

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

To: Adult Social Care Cabinet Committee – 4 March 2020

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

Classification: **Unrestricted**

Past Pathway of Paper: Adult Social Care and Health Directorate Management Team Meeting – 29 January and 19 February 2020

Future Pathway of Paper: None

Electoral Division: All

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

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

1. Introduction

- 1.1 Risk management is a key element of the Council's Internal Control Framework and the requirement to maintain risk registers ensures that potential risks that may prevent the Authority from achieving its objectives are identified and controlled. The process of developing the registers is therefore important in underpinning service delivery planning, performance management and operating standards. Risks outlined in risk registers are taken into account in the development of the Internal Audit programme for the year.
- 1.2 Directorate Risk Registers are reported to Cabinet Committees annually and contain strategic or cross-cutting risks that potentially affect several functions across the Strategic and Corporate Services Directorate, and often have wider potential interdependencies with other services across the council and external parties.
- 1.3 Adult Social Care and Health (ASCH) directors also lead or coordinate mitigating actions in conjunction with other directors across the organisation to manage risks featuring on the Corporate Risk Register. The directors in the ASCH Directorate are designated 'Risk Owners' (along with the rest of the Corporate Management Team) for several corporate risks.

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

2. Adult Social Care and Health Directorate Led Corporate Risks

2.1 The ASCH Directorate currently lead on four of the Corporate Risks.

Risk No.*	Risk Title	Current Risk Rating	Target Risk Rating	Direction of Travel since July 2019
CRR0002	Safeguarding – protecting vulnerable adults	15	15	↓
CRR0005	Development of Integrated Care System (ICS) / Integrated Care Programmes (ICPs) in Kent and Medway NHS system	12	8	Revised Risk
CRR0006	Resourcing implications arising from increasing complex adult social care demand	20	15	↔
CRR0015	Managing and working with the social care market	20	15	↔

2.2 During the year these risks have developed in the following ways:

- CRR0002 – The risk rating has reduced from 20, to 15 (with the change being that the likelihood of occurrence was changed from Likely to Possible) to reflect the controls that are now in place.
- CRR0005 – This risk has been revised to take account of the developments in the health system, and our evolving relationship with them

2.3 The Corporate Risk Manager, along with Internal Audit, has been conducting an assurance mapping exercise into the adult safeguarding corporate risk and has suggested some changes to this risk which are included in the detailed list in Appendix 1.

3. Adult Social Care and Health Directorate Risk Profile

3.1 In October 2019, the Directorate Level Risk Register was reviewed, and the decision was taken to refocus the Directorate Level Risk Register by eliminating duplication with risks that appeared on the Corporate Risk Register. This resulted in the following action being taken:

- **AH0004 Protecting Adults at Risk of Abuse or Neglect** was withdrawn as **CRR0002 Safeguarding – Protecting Vulnerable Adults** deals with same area
- **AH0008 Managing and Working with the Social Care Market** was withdrawn as **CRR0015 Managing and Working with the Social Care Market** deals with the same area.
- **AH0007 Increasing Demand for Social Care Services** was withdrawn as **CRR0006 Resourcing Implications Arising from Increasing Complex Adult Social Care Demand** covered the same controls.

3.2 These risks, whilst on the corporate register, will also be monitored on a quarterly basis at ASCH Directorate Management Team meetings, with changes recommended to the Corporate Risk Manager where appropriate.

3.3 Other risks that were on the ASCH Directorate Risk Register have been integrated into more high-level risks, these are:

- **AH0001 – New Operating Model for Adult Social Care** – many of the areas are now in place, and the residual is covered by **AH0005 Continued Pressure on Public Sector Funding**
- **AH0034 Lack of practising Approved Mental Health Professionals (AMHP)** was moved to the Divisional level register as the Directorate risk **AH0033 Workforce** covers this area at the Directorate level
- **AH0012 KCC Kent and Medway Partnership Trust (KMPT) Partnership Working** is covered at Directorate level by **AH0006 working with Health, Integration, Sustainability Transformation Programme (STP) and Better Care Fund (BCF)**

3.4 The risk level for the AH0009 was reduced in January from a score of 16 - Likely (4), Serious (4) to a score of 12 - Probable (3), Serious (4) to reflect the progress of Mosaic implementation.

3.5 These changes have resulted in a risk register as outlined below (the detailed register can be seen in Appendix 2)

Risk No.*	Risk Title	Current Risk Rating	Target Risk Rating	Direction of Travel since July 2019
AH0005	Continued pressures on public sector funding impacting on revenue and capital budgets.	20	16	↔
AH0033	Workforce- Recruitment and retention of staff	16	2	↔
AH0017	Facilities Management	16	4	↔
AH0006	Working with Health	16	9	↔

AH0011	Business Disruption	15	9	↔
AH0009	ICT and Systems Replacement	12	6	↓

4. Recommendation

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

5. Background Documents

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

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