

Social Care Health and Wellbeing

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Risk	Risk Types	Source/Cause of Risk	Risk Event	Consequence	Risk Owners	RiskLevel	Target Risk Level
SCHW 01 Transformation of adult social care services	Financial Operational Strategic	Transformation of adult social care services.	The transformation programme is being implemented in adult social care. Adopting new ways of working and implementing a programme of significant change is not without risk. Significant savings need to be made and carrying out the transformation is a demand on resources. If the transformation programme does not meet targets then this will lead to further pressures on the service and on budgets.	If the transformation programme does not meet targets this will lead to significant pressures on the service and on the directorate and local authority budgets. How the phases of the Transformation Programme are managed and implemented is crucial as it has a major impact on the service.	Andrew Ireland; Mark Lobban	H16	M9

Controls

Control	Control Measure Description	Control Owner
Governance Arrangements	A Transformation Portfolio Board is established with agreed Governance arrangements. As part of phase two there is a proposal to have a project management element to ensure the right change initiatives are being delivered in the right way.	Andrew Ireland Mark Lobban
Oversight and monitoring in place Reporting	Oversight and monitoring by Transformation Advisory Group Programme Board, Budget board and Cabinet. 6 monthly reporting to Cabinet Committee and monthly programme reporting to portfolio board and TAG.	Andrew Ireland Mark Lobban
Separate risk register for Transformation. Support of Efficiency partner.	There is a separate risk register and issues log at portfolio, programme and project levels. Support of Efficiency partner with diagnostics, design and implementation of the Transformation agenda.	Andrew Ireland Mark Lobban
Transformation Programme in place	Transformation Programme in place with links and interdependencies with the KCC Transformation /Facing the Challenge Programme.	Andrew Ireland Mark Lobban

Actions

Risk	Risk Types	Source/Cause of Risk	Risk Event	Consequence	Risk Owners	RiskLevel	Target Risk
	Action Plan Description		Action Plan Type	Action Plan Owner	Action Date		
Communication	Ensure effective two way communication re the Transformation Programme. Need to ensure staff are informed and there is "ownership" of the message. A 6 weekly communication bulletin is produced and disseminated.		Accepted	Mark Lobban	01/10/2014		
Efficiency Partner	On going work with an Efficiency Partner		Accepted	Mark Lobban	01/10/2014		
Implementation	Implementation and roll out phase of Transformation: Optimisation, Care Pathways, Commissioning. Roll out of "Sandbox" methodology. Handover to business as usual to ensure the continued realisation of the benefits of the changes made.		Accepted	Anne Tidmarsh	01/10/2014		
Manage the interdependencies.	Manage the interdependencies and relationship between transformation and other Corporate and Directorate programmes.		Accepted	Andrew Ireland	01/10/2014		
Phase 2 design	Working with Newton Europe on the design of Phase 2. Assessments completed and assured by a Facing the Challenge Checkpoint Team. The Business Case for phase 2 to be considered at a Portfolio Board in September. Decision required before Newton Europe can start work on the design.		Accepted	Mark Lobban	31/03/2015		

Risk	Risk Types	Source/Cause of Risk	Risk Event	Consequence	Risk Owners	RiskLevel	Target Risk
SCHW 02 Transformation of children's services	Political Operational	Transformation of children's services	SCS Transformation to make continuous improvements to services for vulnerable children and young people in Kent.	Failing to Transform and Continuously improve services could adversely impact on vulnerable children and young people	Andrew Ireland; Philip Segurola	M9	L6

Controls

Control	Control Measure Description	Control Owner
Frameworks in place	Performance framework, operational framework, quality assurance framework and early intervention and prevention strategy in place.	Andrew Ireland Philip Segurola
Practice Development Programme	Practice Development Programme rolled out including masterclasses/training. Programme being evaluated.	Andrew Ireland Philip Segurola
Robust performance monitoring	Robust performance monitoring	Andrew Ireland Philip Segurola
SCS Transformation.	Children's Transformation is part of the over-arching cross-directorate 0-25 Portfolio. Children's Transformation is underpinned by the Social Work Contract, and all activity is robustly monitored via SCS Div Mt and the Children's Transformation Board. The Social Work contract is being implemented via a "workforce optimisation" workstream of children's transformation.	Andrew Ireland Philip Segurola

Actions

	Action Plan Description	Action Plan Type	Action Plan Owner	Action Date
Audits	Rolling programme of audits of services. Peer review audits re children in need. Track progress against previous audits. Results presented to SCS Div MT.	Accepted	Philip Segurola	31/10/2014
Recruitment.	Recruitment to permanent Social work and Management vacancies. New website produced, recruitment events.	Accepted	Andrew Ireland	01/10/2014
SCS Transformation Programme.	Needs to be clear links between Transformation and Prevention. Support of Newton-Europe as an Efficiency Partner.	Accepted	Philip Segurola	01/10/2014

Risk	Risk Types	Source/Cause of Risk	Risk Event	Consequence	Risk Owners	RiskLevel	Target Risk
SCHW 03 Safeguarding - Protecting vulnerable children and adults	Political Operational Reputational	Safeguarding - Protecting vulnerable children and adults.	The Council must fulfill its statutory obligations to effectively safeguard vulnerable children and adults.	Its ability to fulfill 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.	Andrew Ireland; Mark Lobban; Philip Segurola; Penny Southern; Anne Tidmarsh	H16	M9

Controls

Control	Control Measure Description	Control Owner
Capability Framework	A tender process taking place to supply a capability framework for safeguarding and MCA for adult social care. This will revise the training for staff and ensure it is consistent with changes associated with the Care Act.	Mark Lobban Penny Southern Anne Tidmarsh
Deep Dives	Deep dives for constructive challenge by Senior Managers of front line services. More Deep dives planned.	Andrew Ireland
Extensive Staff Training	Extensive Staff Training. In SCS a Capability Framework to be launched with a Safeguarding element.	Andrew Ireland Mark Lobban Philip Segurola Penny Southern Anne Tidmarsh
Multi-agency working.	Multi-agency public protection arrangements in place.	Andrew Ireland Mark Lobban Philip Segurola Penny Southern Anne Tidmarsh
OPPD Safeguarding Improvement Plan	OPPD Safeguarding Improvement Plans in place	Andrew Ireland Mark Lobban Philip Segurola Penny Southern Anne Tidmarsh
Regular Reporting on Safeguarding.	Quarterly reporting to Directors and Cabinet Members and Annual Report for Members	Andrew Ireland Mark Lobban Philip Segurola Penny Southern Anne Tidmarsh
Safeguarding Boards	Safeguarding Boards in place for children's and for adult social care services, providing a strategic countywide overview across agencies.	Andrew Ireland Mark Lobban Philip Segurola Penny Southern Anne Tidmarsh
Scrutiny and Performance monitoring.	consistent scrutiny and performance monitoring through Divisional Management Teams, Deep Dives and audit activity.	Andrew Ireland Mark Lobban Philip Segurola Penny Southern Anne Tidmarsh
Transformation Plan in SCS	Children's Transformation Plan in SCS part of the wider 0 to 25 Portfolio.	Andrew Ireland Philip Segurola
Winterbourne	In Kent a joint Kent Winterbourne Steering Group has been established to learn the lessons from Winterbourne. The Steering group has established its own risk register and action plan.	Penny Southern

Risk	Risk Types	Source/Cause of Risk	Risk Event	Consequence	Risk Owners	RiskLevel	Target Risk
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Actions

	Action Plan Description	Action Plan Type	Action Plan Owner	Action Date
Audit feedback sessions	Audit feedback sessions taking place.	Accepted	Andrew Ireland	01/10/2014
Capability Framework	Preparation for the introduction of a Capability Framework for safeguarding and MCA in adult social care.	Accepted	Mark Lobban	31/12/2014
Cross-County file audits	Cross-County file audits	Accepted	Andrew Ireland	01/10/2014
Internal Audit (adult safeguarding practices).	Implement the outcomes of the internal audit report (adult services). Has been through the assurance processes and actions to be included in the Safeguarding Action Plans.	Accepted	Mark Lobban	01/09/2014
Practice development programme to strengthen practice across children and families	Practice development programme to strengthen practice across children and families. Delivery of Phase 4 Improvement Plan Actions.	Accepted	Andrew Ireland	30/09/2014
Recruitment programme	Active recruitment programme in place to attract and retain high calibre social workers and managers	Accepted	Andrew Ireland	01/10/2014
Safeguarding training for the relevant staff.	Ongoing provision of safeguarding training for the relevant staff.	Accepted	Andrew Ireland	01/10/2014
Transformation in SCS	Transformation in SCS to get the business processes right to assist practitioners.	Accepted	Philip Segurola	01/10/2014

Risk	Risk Types	Source/Cause of Risk	Risk Event	Consequence	Risk Owners	RiskLevel	Target Risk
SCHW 04 Austerity and pressures on public sector funding	Financial Operational Reputational	Austerity and pressures on public sector funding impacting on capital and revenue budgets.	Public sector finance pressures and the need to achieve significant efficiencies for foreseeable future impacting on capital and revenue budgets. Partner organisations and private sector providers also experiencing funding challenges potentially putting joint working at risk. Increased stress on some families due to financial pressures.	Major funding pressures impact on the delivery of social care services. The capital strategy putting specific projects at risk.	Michelle Goldsmith; Andrew Ireland	H25	H16

Controls

Control	Control Measure Description	Control Owner
More efficient use of assistive technology	More efficient use of assistive technology	Michelle Goldsmith Andrew Ireland Mark Lobban Penny Southern Anne Tidmarsh
Robust debt monitoring	Robust debt monitoring	Michelle Goldsmith Andrew Ireland
Robust financial and activity monitoring. SCS Transformation Board	Robust financial and activity monitoring regularly reported to DMT and budget reporting within the Div MTs Children's Transformation Board has been given a wider scope /TOR to include improvement of Business as usual functions. To manage budget reductions including care cost reduction and placement reconfiguration and improve business processes.	Michelle Goldsmith Andrew Ireland Philip Segurola
Strategic Priority Plans.	Strategic Priority Plans in place for 2014/15 along with Divisional Plans.	Andrew Ireland
Transformation programme	Transformation programme to ensure efficiencies and the best use of available resources.	Michelle Goldsmith Andrew Ireland Mark Lobban Penny Southern Anne Tidmarsh

Actions

	Action Plan Description	Action Plan Type	Action Plan Owner	Action Date
Building community capacity	Building community capacity. In LD services the GDP programme moving from segregated facilities to inclusive settings with partners.	Accepted	Andrew Ireland	01/10/2014

Risk	Risk Types	Source/Cause of Risk	Risk Event	Consequence	Risk Owners	RiskLevel	Target Risk
	Action Plan Description		Action Plan Type	Action Plan Owner	Action Date		
Business Plans for capital projects.	Business Plans for specific LD capital projects to demonstrate the efficiencies and value.		Accepted	Penny Southern	01/10/2014		
Commissioning arrangements	Developing robust commissioning arrangements to manage /shape the social care market.		Accepted	Mark Lobban	01/10/2014		
Continue to work innovatively with partners to identify any efficiencies.	Continue to work innovatively with partners, including health services, to identify any efficiencies.		Accepted	Andrew Ireland	01/10/2014		
Development of appropriate incentives within the commissioning framework	Development of appropriate incentives within the commissioning framework		Accepted	Mark Lobban	01/10/2014		
Focus on prevention, enablement and independence for vulnerable adults.	Focus on prevention, enablement and independence for vulnerable adults.		Accepted	Andrew Ireland	01/10/2014		
High Cost Placements	Continue to review and ensure value for money from residential and IFA placements.		Accepted	Mark Lobban	01/10/2014		
SCS Transformation Board.	SCS Transformation Board. To continue to manage budget reductions including care cost reduction and placement reconfiguration. Improve business processes		Accepted	Philip Segurolo	01/10/2014		
Transformation and modernisation agenda	Continued drive to deliver efficient and effective services through transformation and modernisation agenda.		Accepted	Andrew Ireland	01/10/2014		

Risk	Risk Types	Source/Cause of Risk	Risk Event	Consequence	Risk Owners	RiskLevel	Target Risk
SCHW 05 Health and Social Care integration Pioneer and BCF	Political Operational Strategic Reputational	Health and Social Care integration	Strategic developments and changing processes to develop integrated services will have a significant impact on ways of working.	This is a major strategic development that will impact on ways of working and the delivery of services.	Anne Tidmarsh	M12	L6

Controls

Control	Control Measure Description	Control Owner
Better Care Fund	The Better Care Fund will help the integration programme and the development of joined up working and commissioning.	Anne Tidmarsh
Integrated Care and Support Pioneer.	Kent is one of the 14 Integrated Care and Support Pioneers. This is giving renewed impetus to the integration programme in Kent. An Integration Pioneer Steering Group is in place.	Anne Tidmarsh
Local Delivery Groups.	Local Better Care Fund delivery groups in place covering the CCG areas. Locality action plans in place.	Anne Tidmarsh
Programme management.	Programme management arrangements in place with a Programme Plan and local action plans based on the Programme Plan.	Anne Tidmarsh
Reporting Arrangements in place.	Reporting and inputting to Transformation Board but also to Health and Well Being Boards, and CCG based programme boards for BCF delivery programmes.	Anne Tidmarsh

Actions

	Action Plan Description	Action Plan Type	Action Plan Owner	Action Date
Agreeing integrated performance measure and monitoring	Developing integrated performance measures and monitoring	Accepted	Anne Tidmarsh	01/10/2014
BCF Delivery	Local BCF delivery groups working on local action plans.	Accepted	Anne Tidmarsh	01/10/2014
Better Care Fund	The Better Care Fund plan has been produced and agreed by the Health and Wellbeing Board and submitted to NHS England. A further update required by the Health and Wellbeing Board for September 2014.	Proposed	Jo Frazer	30/09/2014
Connectivity of information systems	Working towards greater Connectivity of information systems via a shared Care plan.	Accepted	Anne Tidmarsh	01/10/2014
Joint work with CCGs	Work closely with the CCGs to focus on long term conditions to improve people's ability to self care.	Accepted	Anne Tidmarsh	01/10/2014
Pioneer Status	Kent has Pioneer Status for Health and Social Care Integration. This will widen the integration programme to include commissioning and provision. Further work to be done to develop and take forward the integration programme and wider Pioneer work.	Accepted	Anne Tidmarsh	01/10/2014

Risk	Risk Types	Source/Cause of Risk	Risk Event	Consequence	Risk Owners	RiskLevel	Target Risk
SCHW 06 Health and Social Care Act 2012	Financial Operational Legal Strategic	Health and Social Care Act 2012	Working arrangements and health architecture following the Health and Social Care Act.	Significant implications for the delivery and provision of social care and health. Emergence of Clinical Commissioning Groups and the transfer of public health functions to Local authorities has required building new relationships and working arrangements. Could be increased diversity of practices to reflect the CCG areas. Possible implications for Section 75 agreements. Risks of potential cost shunting.	Andrew Ireland; Mark Lobban; Penny Southern; Anne Tidmarsh	M12	M9

Controls

Control	Control Measure Description	Control Owner
Close working at leadership level	Close working at leadership level seeking to build a shared transformation plan. Health and Well Being Board in place. FSC Directors meet with the CCG Accountable Officers.	Andrew Ireland Mark Lobban Philip Segurolo Penny Southern Anne Tidmarsh
Existing partnership working with Health	Existing partnership working and joint initiatives with Health which are leading to shared improvements.	Andrew Ireland Mark Lobban Philip Segurolo Penny Southern Anne Tidmarsh
JSNA to support health and social care commissioning	JSNA to support health and social care commissioning	Andrew Ireland Mark Lobban Philip Segurolo Penny Southern Anne Tidmarsh
Maintain close links with commissioners	Maintain close links with commissioners to ensure application of continuing health care and Section 117 arrangements.	Andrew Ireland Mark Lobban Philip Segurolo Penny Southern Anne Tidmarsh
Potential Cost Shunting	Ensure adherence to CHC framework. Monitor joint working arrangements.	Mark Lobban Philip Segurolo Penny Southern Anne Tidmarsh
Review of locality boundaries	Restructure of OPPD boundaries and restructure of teams in progress.	Anne Tidmarsh
Section 75 agreements.	Ensure Section 75 agreements are monitored in new arrangements.	Mark Lobban Philip Segurolo Penny Southern Anne Tidmarsh

Risk	Risk Types	Source/Cause of Risk	Risk Event	Consequence	Risk Owners	RiskLevel	Target Risk
Actions							
	Action Plan Description		Action Plan Type	Action Plan Owner	Action Date		
Alignment of the commissioning plans	Alignment of the commissioning plans for SC and Clinical Commissioning Groups. Use of the Health and Well Being Strategy.		Accepted	Andrew Ireland	01/10/2014		
Continued joint working with Health	Continued joint working with Health following the changes to the health architecture. Working with the CCGs and other health providers.		Accepted	Andrew Ireland	01/10/2014		
OPPD boundary realignment.	OPPD boundary realignment work taking place on phased basis to align boundaries with CCGs.		Accepted	Anne Tidmarsh	01/10/2014		
PHBs - Section 75 Agreement	A new Section 75 agreement produced including Personal Health Budgets. To implement the new agreement subject to approvals.		Accepted	Anne Tidmarsh	01/10/2014		

Risk	Risk Types	Source/Cause of Risk	Risk Event	Consequence	Risk Owners	RiskLevel	Target Risk
SCHW 07 Increasing demand for social care services	Financial Operational Reputational	Risk that demand will outstrip available resources.	Risk that demand will outstrip available resources. Fulfilling statutory obligations and duties becomes increasingly difficult against rising expectations. 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. Austerity potentially leads to more stress, family breakdown and need for support from specialist children's services. More reliance on informal carers leads to strain on families and individuals	Austerity potentially leads to more stress, family breakdown and need for support from specialist children's services. More reliance on informal carers leads to strain on families and individuals	Andrew Ireland; Mark Lobban; Penny Southern; Anne Tidmarsh	H20	H16

Controls

Control	Control Measure Description	Control Owner
Community Capacity	Developing community capacity	Andrew Ireland
Continue to explore roles and functions	Continue to explore roles and functions	Andrew Ireland Mark Lobban Penny Southern Anne Tidmarsh
Contracting and Procurement controls	Contracting and Procurement controls	Andrew Ireland Mark Lobban Penny Southern Anne Tidmarsh
Early intervention and Preventative services	Early intervention and Preventative services aimed at reducing demand-enablement, fast track minor equipment, short term care with step down and step up support.	Andrew Ireland Mark Lobban Penny Southern Anne Tidmarsh
Joint planning and commissioning with partners	Joint planning and commissioning with partners	Andrew Ireland Mark Lobban Penny Southern Anne Tidmarsh
Modernisation of older peoples and Learning Disability Services	Modernisation of older peoples and learning disability services	Andrew Ireland Mark Lobban Penny Southern Anne Tidmarsh
Representation being made regarding persons being placed into Kent.	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.	Andrew Ireland Philip Segurola Penny Southern

Risk	Risk Types	Source/Cause of Risk	Risk Event	Consequence	Risk Owners	RiskLevel	Target Risk
Control	Control Measure Description		Control Owner				
Robust reporting and analysis to DMT and Business Planning	Robust reporting and analysis to DMT and Business Planning		Andrew Ireland Mark Lobban Penny Southern Anne Tidmarsh				
Transformation Programme	Implementation of Adults Transformation Programme underway including: Care Pathways, Commissioning and Procurement and Optimisation.		Andrew Ireland Mark Lobban Penny Southern Anne Tidmarsh				

Actions

	Action Plan Description	Action Plan Type	Action Plan Owner	Action Date
Adult social care Transformation Programme	Adult social care Transformation Programme - tracking and monitoring the impact of delivery -on going.	Accepted	Andrew Ireland	01/10/2014
Assistive Technology (Telecare)	Continued use and development of Assistive Technology (Telecare). Extend scope of Telecare.	Accepted	Andrew Ireland	01/10/2014
Continue to invest in preventative services	Continue to invest in preventative services through voluntary sector partners.	Accepted	Andrew Ireland	01/10/2014
Managing prices:	Managing Prices: Re-tendering for home Care and Residential Care.	Accepted	Mark Lobban	01/10/2014
Modernisation of Services	Continued modernisation of Older People Services and of Learning Disability Day Services through the Good Day Programme.	Accepted	Andrew Ireland	01/10/2014
monitoring demand	to monitor demand for services including new referrals and people requiring services for longer -often with complex needs.	Proposed	Penny Southern	01/10/2014
Ordinary Residence	Checking cases to ensure that where SCHW is approached to take cases on then the individual case does "qualify" under the Ordinary Residence guidance - on going.	Accepted	Andrew Ireland	01/10/2014
Review of care	Review of care ensuring good outcomes linked to effective arrangements for support. monitoring of trusted assessor arrangements eg carers assessments.	Accepted	Andrew Ireland	01/10/2014
Working to ensure children in care are supported with a permanency plan.	Continued working to ensure children in care are supported with a permanency plan. Early help for families. Promoting adoption and permanency where it is right for the child.	Accepted	Andrew Ireland	01/10/2014

Risk	Risk Types	Source/Cause of Risk	Risk Event	Consequence	Risk Owners	RiskLevel	Target Risk
SCHW 08 Managing and working within the Social Care Market.	Financial Political Operational	Managing and working within the Social Care Market.	SCHW 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. 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.	Lack of capacity impacts on choice to support the personalisation agenda. Impact on P&V sector if we are contracting a range of different services in the community through personal budgets/direct payments creates a level of uncertainty for the P&V sector.	Andrew Ireland; Mark Lobban	M12	M9

Controls

Control	Control Measure Description	Control Owner
A risk based approach to monitoring providers	A risk based approach to monitoring providers	Andrew Ireland Mark Lobban
Commissioning framework for children's services	Commissioning framework for children's services	Andrew Ireland Mark Lobban
Commissioning in partnership with key agencies (health)	Commissioning in partnership with key agencies (health)	Andrew Ireland Mark Lobban
Commissioning Plans	Develop commissioning plans for specific service areas to determine if a tendering process is required and then implement.	Mark Lobban
Home Care Re-let	Separate Project Risk register held. Working with legal services and corporate procurement. Regular briefings to staff and communication with service users. monitoring the mobilisation phase of the home care re-let.	Mark Lobban
Independent Fostering Agencies	Every provider has signed the National Fostering Framework agreement and KCC's service specification.	Mark Lobban
Procurement and contract controls	Procurement and contract controls	Andrew Ireland Mark Lobban
Regular market mapping and price increase pressure tracking	Regular market mapping and price increase pressure tracking	Andrew Ireland Mark Lobban
Regular meetings with provider and trade organisations	Regular meetings with provider and trade organisations	Andrew Ireland Mark Lobban
Residential re-let	Commencing the residential relet	Mark Lobban
Reviewing relationships with voluntary organisations	Reviewing relationships with voluntary organisations	Andrew Ireland Mark Lobban

Risk	Risk Types	Source/Cause of Risk	Risk Event	Consequence	Risk Owners	RiskLevel	Target Risk
Control		Control Measure Description		Control Owner			
Strategic Commissioning and Access to Resources.		A strong Strategic Commissioning and Access to Resources function across FSC to ensure KCC gets value for money - whilst maintaining productive relationships with providers.	Andrew Ireland Mark Lobban				
Actions							
	Action Plan Description		Action Plan Type	Action Plan Owner	Action Date		
Children's high cost placements.	Continue to review high cost placements in IFA and residential. Developing a commissioning framework for children's residential care.		Accepted	Mark Lobban	01/10/2014		
Continued review of high cost placements	Continued on going review of high cost placements in Learning Disability Services to ensure value for money. Efficiency Partners involved in the review.		Accepted	Mark Lobban	01/10/2014		
Ensuring market is able to offer choice in the new market conditions opened up by personalisation	Ensuring market is able to offer choice in the new market conditions opened up by personalisation		Accepted	Mark Lobban	01/10/2014		
Home Care Re Tender	Home Care Re Tender taken place to ensure providers meet quality and financial standards. Communicating with staff to keep them informed. Close monitoring of data to ensure there are arrangements in place for each client. Mobilisation phase commenced.		Accepted	Mark Lobban	01/10/2014		
Quality In Care	Project to improve quality of care in independent sector. Framework to be produced.		Accepted	Mark Lobban	01/10/2014		
Residential and nursing home relet.	Preparations taking place for a tender for residential and nursing home care.		Accepted	Mark Lobban	01/10/2014		

Risk	Risk Types	Source/Cause of Risk	Risk Event	Consequence	Risk Owners	RiskLevel	Target Risk
SCHW 09 Information Technology	Operational Technological	Need to ensure that information systems are fit for purpose and support business requirements.	There is a risk that the ICT systems will fail.	If information systems are not fit for purpose then it can impact on the business and the delivery of services.	Andrew Ireland; Philip Segurola; Penny Southern	H16	L6

Controls

Control	Control Measure Description	Control Owner
An ICS board established.	An ICS board was established to oversee the procurement and integration of the new system.	Philip Segurola
ICS system is being project managed.	In specialist childrens services the new ICS system has been implemented.	Philip Segurola
Programme infrastructure being developed for AIS/SWIFT upgrade.	Upgrade to latest version of SWIFT/AIS for compelling technical reasons and the need to ensure the system meets Care Act requirements.	Penny Southern
Systems group is in place	Systems group is in place with clear governance arrangements to manage demands for changes to the system and to ensure operational resilience.	Penny Southern
Tender for an adult social care system.	It is recognised as a risk that the contract with the current system provider is time limited and the procurement procedures are to be implemented to prepare for a tendering process.	Penny Southern

Actions

	Action Plan Description	Action Plan Type	Action Plan Owner	Action Date
ICS system.	Any issues and risks regarding the new ICS system are to be dealt with in the Programme board	Accepted	Philip Segurola	01/10/2014
Adult Social Care - client database.	The contract with the current provider is time limited. A number of actions are now required. 1) A specification to be developed that reflects the Care Act/Transformation/SEND changes 2) A strategic decision making group to consider the direction of travel and the scope of business requirements. 3) Initiate and follow the procurement processes.	Accepted	Penny Southern	31/12/2014
Upgrade to SWIFT/AIS	Project management arrangements in place and working towards an upgrade of SWIFT/AIS. System user involvement to assist with the design and testing of an upgraded version of SWIFT/AIS.	Accepted	Penny Southern	01/10/2014

Risk	Risk Types	Source/Cause of Risk	Risk Event	Consequence	Risk Owners	RiskLevel	Target Risk
SCHW 10 Information Governance	Operational Legal Technological	With New Ways of Working, flexible working and increased information sharing across agencies there are increased risks in relation to data protection.	The success of health and social care integration is dependent upon organisations being able to share information across agencies boundaries. Such working means that client information may be shared with other organisations which may have an implication on information sharing protocols. Also flexible working could lead to increased risk of loss of data or equipment.	This could lead to breaches of the Data Protection Act if protocols and procedures are not followed.	Andrew Ireland; Mark Lobban; Penny Southern; Anne Tidmarsh	M9	L6

Controls

Control	Control Measure Description	Control Owner
Caldicott Guardians	Caldicott Guardian in place for FSC and Caldicott Guardian Guidance and register in place.	Andrew Ireland
E Learning training	E Learning training for staff to raise awareness. All staff to complete the e-learning training.	Andrew Ireland Mark Lobban Penny Southern Anne Tidmarsh
Employment contracts.	Clause in employment contracts requiring compliance with data protection requirements.	Andrew Ireland Mark Lobban Penny Southern Anne Tidmarsh
Information sharing agreements.	Information sharing agreements and protocols for some specific projects are in place.	Andrew Ireland Mark Lobban Penny Southern Anne Tidmarsh
Organisational policies.	Organisational policies on IT security and the principles of Data Protection in place.	Andrew Ireland Mark Lobban Penny Southern Anne Tidmarsh
Systems Development for newly commissioned services.	Policy impact Assessment for the information governance aspects of projects such as the residential re-let.	Andrew Ireland

Actions

	Action Plan Description	Action Plan Type	Action Plan Owner	Action Date
Communication	In SCS regular communication with staff to remind them of data protection requirements and the need to use secure e-mails etc. Also topic discussed at SCS Div MT.	Accepted	Philip Segurola	01/10/2014

Risk	Risk Types	Source/Cause of Risk	Risk Event	Consequence	Risk Owners	RiskLevel	Target Risk
	Action Plan Description		Action Plan Type	Action Plan Owner	Action Date		
Information Governance Update	Information Governance reports to DMT with updates.		Accepted	David Oxlade	01/10/2014		
Information sharing agreements	All projects need to have information protocols and agreements where information is to be shared across agencies.		Accepted	Andrew Ireland	01/10/2014		
Information sharing with health	On going work with health partners regarding information sharing through the Pioneer Programme.		Accepted	Anne Tidmarsh	01/10/2014		
Production of SOPs	Standard operating procedures being produced with organisations that are to be data processors with access to adult social care client database information.		Accepted	Anne Tidmarsh	01/10/2014		
Raising awareness	Need to continue to raise awareness across staff groups		Accepted	Andrew Ireland	01/10/2014		

Risk	Risk Types	Source/Cause of Risk	Risk Event	Consequence	Risk Owners	RiskLevel	Target Risk
SCHW 11 Business disruption	Financial Operational Legal Technological Reputational	Possible disruption to services	Impact of emergency or major business disruption on the ability of the Directorate to provide essential services to meet its statutory obligations.	Such an event would impact on the customers of our services and possibly the reputation of the service would suffer	Andrew Ireland; Penny Southern	M9	M9

Controls

Control	Control Measure Description	Control Owner
Business continuity in the independent sector. Business Continuity Plans	Business continuity planning forms part of the contracting arrangements with private and voluntary sector providers Business Continuity plans reviewed annually or in light of significant changes or events.	Andrew Ireland Penny Southern Andrew Ireland Penny Southern
Business Continuity Systems and Procedures are in place Business Impact Analysis.	Business Continuity Systems and Procedures are in place Business Impact Analysis and Risk Assessment is reviewed at least every 12 months or when substantive changes in processes and priorities are identified.	Andrew Ireland Penny Southern Andrew Ireland Penny Southern
Partnership working at all levels	Good partnership working at all levels for emergency planning.	Andrew Ireland Penny Southern
Training	Crisis/emergency planning training available for staff.	Andrew Ireland Penny Southern

Actions

	Action Plan Description	Action Plan Type	Action Plan Owner	Action Date
Adverse Weather	Learn lessons from the response to the adverse weather events that occurred in 2013/14.	Accepted	David Oxlade	01/10/2014
Business continuity in the independent sector.	Business Management Team to work with strategic commissioning and corporate procurement to ensure contracted services have business continuity arrangements in place.	Accepted	David Oxlade	01/10/2014
Business Continuity Risk Assessment	Business Continuity Risk Assessment identifies actions at divisional level	Accepted	Andrew Ireland	01/11/2014
Regular review and update of continuity plans	Regular review and update of continuity plans	Accepted	Andrew Ireland	01/10/2014

Risk	Risk Types	Source/Cause of Risk	Risk Event	Consequence	Risk Owners	RiskLevel	Target Risk
SCHW 12 KCC KMPT partnership agreement	Financial Legal Reputational	Partnership agreement with KMPT to deliver mental health services.	Risk that a failure to meet mental health statutory requirements would have legal, financial and reputational risks for the Local Authority and would impact on service quality for service users.	Legal, financial and reputational risks for the Local authority and impact on service users.	Penny Southern	M9	L6

Controls

Control	Control Measure Description	Control Owner
Governance and performance monitoring	Improved governance and performance monitoring arrangements in place.	Penny Southern
Monitoring at Divisional Management Team Operating Agreement	Div Mt oversight of the joint operating plan and improved data quality to monitor services. Operating Agreement developed and established between KCC and KMPT.	Cheryl Fenton Penny Southern Mark Dinwiddy Cheryl Fenton Penny Southern
Safeguarding arrangements	Safeguarding posts in place. Safeguarding audits take place and regular performance monitoring.	Penny Southern

Actions

	Action Plan Description	Action Plan Type	Action Plan Owner	Action Date
Deliver the personalisation agenda	Continue to promote the personalisation agenda with social care clients in mental health services. Including increase in social care clients with a personal budget - some increase in the number of DPs. SDR service restructured. Training on personalisation provided, teams producing action plan re promoting personalisation.	Accepted	Cheryl Fenton	01/10/2014
mental health social care responses in primary care.	Develop the mental health social care responses in primary care; project management arrangements developed. A steering group is looking at models for the delivery of primary care/social care (clusters 1, 2 and 3)	Accepted	Penny Southern	01/10/2014
Operating Agreement	Operating Agreement between KCC and KMPT monitored through Div MT on an on-going basis.	Accepted	Cheryl Fenton	01/10/2014
Reporting KPIs	Monitor KPIs -focus on red indicators and exception reports. Address IT issues - action plan to do this. On-going monitoring, discussion and action planning re KPIs in place. Learning from audits.	Accepted	Cheryl Fenton	01/10/2014

Risk	Risk Types	Source/Cause of Risk	Risk Event	Consequence	Risk Owners	RiskLevel	Target Risk
	Action Plan Description		Action Plan Type	Action Plan Owner	Action Date		
Social Care Staffing in KMPT	Improve the supervision and support for social care staff - Arrangements for professional supervision in place. Induction for restructured posts in place and being implemented. Supervision audits on-going. Various workforce reviews undertaken - to monitor outcomes. Targeted recruitment plan re posts that are hard to recruit to.		Accepted	Cheryl Fenton	01/10/2014		

Risk	Risk Types	Source/Cause of Risk	Risk Event	Consequence	Risk Owners	RiskLevel	Target Risk
SCHW 13 Preparation for legislative change	Operational Legal Reputational	Care Act and Children and Families Act.	Care Act - Significant implications for adult social care services. It establishes a new legal framework for care and support services. An emphasis on early intervention, prevention and increasing choice and control and changes to charging. New duties to be introduced to provide support services to carers. Children and Families Act introduced, implications for - assessments for children with SEN, adoption services and contact and residence plans.	The Care Act when implemented will have a significant impact on services. The Children and Families Act has implications for some SCS services and a significant impact on SEN services.	Andrew Ireland; Michael Thomas-Sam	M9	L6

Controls

Control	Control Measure Description	Control Owner
Care Act	Transactional, activity and financial implications of the Act are reported to DMT. Implications of the Act also reported to CMT to inform the 2015/16 budget. Programme Plan went to the Transformation Board, Corporate Board and Cabinet Committee in July.	Andrew Ireland Michael Thomas-Sam
Care Act Programme	A Care Act Programme established to ensure KCC is well placed to deliver the new responsibilities. A programme board in place with representatives from across KCC and the efficiency partner. Regular briefings for elected Members and other stakeholders held.	Michael Thomas-Sam
Children and Families Act	Children and Families Act implemented. Working with colleagues in SEN services on the changes.	Philip Segurola Penny Southern
Increase awareness of the Welfare Reform Act.	Reports to Corporate Board and DMTs. Also to Policy and Resources Committee and Kent Joint Chiefs meeting.	Michael Thomas-Sam

Actions

	Action Plan Description	Action Plan Type	Action Plan Owner	Action Date
Care Act	Workshops and training to be arranged on the implications of the Care Act.	Accepted	Michael Thomas-Sam	01/10/2014
Care Act Programme Plan	An outline programme plan in place with a number of projects including: costs modelling; communications; workforce capacity; commissioning; financial assessment and charging; safeguarding; IT and information systems	Accepted	Michael Thomas-Sam	01/10/2014

Risk	Risk Types	Source/Cause of Risk	Risk Event	Consequence	Risk Owners	RiskLevel	Target Risk
	Action Plan Description		Action Plan Type	Action Plan Owner	Action Date		
Care Act progress	To continue to prepare for the Care Act. Project plans in place with workstreams for key areas. To determine the implications of the Act and the associated regulations and guidance for KCC. To prepare for implementation when the Act is enacted in 2015.		Accepted	Andrew Ireland	01/10/2014		
Children and Families Act reporting and communication	Further input to an SEN pathfinder project and development of a "local offer".		Accepted	Andrew Ireland	01/10/2014		
	To keep DMT and Div Mts informed of developments and preparations for the Care Act. To communicate through briefings and updates to staff.		Accepted	Michael Thomas-Sam	01/10/2014		
Transformation programme.	The principles contained in the Care Act to inform the Transformation programme. .		Accepted	Michael Thomas-Sam	01/10/2014		

Risk	Risk Types	Source/Cause of Risk	Risk Event	Consequence	Risk Owners	RiskLevel	Target Risk
SCHW 14 Organisational Change	Operational Strategic	Significant amount of organisational change.	Several major change programmes underway at the same time.	Possible impact on service delivery and could lead to unclear responsibilities	Andrew Ireland; Mark Lobban; Philip Seguroola; Penny Southern; Anne Tidmarsh	M12	M12

Controls

Control	Control Measure Description	Control Owner
Centralisation of key support services e.g finance, training function, business support, ICT, communication.	Business support arrangements in place. On going engagement in management team.	Andrew Ireland
Facing the Challenge	Facing the Challenge: Delivering Better Outcomes. Transformation Plan - version 1 produced and disseminated. Phase 2 now in progress - report went to the county council on 27 March with a progress report and update.	Andrew Ireland
New Ways of Working	New ways of working is leading to changes in KCC accommodation arrangements and where people are based. A New Ways of Working Risk Register exists to log risks. FSC has representation on the New Ways of Working Programme Board.	Andrew Ireland
OPPD boundary realignment and optimisation restructuring.	Programme Management arrangements in place with implementation groups and careful communication and engagement of stakeholders. Working closely with the Efficiency Partner on the Optimisation Programme and Transformation. Staff briefings and consultation have taken place and the implementation phase has commenced.	Anne Tidmarsh

Actions

	Action Plan Description	Action Plan Type	Action Plan Owner	Action Date
Centralisation of Support Services	Continue to maintain close working with support services e.g finance, ICT, training, communication.	Accepted	Andrew Ireland	01/10/2014
KCC Transformation Plan	Corporate transformation team set up, further workshops being delivered for staff. New Directorates took effect from 1 April 2014. Phase 2 of Facing the Challenge in progress.	Accepted	Andrew Ireland	01/10/2014
New Ways of Working	To continue to communicate the implications of New Ways of working for the Directorate and workplace management team to develop a NWW risk register. Key risks will then escalate to the SCHW risk register.	Accepted	Penny Southern	01/10/2014
OPPD Boundary Realignment and Optimisation Restructuring.	Phased approach to the project. Links to other programmes including Transformation, Access to Services and the HASCIP Pioneer Programme. Implementation phase taking place with a programme plan and area plans.	Accepted	Anne Tidmarsh	01/10/2014

Risk	Risk Types	Source/Cause of Risk	Risk Event	Consequence	Risk Owners	RiskLevel	Target Risk
SCHW 15 MCA and Deprivation of Liberty Assessments	Financial Operational Legal Reputational	A judgement by the Supreme Court has implications for the number of Deprivaton of Liberty Assessments that are required.	The number of Deprivation of Liberty assessments has significantly increased. This could lead to DOLs applications and Best Interests Assessments not being done within the statutory framework.	This could result in some people living in circumstances where they are deprived of their liberty based on the new legal interpretation but without a DoLs assessment. This could be detrimental to the individual and could result in a challenge based on the Supreme Court judgement.	Mark Lobban	H16	M8

Controls

Control

Control Measure Description

Control Owner

Briefing issued to staff regarding the Supreme Court judgement.
Briefing to DMT regarding the Supreme Court judgement.

Briefing issued by Corporate Director.
DMT briefed on the judgement and its implications.

Actions

Action Plan Description

Action Plan Type

Action Plan Owner

Action Date

DOLS/MCA resource

Staff recently completed BIA training are now on the rota. More training to be commissioned. Interim staffing proposal accepted by DMT to increase the level of staffing. Recruitment underway.

Accepted

Mark Lobban

01/10/2014

Initial Analysis

An initial analysis to identify the likely extent of demand completed. The number of referrals has doubled and some providers have requested assessments of all their residents. Further work commissioned to revisit original estimates of inceased flows of referrals using in part data since the Supreme Court ruling.

Proposed

Mark Lobban

01/11/2014

Review the MCA/BIA work.

Review the MCA/BIA work to identify any efficiencies that can be made in the processes or ways of working. Process mapping work completed examining work flows and organisation. New systems introduced and development of new module within AIS underway. This work to inform the steering group looking at the possible longer term options for managnig MCA/DoLs work.

Accepted

David Oxlade

01/12/2014

Wider context

As this risk is the result of a national judgement - most Local Authorities will be facing similar challenges. To keep abreast of any national (DH) or regional developments.

Proposed

Mark Lobban

31/10/2014