

Appendix 1



ASC led Corporate Risks

Corporate Risk Register - Summary Risk Profile

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

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	↔

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	CRR0002	Risk Title	Safeguarding – protecting vulnerable adults			
Source / Cause of risk	Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact	
<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.</p> <p>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.</p> <p>In addition, the Government’s “Prevent Duty” requires the Local Authority to act to prevent people from being drawn into terrorism.</p> <p>This risk links to the demand risk (CRR0006)</p>	<p>Failure to fulfil statutory obligations.</p> <p>Failure to meet the requirements of the “Prevent Duty” placed on Local Authorities.</p>	<p>Incident of serious harm or death of a vulnerable adult.</p> <p>Serious impact on vulnerable people.</p> <p>Serious impact on ability to recruit the quality of staff critical to service delivery.</p> <p>Serious operational and financial consequences.</p> <p>Attract possible intervention from a national regulator for failure to discharge corporate and executive responsibilities.</p>	<p>Penny Southern, Corporate Director Adult Social Care and Health (ASCH)</p> <p>Responsible Cabinet Member(s):</p> <p>Clair Bell, Adult Social Care and Public Health</p> <p>Mike Hill (Lead Member for PREVENT)</p>	<p>Possible (3)</p> <p>Target Residual Likelihood</p> <p>Possible (3)</p>	<p>Major (5)</p> <p>Target Residual Impact</p> <p>Major (5)</p>	
Control Title					Control Owner	
KCC is a partner in multi-agency public protection arrangements (MAPPA) 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, Interim Portfolio Manager	
KCC is a member of the Kent & 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.					Penny Southern, Corporate Director ASCH	

Quarterly safeguarding report brings together key information to enable scrutiny and performance monitoring for management teams and the Cabinet Member.	Divisional Directors / Julie Davidson, Head of Adult Safeguarding	
Prevent Duty Delivery Board (chaired by KCC) oversees the activity of the Kent Channel Panel, co-ordinating Prevent activity across the County and reporting to other relevant strategic bodies in the county	Penny Southern, Corporate Director ASCH	
Multi agency risks, threats and vulnerabilities group focuses on PREVENT, gangs, modern slavery, human trafficking and online safeguarding matters	Nick Wilkinson, Prevent and Channel Strategic Manager	
Kent 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, Prevent and Channel Strategic Manager	
Three year PREVENT training strategy approved by the Corporate Management Team	Nick Wilkinson, Prevent and Channel Strategic Manager	
Capability framework for safeguarding and the mental capacity act introduced	Julie Davidson, Head of Adult Safeguarding	
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.	Julie Davidson, Head of Adult Safeguarding	
Regular KCC meetings with Care Quality Commission to share intelligence	Penny Southern, Corporate Director Adult Social Care and Health	
KCC County Adult Safeguarding Group share latest intelligence	Julie Davidson, Head of Adult Safeguarding	
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	Janice Grant, Strategic Safeguarding and Policy Assurance Manager	
Action Title	Action Owner	Planned Completion Date
Revised Quality Assurance system being embedded to ensure a clear and holistic view of practice, consisting of quantitative data, safeguarding audit activity focussing on quality of practice and the service user voice	Julie Davidson, Head of Adult Safeguarding	June 2020 (review)

Preparation for introduction of new Liberty Protection Safeguards system under the Mental Capacity (Amendment) Act 2019 due to come into force on 1st October 2020.

Maureen Stirrup, Head of
Deprivation of Liberty
Safeguards

June 2020 (review)

Risk ID	CRR0005	Risk Title	Development of ICS/ICP in Kent and Medway NHS system			
Source / Cause of Risk	Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact	
The Kent & Medway NHS system is under significant pressure with increasing levels of demand driving across financial deficits across commissioner and provider budgets, placing pressure on the Kent & Medway NHS system control total.	Failure to develop more partnership and aligned health & social care services and commissioning at both ICS and ICP level places pressure on system finances and hinders highest possible quality of care	Further deterioration in the financial and service sustainability of health and social care services in Kent and Medway.	Penny Southern, Corporate Director Adult Social Care & Health (ASCH)	Possible (3)	Serious (4)	
In response the NHS in Kent and Medway forming an Integrated Care System (ICS) with 8 CCGs merging to form the basis of the System Commissioner, above four ICPs (Integrated Care Partnerships) and 42 PCN's (Primary Care Networks).	Development of four ICP generates additional demand/work on strategic leadership of KCC, particularly in ASCH and Public Health which has significant opportunity costs, including impact on business as usual activity.	Additional budget pressures transferred to social care as system monies are used to close acute and primary care service gaps.	Vincent Godfrey, Strategic Commissioner	Target Residual Likelihood	Target Residual Impact	
The policy intent of structural reform is to deliver better strategic planning and delivery of health and social care services at place-based community level and shift from acute to primary and community level services.	Multiple ICP's leads to differences in form, function and relationships between ICPs and the ICS and/or KCC which increases system complexity and leads to variation which increase costs/risks.	Legal challenge/judicial review of decisions and decision-making framework for joint decisions.	Andrew Scott-Clark, Director Public Health	Unlikely (2)	Serious (4)	
The relative roles and responsibilities between the proposed ICS and the emerging ICPs in Kent is still under development. The final legal structure and functional responsibilities of ICPs is still under development and may	System complexity leads to failure to meet statutory duties around the sufficiency of the care market, care quality and safeguarding.	Social care and public health priorities not sufficiently factored into/shaping emerging ICS/ICP plans and priorities, weakening integrated approach.	Responsible Cabinet Member(s): Roger Gough, Leader of the Council			
		Focus on structural changes workstreams prevents more agile improvements/joint	Clair Bell, Adult Social Care and Public Health			

require primary legislative change. Regulators (CQC / Ofsted) increasing review health and care services and the commissioning/performance of those services and 'system' level.	Lack of understanding within KCC of NHS policy and regulatory environment; and vice versa, lack of understanding of local authority legislative, policy and democratic environment in NHS.	working being undertaken. Reputational damage to either KCC or NHS or both in Kent. Adverse outcome from CQC local system review.
Control Title	Control Owner	
Health Reform and Public Health Cabinet Committee provides non-executive member oversight and input of KCC involvement in the STP	Ben Watts, General Counsel	
Senior KCC political and officer representation on the System Transformation Executive Board and System Commissioner Steering Group	Penny Southern, Corporate Director ASCH Andrew Scott-Clark, Director Public Health Vincent Godfrey, Strategic Commissioner	
Senior KCC level officer representation on the East Kent, West, North and Medway & Swale ICP Development Boards	Penny Southern, Corporate Director ASCH	
County Council agreed framework for KCC engagement within the STP	Penny Southern, Corporate Director ASCH	
A joint KCC and Medway Health and Wellbeing Board for STP related matters/issues has been established	David Whittle, Director SPRCA	
Public Health Leadership for the STP Prevention workstream	Andrew Scott-Clark, Director Public Health	
Working through KCC Public Health partnership with the Kent Community Healthcare Foundation Trust (KCHFT) to ensure Public Health improvement programmes are linked and delivered alongside Local Care through Primary Care Networks and other primary care providers (e.g. community pharmacy)	Andrew Scott-Clark, Director Public Health	

Action Title	Action Owner	Planned Completion Date
Review appropriate level of KCC representation at subject specific ICP boards once the governance has been finalised in each ICP.	Penny Southern, Corporate Director ASCH	April 2020 (review)
Implementation of Adult Social Care and Health whole system Programme of change to deliver social care outcomes in a more efficient and sustainable way.	Penny Southern, Corporate Director ASCH	May 2020 (review)

Risk ID	CRR0006	Risk Title	Resourcing implications arising from increasing complex adult social care demand			
Source / Cause of risk	Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact	
Adult social care services across the country are facing growing pressures. The cost of adult social care services in Kent continues to increase due to the complexity of presenting need, including increasing numbers of young adults with long-term complex care needs. This is all to be managed against a backdrop of public sector funding restraint, implications arising from the implementation of the Care Act, increases in Deprivation of Liberty Assessments, impacts associated with reducing budgets of partner agencies and longer-term demographic pressures. Adult social care services are part of a complex system to meet needs, which requires the whole system to work cohesively.	Council is unable to manage and resource to future demand and its services consequently do not meet future statutory obligations and/or customer expectations.	Customer dissatisfaction with service provision. Increased and unplanned pressure on resources. Decline in performance. Legal challenge resulting in adverse reputational damage to the Council. Financial pressures on other council services.	Penny Southern, Corporate Director Adult Social Care and Health (ASCH) Responsible Cabinet Member(s): Clair Bell, Adult Social Care and Public Health	Likely (4) Target Residual Likelihood Possible (3)	Major (5) Target Residual Impact Major (5)	
Control Title			Control Owner			
Regular analysis and refreshing of forecasts to maintain the level of understanding of volatility of demand, which feeds into the relevant areas of the MTFP and the business planning process			Penny Southern, Corporate Director ASCH			
Continued support for investment in preventative services through voluntary sector partners			Penny Southern, Corporate Director ASCH / Vincent Godfrey, Strategic			

		Commissioner
Public Health & Social Care ensures effective provision of information, advice and guidance to all potential and existing service users, promoting self-management to reduce dependency		Andrew Scott-Clark, Director Public Health/ ASCH Divisional Directors
Best Interest Assessments (BIA) training package delivered as part of a rolling programme twice yearly		Julie Davidson, Interim Head of Adult Safeguarding
Continual review and monitoring of demand in relation to Deprivation of Liberty assessments (DoLs) with external resources brought in as necessary. Increased data cleansing has led to an improved overview of backlog cases		Julie Davidson, Interim Head of Adult Safeguarding
Targeted use of additional social care monies received from Government, investing in services which evidence suggests will have the greatest impact. Set out in Kent Integration and Better Care Fund plan.		Penny Southern, Corporate Director ASCH
New operating model for Adult Social Care and Health, including Promoting Wellbeing approach to help manage demand		Penny Southern, Corporate Director ASCH
Action Title	Action Owner	Planned Completion Date
Development of a Whole System Programme of Change - conduct a whole system assessment across Adult Social Care & Health (ASCH) to future-proof the services facing these challenges.	Helen Gillivan, Head of Business Delivery Unit, ASCH	April 2020 (review)

Risk ID	CRR0015	Risk Title	Managing and working with the social care market				
Source / Cause of Risk	Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact	Target Residual Likelihood	Target Residual Impact
A significant proportion of adult social care is commissioned out to the private and voluntary sectors. This offers value for money but also means that KCC is dependent on a buoyant market to achieve best value and give service users optimal choice and control.	Care home and domiciliary care markets are not sustainable.	Gaps in the care market for certain types of care or in geographical areas meaning difficulty in placing some service users.	Penny Southern, Corporate Director ASCH, in collaboration with Vincent Godfrey, Strategic Commissioner	Likely (4)	Major (5)	Possible (3)	Major (5)
Factors such as the introduction of the National Living Wage, potential inflationary pressures and uncertainty over care market workforce in light of new settled status arrangements mean that the care market is under pressure.	Inability to obtain the right kind of provider supply at affordable prices.	Significant numbers of care home closures or service failures.	Responsible Cabinet Member(s): Clair Bell, Adult Social Care and Public Health Roger Gough, Leader of the Council				
	Providers choose not to tender for services at Local Authority funding levels or accept service users with complex needs.						
Control Title				Control Owner			
Opportunities for joint commissioning and procurement in partnership with key agencies (i.e. Health) being regularly explored, including joint work regarding the provision of dementia nursing beds				Vincent Godfrey, Strategic Commissioner			
As part of the Commissioning Success model, Analytics function to ensure good quality data to inform decision making before moving commissioning activity forward				Rachel Kennard, Chief Analyst			
Regular engagement with provider and trade organisations				Vincent Godfrey, Strategic Commissioner			
Ongoing contract monitoring, working in partnership with the Access to Resources team				Clare Maynard, Head of			

		Commissioning Portfolio – Outcome 2 and 3
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		Clare Maynard, Head of Commissioning Portfolio – Outcome 2 and 3
Ensuring contracts have indexation clauses built-in, managed through contract monitoring		Kieran Hannan, Strategic Commissioning
KCC is part of local and regional Quality Surveillance Groups that systematically bring together the different parts of the health and care system to share information, identify and mitigate risks to quality, including those relating to care providers		Penny Southern, Corporate Director ASCH (KCC lead)
Design and Learning Centre – bespoke programme for development of Care Home Managers in order to improve quality.		Gina Walton, Design and Learning Centre Manager
Older Person's accommodation strategy refreshed, which analyses demand and need and sets the future vision and direction for accommodation to support vulnerable Kent residents alongside the Adult Social Care Strategy – Your Life, Your Wellbeing.		Penny Southern, Corporate Director ASCH
Phase 1 of Care and Support in the Home Services contract live, combining homecare and community based supporting independence services. This has reduced the number of care packages being placed off contract		Tracey Schneider, Commissioning Manager
Ongoing work to improve maturity of the market		Vincent Godfrey, Strategic Commissioner
Action Title	Action Owner	Planned Completion Date
Community Support Market Position Statement being refreshed, to inform market shaping, oversight and sustainability	Simon Mitchell, Interim Commissioner	March 2021
Implementation of phase 2 of the Care in the Home Services refresh, bringing the various Discharge services and Supported Living Services under the Care in the Home Umbrella.	Tracey Schneider, Commissioning Manager	April 2020
Commissioning of Disability and Mental Health Residential Care services, including consideration of changes to current sleep-in arrangements. Procurement stages align with phase 2 of the Care in the Home Services contracts	Paula Watson, Senior Commissioner	April 2020

Analytical work is being conducted on assessments and reviews in adult social care to help inform key commissioning activity

Rachel Kennard, Chief Analyst

March 2020 (review)