quarterly contract management reviews take place including focus on performance against targets (engagement and set up).	Paula Parker, Head of Portfolio Management, ASCH	
<b>Action Title</b>	<b>Action Owner</b>	<b>Planned Completion Date</b>
Conversations around recommissioning of care and support in the home framework and home care framework have commenced – options paper being drafted, including lessons learned.	Paul Stephen, Senior Commissioning Manager	April 2023 (Review)