

Families & Social Care Directorate  
**Risk Register**  
 December 2012

**Scoring**

Potential Impact (score of 0 to 5) multiplied by likelihood of the event occurring (score of 0 to 5) to give total scores.

	Risk Type (e.g. political, financial, reputational, operational) / Cause or source	Event & Consequence / Implication	Overall Risk Owner (accountable manager)	Controls in place	Current (Residual) Rating	Additional action(s) required	Review Date	Target Rating
1	Organisational.  Transformation of adult social care services.	<ul style="list-style-type: none"> <li>The Transformation programme will have a significant impact on the Directorate and social care services. Adopting new ways of working and a programme of significant change to achieve better outcomes and delivery of savings. If the transformation programme does not meet targets then this will lead to further pressures on the service and on budgets.</li> </ul>	Andrew Ireland/Mark Lobban	<ul style="list-style-type: none"> <li>A Transformation plan and governance is in place</li> <li>Support of Efficiency Partner as part of diagnostics.</li> <li>Separate risk register and issues log.</li> <li>Oversight and monitoring by Programme Board, Budget Board and Cabinet.</li> </ul>	25	<ul style="list-style-type: none"> <li>Review of governance for the Implementation Stage.</li> <li>Secure an Efficiency Partner</li> </ul>	February 2013	16
2	Organisational and Professional/social.  Improvement of children's services.	<ul style="list-style-type: none"> <li>Children's Improvement Plan to make continuous improvements to services for vulnerable children and young people in Kent.</li> </ul>	Andrew Ireland/Mairead MacNeil	<ul style="list-style-type: none"> <li>Children's Improvement Plan in place.</li> <li>New structure of children's services in place.</li> <li>Central Referral unit set up and functioning.</li> <li>Improvement programme for the Duty and Initial Assessment Team.</li> <li>Practice Improvement Programme</li> <li>Robust Performance Monitoring</li> <li>Performance framework, operational framework, quality assurance framework and early intervention and prevention strategy in place.</li> </ul>	16	<ul style="list-style-type: none"> <li>Focus on early intervention and preventative services</li> <li>Children in care Improvement Plan.</li> <li>Changes to Adoption and Fostering Services.</li> <li>Recruitment to permanent Social work and Management vacancies.</li> <li>OFSTED inspection recently completed – to follow up on any actions required post inspection.</li> </ul>	31 March 2013	12
3	Professional/Social  Safeguarding-protecting vulnerable children and adults	<ul style="list-style-type: none"> <li>The Council must fulfil its statutory obligations to effectively safeguard vulnerable children and adults. Its ability to fulfil this obligation could be affected by the adequacy of its controls, management and operational practices or if demand for its services exceeds its capacity and capability.</li> </ul>	Andrew Ireland.  Mairead MacNeil/Mark Lobban/Penny Southern/Anne Tidmarsh	<ul style="list-style-type: none"> <li>Safeguarding Boards in place for children's and for adult social care services, providing a strategic countywide overview across agencies.</li> <li>Multi-Agency Public Protection Arrangements.</li> <li>Quarterly reporting to Directors and Cabinet Members and Annual Report for Members.</li> <li>Implementation of a Central Duty Service (for SCS) and Central Referral Unit.</li> <li>Programme of internal and external audits of safeguarding including a peer</li> </ul>	16	<ul style="list-style-type: none"> <li>Strengthen early intervention/prevention services.</li> <li>Cross-County file audits</li> <li>Follow up of Peer Reviews of Safeguarding arrangements.</li> <li>Audit feedback sessions</li> <li>Practice improvement programme to strengthen practice across children and families.</li> <li>On going provision of safeguarding training for the relevant staff.</li> <li>Recruitment programme to attract and retain high calibre social workers and</li> </ul>	31 March 2013	12

	Risk Type (e.g. political, financial, reputational, operational) / Cause or source	Event & Consequence / Implication	Overall Risk Owner (accountable manager)	Controls in place	Current (Residual) Rating	Additional action(s) required	Review Date	Target Rating
				<ul style="list-style-type: none"> <li>review by Essex County Council.</li> <li>Mental Capacity Act Arrangements in place.</li> <li>Extensive staff training</li> <li>Improvement Plan in SCS.</li> </ul>		managers.		
4	Financial risks: Austerity and pressures on public sector funding.	<ul style="list-style-type: none"> <li>Public sector finance pressures and the need to achieve significant efficiencies for foreseeable future.</li> <li>Additional funding pressures could significantly impact on social care services.</li> <li>Partner organisations and private sector providers also experiencing funding challenges potentially putting joint working at risk.</li> </ul>	Andrew Ireland/Michelle Goldsmith.	<ul style="list-style-type: none"> <li>Robust financial and activity monitoring regularly reported to DMT</li> <li>Business plans in place and being produced for 2013/14.</li> <li>Robust Debt Monitoring</li> <li>Good links with Health and others in place to maintain partnerships and explore joint service delivery</li> <li>Transformation programme to ensure best use of available resources.</li> <li>More efficient use of assistive technology</li> </ul>	25	<ul style="list-style-type: none"> <li>Continued drive to deliver efficient and effective services through transformation and modernisation agendas.</li> <li>Continue to work innovatively with partners, including health services, to identify any efficiencies.</li> <li>Access to Resources Team in place</li> <li>Developing robust commissioning arrangements.</li> <li>Building community capacity.</li> <li>Focus on prevention, enablement and independence for vulnerable adults.</li> <li>Development of appropriate incentives within the commissioning framework.</li> </ul>	31 March 2013	16
5	Operational Health and Social Care Integration	<ul style="list-style-type: none"> <li>Major strategic development and change process to develop integrated teams will have a significant impact on ways of working.</li> </ul>	Anne Tidmarsh/Penny Southern	<ul style="list-style-type: none"> <li>Health and Social Care Integration Partnership board to oversee the integration arrangements.</li> <li>Reporting and inputting to Health and Well Being boards, Locality boards and clinical commissioning groups.</li> <li>Project management arrangements in place.</li> <li>Local HASCIP boards to develop working arrangements including pathfinder Single Points of Access, co-location</li> </ul>	12	<ul style="list-style-type: none"> <li>Developing agreed information governance arrangements.</li> <li>Developing a risk stratification tool to better target interventions.</li> <li>HASCIP board and local arrangements to progress integration work.</li> <li>Agreeing integrated performance measure and monitoring.</li> <li>Connectivity of information systems.</li> </ul>	31 March 2013	6
6	Legislation Health and Social Care Act 2012.	<ul style="list-style-type: none"> <li>Significant implications for the future delivery and provision of social care and health</li> <li>Abolition of PCT's, emergence of Clinical Commissioning Groups and the transfer of public health functions to Local Authorities will require funding and breaks down the cohesion of locality boundaries with PCT's.</li> </ul>	Andrew Ireland/Anne Tidmarsh/Mark Lobban/Penny Southern/Mairead MacNeil.	<ul style="list-style-type: none"> <li>Existing partnership working with health which is leading to shared improvements</li> <li>Effective joint initiatives in place with Health</li> <li>JSNA to support GP commissioning</li> <li>Close working at leadership level seeking to build a shared transformation plan.</li> </ul>	10	<ul style="list-style-type: none"> <li>Continued joint working with Health</li> <li>KCC activity to prepare for new arrangements including developing Health and Wellbeing Board and working with emerging Clinical Commissioning Groups.</li> <li>Alignment of the commissioning plans</li> </ul>	31 March 2013	6

	Risk Type (e.g. political, financial, reputational, operational) / Cause or source	Event & Consequence / Implication	Overall Risk Owner (accountable manager)	Controls in place	Current (Residual) Rating	Additional action(s) required	Review Date	Target Rating
		<ul style="list-style-type: none"> <li>Responding to the new health architecture – for example the Health Commissioning Board</li> </ul>		<ul style="list-style-type: none"> <li>Maintain close links with commissioners to ensure application of continuing health care and Section 117 arrangements.</li> </ul>		<p>for FSC and Clinical Commissioning Groups. Use of the Health and Well Being Strategy</p> <ul style="list-style-type: none"> <li>Strategic approach to the development of Kent Health Watch.</li> </ul>		
7	Social /financial Increasing Demand for social care services	<ul style="list-style-type: none"> <li>Risk that demand will outstrip available resources</li> <li>Fulfilling statutory obligations and duties become increasingly difficult against rising expectations.</li> <li>Increased demand due to : -demographic changes in population i.e. more people living longer , more people with dementia and an increase in clients with complex needs.</li> <li>Austerity potentially leading to more stress, family breakdown and need for support from specialist children’s services.</li> <li>more reliance on informal carers leads to strain on families and individuals</li> </ul>	Andrew Ireland/ Anne Tidmarsh/Penny Southern/Mark Lobban.	<ul style="list-style-type: none"> <li>Robust reporting and analysis to DMT and Business planning.</li> <li>Joint planning and commissioning with partners</li> <li>Contracting and Procurement Controls</li> <li>Transformation programme.</li> <li>Early intervention and Preventative services aimed at reducing demand-enablement, fast track minor equipment, short term care with step down and step up support.</li> <li>Modernisation of older people services</li> <li>Continue to explore streamlining of roles and functions.</li> <li>Core monitoring now in place for Members</li> <li>Continued representation to central government and other agencies regarding the disproportionate number of people in need across the age ranges (children and adults) being placed by other Local Authorities into Kent.</li> </ul>	25	<ul style="list-style-type: none"> <li>Managing prices: A number of key contracts are coming up for Relet</li> <li>Review of care ensuring good outcomes linked to effective arrangements for support.</li> <li>Continued use and development of Assistive Technology (Telecare),</li> <li>Working to ensure the appropriate number of children in care.</li> <li>Continue to invest in preventative services through voluntary sector partners.</li> <li>Adult social care Transformation programme – tracking and monitoring the impact of delivery.</li> <li>Checking cases to unsure where FSC is approached to take cases on then the individual does “qualify” under the Ordinary Residence guidance.</li> </ul>	31 March 2013	16
8	Political/social /citizen Managing and working with the Social Care market.	<p>FSC adult services commissions about 90% of services from outside the Directorate. Many of them from the Private and Voluntary Sector. Although this offers efficiencies and value for money it does mean the Directorate needs the market to be buoyant to achieve best value and to give service users real choice and control</p> <p>Lack of capacity impacts on choice to support the personalisation agenda.</p> <p>Impact on P&amp;V sector if we are contracting a range of</p>	Andrew Ireland/Mark Lobban.	<ul style="list-style-type: none"> <li>A strong Strategic Commissioning and Access to Resources function across FSC to ensure KCC gets value for money – whilst maintaining productive relationships with providers.</li> <li>Regular market mapping and price increase pressure tracking.</li> <li>Procurement and Contracting Controls.</li> <li>Commissioning in partnership with key agencies (Health)</li> <li>Regular meetings with provider and trade organisations.</li> <li>A risk based approach to monitoring</li> </ul>	20	<ul style="list-style-type: none"> <li>Working with the Kent Social Care Market to be responsive to the increase in personalisation.</li> <li>Ensuring market is able to offer choice in the new market conditions opened up by personalisation</li> <li>A number of key contracts coming up for relet.</li> <li>Continued review of high cost placements in Learning Disability Services to ensure value for money.</li> </ul>	31 March 2013	16

	Risk Type (e.g. political, financial, reputational, operational) / Cause or source	Event & Consequence / Implication	Overall Risk Owner (accountable manager)	Controls in place	Current (Residual) Rating	Additional action(s) required	Review Date	Target Rating
		<p>different services in the community through personal budgets/direct payments creates a level of uncertainty for the P&amp;V sector</p> <p>Develop and promote the Children's social care market to ensure the sufficient supply to meet the needs of children in need and children in care.</p> <p>Reduction in Block Contracts changes ability to exert and influence on the market.</p>		<p>providers.</p> <ul style="list-style-type: none"> <li>Reviewing relationships with Voluntary organisations</li> <li>Commissioning Framework for children's services.</li> </ul>				
9	Technological Information Technology	<ul style="list-style-type: none"> <li>Need to ensure the information systems are fit for purpose and support business requirements. If information systems are not fit for purpose then it can impact on the business and the delivery of services.</li> </ul>	Andrew Ireland/Penny Southern/Mairead MacNeil	<ul style="list-style-type: none"> <li>In adults social care the introduction of pathfinder projects in localities to test the AIS system as an upgrade of the current SWIFT client database.</li> <li>Systems group is in place to progress and monitor developments.</li> <li>In specialist children's services the introduction of the new ICS system is being project managed.</li> <li>An ICS board has been established to oversee the procurement and integration of the new system.</li> </ul>	12	<ul style="list-style-type: none"> <li>Introduction of the new ICS system will necessitate a period of staff training and data migration.</li> <li>Issues and risks regarding the new ICS system are dealt with in the Programme Board.</li> <li>A robust project plan is in place for the delivery process.</li> </ul>	31 March 2013	6
10	Citizen/Political/ Technological Information Governance Impact of personalisation and closer joint working	<ul style="list-style-type: none"> <li>Partnership working means that client information may be shared with other organisations which may have an implication on information sharing protocols</li> <li>Risk of staff using unsecured networks as they communicate across agencies.</li> <li>The success of health and social care integration is dependent on organisations being able to share information across agency boundaries.</li> </ul>	Andrew Ireland/Anne Tidmarsh/Penny Southern/Mark Lobban	<ul style="list-style-type: none"> <li>Information sharing agreements and protocols for some specific projects are in place.</li> <li>Organisational policies on IT security and the principles of data protection.</li> <li>E- Learning training for staff to raise awareness.</li> <li>Clause in employment contracts requiring compliance with data protection requirements.</li> </ul>	12	<ul style="list-style-type: none"> <li>All projects need to have information protocols and agreements where information is to be shared across agencies.</li> <li>Need to raise awareness across staff groups.</li> <li>Complete the information governance statement of compliance – to be submitted early in 2013.</li> </ul>	31 March 2013	6
11	Professional/citizen	Impact of emergency or major business disruption on ability of the Directorate to continue to provide essential service and meet its statutory obligations.	Andrew Ireland/Penny Southern	<ul style="list-style-type: none"> <li>Business Continuity Plans in place.</li> <li>Business continuity planning forms part of the contracting arrangements with private</li> </ul>	12	<ul style="list-style-type: none"> <li>Business Continuity Risk Assessment identifies actions at Divisional level.</li> <li>Regular review and update of and</li> </ul>	31 March 2013	9

	Risk Type (e.g. political, financial, reputational, operational) / Cause or source	Event & Consequence / Implication	Overall Risk Owner (accountable manager)	Controls in place	Current (Residual) Rating	Additional action(s) required	Review Date	Target Rating
	Emergency and continuity planning			<ul style="list-style-type: none"> <li>and voluntary sector providers.</li> <li>• Good partnership working arrangements at all levels.</li> <li>• Business Impact Analysis is reviewed at least every 12 months, or when substantive changes in processes and priorities are identified.</li> </ul>		continuity plans.		
12	Operational KCC/KMPT partnership agreement	<p>Review of Community Support Services and Approved Mental Health Services to ensure the required quality of services are delivered in KMPT and the wider social care workforce.</p> <p>Failure to meet mental health statutory requirements would have legal, financial and reputational risks for the local Authority.</p>	Penny Southern	<ul style="list-style-type: none"> <li>• Improved governance and performance monitoring arrangements in place.</li> <li>• Strategic oversight by Members.</li> <li>• Work force review and appointment of safeguarding posts.</li> <li>• Joint supervision policy developed.</li> </ul>	16	<ul style="list-style-type: none"> <li>• Continued work to improve early access to mental health service to reduce the need for crisis intervention.</li> <li>• Training being provided on the Mental Capacity Act</li> </ul>	31 March 2013	6
13	Operational Preparation for Legislative Changes	<p>Care and Support Bill - Significant Implications for adult social care services – emphasis on early intervention, prevention and increasing choice and control. Likely to impact on charging – depending on response to the Dilnot Commission.</p> <p>Children and Families Bill expected to be introduced in 2013/14. Likely to impact on children’s services – assessments for children with SEN, adoption services.</p> <p>Welfare Reform Act 2012 – major overhaul of the benefits system. Likely to impact on welfare dependent people in Kent and could impact of social care service users.</p>	Andrew Ireland/Michael Thomas -Sam.	<ul style="list-style-type: none"> <li>• Following progress of the Bill.</li> <li>• Presentation to Members</li> <li>• Consideration given to Dilnot Commission recommendations.</li> <li>• Research and analysis of the implications.</li> <li>• Working with colleagues in the ELS Directorate to prepare for the changes to the SEN service and impact on commissioning.</li> <li>• Welfare Reform Implementation, Response and Monitoring Plan.</li> <li>• Analysis and research into the potential implications.</li> </ul>	16	<ul style="list-style-type: none"> <li>• To continue to monitor progress of the Bill and the Government response to the Dilnot Commission recommendations on charging for social care.</li> <li>• Further briefings and preparations as the bill progresses.</li> <li>• The principles contained in the Bill to inform the Transformation programme.</li> <li>• Further input to an SEN pathfinder project and development of a “local offer”.</li> <li>• Increase awareness of the legislation and potential implications for some service users.</li> <li>• Benefits advisors providing training for staff. Also giving advice and help with appeals for social care clients turned down for benefits.</li> </ul>	31 March 2013.	9

