Full Risk Register

Risk Register - Adult Social Care and Health

Current Risk Level Summary

Green	0	Amber	2	Red	3	Total	5

Current Risk Level Changes

					1	-4 ↘	1	-4 ↘

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

Risk Ref	**AH0005**	Risk Title and Event	Owner	Last Review da	Next Review
		Continued pressures on public sector funding impacting on revenue and savings efficiencies Levels of spending and growth pressure across the service outstrip spending power. There is not only an increase in demand in adult social care but increased level of complexity and market cost. There are still areas of uncertainty in the operating environment relating to impacts of upcoming Government reforms. There continues to be a need to achieve significant efficiencies year on year and the impact of resourcing pressures on the achievement of our objectives.	Richard Smith	20/02/2023	20/05/2023

Cause	Consequence	Current Risk	Previous Current Risk	Control / Action		Control / Action	Target Date	Target Risk
	Failure to delivery statutory obligations and duties Potential for partner or provider failure – including sufficiency gaps in provision Reduction in resident satisfaction and reputation damage. Increased and unplanned pressure on resources. Decline in performance.	**High** 25 Major (5) Very Likely (5)		• Regular reporting and assurance from Adult social care is provided to the Strategic Reset Board.	Richard Smith	A -Accepted	31/12/2023	Medium 9 Significant (3) Possible (3)
				• Regular meetings are in place with the Corporate Director, Directors and Assistant Directors to review the management of budgets and understand the detail for variance and overspend and determine actions from these. These meetings are also attended by the finance business partner and head of performance.	Richard Smith	A -Accepted	31/12/2023	
				• A performance management culture process is underway to enable an overarching plan to deliver our making a difference every day outcomes that covers - practice improvements, quality assurance, monitoring of saving and delivery of benefits.	Carl Griffiths	A -Accepted	30/11/2023	
				• Implementation of a locality way of working from April 2023, reducing silo's to support better outcomes for the people in Kent. Improving system benefits and a fit for purpose operating model	ASCH Divisional Directors	A -Accepted	31/07/2023	

				Richard Smith	Control		
			• Regular meetings are held with the Corporate Director for Adult social care, the Chief executive and Corporate Director of Finance to review the financial position, provide assurance and take forward required actions.	Richard Smith	Control		
			• Quarterly meetings are held with the Cabinet Member and Deputy Cabinet member for Adult social care to discuss the financial position.	Richard Smith	Control		
			• A full range of options will be developed as potential solutions to any change activity with a full investment appraisal to ensure the cost benefits are acknowledged and approved by the appropriate governance.	Helen Gillivan	Control		
			• Making a difference every day approach and supporting activity established to oversee the implementation and delivery of future improvements in a comprehensive programme of activity. All ASCH improvement activity is mapped, managed consistently and prioritised under this approach.	Helen Gillivan	Control		
			• Benefits realisation Board is in place to oversee and plan the delivery of : Savings, recovery, medium term financial plan, pressures and sustainability.	Helen Gillivan	Control		
			• Monthly forecasting is in place to look at activity, demand and trends and escalating areas of concern for the directorate. Deep dives will take place in certain areas of pressure.	Michelle Goldsmith	Control		
			• A Peer review by another finance team in KCC has been undertaken on Adult social care forecast to provide assurance on the forecast position.	Michelle Goldsmith	Control		
			• The finance business partner and revenue finance manager will attend locality monthly budget meetings to ensure robust monitoring and action is taken forward. Review of consistency, controls and information will be reviewed.	Michelle Goldsmith	Control		

				• 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	Control		

Review Comments	Reviewed at DMT 20/02/2023

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
Culture Change Staff may be risk averse to changing their practice to align with our new ways of working and therefore we may not be able to fully achieve our ambitions and benefits being realised. Risk that teams are facing large amounts of change at once and may not understand the rationale for change. There is a risk that we may not be able to co-produce all solutions with staff and / or the people we support, and this could lead to a reduction in buy-in from the stakeholders.					Richard Smith	03/02/2023	03/05/2023

Cause	Consequence	Current Risk	Previous Current Risk	Control / Action		Control / Action	Target Date	Target Risk
	This could result in 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, adult social care and the strategic reset programme within KCC. A reduction in buy-in could lead to a low take up in the new solutions, which in turn could lead struggles to fully implement the necessary changes. This could lead to an overall reduction in the benefits being realised.	**High** 20 Major (5) Likely (4)		• A program of work on culture change, champions and delivery of change through staff is underway.	Jim Beale	A -Accepted	31/05/2023	**Medium** 9 Significant (3) Possible (3)
				• An all staff event will be held in February to discuss the outputs of the staff survey and how the directorate will build on the targeted actions in response to the feedback. There will be a key strand of work around Management and leadership following the outputs of the survey.	Richard Smith	A -Accepted	28/04/2023	
				• Work is underway to develop a performance management culture across adult social care to empower staff, listen to those who use our services, increase communication and celebrate success, support capacity planning and increase performance and set best practice standards. Further design to implement the supportive mechanisms and roll out is in planning.	Carl Griffiths	A -Accepted	30/04/2023	
				• Following a staffing consultation launched in July 2022 work is underway to populate our new structure and recruitment to new management roles. Workstreams to support the new operating models are underway to support the start of the new model on 3rd April 2023.	ASCH Divisional Directors	A -Accepted	03/05/2023	
				• Recruitment to the new management roles in the operational teams is underway to ensure recruitment of the right people with the right skills.	ASCH Divisional Directors	A -Accepted	31/03/2023	

				• 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	Control	
				• Fortnightly dependency workshop in place to help clarify these major inter-dependencies and manage shared resources; using them efficiently across the programme. Individual projects are working collaboratively across the programme where dependencies are known.	Paula Parker	Control	
				• Change support has been commissioned, and is supported by OD team for staff impacted by the proposed locality consultation.	Richard Smith	Control	
				• A revised governance has been established for the programme during January 2022 as it enters its delivery phase. Revised responsible officers, lead operational staff and programme and project staff are being reallocated to ensure the appropriate oversight is in place. Programme governance will ensure priorities are aligned across the whole piece and silo working is avoided.	Helen Gillivan	Control	
				• Programme resource has been allocated to the future ways of working activity to ensure a planned and consistent programme of activity is delivered.	Helen Gillivan	Control	
				• Regular Reporting to Strategic Reset Programme Board	Helen Gillivan	Control	

• Kent has undertaken a self-assessment against the CQC assurance process to identify where we are against Quality, performance and practice. A program of work is underway to look at how we are meeting our statutory duties, how our strategy for adult social care is being delivered and communicated and how we can evidence we are being the best we can be against the CQC assessment criteria.	Jennifer Anderton	Control		
• Open invitation to staff to request attendance at team or one to one meetings with members of DMT and SMT to discuss changes and impact. Regular one to one session are held to meet with the Corporate Director.	ASCH Divisional Directors	Control		

Review Comments	Reviewed with risk leads 03/02/2023

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
Adult Social Care Workforce Recruitment and Retention 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, skilled and experienced workforce is in place to deliver services. This includes making sure critical roles are filled with staff who have the right skill sets and support in place . There is a risk that we are not appropriately resourced to deliver key statutory functions and that changes with our locality model may see additional staff movement .					Jim Beale	08/02/2023	08/05/2023

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** 16 Serious (4) Likely (4)	20 ↘ -4	• A review of market premiums to support recruitment and retention has been undertaken. A paper will be taken in February for DMT approval.	Sydney Hill	A -Accepted	28/02/2023	**Medium** 9 Significant (3) Possible (3)
				• Improved methods for recording and reporting changes in vacancy position are being investigated to provide better oversight across the operational workforce. This will be developed alongside any new workforce model. Monthly stats are now produced and will be used for SMT oversight and recruitment decisions.	Jade Caccavone	A -Accepted	31/03/2023	
				• Development of a longer term marketing campaign to support social care recruitment. Further scoping is underway to create campaign content and avenues of marketing.	Jade Caccavone	A -Accepted	28/02/2023	
				• Recruitment Campaign to be held in May 2023 for newly qualified social worker recruitment	Jade Caccavone	A -Accepted	31/05/2023	
				• The ASCH Organisational Development group led the development of a Strategic workforce plan which aligns to our future ways of working and our future workforce requirements. The plan was launched on 05/04/22 and monitored through the Organisational Development group and sub groups.	Jim Beale	Control		
				• A reformed ASCH Organisational Development (OD) Group was established in Autumn 2020 to have oversight of all workforce issues affecting the Directorate.	Jim Beale	Control		

			• The resourcing sub group was reinstated to oversee the recruitment activity and develop a coordinated programme of activity to support recruitment and retention.	Sydney Hill	Control
			• 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
			• The first cohort of Social Work apprenticeships are due to qualify in early 2023 and begin practicing under the ASYE. 18 new social worker apprenticeship are to commence in in early 2023.	Sarah Denson	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.	Sarah Denson	Control
			• The practice Framework was launched in May, this sets out the principles, approaches and models of intervention for our work with individuals, families and communities. The roll out of the core skill programme is underway.	Sarah Denson	Control

			• Work within the Integrated care board to create a joint strategy for workforce across the system.	Richard Smith	Control	
			• An coordinated recruitment approach is now in place for key roles to support improved and consistent recruitment approaches.	Jade Caccavone	Control	

Review Comments	Reviewed with Risk Lead 08/02/22
	08/02/2023

Adult Social Care and Health

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Risk Ref	AH0037	Risk Title and Event		Owner	Last Review da	Next Review
Information Asset Management Fit for purpose configuration of Adult Social Care systems to enable data quality , consistency and trust of data.				Paula Parker	03/02/2023	03/05/2023

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 Serious (4) Possible (3)		• An upgrade to MOSAIC will be required to ensure we have the latest version and are compliant to contract obligations. Discussions are taking place to discuss the timing of this	Paula Parker	A -Accepted	30/04/2023	Medium 9 Significant (3) Possible (3)
				• There are competing large change programmes that require system changes, a proposal will be taken to the System Board to discuss and identify change freezes to effectively support the locality model.	Paula Parker	A -Accepted	01/04/2023	
				• MOSAIC servers were transferred to The Access Group in February 2022, which provides clarity on responsibility and resolution of issues more efficiently. There are some current performance concerns which have been escalated for resolution and engagement with the ICT Director.	Paula Parker	A -Accepted	30/04/2023	
				• 7 out of 10 files are flowing from MOSAIC to the Kent and Medway Care Record (KMCR). The remaining files will be tested over February and March. Server issues with the viewer remain unsolved and work continues between the System team and Access Group.	Paula Parker	A -Accepted	28/04/2023	
				• Disaster recovery testing is in place with The Access Group, there are also penalties that are built into the contract should The Access Group be responsible for any issues resulting in downtime.	Paula Parker	Control		
				• Annual business continuity planning process is in place to ensure that services are consulted on their requirements should the system be down and relevant actions set in place.	Paula Parker	Control		

				• Monthly contract management meetings are in place with Cantium and The Access Group to improve performance of systems and resolve issues	Paula Parker	Control		
				• Change Advisory Board operates on a monthly basis as a user group forum to discuss and escalate any matters of concerns to the Adult Social Care Systems Board.	Paula Parker	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.	Paula Parker	Control		
				• Emergency client report is produced overnight every day and saved for restricted use should MOSAIC be down.	Paula Parker	Control		
				• A newly formed Adult Social Care System Board was introduced in 2022 as part of revised governance to coordinate and oversee any systems activity. This is chaired by the Head of Business Delivery Unit and involves representation across the services.	Paula Parker	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	Reviewed with Risk lead 03/02/2023

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
Information governance Responsibility of General Data Protection Regulation (GDPR) and Data Protection (2018) obligations are the responsibility of all 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	02/02/2023	02/05/2023

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 12 Serious (4) Possible (3)		• A new process of automation and consistency of storage is being explored for supervision records to support our supervision policy.	Sarah Denson	A -Accepted	01/06/2023	Medium 9 Significant (3) Possible (3)
				• Documented governance process to be detailed for escalation of Information Governance issues or approval in Adult social care.	Lauren Liddell-You ng	A -Accepted	30/06/2023	
				• Documented process to be developed for MOSAIC access for internal staff outside of ASCH and external agencies.	Lauren Liddell-You ng	A -Accepted	31/03/2023	
				• Review of Retention schedules of MOSAIC data is underway. Discussions are taking place with Cantium on automation processes. As MOSAIC contains a multitude of information there are complexities to the schedules of various data sources , a working group will be set up to review the technical solutions of applying retention schedule processes.	Lauren Liddell-You ng	A -Accepted	31/07/2023	
				• All freedom of information requests for adult social care are coordinated from a central point within the directorate to ensure compliance with legislation, timescales and appropriate approval and escalation routes.	Richard Smith	Control		

					• Process is in place across KCC to support managers with any non compliance of mandatory training by automatic notification. Adult social care also have an internal process of monitoring and escalation of non compliance in Information Governance , GDPR and NHS Data Security.	Richard Smith	Control		
					• Information Governance Lead will continue to increase awareness of key Information Governance topics through briefings, attending team meetings, providing internal guidance and policies, as well as regular communications to staff that include a regular slot in the staff bulletin. Work during February for Information Governance Awareness week with wider KCC colleagues.	Lauren Liddell-You ng	Control		
					• Standardised templates for; consent, non disclosure agreement, data processing agreement and data sharing agreement have been co produced with Invicta Law which are available to staff on the KNET page.	Lauren Liddell-You ng	Control		
					• Information Governance Lead to continue to monitor Information Governance arrangements across the Directorate and maintain the Information Governance Action Plan to identify improvements and solutions to be compliant with UK GDPR/DPA 2018. 9 areas of improvements remain, from 22 identified originally in 2020. Regular slots at DMT help to monitor progress and seek authorisation to proceed with solutions.	Lauren Liddell-You ng	Control		

| **Review Comments** | Reviewed with Risk lead 31/01/23 |
| | 02/02/2023 |