



Social Care Health & Wellbeing Directorate Risk Register

JUNE 2014

Social Care Health & Wellbeing Directorate Summary Risk Profile

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

Risk No.*	Risk Title	Current Risk Rating	Target Risk Rating
SCHWB 01	Transformation of adult social care services	16	9
SCHWB 02	Transformation of children's services	9	6
SCHWB 03	Safeguarding – Protecting vulnerable children and adults	16	9
SCHWB 04	Austerity and pressures on public sector funding	25	16
SCHWB 05	Health and social care integration Pioneer and BCF	12	6
SCHWB 06	Health and Social Care Act 2012	12	9
SCHWB 07	Increasing demand for social care services	20	16
SCHWB 08	Managing and working within the social care market	12	9
SCHWB 09	Information technology	16	6
SCHWB 10	Information governance	9	6
SCHWB 11	Business disruption	9	9
SCHWB 12	KCC KMPT partnership agreement	9	6
SCHWB 13	Preparation for legislative change	15	6
SCHWB 14	Organisational change	12	12
SCHWB 15	MCA and Deprivation of Liberty assessments	16	8

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

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

Likelihood & Impact Scales					
Likelihood	Very Unlikely (1)	Unlikely (2)	Possible (3)	Likely (4)	Very Likely (5)

Impact	Minor (1)	Moderate (2)	Significant (3)	Serious (4)	Major (5)
Risk ID: SCHW 01 Risk Title: Transformation of adult social care services					
Source / Cause of risk	Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact
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 will have a major impact on the service.	Andrew Ireland, Corporate Director, Social Care Health & Wellbeing Mark Lobban, Director Commissioning	Likely (4) Possible (3)	Serious (4) Significant (3)
Control Title			Control Owner		
A Transformation Board is established with agreed Governance arrangements including links with DMT/Div MTs and the Corporate Facing the Challenge/Transformation Programme.			Andrew Ireland, Corporate Director, Social Care Health & Wellbeing/ Mark Lobban, Director Commissioning		
Oversight and monitoring by Programme Board, Budget Board and Cabinet.			Andrew Ireland, Corporate Director, Social Care Health & Wellbeing/ Mark Lobban, Director Commissioning		
Separate risk register and issues log			Andrew Ireland, Corporate Director, Social Care Health & Wellbeing/ Mark Lobban, Director Commissioning		
Support of Efficiency partner with diagnostics and implementation.			Andrew Ireland, Corporate Director, Social Care Health & Wellbeing/		

	Mark Lobban, Director Commissioning	
Transformation Programme in place with links and interdependencies with the KCC Transformation /Facing the Challenge Programme.	Andrew Ireland, Corporate Director, Social Care Health & Wellbeing/ Mark Lobban, Director Commissioning	
Action Title	Action Owner	Planned Completion Date
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.	Mark Lobban, Director Commissioning	01/10/2014
Communicate the revised Transformation blueprint	Mark Lobban, Director Commissioning	01/07/2014
On-going work with an Efficiency Partner	Mark Lobban, Director Commissioning	01/10/2014
Implementation and roll-out phase of Transformation: Optimisation, Care Pathways, Commissioning. Roll out of "Sandbox" methodology.	Anne Tidmarsh, Director Older People and Disability	01/10/2014
Manage the interdependencies and relationship between transformation and other Corporate/Directorate programmes e.g. new ways of working and boundaries re-alignment	Mark Lobban, Director Commissioning	01/10/2014
Working with Newton Europe on the design of Phase 2	Mark Lobban, Director Commissioning	31/03/2015

Risk ID: SCHW 02		Risk Title: Transformation of children's services			
Source / Cause of risk	Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact
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 adversely impact on vulnerable children and young people	Andrew Ireland, Corporate Director, Social Care Health & Wellbeing Mairead MacNeil, Director Specialist Children's Services	Possible (3) Target Residual Likelihood Unlikely (2)	Significant (3) Target Residual Impact Significant (3)
Control Title			Control Owner		
Performance framework, operational framework, quality assurance framework.			Andrew Ireland, Corporate Director, Social Care Health & Wellbeing/ Mairead MacNeil, Director Specialist Children's Services		
Practice Development Programme rolled out including masterclasses/training. Programme being evaluated.			Andrew Ireland, Corporate Director, Social Care Health & Wellbeing/ Mairead MacNeil, Director Specialist Children's Services		
Robust performance monitoring			Andrew Ireland, Corporate Director, Social Care Health & Wellbeing/ Mairead MacNeil, Director Specialist Children's Services		
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, Corporate Director, Social Care Health & Wellbeing/ Mairead MacNeil, Director Specialist Children's Services		
Action Title		Action Owner		Planned Completion Date	
Rolling programme of audits of services		Mairead MacNeil, Director Specialist Children's Services		01/10/2014	
Recruitment to permanent Social work and Management vacancies. New website produced, recruitment events.		Andrew Ireland, Corporate Director, Social Care Health & Wellbeing		01/10/2014	

Needs to be clear links between Transformation and Prevention.
Support of Newton-Europe as an Efficiency Partner.

Mairead MacNeil, Director Specialist Children's
Services

01/10/2014

Risk ID: SCHW 03 Risk Title: Safeguarding – Protecting vulnerable children and adults					
Source / Cause of Risk	Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact
Safeguarding – Protecting vulnerable children and adults	The council must fulfil its statutory obligations to effectively safeguard vulnerable children and adults.	Its ability to fulfil this obligation could be affected by the adequacy of its controls, management and operational practices or if demand for its services exceeds its capacity and capability.	Andrew Ireland, Corporate Director, Social Care Health & Wellbeing	Likely (4)	Serious (4)
			Mark Lobban, Director Commissioning	Target Residual Likelihood	Target Residual Impact
				Possible (3)	Significant (3)
			Mairead MacNeil, Director Specialist Children's Services		
			Anne Tidmarsh, Director Older People and Disability		
			Penny Southern, Director Learning Disability and Mental Health		
Control Title			Control Owner		
Deep dives for constructive challenge by Senior Managers of front line services. More Deep dives planned.			Andrew Ireland, Corporate Director, Social Care Health & Wellbeing		
Extensive Staff Training. In SCS a Capability Framework to be launched with a Safeguarding element.			Andrew Ireland, Corporate Director, Social Care Health & Wellbeing/ Mark Lobban, Director Commissioning/ Mairead MacNeil, Director Specialist		

	Children's Services/ Penny Southern, Director Learning Disability and Mental Health/ Anne Tidmarsh, Director Older People and Disability
Multi-agency public protection arrangements	Andrew Ireland, Corporate Director, Social Care Health & Wellbeing/ Mark Lobban, Director Commissioning/ Mairead MacNeil, Director Specialist Children's Services/ Penny Southern, Director Learning Disability and Mental Health/ Anne Tidmarsh, Director Older People and Disability
OPPD Safeguarding Improvement Plans in place	Anne Tidmarsh, Director Older People and Disability
Quarterly reporting to Directors and Cabinet Members and Annual Report for Members	Andrew Ireland, Corporate Director, Social Care Health & Wellbeing/ Mark Lobban, Director Commissioning/ Mairead MacNeil, Director Specialist Children's Services/ Penny Southern, Director Learning Disability and Mental Health/ Anne Tidmarsh, Director Older People and Disability
Safeguarding Boards in place for children's and for adult social care services, providing a strategic countywide overview across agencies.	Andrew Ireland, Corporate Director, Social Care Health & Wellbeing/ Mark Lobban, Director Commissioning/ Mairead MacNeil, Director Specialist Children's Services/ Penny Southern, Director Learning Disability and Mental Health/ Anne Tidmarsh, Director Older People and Disability
Consistent scrutiny and performance monitoring through Divisional Management Teams, Deep Dives and audit activity	Andrew Ireland, Corporate Director, Social Care Health & Wellbeing/ Mark Lobban,

	Director Commissioning/ Mairead MacNeil, Director Specialist Children's Services/ Penny Southern, Director Learning Disability and Mental Health/ Anne Tidmarsh, Director Older People and Disability	
Children's Transformation Plan in SCS part of the wider 0 to 25 Portfolio.	Andrew Ireland, Corporate Director, Social Care Health & Wellbeing/ Mairead MacNeil, Director Specialist Children's Services	
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, Director Learning Disability and Mental Health	
Action Title	Action Owner	Planned Completion Date
Audit feedback sessions	Andrew Ireland, Corporate Director, Social Care Health & Wellbeing	01/10/2014
Cross-County file audits	Andrew Ireland, Corporate Director, Social Care Health & Wellbeing	01/10/2014
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.	Mark Lobban, Director Commissioning	01/09/2014
Practice development programme to strengthen practice across children and families. Delivery of Phase 4 Improvement Plan Actions.	Andrew Ireland, Corporate Director, Social Care Health & Wellbeing	01/10/2014
Active recruitment programme in place to attract and retain high calibre social workers and managers	Andrew Ireland, Corporate Director, Social Care Health & Wellbeing	01/10/2014
Ongoing provision of safeguarding training for the relevant staff.	Andrew Ireland, Corporate Director, Social Care Health & Wellbeing	01/10/2014
Transformation in SCS to get the business processes right to assist practitioners.	Mairead MacNeil, Director Specialist Children's Services	01/10/2014

Risk ID: SCHW 04 Risk Title: Austerity and pressures on public sector funding					
Source / Cause of Risk	Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact
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.	Andrew Ireland, Corporate Director, Social Care Health & Wellbeing Michele Goldsmith, Finance Business Partner	Very Likely (5) Likely (4)	Major (5) Serious (4)
Control Title			Control Owner		
More efficient use of assistive technology			Mark Lobban, Director Commissioning/Penny Southern, Director Learning Disability and Mental Health/Anne Tidmarsh, Director Older People and Disability		
Robust debt monitoring			Michele Goldsmith, Finance Business Partner/Andrew Ireland, Corporate Director, Social Care Health & Wellbeing		
Robust financial and activity monitoring regularly reported to DMT and budget reporting within the Div MTs			Michele Goldsmith, Finance Business Partner/Andrew Ireland, Corporate Director, Social Care Health & Wellbeing		
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.			Mairead MacNeil, Director Specialist Children's Services		
Strategic Priority Plans in place for 2014/15 and divisional plans to be produced.			Andrew Ireland, Corporate Director, Social Care Health & Wellbeing		

Transformation programme to ensure efficiencies and the best use of available resources.		Michele Goldsmith, Finance Business Partner/Andrew Ireland, Corporate Director, Social Care Health & Wellbeing/ Mark Lobban, Director Commissioning/Penny Southern, Director Learning Disability and Mental Health/Anne Tidmarsh, Director Older People and Disability
Action Title	Action Owner	Planned Completion Date
Building community capacity. In LD services the GDP programme moving from segregated facilities to inclusive settings with partners.	Andrew Ireland, Corporate Director, Social Care Health & Wellbeing	01/10/2014
Business Plans for specific LD capital projects to demonstrate the efficiencies and value.	Penny Southern, Director Learning Disability and Mental Health	01/09/2014
Continue to work innovatively with partners, including health services, to identify any efficiencies.	Andrew Ireland, Corporate Director, Social Care Health & Wellbeing	01/10/2014
Continued drive to deliver efficient and effective services through transformation and modernisation agenda.	Andrew Ireland, Corporate Director, Social Care Health & Wellbeing	01/10/2014
Developing robust commissioning arrangements. Manage /shape the social care market.	Mark Lobban, Director Commissioning	01/10/2014
Development of appropriate incentives within the commissioning framework	Mark Lobban, Director Commissioning	01/10/2014
Focus on prevention, enablement and independence for vulnerable adults.	Andrew Ireland, Corporate Director, Social Care Health & Wellbeing	01/10/2014
Continue to review and ensure value for money from residential and IFA placements.	Mark Lobban, Director Commissioning	01/10/2014
SCS Transformation Board to continue to manage budget reductions including care cost reduction and placement reconfiguration. Improve business processes	Mairead MacNeil, Director Specialist Children's Services	01/10/2014

Risk ID: SCHW 05		Risk Title: Health and Social Care integration Pioneer and BCF			
Source / cause of risk	Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact
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, Director Older People and Disability	Likely (4)	Significant (3)
				Target Residual Likelihood Possible (3)	Target Residual Impact Moderate (2)
Control Title			Control Owner		
The Better Care Fund will help the integration programme and the development of joined up working and commissioning.			Anne Tidmarsh, Director Older People and Disability		
Kent is one of the 14 Integrated Health Pioneers. This is giving renewed impetus to the integration programme in Kent. An Integration Pioneer Steering Group is in place.			Anne Tidmarsh, Director Older People and Disability		
Local Better Care Fund delivery groups in place covering the CCG areas. Locality action plans in place.			Anne Tidmarsh, Director Older People and Disability		
Project management arrangements in place with a Programme Plan and local action plans based on the the Programme Plan.			Anne Tidmarsh, Director Older People and Disability		
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, Director Older People and Disability		
Action Title		Action Owner	Planned Completion Date		
Developing integrated performance measures and monitoring		Anne Tidmarsh, Director Older People and Disability	01/10/2014		
Local BCF delivery groups working on local action plans.		Anne Tidmarsh, Director Older People and Disability	01/10/2014		
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.		Jo Frazer, Programme Manager	30/09/2014		
Working towards greater Connectivity of information systems via a shared Care plan.		Anne Tidmarsh, Director Older People and Disability	01/10/2014		
Work closely with the CCGs to focus on long term conditions to improve people's ability to self care.		Anne Tidmarsh, Director Older People and Disability	01/10/2014		
Kent has Pioneer Status for Health and Social Care Integration. This will widen the		Anne Tidmarsh, Director Older	01/10/2014		

integration programme to include commissioning and provision. Further work to be done to develop and take forward the integration programme and wider Pioneer work.

People and Disability

Risk ID: SCHW 06		Risk Title: Health and Social Care Act 2012			
Source / cause of risk	Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact
Health and Social Care Act 2012	New working arrangements and health architecture following the Health and Social Care Act.	Significant implications for the future delivery and provision of social care and health. Emergence of Clinical Commissioning Groups and the transfer of public health functions to Local authorities requires 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.	<p>Andrew Ireland, Corporate Director, Social Care Health & Wellbeing</p> <p>Mark Lobban, Director Commissioning</p> <p>Mairead MacNeil, Director Specialist Children's Services</p> <p>Anne Tidmarsh, Director Older People and Disability</p> <p>Penny Southern, Director Learning Disability and Mental Health</p>	<p>Likely (4)</p> <p>Target Residual Likelihood Possible (3)</p>	<p>Significant (3)</p> <p>Target Residual Impact Significant (3)</p>
Control Title			Control Owner		
Existing partnership working with Health which is leading to shared improvements.			Andrew Ireland, Corporate Director, Social Care Health & Wellbeing/ Mark Lobban, Director Commissioning/ Mairead MacNeil, Director Specialist Children's Services/ Penny Southern, Director Learning Disability and Mental Health/ Anne Tidmarsh, Director Older People and Disability		

<p>Effective joint initiatives in place with Health.</p>	<p>Andrew Ireland, Corporate Director, Social Care Health & Wellbeing/ Mark Lobban, Director Commissioning/ Mairead MacNeil, Director Specialist Children's Services/ Penny Southern, Director Learning Disability and Mental Health/ Anne Tidmarsh, Director Older People and Disability</p>
<p>JSNA to support health and social care commissioning</p>	<p>Andrew Ireland, Corporate Director, Social Care Health & Wellbeing/ Mark Lobban, Director Commissioning/ Mairead MacNeil, Director Specialist Children's Services/ Penny Southern, Director Learning Disability and Mental Health/ Anne Tidmarsh, Director Older People and Disability</p>
<p>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.</p>	<p>Andrew Ireland, Corporate Director, Social Care Health & Wellbeing/ Mark Lobban, Director Commissioning/ Mairead MacNeil, Director Specialist Children's Services/ Penny Southern, Director Learning Disability and Mental Health/ Anne Tidmarsh, Director Older People and Disability</p>
<p>Maintain close links with commissioners to ensure application of continuing health care and Section 117 arrangements.</p>	<p>Andrew Ireland, Corporate Director, Social Care Health & Wellbeing/ Mark Lobban, Director Commissioning/ Mairead MacNeil, Director Specialist Children's Services/ Penny Southern, Director Learning Disability and Mental Health/ Anne Tidmarsh, Director Older People and Disability</p>

Ensure adherence to CHC framework. Monitor joint working arrangements.	Mark Lobban, Director Commissioning/ Mairead MacNeil, Director Specialist Children's Services/ Penny Southern, Director Learning Disability and Mental Health/ Anne Tidmarsh, Director Older People and Disability	
Restructure of OPPD boundaries and restructure of teams in progress.	Anne Tidmarsh, Director Older People and Disability	
Ensure Section 75 agreements are monitored in new arrangements.	Mark Lobban, Director Commissioning/ Mairead MacNeil, Director Specialist Children's Services/ Penny Southern, Director Learning Disability and Mental Health/ Anne Tidmarsh, Director Older People and Disability	
Action Title	Action Owner	Planned Completion Date
Alignment of the commissioning plans for SC and Clinical Commissioning Groups. Use of the Health and Well Being Strategy.	Andrew Ireland, Corporate Director, Social Care Health & Wellbeing	1.10.2014
Continued joint working with Health through the changes to the health architecture. Working with the CCGs and other health providers.	Andrew Ireland, Corporate Director, Social Care Health & Wellbeing	1.10.2014
OPPD boundary realignment work taking place on phased basis to align boundaries with CCGs.	Anne Tidmarsh, Director Older People and Disability	1.10.2014
Work in progress to complete a new Section 75 agreement with the CCGs for a Section 75 Agreement to include Personal Health Budgets.	Anne Tidmarsh, Director Older People and Disability	1.10.2014
Strategic approach to the development of Kent Health Watch.	Andrew Ireland, Corporate Director, Social Care Health & Wellbeing	1.10.2014

Risk ID: SCHW 07		Risk Title: Increasing demand for social care services			
Source / cause of risk	Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact
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, Corporate Director, Social Care Health & Wellbeing Mark Lobban, Director Commissioning Anne Tidmarsh, Director Older People and Disability Penny Southern, Director Learning Disability and Mental Health	V Likely (5) Target Residual Likelihood Likely (4)	Serious (4) Target Residual Impact Serious (4)
Control Title			Control Owner		
Continue to explore roles and functions			Andrew Ireland, Corporate Director, Social Care Health & Wellbeing/ Mark Lobban, Director Commissioning/ Penny Southern, Director Learning Disability and Mental Health/ Anne Tidmarsh, Director Older People and Disability		
Contracting and Procurement controls			Andrew Ireland, Corporate Director, Social Care Health & Wellbeing/ Mark Lobban, Director Commissioning/ Penny Southern, Director Learning Disability and Mental Health/ Anne Tidmarsh, Director Older People		

	and Disability
Core monitoring in place for Members	Andrew Ireland, Corporate Director, Social Care Health & Wellbeing/ Mark Lobban, Director Commissioning/Penny Southern, Director Learning Disability and Mental Health/ Anne Tidmarsh, Director Older People and Disability
Early intervention and Preventative services aimed at reducing demand. Promoting independence through for example: enablement, fast track minor equipment, short term care with step down and step up support.	Andrew Ireland, Corporate Director, Social Care Health & Wellbeing/ Mark Lobban, Director Commissioning/ / Penny Southern, Director Learning Disability and Mental Health/ Anne Tidmarsh, Director Older People and Disability. Patrick Leeson Corporate Director EYS.
Joint planning and commissioning with partners	Andrew Ireland, Corporate Director, Social Care Health & Wellbeing/ Mark Lobban, Penny Southern, Director Learning Disability and Mental Health/ Anne Tidmarsh, Director Older People and Disability
Modernisation of older peoples and learning disability services	Andrew Ireland, Corporate Director, Social Care Health & Wellbeing/ Mark Lobban, Director Commissioning/ Penny Southern, Director Learning Disability and Mental Health/ Anne Tidmarsh, Director Older People and Disability

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, Corporate Director, Social Care Health & Wellbeing/ Mairead MacNeil, Director Specialist Children's Services/ Penny Southern, Director Learning Disability and Mental Health	
Robust reporting and analysis to DMT and Business Planning	Andrew Ireland, Corporate Director, Social Care Health & Wellbeing/ Mark Lobban, Director Commissioning/ Penny Southern, Director Learning Disability and Mental Health/ Anne Tidmarsh, Director Older People and Disability	
Implementation of Adults Transformation Programme underway including: Care Pathways, Commissioning and Procurement and Optimisation.	Andrew Ireland, Corporate Director, Social Care Health & Wellbeing/ Mark Lobban, Director Commissioning/ Penny Southern, Director Learning Disability and Mental Health/ Anne Tidmarsh, Director Older People and Disability	
Action Title	Action Owner	Planned Completion Date
Managing Prices: Re-tendering for Home Care and Residential Care.	Mark Lobban, Director Commissioning	1.10.2014
Review of care ensuring good outcomes linked to effective arrangements for support. monitoring of trusted assessor arrangements e.g. carers assessments.	Andrew Ireland, Corporate Director, Social Care Health & Wellbeing	1.10.2014
Adult social care Transformation Programme - tracking and monitoring the impact of delivery -on going.	Andrew Ireland, Corporate Director, Social Care Health & Wellbeing	1.10.2014
Continue to invest in preventative services through voluntary sector partners.	Andrew Ireland, Corporate Director, Social Care Health & Wellbeing	1.10.2014
Continued use and development of Assistive Technology (Telecare). Extend scope	Andrew Ireland, Corporate Director, Social Care Health &	1.10.2014

of Telecare.	Wellbeing	
Continued modernisation of Older People Services and of Learning Disability Day Services through the Good Day Programme.	Andrew Ireland, Corporate Director, Social Care Health & Wellbeing	1.10. 2014
To monitor demand for services including new referrals and people requiring services for longer -often with complex needs.	Penny Southern, Director Learning Disability and Mental Health	1.10.2014
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.	Andrew Ireland, Corporate Director, Social Care Health & Wellbeing	1.10.2014
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.	Andrew Ireland, Corporate Director, Social Care Health & Wellbeing	1.10.2014

Risk ID: SCHW 08 Risk Title: Managing and working within the Social Care Market					
Source / cause of risk	Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact
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, Corporate Director, Social Care Health & Wellbeing Mark Lobban, Director Commissioning	Possible (3) Target Residual Likelihood Possible (3)	Serious (4) Target Residual Impact Significant (3)
Control Title			Control Owner		
A risk based approach to monitoring providers			Andrew Ireland, Corporate Director, Social Care Health & Wellbeing/ Mark Lobban, Director Commissioning		
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, Corporate Director, Social Care Health & Wellbeing/ Mark Lobban, Director Commissioning		
Commissioning framework for children's services			Andrew Ireland, Corporate Director, Social Care Health & Wellbeing/ Mark Lobban, Director Commissioning		
Commissioning in partnership with key agencies (health)			Andrew Ireland, Corporate Director, Social Care Health & Wellbeing/ Mark Lobban, Director		

	Commissioning
Develop commissioning plans for specific service areas to determine if a tendering process is required and then implement.	Mark Lobban, Director Commissioning
Separate Project Risk register held. Working with legal services and corporate procurement. Regular briefings to staff and communication with service users.	
Every provider has signed the National Fostering Framework agreement and KCC service specification.	
Developing Market Position Statements for each commissioning area.	Andrew Ireland, Corporate Director, Social Care Health & Wellbeing/ Mark Lobban, Director Commissioning
Procurement and contract controls	Andrew Ireland, Corporate Director, Social Care Health & Wellbeing/ Mark Lobban, Director Commissioning
Regular market mapping and price increase pressure tracking	Andrew Ireland, Corporate Director, Social Care Health & Wellbeing/ Mark Lobban, Director Commissioning
Regular meetings with provider and trade organisations	Andrew Ireland, Corporate Director, Social Care Health & Wellbeing/ Mark Lobban, Director Commissioning
Reviewing relationships with voluntary organisations	Andrew Ireland, Corporate Director, Social Care Health & Wellbeing/ Mark Lobban, Director Commissioning
Action Title	Action Owner
Planned Completion Date	
Continue to review high cost placements in IFA and residential. Developing a commissioning framework for children's residential care.	Mark Lobban, Director Commissioning
1.10.2014	
Continued on-going review of high cost placements in Learning Disability Services to ensure value for money. Efficiency Partners involved in the review.	Mark Lobban, Director Commissioning
1.10.2014	
Ensuring market is able to offer choice in the new market conditions opened up by personalisation	Mark Lobban, Director Commissioning
1.10.2014	
Home Care Re Tender taking place. Tendering process being managed to ensure	Mark Lobban,
1.10.2014	

providers meet quality and financial standards. Communicating with staff to keep them informed. Close monitoring of data will be required to ensure there are arrangements in place for each client. Mobilisation phase commenced.	Director Commissioning	
Project to improve quality of care in independent sector. Framework to be produced.	Mark Lobban, Director Commissioning	1.10.2014
Preparations taking place for a tender for residential and nursing home care.	Mark Lobban, Director Commissioning	1.10.2014

Risk ID: SCHW 09		Risk Title: Information Technology			
Source / cause of risk	Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact
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, Corporate Director, Social Care Health & Wellbeing	Likely (4)	Serious (4)
			Mairead MacNeil, Director Specialist Children's Services	Target Residual Likelihood Possible (3)	Target Residual Impact Moderate (2)
			Penny Southern, Director Learning Disability and Mental Health		
Control Title				Control Owner	
An ICS board has been established to oversee the procurement and integration of the new system.				Mairead MacNeil, Director Specialist Children's Services	
In specialist children's services, phase one of the new Liberi system has been implemented.				Mairead MacNeil, Director Specialist Children's Services	
Upgrade to latest version of SWIFT/AIS for compelling technical reasons and the need to ensure the system meets Care Act requirements.				Penny Southern, Director Learning Disability and Mental Health	
Systems group is in place with clear governance arrangements to manage demands for changes to the system and to ensure operational resilience.				Penny Southern, Director Learning Disability and Mental Health	
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, Director Learning Disability and Mental Health	
Action Title		Action Owner		Planned Completion Date	
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		Penny Southern, Director Learning Disability and Mental		31.12.2014	

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.	Health
Any issues and risks regarding the new Liberi system are to be dealt with in the Programme board. Phase 2 to be implemented.	Mairead MacNeil, Director Specialist Children's Services 1.10.2014
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.	Penny Southern, Director Learning Disability and Mental Health 1.10.2014

Risk ID: SCHW 10		Risk Title: Information Governance			
Source / cause of risk	Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact
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, Corporate Director, Social Care Health & Wellbeing	Possible (3)	Significant (3)
				Target Residual Likelihood	Target Residual Impact
				Possible (3)	Moderate (2)
Control Title			Control Owner		
Caldicott Guardian in place for SCHWB and Caldicott Guardian Guidance and register in place.			Andrew Ireland, Corporate Director, Social Care Health & Wellbeing/Mark Lobban, Director Commissioning/Anne Tidmarsh, Director Older People and Disability/Penny Southern, Director Learning Disability and Mental Health		
Clause in employment contracts requiring compliance with data protection requirements.			Andrew Ireland, Corporate Director, Social Care Health & Wellbeing/Mark Lobban, Director Commissioning/Anne Tidmarsh, Director Older People and Disability/Penny Southern, Director Learning Disability and Mental Health		
E Learning training for staff to raise awareness. All staff to complete the e-learning training.			Andrew Ireland, Corporate Director, Social Care Health & Wellbeing/Mark Lobban, Director Commissioning/Anne Tidmarsh,		

	Director Older People and Disability/Penny Southern, Director Learning Disability and Mental Health	
Information sharing agreements and protocols for some specific projects are in place.	Andrew Ireland, Corporate Director, Social Care Health & Wellbeing/Mark Lobban, Director Commissioning/Anne Tidmarsh, Director Older People and Disability/Penny Southern, Director Learning Disability and Mental Health	
Organisational policies on IT security and the principles of Data Protection in place.	Andrew Ireland, Corporate Director, Social Care Health & Wellbeing/Mark Lobban, Director Commissioning/Anne Tidmarsh, Director Older People and Disability/Penny Southern, Director Learning Disability and Mental Health	
Action Title	Action Owner	Planned Completion Date
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.	Mairead MacNeil, Director Specialist Children's Services	1.10.2014
Information Governance reports to DMT with updates.	David Oxlade, Head of Operational Support	1.10.2014
All projects need to have information protocols and agreements where information is to be shared across agencies.	Andrew Ireland, Corporate Director, Social Care Health & Wellbeing	1.10.2014
On-going work with health partners regarding information sharing through the Pioneer Programme.	Anne Tidmarsh, Director Older People and Disability	1.10.2014
Standard operating procedures being produced with organisations that are to be data processors with access to adult social care client database information.	Anne Tidmarsh, Director Older People and Disability	1.10.2014
Need to continue to raise awareness across staff groups	Andrew Ireland, Corporate Director, Social Care Health & Wellbeing	1.10.2014

Risk ID: SCHW 11		Risk Title: Business Disruption			
Source / cause of risk	Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact
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 possibility the reputation of the service would suffer	Andrew Ireland, Corporate Director, Social Care Health & Wellbeing/ Penny Southern, Director Learning Disability and Mental Health	Possible (3)	Significant (3)
				Target Residual Likelihood	Target Residual Impact
				Possible (3)	Significant (3)
Control Title			Control Owner		
Business continuity planning forms part of the contracting arrangements with private and voluntary sector providers			Andrew Ireland, Corporate Director, Social Care Health & Wellbeing/ Penny Southern, Director Learning Disability and Mental Health		
Business Continuity Plans in place			Andrew Ireland, Corporate Director, Social Care Health & Wellbeing/ Penny Southern, Director Learning Disability and Mental Health		
Business Impact Analysis is reviewed at least every 12 months or when substantive changes in processes and priorities are identified.			Andrew Ireland, Corporate Director, Social Care Health & Wellbeing/ Penny Southern, Director Learning Disability and Mental Health		
Good partnership working at all levels for emergency planning.			Andrew Ireland, Corporate Director, Social Care Health & Wellbeing/ Penny Southern, Director Learning Disability and Mental Health		
Crisis/emergency planning training available for staff.					
Action Title		Action Owner		Planned Completion Date	
Learn lessons from the response to the adverse weather events that occurred in		David Oxlade, Head of Operational Support		1.8.2014	

winter/spring.		
Workplace management team to work with strategic commissioning to ensure contracted services have business continuity arrangements in place.	David Oxlade, Head of Operational Support	1.10.2014
Business Continuity Risk Assessment identifies actions at divisional level	Andrew Ireland, Corporate Director, Social Care Health & Wellbeing	1.11.2014
Regular review and update of continuity plans	Andrew Ireland, Corporate Director, Social Care Health & Wellbeing	1.10.2014

Risk ID: SCHW 12		Risk Title: KCC KMPT partnership agreement			
Source / cause of risk	Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact
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, Director Learning Disability and Mental Health	Possible (3)	Significant (3)
				Target Residual Likelihood	Target Residual Impact
				Possible (3)	Moderate (2)
Control Title			Control Owner		
Improved governance and performance monitoring arrangements in place.			Penny Southern, Director Learning Disability and Mental Health		
Safeguarding posts in place. Safeguarding audits take place and regular performance monitoring.			Penny Southern, Director Learning Disability and Mental Health		
Operating Agreement developed and established between KCC and KMPT.			Cheryl Fenton, Head of Mental Health Social Work		
Div Mt oversight of the joint operating plan and improved data quality to monitor services.			Cheryl Fenton, Head of Mental Health Social Work		
Action Title		Action Owner	Planned Completion Date		
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.		Cheryl Fenton, Head of Mental Health Social Work	1.10.2014		
Operating Agreement between KCC and KMPT monitored through Div MT on an on-going basis.		Cheryl Fenton, Head of Mental Health Social Work	1.10.2014		
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.		Cheryl Fenton, Head of Mental Health Social Work	1.10.2014		

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.	Cheryl Fenton, Head of Mental Health Social Work	1.10.2014
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)	Penny Southern, Director Learning Disability and Mental Health	1.10.2014

Risk ID: SCHW 13		Risk Title: Preparation for legislative change			
Source / cause of risk	Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact
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, Corporate Director, Social Care Health & Wellbeing/Michael Thomas-Sam, Strategic Business Advisor	Possible (3)	Significant (5)
				Target Residual Likelihood	Target Residual Impact
				Possible (3)	Moderate (2)
Control Title			Control Owner		
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. On course to present a Programme Plan to the Transformation Board, Corporate Board and Cabinet Committee in July.			Andrew Ireland, Corporate Director, Social Care Health & Wellbeing/Michael Thomas-Sam, Strategic Business Advisor		
Reports to Corporate Board and DMTs. Also to Policy and Resources Committee and Kent Joint Chiefs meeting.			Michael Thomas-Sam, Strategic Business Advisor		
Children and Families Act implemented. Working with colleagues in SEN services on the changes.			Mairead MacNeil, Director Specialist Children's Services/Penny Southern, Director Learning Disability and Mental Health		
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, Strategic Business Advisor		
Action Title		Action Owner		Planned Completion Date	

To continue to prepare for the Care Act. Project plans in place with work streams 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. To present the Programme Plan through Governance arrangements in July.	Andrew Ireland, Corporate Director, Social Care Health & Wellbeing	1.10.2014
To keep DMT and Div Mts informed of developments and preparations for the Care Act. To communicate through briefings and updates to staff.	Michael Thomas-Sam, Strategic Business Advisor	1.10.2014
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	Michael Thomas-Sam, Strategic Business Advisor	1.10.2014
The principles contained in the Care Act to inform the Transformation programme.	Michael Thomas-Sam, Strategic Business Advisor	1.10.2014
Further input to an SEN pathfinder project and development of a "local offer".	Andrew Ireland, Corporate Director, Social Care Health & Wellbeing	1.9.2014
Workshops and training to be arranged on the implications of the Care Act.	Michael Thomas-Sam, Strategic Business Advisor	1.10.2014

Risk ID: SCHW 14		Risk Title: Organisational change			
Source / cause of risk	Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact
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, Corporate Director, Social Care Health & Wellbeing	Likely (4)	Significant (3)
			Mark Lobban, Director Commissioning	Target Residual Likelihood Likely (4)	Target Residual Impact Significant (3)
			Mairead MacNeil, Director Specialist Children's Services		
			Anne Tidmarsh, Director Older People and Disability		
			Penny Southern, Director Learning Disability and Mental Health		
Control Title			Control Owner		
Programme Management arrangements in place with implementation groups and careful communication and engagement of stakeholders. Phase 3 of the Boundary Re-alignment project is in progress. Working closely with the Efficiency Partner on the Optimisation Programme and Transformation. Staff briefings have taken place and the formal consultation period is taking place in June 2014.					
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.					
Business support arrangements in place. On-going engagement in management team.					
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		
Action Title	Action Owner	Planned Completion Date
Phased approach to the project. Links to other programmes including Transformation, Access to Services and the HASCIP Pioneer Programme. Phase 3 of the project is underway. Formal consultation is taking place in June with feedback and final proposal expected to be announced in July 2014.	Anne Tidmarsh, Director Older People and Disability	1.10.2014
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.	Penny Southern, Director Learning Disability and Mental Health	1.10.2014
Continue to maintain close working with support services e.g. finance, ICT, training, communication.	Andrew Ireland, Corporate Director, Social Care Health & Wellbeing	1.10.2014
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	Andrew Ireland, Corporate Director, Social Care Health & Wellbeing	1.10.2014

Risk ID: SCHW 15		Risk Title: MCA and Deprivation of Liberty Assessments			
Source / cause of risk	Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact
A judgement by the Supreme Court has implications for the number of Deprivation 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, Director Commissioning	Likely (4)	Serious (4)
				Target Residual Likelihood	Target Residual Impact
				Likely (4)	Moderate (2)
Control Title			Control Owner		
DMT briefed on the judgment and its implications.			Andrew Ireland		
Briefing issued by Corporate Director.			Andrew Ireland		
Extension to 14 Days for urgent authorization of MCA assessments			Mark Lobban		
Action Title		Action Owner	Planned Completion Date		
To include staff currently on BIA training on the rota when they complete their training in June. Explore possibility of commissioning interim/agency staff to complete BIA work and the possibility of secondments providing the posts can be backfilled.		Mark Lobban, Director Commissioning	31.7.2014		
Review the MCA/BIA work to identify any efficiencies that can be made in the processes or ways of working.		David Oxlade, Head of Operational Support	31.7.2014		
As this risk is the result of a national judgment - most Local Authorities will be facing similar challenges. To keep abreast of any national (DH) or regional developments.		Mark Lobban, Director Commissioning	31.7.2014		
An initial analysis to identify the likely extent of demand. The number of referrals has doubled and some providers have requested assessments of all their residents.		Mark Lobban, Director Commissioning	31.7.2014		