

# Full Risk Register

## Risk Register - Adult Social Care and Health

Current Risk Level Summary

<b>Green</b>	<b>0</b>	<b>Amber</b>	<b>3</b>	<b>Red</b>	<b>4</b>	<b>Total</b>	<b>7</b>
Current Risk Level Changes					2	-1	↓
					2	-1	↓

0	0	1	1	1
0	0	0	0	2
0	0	2	0	0
0	0	0	0	0
0	0	0	0	0

Risk Ref	Risk Title and Event	Owner	Last Review date	Next Review
AH0005	<b>Continued pressures on public sector funding impacting on revenue expenditure</b>	Richard Smith	29/01/2024	25/03/2024

Levels of spending and growth pressure across the service outstrip spending power.  
There continues to be a need to achieve significant efficiencies in year

Cause	Consequence	Current Risk	Previous Current Risk	Control / Action	Control / Action	Target Date	Target Risk	
Achievement of savings targets. Impact on Adult social care due to ICB pressures and financial position.	Failure to delivery statutory obligations and duties Potential for partner or provider failure – including sufficiency gaps in provision Reduction in resident satisfaction and reputation damage. Impact on the wider councils financial sustainability. Increased and unplanned pressure on resources. Decline in performance.	High		<ul style="list-style-type: none"> <li>Implementation of Practice Assurance Panels to support with the delivery of a balanced budget</li> <li>The creation of a Commissioning, Transformation and Governance Board to monitor and secure assurance on the progression of all areas relating to budgetary spend, forecasting, and savings activity within the Directorate and ensure that the Corporate Director of Adult Social Care and Health is provided with advice on the formal governance arrangements and implications of business cases and policy or strategy decisions, including commissioning arrangements, which require Executive and/or Corporate Director decision making.</li> <li>Regular staff live events to be held with ASCH staff to share details of the pressures of the budget across KCC and ASCH and the impact this could have if not delivered.</li> </ul>	Mark Albiston	A -Accepted	29/02/2024	High
		25 Major (5)			Richard Ellis	A -Accepted	30/03/2024	Major (5)
		Very Likely (5)			Richard Smith	A -Accepted	28/03/2025	Likely (4)

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			<ul style="list-style-type: none"> <li>• Work collaboratively with the NHS Colleagues to ensure the most appropriate and cost-effective pathways are in place for those people being discharged from hospital settings and ensuring that the necessary joint funding arrangements are in place</li> </ul>	ASCH Divisional Directors	A -Accepted	28/03/2025	
			<ul style="list-style-type: none"> <li>• Representatives from Finance and Commissioning to attend senior management team meetings to ensure joint working and ensure robust monitoring and action is taken forward.</li> </ul>	Sydney Hill	Control		
			<ul style="list-style-type: none"> <li>• A letter has been sent from The Corporate Director to the Chief Executive of the Integrated Care board which outlines the responsibilities of Adult social care and funding expectations.</li> </ul>	Richard Smith	Control		
			<ul style="list-style-type: none"> <li>• Quarterly meetings are held with the Leader, Deputy Leader, Cabinet Member and Deputy Cabinet member and relevant officers for Adult social care to discuss the financial position.</li> </ul>	Richard Smith	Control		
			<ul style="list-style-type: none"> <li>• Regular meetings are held with the Corporate Director for Adult social care, the Chief executive and Corporate Director of Finance to review the financial position, provide assurance and take forward required actions.</li> </ul>	Richard Smith	Control		
			<ul style="list-style-type: none"> <li>• Regular reporting and assurance from Adult social care is provided to the Strategic Reset Board.</li> </ul>	Richard Smith	Control		
			<ul style="list-style-type: none"> <li>• Regular meetings are in place with the Corporate Director, Directors and Assistant Directors to review the management of budgets and understand the detail for variance and overspend and determine actions from these. These meetings are also attended by the finance business partner and head of performance.</li> </ul>	Richard Smith	Control		
			<ul style="list-style-type: none"> <li>• Sustainability Plan has been developed to support the ongoing achievement and improvements within the Directorate.</li> </ul>	Helen Gillivan	Control		

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			<ul style="list-style-type: none"> <li>• A full range of options have been developed as potential solutions for all change activity with a full investment appraisal to ensure the cost benefits are acknowledged and have been approved by the appropriate governance. Helen Gillivan</li> <li>• Making a difference every day approach and supporting activity established to oversee the implementation and delivery of future improvements in a comprehensive programme of activity. All ASCH improvement activity is mapped, managed consistently and prioritised under this approach. Helen Gillivan</li> <li>• Monthly forecasting, review of spend , and review of activity, demand and trends is in place and escalation of areas of concern for the directorate. Deep dives will take place in certain areas of pressure. The analytics team are currently reviewing the activity and cost drivers. Michelle Goldsmith</li> <li>• An enhanced savings plan has been developed and identified actions down to team level across operational teams. A reprofiling of targets to deliver savings to provide assurance on (a) savings delivered to date (b) savings yet to be realised over the financial year (c) stretch targets to enhance savings opportunities ASCH Divisional Directors</li> <li>• Adding an enhanced monthly assurance statement as a control on all things savings that requires AD's to provide confirmation on how they are delivering savings and management action to control spend. This will include understanding barriers to implementation and plans to mitigate ASCH Divisional Directors</li> </ul>	Control		
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**Review Comments** Risk reviewed and agreed current target unachievable. Target risk increased to 20 on 20/12/23  
29/01/2024

# Adult Social Care and Health

## Risk Register - Adult Social Care and Health

Risk Ref	Risk Title and Event	Owner	Last Review da	Next Review			
AH0033	<b>Adult Social Care Workforce</b> The recruitment and retention of staff continues to be a challenge for Adult Social Care, there is a need to ensure that a suitably qualified, skilled and experienced workforce is in place to deliver services. This includes making sure critical roles are filled with staff who have the right skill sets and support in place. Recruitment and Retention is a national issue including a reduction in the number of students enrolling in traditional university social work courses. There is a risk that we are not appropriately resourced to deliver key statutory functions. Staffing pressures put at risk our ability to fully align our practice to the vision for Adult Social Care	Sydney Hill	29/01/2024	25/03/2024			
Cause	Consequence	Current Risk	Previous Current Risk	Control / Action	Control / Action	Target Date	Target Risk
	Without the right workforce in place there is a risk that statutory services will not be delivered and there will be gaps in care provision. Ability to attract staff to work in social care and provide a competitive employment offer. Lack of experienced staff with specialist skills such as Best Interest assessors, Approved Mental Health Professionals. Gaps in training and career pathways for staff to support growth and retention. Disenchanted staff due to change, affecting motivation and productivity. Lack of opportunity for staff to engage with new ways of working Staff wellbeing is impacted by change and capacity issues. Workforce challenges impacting on peoples experience of ASCH resulting in longer waiting times for services/support and increased complaints	High 20 Major (5) Likely (4)	16 ↗ 4	<ul style="list-style-type: none"> <li>A further review and benchmarking of market premiums will take place in 2024/25</li> <li>Commitment to attend Compass Recruitment event in 2024 alongside CYPE with a larger presence including hosting a seminar to promote KCC as an employer</li> <li>The ASCH Organisational Development (OD) will set the strategic plan for the workforce each year, agreeing the development priorities to support the workforce for now and the future. A key part of this will be robust workforce planning as a baseline assessment to drive forward strategic planning and actions for 2024/25.</li> <li>A series of Roadshows whereby senior management will be meeting with front line staff will be taking place over the next financial year.</li> </ul>	Sydney Hill A -Accepted Sydney Hill A -Accepted Sydney Hill A -Accepted Mark Albiston A -Accepted	28/03/2025 29/11/2024 29/03/2024 28/03/2025	Medium 9 Significant (3) Possible (3)

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			<ul style="list-style-type: none"> <li>The workforce race equality standards will be embedded into the Adult social care workforce plan. DMT sessions have focused on working with leaders within ASCH to explore how we all have a responsibility to create an environment that is inclusive for all and where difference is valued. All managers and senior leaders were asked to populate plans and link in with WRES actions. An overarching plan for DMT has been produced which will be driven locally and at senior strategic level and uses the six C's model to fully embed inclusion and the corporate commitments around the Race Action Plan, being a Disability Confident Employer, Mental Health at Work and our White Ribbon Commitment. The WRES and EDI are a standing item on OD agenda, and are weaved through the workforce plan.</li> </ul>	Susan Ashmore	A -Accepted	29/03/2024
			<ul style="list-style-type: none"> <li>Development of a longer term marketing campaign to support social care recruitment with corporate communications and marketing. Recruitment campaign and budget has been agreed and campaign work started January 2024. Radio adverts went live in February and social media and TV adverts will go live in March 2024.</li> </ul>	Laura Prentice	A -Accepted	30/03/2024
			<ul style="list-style-type: none"> <li>A new method for recording and reporting vacancies across teams has been introduced in August and an interactive Power BI developed to show the capacity across teams, areas and Kent as a whole. This will be reviewed frequently with the senior management team meetings as well as the OD group. Initially this has been developed for community teams following the restructure and work will begin to roll out across all teams.</li> </ul>	Laura Prentice	A -Accepted	30/03/2024

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			<ul style="list-style-type: none"> <li>Senior leadership team will take onboard the outcomes of the Staff Survey and improvements required to support the workforce. ASCH Directorate Management Team</li> <li>"Stay with Us" conversations will be explored as a means to engage with staff who are considering leaving KCC to explore their reasons for leaving and whether these can be addressed to encourage staff to stay. Mark Albiston</li> <li>Managed Services for Social Work and Occupational Therapy will be explored as an option to focus on areas of work within Adult Social Care that are experiencing pressure and support the workforce. ASCH Divisional Directors</li> <li>Information sessions take place twice a year to provide staff an overview on the AMHP training programme and encourage the right staff to undertake the training. Helen Burns</li> <li>Recruitment campaigns for Newly Qualified Social Workers will take place twice a year - in the Spring and in the Autumn. Sydney Hill</li> </ul> <p>All NQSW are encouraged to enrol on the ASYE programme. There are 3 NQSW Supervisors employed to provide support to 15 ASYE's each across the county providing supervision, support and guidance. The PSW has oversight of the ASYE cohorts.</p> <ul style="list-style-type: none"> <li>The resourcing Group was re-established in September to oversee the recruitment activity and actions to support capacity and growth within teams. A revised membership has been undertaken to align with the new locality structure. Sydney Hill</li> </ul>	<p>A -Accepted</p> <p>A -Proposed</p> <p>A -Proposed</p> <p>Control</p> <p>Control</p> <p>Control</p>	<p>01/10/2024</p> <p>30/08/2024</p> <p>28/03/2025</p>	
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			<ul style="list-style-type: none"> <li>Communications channels include monthly Adult Social Care and Health staff bulletins, intranet content and specific events of relevance to staff are held as needed. Open door sessions with the Corporate Director are held regularly and staff questions are invited. An editorial group made up of representatives from across the directorate meets quarterly to plan in key messages for staff that are to be included in the bulletin. A staff Information page is in place on the KCC intranet (Knet) as a simple overview for the workforce about key directorate plans and resources they can access. Change activity is communicated on a regular basis via the main ASCH staff bulletin, with all relevant information updated on Knet.</li> </ul>	Lisa Clinton	Control		
			<ul style="list-style-type: none"> <li>Communications channels include monthly Adult Social Care and Health staff bulletins, intranet content and specific events of relevance to staff are held as needed. Open door sessions with the Corporate Director are held regularly and staff questions are invited. An editorial group made up of representatives from across the directorate meets quarterly to plan in key messages for staff that are to be included in the bulletin. A staff Information page is in place on the KCC intranet (Knet) as a simple overview for the workforce about key directorate plans and resources they can access. Change activity related to Making a Difference Every Day and Future Ways of Working has been communicated on a regular basis via the main ASCH staff bulletin, with all relevant information updated on Knet. Operational updates are shared on a weekly basis with Operational managers via SMT Key messages.</li> </ul>	Lisa Clinton	Control		

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			<ul style="list-style-type: none"> <li>• Social Work Apprentices will be recruited to the 3 year programme on an annual basis.</li> </ul> <p>Occupational Therapy Apprentices are recruited to the 4 year programme on an annual basis</p> <ul style="list-style-type: none"> <li>• The Kent Academy was launched on 3rd July 2020, this is a dedicated space where social care staff will be thoroughly supported and encouraged to better their knowledge, skills and practice, no matter what role they hold in the service. This will be a focal point in the approach towards social care development, making sure our staff have the resources available and feel supported in terms of both professional development and career progression.</li> </ul> <p>The Kent Academy Group meet 6 weekly and includes practitioners, PSW and L&amp;D to review the development requirements of the workforce and ensure that learning and development objectives are set, met and reviewed regularly.</p> <ul style="list-style-type: none"> <li>• The practice Framework was launched in 2022, this sets out the principles, approaches and models of intervention for our work with individuals, families and communities. The roll out of the core skill programme is underway and positive uptake.</li> </ul> <p>The practice development team are providing workshops and development sessions to operational teams relevant to the themes and trends resulting from complaints, SAR's and particular themes to a team or area to support learning and development.</p> <ul style="list-style-type: none"> <li>• Agreement to recruit to critical front line interim roles in line with councils agreed financial controls.</li> </ul>	<p>Sarah Denson</p> <p>Sarah Denson</p> <p>Sarah Denson</p> <p>Mark Albiston</p>	<p>Control</p> <p>Control</p> <p>Control</p> <p>Control</p>		
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			<ul style="list-style-type: none"> <li>• Work within the Integrated care board to create a joint strategy for workforce across the system. Richard Smith</li> <li>• There is a corporate offer available to support staff wellbeing and bespoke options of support available through HR OD as required. Diane Christie</li> <li>• A suite of consistent documentation to ensure consistency has been created to support local recruitment by teams but consistency of process and messaging. This will continue to be developed through the resources group. Laura Prentice</li> <li>• Regular meetings have been set up between Assistant assistant Directors and C2K leads to discuss Area agency staffing requirements and workforce Directors challenges.</li> <li>• Staff are redeployed across teams where there are capacity issues or skills gaps. Assistant Area Directors</li> <li>• Countywide improvement cycle has been set up led by Community Team Managers to progress and own the changes required following the implementation of the Locality Operating Model. Assistant Area Directors</li> <li>• Open invitation to staff to request attendance at team or one to one meetings with ASCH members of DMT and SMT to discuss Directorate Management changes and impact. Management Team</li> </ul>	Control		
<b>Review Comments</b>	Reviewed at DMT on 20/12/24. Agreed further updates needed at next review. 29/01/2024					

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Risk Ref	Risk Title and Event	Owner	Last Review date	Next Review			
AH0043	<b>Deprivation of Liberty Safeguard</b> Significant demand on the service to complete DoLS assessments following a Court decision impacting on all Councils. The introduction of Liberty Protection Safeguards has been further delayed. A risk that service users in community settings are not being assessed in accordance with statutory requirements.	Janine Hudson	24/01/2024	24/04/2024			
Cause	Consequence	Current Risk	Previous Current Risk	Control / Action	Control / Action	Target Date	Target Risk
	Some services users may be living in circumstances where their liberty is being unreasonably restricted. Potential breach of 14 day assessment timeline, therefore leaving KCC open to legal challenge.	High 20 Serious (4) Very Likely (5)	25 ↓ -5	<ul style="list-style-type: none"> <li>Due to changes across the management structure to support the new locality model, a review has been carried out to identify authorisers moving forward and training has been put in place. The effectiveness of this approach is being reviewed to monitor participation on the rota.</li> <li>Meeting to be held with the corporate Director to discuss LPS delay and current pressures.</li> <li>Request logged for a service (via a framework solution) to be commissioned that ensures a formalised process for engaging Independent Best Interest Assessors, in the absence of Liberty Protection Safeguards. Capacity within Adults Commissioning Team has this item on a work list, yet to be assigned and actioned.</li> <li>New Outcome Support Officer role has been advertised and successfully appointed to. Onboarding is underway with an anticipated Start Date in February 2024. The outcomes support officer will support with the capacity and activity of DoLS assessments.</li> <li>Working as part of the South East ADASS network to share information, good practice and developments. This will include a review of the operating models for DoLS in the SE region to look at efficiencies and models of sustainability by end of March 2024</li> </ul>	Maureen Stirrup A -Accepted 29/03/2024 High 16 Serious (4) Likely (4)	29/03/2024	High
					Maureen Stirrup A -Accepted 29/03/2024	29/03/2024	
					Maureen Stirrup A -Accepted 29/03/2024	29/03/2024	
					Janine Hudson Control		
					Maureen Stirrup Control		

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			<ul style="list-style-type: none"> <li>• Twice a month performance meetings are in place to monitor the activity, forecast and align resources</li> <li>• Funding for a further cohort of best interest assessors was agreed with trained staff available practice from 1 April 2024.</li> <li>• New Pathways have been introduced to support more proportionate assessment for people and what was referred to a backlog is now monitored on a quarterly basis to see if the circumstances for the person has changed. At this point cases can be re-prioritised as necessary.</li> <li>• The capacity for authorisations has been expanded and all service managers are to be part of the rota system.</li> <li>• Reports detailing the volume of activity and resource requirements have been submitted to senior management for information and consideration. These are considered against all demand and activity across the operational teams. Activity will continue to be reviewed and escalated.</li> </ul>	Maureen Stirrup	Control		
				Maureen Stirrup	Control		
				Maureen Stirrup	Control		
				Maureen Stirrup	Control		
				Maureen Stirrup	Control		

#### Review Comments

Controls and actions updated with Maureen Stirrup  
24/01/2024

# Adult Social Care and Health

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Risk Ref	Risk Title and Event	Owner	Last Review date	Next Review				
AH0044	<b>Safeguarding - protecting adults at risk</b>	Richard Smith	14/02/2024	14/05/2024				
<p>Failure to fulfil statutory obligations.                      Failure to meet the requirements of the "Prevent Duty" placed on Local Authorities.                      Safeguarding risks are not identified to / by KCC in a timely fashion during the Covid-19 pandemic.                      Spike(s) in demand impact on quality of controls</p>								
Cause	Consequence	Current Risk	Previous Current Risk	Control / Action	Control / Action	Target Date	Target Risk	
<p>The Council must fulfil its statutory obligations to effectively safeguard vulnerable adults, in a complex and challenging environment e.g., challenges relating to demand for services and consistent quality of care in the provider market. The change from 'safeguarding alerts' to 'safeguarding enquiries' has led to a significant increase in the number of safeguarding concerns received. There has also been an increase in domestic abuse referrals. The Covid-19 pandemic and the associated 'lockdown' measures raised concerns of increases in hidden harm, self-harm and neglect resulting in impacted demand profiles. Adult Social Care (ASC) offered a safeguarding consultation service until December 2021. There was an increase in concerns being raised via the KASAF forms once this service stopped. In addition, in March 2022, ASC</p>	<p>Incident of serious harm or death of a adults at risk.                      Serious impact on adults at risk.                      Serious impact on ability to recruit the quality of staff critical to service delivery.                      Serious operational and financial consequences.                      Attract possible intervention from a national regulator for failure to discharge corporate and executive responsibilities.</p>	<p><b>High</b>                      20                      Major (5)                      Likely (4)</p>		<ul style="list-style-type: none"> <li>Internal Audit to review safeguarding</li> </ul>	Sarah Denson	A -Accepted		<b>Medium</b>
				<ul style="list-style-type: none"> <li>Review arrangements for local level partnership meetings (formerly Alliance Meetings) to align to the new working model</li> </ul>	Alyson Wagget	A -Accepted	01/04/2024	15 Major (5) Possible (3)
				<ul style="list-style-type: none"> <li>Development of four area Safeguarding Hubs with a focus on concerns and risk assessments for new and known people to Adult Social Care. This will be a rotad function (6 monthly) to ensure flexibility and limitation of involvement, however, there will be a core skeletal staff group to ensure continuity. Clear handover plans will be in place for staff completing/starting rotation. The hub will also have a focus on building professional relationships with partners.</li> </ul>	Susan Ashmore	A -Accepted	01/04/2024	
				<ul style="list-style-type: none"> <li>KCC Safeguarding Competency Framework in place, including Mental Capacity Act requirements. Reviewing both frameworks in order to amalgamate and potentially have one all-encompassing framework</li> </ul>	Vicki Minkiewicz	A -Accepted	30/03/2024	
				<ul style="list-style-type: none"> <li>KCC contributes to the Multi-agency risk assessment conference (MARAC) process, which allows for the best possible safety planning for victims of domestic abuse who are considered to be at high risk of experiencing further significant harm/injury.</li> </ul>	Sydney Hill	Control		

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<p>introduced an online safeguarding referral form for members of the public and professionals to use and ceased the use of the Kent Adult Safeguarding Alert Forms (KASAF) forms. There is a significant upturn in safeguarding concerns received via the online form (42% increase 23/24 compared to 1st quarter last year). It has been noted that not all safeguarding concerns submitted require a safeguarding response and that the online form could be used incorrectly for a Care Needs Assessment or other contact from ASC. This has been noted when a person is waiting for a care needs assessment. In April 2023, the Locality Operating Model commenced, this model moved safeguarding into the place based teams with additional snr practitioner capacity given to each team. The optimum levels of staffing across the county have not yet been realised and the skill mix within the existing cohort of staff needs to be reviewed to ensure that this is adequate to meet the demand within the localities. In addition, the Counter Terrorism and Security Act sets out the Government's "Prevent Duty" and requires the Local Authority to act to</p>			<ul style="list-style-type: none"> <li>• Programme of training events includes specific training to support practitioners to develop knowledge and skills as part of continuing professional development. Manager training commenced July 2022</li> <li>• Workshops x3 (2 cohorts) held through the month of July for Senior Practitioners acting as Designated Safeguarding Officer by Practice Development Officer Team with oversight from Principle Social Worker</li> <li>• Monthly audits of safeguarding closures to continue by Strategic Safeguarding Unit. Community Team Managers and Assistant Directors informed if any remedial work is required to ensure a person's safety. Actions are put in place to address themes identified across the County</li> <li>• KCC is a partner in multi-agency public protection arrangements (MAPPAs) for managing sexual and violent offenders. Sarah Denson is first point of contact for Level 3 meetings which occur on a fortnightly basis</li> <li>• Safeguarding is embedding in locality operational teams</li> <li>• Practice framework in place.</li> <li>• Continuing embedding of the Practice Framework. in place Training programme for the 10 Core Skills Topics identified to support with the embedding of the practice framework.</li> <li>• Additional safeguarding training has been commissioned and is available to support the transition/embedding in localities</li> <li>• Programme of training events to support practitioners to develop knowledge and skills as part of continuing professional development. Manager training commenced July 2022.</li> </ul>	<p>Sarah Denson</p>	<p>Control</p> <p>Control</p> <p>Control</p> <p>Control</p> <p>Control</p> <p>Control</p> <p>Control</p> <p>Control</p>		
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<p>prevent vulnerable people from being drawn into terrorism. The Adult Social Care Sector has been identified as having a workforce being particularly vulnerable to modern slavery.</p>			<ul style="list-style-type: none"> <li>• Continuous Improvements for Safeguarding have been identified following the commencing of the Locality Operating Model and work is on-going to improve practice, support equity of experience across the County and streamline process.</li> </ul> <p>An updated Practice &amp; Process map has been completed and practice guidance has been circulated to the workforce and is available on TRiX.</p> <p>Project work to continually improve safeguarding is ongoing.</p>	<p>Sarah Denson</p>	<p>Control</p>		
			<ul style="list-style-type: none"> <li>• Quality assurance framework in place and continuing embedding of regular audit cycles continue.</li> </ul>	<p>Sarah Denson</p>	<p>Control</p>		
			<ul style="list-style-type: none"> <li>• Monitors safeguarding activity and supports managers to identify safeguarding concerns for closure.</li> </ul>	<p>Sarah Denson</p>	<p>Control</p>		
			<ul style="list-style-type: none"> <li>• Programme of training events to support practitioners to develop knowledge and skills as part of continuing professional development.</li> </ul>	<p>Sarah Denson</p>	<p>Control</p>		
			<ul style="list-style-type: none"> <li>• Strategic Safeguarding and Quality Assurance team in adult social care and health leads on a strategic framework for policy, service development, strategic safeguarding and quality assurance.</li> </ul>	<p>Sarah Denson</p>	<p>Control</p>		
			<ul style="list-style-type: none"> <li>• Weekly briefings have been delivered over the month of April for Community Managers and Senior Practitioners.</li> </ul>	<p>Sarah Denson</p>	<p>Control</p>		
			<ul style="list-style-type: none"> <li>• KCC is a member of the Kent &amp; Medway Safeguarding Adults Board – a statutory service which exists to make sure that all member agencies are working together to help Kent and Medway’s adults safe from harm and protect their rights. The Board has an independent Chair and its work carried out by a number of working groups.</li> </ul>	<p>Sarah Denson</p>	<p>Control</p>		

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			<ul style="list-style-type: none"> <li>• KCC Safeguarding Competency Framework reviewed to ensure currency and look for areas for improvement. Sarah Denson</li> <li>• 'Be the best we can be' Board oversees quality of practice. quality assurance board takes place on a quarterly basis. Sarah Denson</li> <li>• Countywide Autism and Learning Disability Partnership Leadership Meeting features safeguarding as an agenda item. Alyson Wagget</li> <li>• KCC is a member of the Kent &amp; Medway Safeguarding Adults Board – a statutory service which exists to make sure that all member agencies are working together to help Kent and Medway's adults safe from harm and protect their rights. The Board has an independent Chair and its work carried out by a number of working groups. David Whittle</li> <li>• Kent and Medway Prevent Duty Delivery Board (chaired by KCC) oversees the activity of the Kent and Medway Channel Panel, co-ordinating Prevent activity across the County and reporting to other relevant strategic bodies in the county. Currently chaired by KCC's Director of Adult Social Care and Health until the end of 2023. Richard Smith</li> <li>• KCC is a partner in multi-agency public protection arrangements (MAPPAs) for managing sexual and violent offenders, a mechanism through which agencies can better discharge their statutory responsibilities and protect the public in a coordinated manner. Richard Smith</li> <li>• Regular liaison between Director Adult Social Care and the Director of Care Quality Commission. Richard Smith</li> <li>• PREVENT training strategy in place and regularly reviewed. Nick Wilkinson</li> <li>• Semi-regional PREVENT model of delivery across Kent and Medway developed. Nick Wilkinson</li> </ul>	Control		
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			<ul style="list-style-type: none"> <li>• Kent and Medway Channel Panel (early intervention mechanism providing tailored support to people who have been identified as at risk of being drawn into terrorism) in place. Nick Wilkinson</li> <li>• KCC cross-directorate PREVENT group meets regularly and ensures the PREVENT duty is embedded across the organisation. Regular updates are provided to the Corporate Management Team. Nick Wilkinson</li> <li>• Joint Exploitation Group (Kent &amp; Medway) focuses on PREVENT agenda, gangs, modern slavery, human trafficking and online safeguarding matters reports to Adults Safeguarding Board and Children's Partnership. Nick Wilkinson</li> <li>• The annual assurance statement is a self-declaration approved by the Head of Paid Service which captures the Authority's compliance with the requirements of the Counter Terrorism Act. Actions identified within the annual assurance statement are transferred to the Kent and Medway Action Plan. Kent and Medway Board for PREVENT have oversight of action progress. Nick Wilkinson</li> <li>• Locality Commissioners meet regularly with Local Inspectors of the CQC. Strategic Commission also meet with Care Quality Commission and Public Health to share intelligence. Simon Mitchell</li> <li>• Mutual aid across the County is used where able to mitigate risks if demand for service is outstripped by the resource available. ASCH Divisional Directors</li> <li>• Recruitment processes continue to fill identified vacancies for both Snr Practitioners and experienced Social Workers. ASCH Divisional Directors</li> </ul>	Control		
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# Adult Social Care and Health

## Risk Register - Adult Social Care and Health

			<ul style="list-style-type: none"><li>Quarterly safeguarding report brings together key information to enable scrutiny and performance monitoring for management teams and the Cabinet Member.</li></ul>	ASCH Divisional Directors	Control		
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**Review Comments** 14/02/24 Risk discussed and reviewed and DMT on 14/02/24  
14/02/2024

# Adult Social Care and Health

## Risk Register - Adult Social Care and Health

Risk Ref	Risk Title and Event	Owner	Last Review date	Next Review				
AH0047	<b>Provider Failure</b>	Richard Ellis	04/01/2024	12/04/2024				
<p>There is a risk that a provider/s is/are unable to continue to provide a service, or that that they fail to do so to the required level or required quality standard.</p> <p>Increases in hand backs of care</p> <p>Providers choose not to tender for services at Local Authority funding levels or accept service users with complex needs.</p> <p>Significant numbers of care home closures or service provider failures.</p> <p>An emergency forces the provider to temporarily close</p>								
Cause	Consequence	Current Risk	Previous Current Risk	Control / Action	Control / Action	Target Date	Target Risk	
<p>KCC commission a significant proportion of adult social care out to the private and voluntary sectors.</p> <p>The stability and sustainability of commissioned services are paramount to continued service delivery. In the event that one or more of these [major] provider becomes unstable or fails or is impacted by an emergency which forces closure, there is a risk of disruption to service delivery, which could result in the people who use our services being put at risk, impact the ability for KCC to deliver its statutory duty, financial impacts and reputational and legal consequences.</p> <p>The current social care system is under significant strain as a result of the challenging economic environment with increasing costs, inflationary pressures,</p>	<p>Gaps in the care market for certain types of care or in geographical areas meaning difficulty in placing some service users.</p> <p>Unable to offer care packages immediately leading to delays with discharging from Health Services</p> <p>Key provider are unable to deliver services leading to KCC not meeting statutory requirements.</p> <p>Financial loss leading to pressures on budgets that may impact the provision of services to service users and residents</p> <p>Reputational damage</p> <p>Reduction in quality of care provided due to workforce pressures</p> <p>Negative impact on people who use the services of the failed provider as they may have to change to a new provider and/or change where they live.</p> <p>Impact on the capacity of our teams in the short term, as managing provider failure is time intensive.</p>	Medium		<ul style="list-style-type: none"> <li>A review of existing locality commissioning quality monitoring arrangements</li> <li>Review of care home closure process to incorporate a process for failure of care provider.</li> <li>Review provider annual self-assessment to ensure adequate coverage of requirements for overseas recruitment.</li> <li>Ongoing monitoring of Home Care market and market coverage. Commissioners and operational managers review the capacity of the Home Care market with a view to developing a strategy to ensure market coverage.</li> <li>Annual fee uplift process for providers on framework</li> <li>Regular senior level meeting, engaging senior stakeholder to support providers where possible.</li> <li>Community Support Market Position Statements to inform market shaping, oversight and sustainability are in place and regularly refreshed.</li> <li>Regular engagement with provider and trade organisations</li> </ul>	<p>Simon Mitchell</p> <p>Simon Mitchell</p> <p>Simon Mitchell</p> <p>Jo Harding</p> <p>Richard Ellis</p> <p>Richard Ellis</p> <p>Richard Ellis</p> <p>Richard Ellis</p>	<p>A -Accepted</p> <p>A -Accepted</p> <p>A -Accepted</p> <p>Control</p> <p>Control</p> <p>Control</p> <p>Control</p>	<p>30/05/2024</p> <p>31/03/2024</p>	<p>Medium</p> <p>9</p> <p>Significant (3)</p> <p>Possible (3)</p>
		Very Likely (5)						

## Adult Social Care and Health

### Risk Register - Adult Social Care and Health

<p>increasing interest rates, rising energy costs, complexity of demand for services, high vacancy levels, and high staff turnover rates and constrained local authority budgets all having an impact on providers resilience and ability to deliver.</p>			<ul style="list-style-type: none"> <li>• Adult Social Care Pressures Plan - outlining the strategic and operational response to a range of factors including COVID-19, vacancies in the health and social care workforce, waiting lists for care and support, winter pressures and budgetary pressures.</li> <li>• Weekly meeting with Cabinet Member to share latest position on the state of the social care market</li> <li>• Analytics of the current market, and potential future market to ensure appropriate provision for regulated/unregulated care. Three sets of performance data to be triangulated (Analytic/Performance Data/Budget)</li> <li>• Weekly sanctions (contract, safeguarding, practice) is held, providers are rated, level 3 ratings are embargoed from new placements until issues resolved.</li> <li>• Providers are required to complete an annual self-assessment covering a number of issues including solvency.</li> <li>• Provider Master List is retained and RAG rated (e.g CQC rating, Ops visits, Commissioning visits, Safeguarding alert). Utilised by locality commissioning to target key providers with appropriate support</li> <li>• Quarterly market pressure reports to ASCH DMT</li> <li>• Commissioning ensure providers have BCP in place and that it is reviewed annually. Commissioning have commenced conversations with ASCH BCP leads in regards to arrangements for provider BCP's.</li> <li>• Care home closure process</li> <li>• Locality Commissioners support – regular audits, support with actions plans and policy where required</li> </ul>	<p>Richard Smith</p> <p>Richard Smith</p> <p>Simon Mitchell</p>	<p>Control</p> <p>Control</p> <p>Control</p> <p>Control</p> <p>Control</p> <p>Control</p> <p>Control</p> <p>Control</p> <p>Control</p>		
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# Adult Social Care and Health

## Risk Register - Adult Social Care and Health

			<ul style="list-style-type: none"><li>Development of micro providers market with partner Community Catalysts. Quarterly contract management reviews take place including focus on performance against targets (engagement and set up).</li></ul>	Simon Mitchell	Control		
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**Review Comments** 04/01/24 Cabinet review as part of CRR refresh.  
04/01/2024

# Adult Social Care and Health

## Risk Register - Adult Social Care and Health

Risk Ref	Risk Title and Event	Owner	Last Review da	Next Review			
AH0037	<b>Information Asset Management</b> Fit for purpose configuration of Adult Social Care systems to enable data quality, consistency and trust of data.	Paula Parker	29/01/2024	25/03/2024			
Cause	Consequence	Current Risk	Previous Current Risk	Control / Action	Control / Action	Target Date	Target Risk
	Systems failure resulting in either temporary or permanent loss of information and functionality. Poor data quality resulting in poor decision making and errors Systems unfit for purpose Data breaches	Medium 9 Significant (3) Possible (3)		<ul style="list-style-type: none"> <li>Provider Portal Upgrade, testing to go live with this, date to be agreed with Access group it has to coincide with billing runs to ensure that there is no impact on client billing run</li> <li>System change has been prioritised to support the go live of the locality model on 1 April 2023, a review of priority activity to support phase 2 s underway.</li> <li>Disaster recovery testing is in place with The Access Group, there are also penalties that are built into the contract should The Access Group be responsible for any issues resulting in downtime.</li> <li>Annual business continuity planning process is in place to ensure that services are consulted on their requirements should the system be down and relevant actions set in place.</li> <li>Monthly contract management meetings are in place with Cantium and The Access Group to improve performance of systems and resolve issues</li> <li>The Change Advisory Board which was a user group forum to discuss and escalate any matters of concerns to the Adult Social Care Systems Board will now report into the newly formed Countywide improvement cycles to focus and progress key priority change work to support the locality model changes. The Board has been reinstated with new reps from all services.</li> </ul>	A -Accepted  Control  Control  Control  Control	29/03/2024	Medium 9 Significant (3) Possible (3)

## Adult Social Care and Health

### Risk Register - Adult Social Care and Health

			<ul style="list-style-type: none"> <li>• A data quality strategy has been published including an action plan which will be monitored by a sub group to plan and resolve high priority data quality issues. Paula Parker</li> <li>• Emergency client report is produced overnight every day and saved for restricted use should MOSAIC be down. Paula Parker</li> <li>• A newly formed Adult Social Care System Board was introduced in 2022 as part of revised governance to coordinate and oversee any systems activity. This is chaired by the Head of Business Delivery Unit and involves representation across the services. Paula Parker</li> <li>• Internal processes and systems are in place as detailed in team business continuity plans for contact if telephone systems are down. ASCH Directorate Management Team</li> </ul>		Control		
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**Review Comments** Reviewed at DMT. Agreed to continue to hold on risk register.  
29/01/2024

# Adult Social Care and Health

## Risk Register - Adult Social Care and Health

Risk Ref	Risk Title and Event	Owner	Last Review date	Next Review			
AH0038	<b>Information governance</b> Responsibility of General Data Protection Regulation (GDPR) and Data Protection (2018) obligations are the responsibility of all staff and staff need to have a strong understanding of obligations, consequences and processes and working arrangements to ensure social care clients' data is looked after throughout their whole journey. It is paramount that strong Information Governance arrangements and working practices are in place to ensure social care clients' data is looked after throughout their whole journey. Adult Social Care & Health (ASCH) directorate are responsible for ensuring continued compliance with GDPR and Data Protection (2018) obligations. Failure to comply could lead to losses of information and data breaches which would have an impact on social care clients and cause reputational consequences. It could also mean a loss of access to data (e.g., health) and the success of this directorate is dependent on sharing information with multiple organisations to provide the best possible care and support to an individual. In significant circumstances failure to comply could also lead to fines or sanctions.	Richard Smith	29/01/2024	25/03/2024			
Cause	Consequence	Current Risk	Previous Current Risk	Control / Action	Control / Action	Target Date	Target Risk
	Failure to comply with GDPR and Data Protection (2018) obligations could cause reputational damage to ASCH, impact negatively on a social care clients' support and care, lead to loss of access to data and ultimately lead to fines or sanctions.	Medium 9 Significant (3) Possible (3)		<ul style="list-style-type: none"> <li>The process and resources required to undertake Subject Access request and complete them within the required time frame will be reviewed as part of the business support offer.</li> <li>A new process of automation and consistency of storage is being explored for supervision records to support our supervision policy.</li> <li>Standardise Easy Read privacy notices in Adult Social Care and Health</li> <li>Ensure each team / division have their own privacy notice</li> <li>Review General Notice to ensure that it is fit for purpose and meets KCC's Privacy Notice Guidance standards</li> <li>All freedom of information requests for adult social care are coordinated from a central point within the directorate to ensure compliance with legislation, timescales and appropriate approval and escalation routes.</li> </ul>	Sydney Hill A -Accepted  Sarah Denson A -Accepted  Lauren Liddell-Young A -Accepted  Lauren Liddell-Young A -Accepted  Lauren Liddell-Young A -Accepted  Richard Smith Control	03/06/2024  29/03/2024  29/02/2024  29/02/2024  29/02/2024	Medium 9 Significant (3) Possible (3)

# Adult Social Care and Health

## Risk Register - Adult Social Care and Health

			<ul style="list-style-type: none"> <li>• Process is in place across KCC to support managers with any non compliance of mandatory training by automatic notification. Adult social care also have an internal process of monitoring and escalation of non compliance in Information Governance , GDPR and NHS Data Security. Learning and Development have also created a dashboard on mandatory training compliance for the directorate and access provided to IG lead.</li> </ul>	Richard Smith	Control		
			<ul style="list-style-type: none"> <li>• Information Governance Lead will continue to increase awareness of key Information Governance topics through briefings, attending team meetings, providing internal guidance and policies, as well as regular communications to staff that include a regular slot in the staff bulletin.</li> </ul>	Lauren Liddell-Young	Control		
			<ul style="list-style-type: none"> <li>• Due to changes within the localities teams a bespoke offer of training and support is available for staff supporting Subject Access Request and Third party requests where this is new to their role.</li> </ul>	Lauren Liddell-Young	Control		
			<ul style="list-style-type: none"> <li>• Documented governance process is in place for escalation of Information Governance issues or approval in Adult social care.</li> </ul>	Lauren Liddell-Young	Control		
			<ul style="list-style-type: none"> <li>• Documented process has been developed for MOSAIC access for internal staff outside of ASCH and external agencies.</li> </ul>	Lauren Liddell-Young	Control		
			<ul style="list-style-type: none"> <li>• Information Governance Lead to continue to monitor Information Governance arrangements across the Directorate and maintain the Information Governance Action Plan to identify improvements and solutions to be compliant with UK GDPR/DPA 2018. This is a live document that is regularly reviewed and updated monthly.</li> </ul>	Lauren Liddell-Young	Control		

**Review Comments** Discussed at DMT. Agreed to hold on risk register until all system upgrades have taken place  
29/01/2024