



# KCC Corporate Risk Register

## SOCIAL CARE HEALTH & WELLBEING DIRECTORATE RELATED RISKS



## SOCIAL CARE HEALTH & WELLBEING Corporate Risks Summary Risk Profile

Low = 1-6
Medium = 8-15
High =16-25

Risk No.*	Risk Title	Current Risk Rating	Target Risk Rating
CRR 2	Safeguarding	15	10
CRR 9	Better Care Fund (Health & Social Care)	12	8
CRR 10(a)	Management of Adult Social Care Demand	20	12
CRR 10(b)	Management of Demand – Specialist Children’s Services	20	12
CRR 12	Welfare Reform changes	12	9
CRR 19	Implications of the Care Act 2014	15	6

\*Each risk is allocated a unique code, which is retained even if a risk is transferred off the Corporate Register. Therefore there will be some ‘gaps’ between risk IDs.

NB: Current & Target risk ratings: The ‘current’ risk rating refers to the current level of risk taking into account any mitigating controls already in place. The ‘target residual’ rating represents what is deemed to be a realistic level of risk to be achieved once any additional actions have been put in place. On some occasions the aim will be to contain risk at current level.

Likelihood & Impact Scales					
<b>Likelihood</b>	Very Unlikely (1)	Unlikely (2)	Possible (3)	Likely (4)	Very Likely (5)
<b>Impact</b>	Minor (1)	Moderate (2)	Significant (3)	Serious (4)	Major (5)

Risk ID	CRR2	Risk Title	Safeguarding			
<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 and children.		Insufficiently robust management grip, performance management or quality assurance.	Serious impact on vulnerable people. Serious impact on ability to recruit the quality of staff critical to service delivery.	Corporate Director SCHWB	Possible (3)	Major (5)
		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 exceeded its capacity and capability.	Serious operational and financial consequences. Attract possible intervention from a national regulator for failure to discharge corporate and executive responsibilities.	<b>Responsible Cabinet Member(s):</b> Specialist Children's Services	<b>Target Residual Likelihood</b> Unlikely (2)	<b>Target Residual Impact</b> Major (5)
		Insufficient rigor in maintaining threshold application/inconsistency.	Incident of serious harm or death of a vulnerable adult or child.	Adult Social Care & Public Health		
		Increase in referrals and service demand resulting in unmanageable caseloads/ workloads for social workers.				
		Decline in performance and effective service delivery leading to critical inspection findings and reputational damage				
<b>Control Title</b>				<b>Control Owner</b>		
Consistent scrutiny and performance monitoring through Divisional Management Team, District 'Deep Dives' and audit activity				Corporate Director SCHWB		
Independent scrutiny by Kent Safeguarding Children Board						
Manageable caseloads per social worker and robust caseload monitoring				Director Specialist Children's Services		
Significant ongoing work to increase rigour and managerial grip in Duty and Initial Assessment Teams				Director Specialist Children's Services		

Central Duty Service & Central Referral Unit now in place to ensure increase in consistency and threshold application.	Corporate Director SCHWB
SCHWB management team monitors social work vacancies and agrees strategies for urgent situations.	Corporate Director SCHWB
Active strategy in place to attract and recruit social workers through a variety of routes with particular emphasis on experienced social workers. Detailed programme of training.	Director Specialist Children's Services / Corporate Director Human Resources
CMT, SCHWB Directorate Management Team and the Cabinet Member for Adult Social Care & Public Health and Specialist Children's Services receive quarterly safeguarding performance reports.	Corporate Director SCHWB
Programme of internal and external audits for adult safeguarding case files with regards to SCHWB and Kent & Medway Partnership Trust (KMPT) in place. Peer reviews of safeguarding arrangements conducted by Essex County Council.	Corporate Director SCHWB
Performance management of safeguarding is part of the Improvement Plan in place between KCC (SCHWB directorate) and KMPT.	Director Learning Disability & Mental Health
SCHWB Strategic Adults Safeguarding Board provides a strategic countywide overview of adult safeguarding within SCHWB and monitors progress towards the SCHWB Strategic Adult Safeguarding action plan.	Corporate Director SCHWB
Safeguarding Vulnerable Adults (SGVA) coordinators work closely with Contracting colleagues where there are safeguarding concerns in the independent sector using 'Quality in care' framework.	Corporate Director SCHWB
Regular monitoring of SCHWB safeguarding action plan by the SCHWB Strategic Adults Safeguarding Board. Ongoing monitoring of KMPT safeguarding action plan.	Director Commissioning
SGVA Co-ordinator meetings take place on a monthly basis. These meetings are an opportunity to share best practice and raise ongoing issues. The work plan for the group continues to be monitored.	Director Commissioning
Exercise to map levels of safeguarding training completed by staff in the independent sector conducted. Providers signposted to where they can access information about safeguarding training.	Director Commissioning
Practice Development Programme in place to strengthen practice across Children and Families Team.	Director Specialist Children's Services
Long-term vision for Children's Services in KCC established.	Corporate Director SCHWB
Children's Quality Assurance Framework in place.	Director Specialist Children's Services
Ofsted action plans monitored at bi-monthly Kent Corporate Parenting Group (KCPG)/Corporate Parenting Panel (CPP) meetings	Director Specialist Children's Services

Action Title	Action Owner	Planned Completion Date
Continued work to strengthen delivery of early help, intervention and	Director Commissioning	April 2014 (review)

prevention services. Services being commissioned to phased timetable according to Commissioning and Procurement Plan Supplier Framework.		
Ongoing development of further strategies and campaigns to support recruitment so that we attract and retain high calibre social workers and managers. Use of competent agency social workers and managers on temporary basis to fill vacancies.	Corporate Director SCHWB / Corporate Director Human Resources	April 2014 (review)
A structured mechanism for feeding back lessons learnt from assessment, regulation and inspection needs to be implemented.	Director Specialist Children's Services	April 2014 (review)
Feed any outstanding work actions from the Ofsted Action Plans/ Children's (social care) Transformation programme (which combines continued improvement with efficiency) into business as usual.	Director Specialist Children's Services	September 2014
Implementation of transformation programme for children's services, including Social Work Contract Programme.	Director Specialist Children's Services	September 2014 (review)

<b>Risk ID CRR9</b>	<b>Risk Title</b>	<b>Better Care Fund (Health &amp; Social Care Integration)</b>				
	<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>
	<p>The Health &amp; Social Care Act came into effect in April 2013 giving KCC, as an upper tier Authority, a new duty to take appropriate steps to improve and protect the health of the local population.</p> <p>The Government's spending review in June 2013 announced an Integration Transformation Fund (now relabeled Better Care Fund), which provides an opportunity to create a shared plan for health &amp; social care activity and expenditure.</p> <p>The plan for 2015/16 needs to start in 2014 and form part of a five-year strategy for health &amp; social care.</p> <p>A fully integrated service calls for a step change in current arrangements to share information, staff, money and risk.</p> <p>There are a number of national conditions attached to the Fund.</p>	<p>Service delivery requirements suffer during the major integration programme.</p> <p>Failure to maximise opportunities presented for health &amp; social care integration, and ensure changes achieve maximum impact.</p> <p>Governance arrangements for pooled budgets unclear.</p>	<p>Ineffective health and social care provision for citizens of Kent.</p> <p>Business Continuity issues due to delay in the development and management of essential new complex partnerships between KCC and the NHS.</p>	<p>Corporate Director SCHWB</p> <p><b>Responsible Cabinet Member(s):</b></p> <p>Education &amp; Health Reform</p> <p>Adult Social Care &amp; Public Health</p>	<p>Possible (3)</p> <p><b>Target Residual Likelihood</b></p> <p>Unlikely (2)</p>	<p>Serious (4)</p> <p><b>Target Residual Impact</b></p> <p>Serious (4)</p>
	<b>Control Title</b>					<b>Control Owner</b>
	KCC has designated Cabinet Portfolio Holders for Public Health and Health Reform, who have assumed central roles at strategic level					Leader of the Council
	Quality and Safety Assurance Framework drafted for Public Health					Director Public Health
	Health & Wellbeing Board and CCG-level Health & Wellbeing Board sub-committees established					Cabinet Member for Education & Health Reform
	Health Protection Committee established with Directors of Public Health in Kent & Medway as Chairs					Director Public Health

Joint Commissioning Board Strategy & Commissioning plans established with Clinical Commissioning Groups	Director Commissioning	
Public Health Steering Group established	Director Public Health	
Agreement for Communications support in the event of a public health emergency	Head of External Communications	
Kent chosen as one of 14 pioneers of health & social care integration in the UK	Corporate Director SCHWB (KCC lead)	
Integration Pioneer Steering Group established as an informal group of the Health & Wellbeing Board to provide strategic direction and oversee successful delivery of health & social care in Kent	Director Older People & Physical Disability (KCC lead)	
Shared Clinical Commissioning Group and KC integrated health and social care commissioning plan approved	Corporate Director SCHWB	
<b>Action Title</b>	<b>Action Owner</b>	<b>Planned Completion Date</b>
Alignment of the Adult Social Care Transformation Programme with Commissioning plans of Clinical Commissioning Groups (CCGs)	Corporate Director SCHWB Director Older People & Physical Disability	July 2014 (review)
Engage and work with the Kent CCGs on both adult and children's health services	Corporate Director SCHWB	July 2014 (review)
Clarify governance arrangements for pooled budgets with Clinical Commissioning Groups via the Health & Wellbeing Board	Corporate Director SCHWB (KCC lead)	August 2014
KCC/CCG stakeholder event to be held	Corporate Director SCHWB (KCC lead)	July 2014
Further integrated plan update to be submitted to the September Health and Wellbeing Board	Corporate Director SCHWB	September 2014



<b>Risk ID CRR10(a)</b>	<b>Risk Title</b>	<b>Management of Adult Social Care Demand</b>				
<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>	
Adult social care services across the country are facing growing pressures. Overall demand for adult social care services in Kent continues to increase due to factors such as increasing numbers of young adults with long-term complex care needs and Ordinary Residence issues.  This is all to be managed against a backdrop of reductions in Government funding, implications arising from the implementation of the Care Bill, a recent Supreme Court ruling that may lead to increases in Deprivation of Liberty Assessments and longer term demographic pressures.	Council is unable to manage and resource to future demand and its services consequently do not meet future statutory obligations and/or customer expectations.	Customer dissatisfaction with service provision.  Increased and unplanned pressure on resources.  Decline in performance.  Legal challenge resulting in adverse reputational damage to the Council.  Financial pressures on other council services.	Corporate Director SCHWB  <b>Responsible Cabinet Member(s):</b>  Adult Social Care & Public Health	Likely (4)  <b>Target Residual Likelihood</b> Possible (3)	Major (5)  <b>Target Residual Impact</b> Serious (4)	
<b>Control Title</b>			<b>Control Owner</b>			
Analysis and refreshing of forecasts to maintain the level of understanding which feeds into the relevant areas of the MTFP and the business planning process			Corporate Director SCHWB / Director Commissioning			
Implementation of Adults Transformation partnership programme underway including: Care Pathways, Commissioning & Procurement and Optimisation			Director Commissioning/Director Older People & Physical Disability/Director Learning Disability & Mental Health			
Monitoring, vigilance and challenge regarding the placement of Adults into Kent by other local authorities.			Director Commissioning			
Lobby the Treasury to investigate Ordinary Residence matters in more detail as a national funding issue.			Corporate Director Finance & Procurement			
Legal Services are engaged where required to support KCC when challenging other Authorities to accept Ordinary Residence re: responsibilities			Director Learning Disability & Mental Health			
Benefits of enablement support to existing and potential service users, their families and key partners being marketed. Work is linked into the Adult Transformation Programme and ensure there is sufficient capacity in the market to provide			Director Commissioning			

Enablement Services		
Joint commissioning of services with health, in particular for people with dementia, long term conditions and for carers (links to Better Care Fund – see Risk CRR9).	Director Commissioning Director Older People & Physical Disability	
Utilise opportunities to make contracting and procurement controls drive value for money further	Director Commissioning	
Develop better understanding of demand profile and respond as early as possible to have the greatest impact on demand management	Director Commissioning	
Continued drive to maximise the use of Telecare as part of the mainstream community care services	Director Older People & Physical Disability and Director Learning Disability and Mental Health	
Maintain the use of appropriate tools to obtain value for money in relation to the commissioning of expensive specialist residential accommodation	Director Commissioning	
Health & Social Care Integration Programme in place with a strategic objective of proactively tackling demand for health & social care services	Director Older People & Physical Disability	
Risk stratification tools devised. Now being used by GP's	Director Older People & Physical Disability	
Briefings being provided in relation to key elements of the Care Bill and their potential implications for KCC	Strategic Business Advisor, SCHWB	
Care Bill Preparation Programme established as part of the Adults Transformation Change Portfolio to ensure implementation of Care Bill	Strategic Business Advisor, SCHWB	
Twice-yearly Adults Transformation progress updates reported to Cabinet Committee	Director Commissioning	
Continued support for investment in preventative services through voluntary sector partners	Director Commissioning	
Briefings on implications of Supreme Court ruling relating to Deprivation of Liberty Assessments issued	Corporate Director SCHWB	
<b>Action Title</b>	<b>Action Owner</b>	<b>Planned Completion Date</b>
Public Health & Social Care to ensure effective provision of information, advice and guidance to all potential and existing service users, and to promote self management to reduce dependency	Director Public Health / Director Older People and Physical Disability Services	July 2014 (review)
Tracking and monitoring impact of delivery of Adult Social Care Transformation Programme	Corporate Director SCHWB	September 2014 (review)
Detailed Care Bill Programme plan to be completed for approval by the Adults Transformation Board	Strategic Business Advisor, SCHWB	June 2014

Initial analysis being conducted to identify likely extent of demand for  
Deprivation of Liberty Assessments

Director Commissioning

June 2014

Risk ID CRR10(b)	Risk Title Management of Demand – Specialist Children’s Services
<p><b>Source / Cause of Risk</b></p> <p>Local Authorities continue to face increasing demand for specialist children’s services due to a variety of factors, including consequences of highly publicised child protection incidents and serious case reviews, and policy/legislative changes.</p> <p>At a local level KCC is faced with additional demand challenges such as those associated with significant numbers of Unaccompanied Asylum Seeking Children (UASC) There are also particular ‘pressure points’ in several districts.</p> <p>These challenges need to be met as specialist children’s services face increasingly difficult financial circumstances and operational challenges such as recruitment and retention of permanent qualified social workers.</p>	<p><b>Risk Event</b></p> <p>High volumes of work flow into specialist children’s services leading to unsustainable pressure being exerted on the service.</p> <p><b>Consequence</b></p> <p>Additional financial pressures placed on other parts of the Authority at a time of severely diminishing resources.</p> <p>Children’s services performance declines as demands become unmanageable.</p> <p>Failure to deliver statutory obligations and duties or achieve social value.</p> <p>Ultimately an impact on outcomes for children, young people and their families.</p> <p><b>Risk Owner</b></p> <p>Corporate Director SCHWB</p> <p>Corporate Director EYPS</p> <p><b>Responsible Cabinet Member(s):</b></p> <p>Specialist Children’s Services</p>
<b>Control Title</b>	<b>Control Owner</b>
Analysis and refreshing of forecasts to maintain the level of understanding which feeds into the relevant areas of the MTFP and the business planning process	Corporate Director SCHWB / Director Commissioning
Kent Integrated Adolescent Support Service (KIASS) aims to reduce demands by enabling swift access to specific additional and early help, particularly for the most disadvantaged and vulnerable young people, to meet their needs quickly and flexibly.	Corporate Director Education and Young People Services
Plans developed to appropriately manage the number of children in care	Director Specialist Children’s Services
Intensive focus on ensuring early help to reduce the need for specialist children’s support services.	Corporate Director EYPS / Corporate Director SCHWB
Utilise opportunities to make contracting and procurement controls drive value for money further	Director Commissioning
Continued support for investment in preventative services through voluntary sector partners	Director Commissioning

Maintain the use of appropriate tools to obtain value for money in relation to the commissioning of expensive specialist residential and independent fostering accommodation		Director Commissioning
Action Title	Action Owner	Planned Completion Date
Ensure the appropriate number of looked after children in care (subject to continual monitoring) including ensuring appropriate thresholds for intervention	Director Specialist Children's Services	September 2014 (review)
Ensure that children in care receive appropriate levels of support and services through effective multi-agency intervention that is responsive to their needs.	Director Specialist Children's Services	July 2014 (review)
Implement a programme of work to deliver integrated, early help and prevention service for the 0-19s and their families that is streamlined, responsive and effective in terms of reducing demand for acute services and managing need at the appropriate level/tier of support.	Corporate Directors SCHWB and EYPS	September 2014 (review)
Diagnostic work for children's services being conducted with aid of efficiency partner	Director Specialist Children's Services	August 2014 (review)

Risk ID CRR 12	Risk Title Welfare Reform changes						
Source / Cause of Risk	Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact	Target Residual Likelihood	Target Residual Impact
<p>The Welfare Reform Act 2012 put into law many of the proposals set out in the 2010 white paper <i>Universal Credit: Welfare that Works</i>. It aims to bring about a major overhaul of the benefits system and the transference of significant centralised responsibilities to local authorities.</p> <p>KCC needs to be prepared to manage the uncertain affects and outcomes that the changes may have on the people of Kent.</p>	<p>The impact of the reforms in regions outside of Kent could trigger the influx of significant numbers of 'Welfare' dependent peoples to Kent.</p> <p>Failure to plan appropriately to deal with potential consequences.</p> <p>The financial models and budgets and funding sources underpinning the new schemes prove to be inadequate and allocation of payments and grants has to become prioritised against more challenging criteria.</p>	<p>Failure to meet statutory obligations.</p> <p>Ineffective delivery of schemes and operations to customers compounds demand on KCC and partner services.</p> <p>An increase in households falling below poverty thresholds with vulnerable people becoming exposed to greater risk.</p> <p>New schemes and operations are undermined by a negative impact on Kent's demographic profile.</p> <p>Insufficient employment to meet additional demand and to fill the public's 'funding gap' places additional challenges for adult and child safeguarding and demand for social support.</p> <p>Increasing deprivation leads to increase in social unrest and criminal activity.</p>	<p>Corporate Director SCHWB</p> <p><b>Responsible Cabinet Member(s):</b></p> <p>Adult Social Care &amp; Public Health</p>	<p>Possible (3)</p> <p>Possible (3)</p>	<p>Serious (4)</p> <p>Significant (3)</p>		
Control Title				Control Owner			
Welfare Reform sub-group of Kent Chief Execs Group in place							
Regular reporting to Corporate Board and Policy & Resources Cabinet Committee				Head of Policy & Strategic Relationships			
Key work streams and outputs to prepare for changes identified and detailed in a Welfare Reform Implementation,				Head of Policy & Strategic			

Response and Monitoring Plan	Relationships / Head of Business Intelligence	
Ongoing analysis of impacts conducted by Policy & Strategic Relationships and Business Intelligence teams plus external partners to give an indication of scale of implications of reforms. Mechanism developed to track benefit migration into Kent.	Head of Business Intelligence / Head of Policy & Strategic Relationships	
Six-monthly in-depth research updates produced to aid monitoring of potential impacts	Head of Policy & Strategic Relationships & Head of Business Intelligence	
Briefings given to Managers and staff in SCHWB directorate to raise awareness of potential implications of changes	Policy Manager, Strategic & Corporate Services & Benefits Manager, Finance	
Council Tax Benefit Localisation scheme in place	Head of Financial Strategy	
Kent Support and Assistance Service pilot scheme operating	Cabinet Member Adult Social Care & Public Health	
Contacts established with other Local Authorities and interested partners to share intelligence	Research & Evaluation Manager	
<b>Action Title</b>	<b>Action Owner</b>	<b>Planned Completion Date</b>
Universal Credit – Local Support Service Framework (LSSF) Continue work with DWP to establish local delivery aspects in terms of face-to-face support	Head of Customer Contact	September 2014 (review)
Close monitoring of demand and performance of Kent Support and Assistance Service (localised social fund) to inform planning of future programme	Director Commissioning SCHWB	May 2014(review)

<b>Risk ID</b>	<b>CRR 19</b>	<b>Risk Title</b>	<b>Implications of the Care Act 2014</b>			
<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 Care Act 2014 establishes a new legal framework for care and support services. The new law marks the biggest change to care and support law in England since 1948. The changes will have significant implications for Kent residents and Kent County Council, in terms of both opportunities and risks.	Costs of implementation may not be fully funded.	Additional financial pressure	Corporate Director Social Care Health & Wellbeing	Possible (3)	Major (5)	
	The effect of the changes in law on the existing cost differential between the Local Authority and a self-funder may erode.	Increase in demand for services in addition to existing demand pressures (see CRR 10a risk)	<b>Responsible Cabinet Member(s):</b>	<b>Target Residual Likelihood</b>	<b>Target Residual Impact</b>	
	Significant increase in people coming forward for care and financial assessments.	Confusion and dissatisfaction of residents and potential service users	Adult Social Care and Public Health	Unlikely (2)	Significant (3)	
	The public may not understand the reforms.					
	Appropriate systems enhancement may not be completed within 2016 timescales					
<b>Control Title</b>			<b>Control Owner</b>			
Care Act Programme established to ensure KCC is well placed to deliver its new responsibilities and that Kent residents who need social care, their carers and local providers are able to take advantage of the developments coming. Programme Board contains representatives from across KCC and efficiency partner.			Corporate Director Social Care Health & Wellbeing (SCHWB)			
Adults Transformation Board to oversee the Care Act Programme, setting direction, approving decisions and ensuring successful implementation			Corporate Director SCHWB			
Care Act Programme is part of the wider Adults Transformation Change Portfolio to ensure appropriate linkages with other programmes in the portfolio, ensuring that they are "Care Act proof".			Corporate Director SCHWB			
Regular briefings for elected Members and other stakeholders being held			Care Act Policy Lead Manager			
<b>Action Title</b>		<b>Action Owner</b>		<b>Planned Completion Date</b>		
<b>Outline Programme Plan in place including a number of projects:</b>						
Costs modelling – to ensure that KCC has a full understanding of the total costs involved in implementing the Care Act		Finance Business Partner / Principal Accountant (Projects)		September 2014		



Communications – to provide clear and accurate communication to inform the public, service staff and providers about forthcoming changes	Communications Account Manager, Social Care	October 2014 (review)
Workforce capacity, planning and training – ensuring the necessary capacity and that all relevant staff receive appropriate training prior to implementation	Professional Development Advisor, Social Care	January 2015
Commissioning – ensuring that duties regarding preventative services, information & advice, independent advocacy, the facilitation of independent financial advice and oversight of care markets are implemented	Head of Commissioning (Community Support) / Head of Commissioning (Accommodation solutions)	January 2015
Financial assessment and charging – to address the changes in assessment, including the residential means-test threshold, and changes to charging, including the extension of powers to charge	Assessment & Income Client Services Manager	November 2014
Safeguarding – to address safeguarding aspects of the Care Act, including making arrangements for the Adult Safeguarding Board	Head of Adult Safeguarding	November 2014
IT and information systems – to provide effective and timely changes to IT and finance systems	ICT Applications Team Manager	July 2014 (review)
Detailed programme plan to be submitted to Adults Transformation Board	Care Act Programme Manager	July 2014