

From: Graham Gibbens, Cabinet Member for Adult Social Care and Public Health
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To: Adult Social Care and Health Cabinet Committee – 14 March 2017

Subject: **RISK MANAGEMENT: SOCIAL CARE, HEALTH AND WELLBEING**

Classification: Unrestricted

Past Pathway of Paper: None

Future Pathway of Paper: None

Electoral Division: All

Summary: This paper presents the strategic risks relating to the Social Care, Health and Wellbeing Directorate with a specific focus on those risks relating to Social Care. The risks relating to Public Health will be reported separately to a later meeting of this Committee.

Recommendation(s): The Adult Social Care and Health Cabinet Committee is asked to **CONSIDER** and **COMMENT** on the risks presented in the Directorate Risk Register.

1. Introduction

- 1.1 The draft Directorate Business Plan is reported separately to this Cabinet Committee as part of the Authority's business planning process. The plan includes a high level section relating to key Directorate risks, which are set out in more detail in this paper. The risks relating to the Public Health Service are reported separately.
- 1.2 Risk management is a key element of the Council's Internal Control Framework and the requirement to maintain risk registers ensures that potential risks that may prevent the Authority from achieving its objectives are identified and controlled. The process of developing the register is therefore important in underpinning Business Planning, performance management and service procedures. Risks outlined in risk registers are taken into account in the development of the Internal Audit programme for the year.
- 1.3 The Social Care, Health and Wellbeing Directorate Risk Register is reported to the Cabinet Committee annually. It contains strategic or cross-cutting risks that potentially affect several functions across the Directorate, and often have wider

potential interdependencies with other services across the Council and external parties.

- 1.4 The Directorate's "red risks" are also logged in the KCC Corporate Risk Register. The Corporate Risk Register was reported to the Policy and Resources Cabinet Committee on 8 March 2017.

2 Risks relating to the Social Care, Health and Wellbeing Directorate

- 2.1 It continues to be a time of significant risk for the Social Care Health and Wellbeing Directorate. Specific concerns include the on-going financial pressures affecting the Directorate; the fragility of the wider social care market and the need to manage capacity and demand particularly during the winter pressures where health trusts are under particular pressure which impacts on social care. At the same time the Directorate continues to transform services and to meet statutory duties such as safeguarding vulnerable adults and children. The risks relating to the number of Unaccompanied Asylum Seeker Children (UASC) arriving in Kent has reduced however there continues to be a significant risk regarding the resource pressure in meeting the needs of UASC children and young people in Kent particularly the needs of care leavers.
- 2.2 The forthcoming structural changes to the Directorates in Kent County Council will bring opportunities but also some risks which will need to be managed. Any major change programme will have risks associated with the change process itself to ensure there are no gaps when responsibilities are transferred. A co-production approach is being adopted to manage the changes.
- 2.3 One potential risk is the need to ensure that the commissioning activity retains close links with the social care assessment and care planning functions. The vast majority of social care provision (for example residential care and home care) is commissioned and the social care market needs to be sufficiently sustainable and flexible to meet the individual needs of vulnerable people assessed as requiring care and support. As stated in the report to the County Council on 26 January 2017, regarding the Directorate and Commissioning structures, "there is a need for the professional commissioning function to work collaboratively and seamlessly with the services..."
- 2.4 Achieving integration with health services in Kent will inevitably involve a number of challenges given the different organisational cultures, ways of working and roles and responsibilities. There are however real benefits to be achieved from integration but again the risks need to be carefully managed.
- 2.5 The Social Care, Health and Wellbeing Risk Register is attached in Appendix 1, however a summary risk profile as at end of February 2017 is as follows:

Risk No.	Risk Title	Current Risk Rating	Target Risk Rating
SCHW 01	Transformation of adult social care services	20	9
SCHW 02	Transformation of children's services	9	6
SCHW 03a	Safeguarding – protecting vulnerable children	16	9
SCHW 03b	Safeguarding – protecting vulnerable adults	25	15
SCHW 04	Austerity and pressures on public sector funding	25	16
SCHW 05	Working with health, integration, Pioneer, STP (Sustainability and Transformation Plans) and BCF (Better Care Fund)	16	9
SCHW 07	Increasing demand for social care services	20	16
SCHW 08	Managing and working with the social care market	25	9
SCHW 09	Information and communication technology	12	6
SCHW 10	Information governance	9	6
SCHW 11	Business disruption	9	9
SCHW 12	KCC/KMPT partnership agreement	9	6
SCHW 15	Mental Capacity Act and Deprivation of Liberty Assessments	20	8
SCHW 17	OFSTED preparedness and service improvement	12	8
SCHW 19	Capacity to support and accommodate the number of UASC under Leaving Care regulations	20	12
SCHW 20	Prevent	12	4
SCHW 21	Facilities Management	16	4

2.6 A standard reporting format is used to facilitate the gathering of consistent risk information and a 5x5 matrix is used to rank the scale of risk in terms of likelihood of occurrence and impact. Firstly the current level of risk is assessed, taking into account any controls already in place to mitigate the risk. If the current level of risk is deemed unacceptable, a 'target' risk level is set and further mitigating actions introduced with the aim of reducing the risk to a tolerable and realistic level. If the current level of risk is acceptable, the target risk level will match the current rating.

- 2.7 The numeric score in itself is less significant than its importance in enabling categorisation of risks and prioritisation of any management action. Further information on KCC risk management methodologies can be found in the risk management guide on the 'KNet' intranet site.
- 2.8 The risk registers should be regarded as 'living' documents to reflect the dynamic nature of risk management. The Directorate Management Team formally reviews the risk registers, including progress against mitigating actions, on a quarterly basis, although individual risks can be identified and added to the register at any time. The Divisional Risk Registers are reviewed at Divisional Management Teams and any high level risks are escalated to the Directorate Risk Register.

3. Recommendation

3.1 Recommendation(s): The Adult Social Care and Health Cabinet Committee is asked to **CONSIDER** and **COMMENT** on the risks presented in the Directorate Risk Register.

4 Background Documents

KCC Risk Management Policy on KNet intranet site.
<http://knet/ourcouncil/Management-guides/Pages/MG2-managing-risk.aspx>

5 Contact details

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