

From: Clair Bell, Cabinet Member for Adult Social Care and Public Health
Richard Smith, Corporate Director Adult Social Care and Health

To: Adult Social Care Cabinet Committee – 31 March 2022

Subject: **RISK MANAGEMENT: ADULT SOCIAL CARE AND HEALTH**

Classification: **Unrestricted**

Past Pathway of Paper: Adult Social Care and Health Directorate Management Team Meeting – 23 February 2022

Future Pathway of Paper: None

Electoral Division: All

Summary: This paper presents the strategic risks relating to the Adult Social Care and Health Directorate, in addition to the risks featuring on the Corporate Risk Register for which the Corporate Director is the designated 'Risk Owner'.

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

1. Introduction

- 1.1 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 registers is therefore important in underpinning service delivery planning, performance management and operating standards. Risks outlined in risk registers are considered in the development of the Internal Audit programme for the year.
- 1.2 Directorate Risk Registers are reported to Cabinet Committees annually and contain strategic or cross-cutting risks that potentially affect several functions across the Adult Social Care and Health Directorate, and often have wider potential interdependencies with other services across the council and external parties.
- 1.3 Adult Social Care and Health (ASCH) Directors also lead or coordinate mitigating actions in conjunction with other Directors across the organisation to manage risks featuring on the Corporate Risk Register. The Directors in the ASCH Directorate are designated 'Risk Owners' (along with the rest of the Corporate Management Team) for two corporate risks.

1.4 The majority of these risks, or at least aspects of them, will have been discussed in depth at relevant Cabinet Committee(s) throughout the year, demonstrating that risk considerations are embedded within core business.

2. Adult Social Care and Health Directorate Led Corporate Risks

2.1 The ASCH Directorate currently leads on 2 of the Corporate Risks.

Risk No.*	Risk Title	Current Risk Rating	Target Risk Rating	Direction of Travel since April 2021
CRR0002	Safeguarding – protecting vulnerable adults	20	15	↔
CRR0015	Managing and working with the social care market	25	15	↔

2.2 These risks were reviewed in December 2021 by Corporate Management Team (CMT) and Cabinet. In addition the risks were presented to Governance and Audit Committee for assurance in January 2022. These are detailed in Appendix 1.

2.3 The annual review of corporate risks in the Autumn of 2021 has led to a reduction in the number of ASCH led Corporate Risks. Namely the de-escalation of the risk relating to ‘Development of the Integrated Care System’. Following the agreement of governance arrangements of the partnership this risk is now being monitored by the directorate, with the option to escalate back to the corporate level should the risk profile change.

2.4 The former Corporate Risk relating to ‘Cost implications as a result of rising social care demand’ has been incorporated into a ‘Future Financial Operating Environment’ risk, this now encapsulates a number of demand led risks found within Directorates.

2.5 Although there is no change in the direction of travel for the ASCH led corporate risks a number of challenges are still being faced:

- **CRR0002** – National increases in investigations into possible abuse and neglect of vulnerable adults in care and nursing homes. The proposed change in legislation to Liberty Protection Standard has been further delayed by Government.
- **CRR0015** – Continued concern regarding the viability of local care markets. The mandated coronavirus vaccines added further pressures on the availability of the workforce and increased the workloads of existing staff. More than half of councils nationally are resorting to exceptional measures to ration social care amid staff shortages.

3. Adult Social Care and Health Directorate Risk Profile

3.1 The below table outlines the current risks in the Adult Social Care Directorate Risk Register (the detailed register can be seen in Appendix 2)

Risk No.*	Risk Title	Current Risk Rating	Target Risk Rating	Direction of Travel since April 2021
AH0005	Continued pressures on public sector funding impacting on revenue and saving efficiencies	12	12	On Target ↓
AH0033	Adult Social Care Workforce	12	9	↓
AH0037	Information Asset Management	12	9	↔
AH0038	Information Governance	12	9	N/A
AH0040	Development of Integrated Care System/ Integrated Care Partnership	12	9	N/A
AH0035	Making a Difference Every Day Approach	9	6	↔

3.2 The risk register has been reviewed and amended during the year with quarterly reporting into the Directorate Management Team with the most recent review and discussion in February 2022.

3.3 The former Directorate risk **AH001 Business Disruption** was removed from the risk register. The mitigating actions relating to training and development have been completed and incorporated into annual planning. The target risk level has been met and the management team are assured with the robust ongoing controls to mitigate any potential disruption.

3.4 The direction for travel for **AH0005 Continued pressures on public sector funding impacting on revenue and saving efficiencies** has reduced since our last annual report with the likelihood reduced from 'Very Likely' to 'Possible'. The reasons for this reduction are due to the position we are in as we begin a new financial year, the budget has been realigned to cover the underlying pressures we have reported in 2021-22 and we now have an established strategy from April 2022 and a comprehensive programme of activity underway to also help us achieve this. Over the last year we have improved our reporting and forecasting mechanisms and have a good assurance process in place with regular performance monitoring.

3.4.1 This risk has achieved target level, however it will continue to be monitored on a regular basis throughout the year and be adjusted accordingly.

3.5 The direction of travel for **AH0033 Adult Social Care Workforce** has reduced since our last annual report with a likelihood score moving from 'very likely' to 'likely' and the impact reduced from 'serious' to 'significant'. The reasons for the reduction in the risk level is due to the progress that has been made around our internal governance and tasks groups which now have oversight of all workforce matters and are able to prioritise and escalate action as required. There has also been significant progress in the development of the strategic workforce plan which sets out our principles and priorities for delivery for the coming year.

3.5.1 Vacancies and staff morale do remain a high concern but the mitigating actions to support our workforce and attract and retain staff will start to be seen during the year and roll out of the workforce plan.

3.6 A new risk was added to the risk register during 2021 **AH0037 Information Governance** following a detailed action plan which was approved by the Directorate Management Team. An internal audit review into Data Protection also found good prospects for improvement and a management action plan has been set with a series of actions to be achieved during 2022.

3.7 The direction of travel for the following risks has remained static, however actions and controls have been revised during the year to further mitigate and reduce the risk.

- **AH0037 Information Asset Management** - *The development of a fit for purpose system, leading to improved data consistency and effective support for managers.*

Transition arrangements are underway to move MOSAIC across to Servelec with contract arrangements in place to support service delivery expectation.

- **AH0035 Making A Difference Every Day Approach**- *Delivery of large-scale change activity across both KCC and Adult Social Care and Health ensuring alignment of priorities and proportionality. Risk that teams are facing large amounts of change at once.*

Our Adult social care and health strategy and vision has been set and engaged with the workforce and people of Kent. As we progress forward into delivery of our making a difference every day plan a risk remains around staff engagement due to staff experiencing change fatigue and conflicting priorities.

4. Recommendation

4.1 Recommendation: The Adult Social Care Cabinet Committee is asked to **CONSIDER** and **COMMENT** on the risks presented.

5. Background Documents

KCC Risk Management Policy and associated risk management toolkit
<http://knet/ourcouncil/Management-guides/Pages/MG2-managing-risk.aspx>

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