

## Full Risk Register

### Risk Register - Adult Social Care and Health

Current Risk Level Summary

<b>Green</b>	<b>0</b>	<b>Amber</b>	<b>2</b>	<b>Red</b>	<b>4</b>	<b>Total</b>	<b>6</b>
		1	-4	↓		1	-4

Current Risk Level Changes

0	0	0	1	0
0	0	0	3	0
0	0	0	1	1
0	0	0	0	0
0	0	0	0	0

Risk Ref	Risk Title and Event	Owner	Last Review da	Next Review				
AH0005	<p><b>Continued pressures on public sector funding impacting on revenue and capital budgets.</b></p> <p>The Government identified additional funding for adult social care but there continues to be a need to achieve significant efficiencies for the foreseeable future. KCC has had to find major savings and there has been considerable pressure on budgets with the Directorate expected to contribute £18 million towards the Council savings in 2018-19. In 2019-20 there is a savings and additional income target of £15.9m The workforce has depleted in recent years and there is less capacity to deliver services. Partner agencies have also experienced funding challenges potentially putting joint working at risk. Financial pressures in the health sector having repercussions for social care.</p>	ASCH Directorate Management Team	11/02/2020	11/05/2020				
Cause	Consequence	Current Risk	Previous Current Risk	Control / Action	Control / Action	Target Date	Target Risk	
	Major funding pressures impacting on the delivery of social care services. The capital strategy putting specific projects at risk. Business viability of independent providers could be impacted with providers going out of business and a very fragile care market. Vulnerable people could be without support if there is insufficient resource in the system including sufficient staffing across the care sector to deliver services.	High 20 Serious (4) Very Likely (5)		<ul style="list-style-type: none"> <li>A Resource Management Accountability (RMA) Unit established in Older People Physical Disability (OPPD).</li> <li>A comprehensive programme of projects is set out in the ASCH Portfolio Management Office (PMO) which identifies savings targets and how they will be delivered and monitored through the year.</li> <li>Service/Operational Plans produced for 2019/2020</li> <li>Robust financial and activity monitoring regularly reported to DMT and the Divisional Management Teams.</li> <li>Continued drive to deliver efficient and effective services through the development of new operating models and the modernisation agenda. Programme and project management approach to change.</li> <li>Continue to work innovatively with partners, including health services, to identify any efficiencies across the wider sector.</li> </ul>	Janice Duff  Helen Gillivan  Penny Southern Penny Southern  Penny Southern  Penny Southern	Control  Control  Control Control  Control Control	30/04/2020  30/04/2020	High 16 Serious (4) Likely (4)

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			<ul style="list-style-type: none"><li>• Robust debt monitoring arrangements in place.</li><li>• More efficient use of assistive technology and equipment to help people to live independent lives and reduce dependence on service.</li></ul>	Michelle Goldsmith ASCH Directorate Management Team	Control  Control		
<b>Review Comments</b>	Reviewed by DMT on 29th January and agreed at current level 11/02/2020						

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Risk Ref	AH0033	Risk Title and Event	Owner	Last Review da	Next Review				
<b>Workforce- Recruitment and retention of staff</b>			Penny Southern	11/02/2020	11/05/2020				
<p>The recruitment and retention of staff continues to be a challenge for Adult Social Care and the wider care sector. There is a need to ensure that a suitably qualified and experienced workforce is in place to deliver services. This includes making sure critical roles are filled with staff who have the right skill set. There are some concerns regarding the impact of Brexit on the ability to recruit staff in the care sector.</p>									
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.	High 16 Serious (4) Likely (4)		<ul style="list-style-type: none"> <li>An ASCH Organisational Development (OD) Group has been established to have oversight of all workforce issues affecting the Directorate and wider social care market. Opportunities to make use of the apprenticeship levy and graduate scheme have been developed and are underway</li> <li>An ASCH workforce plan with related activities to support recruitment, retention and succession planning is in development. The aim is to ensure we have responsive staff equipped with the right skill sets and tools to work in the changing environment for social care and health. The strategy includes - scope; priorities; budget; principles; retention and staff development; and monitoring and review.</li> <li>Recruitment campaigns to fill vacancies. Promotion of KCC as an employer at recruitment events. Actively involved in publicising Department of Health and Social Care (DHSC) national Adult Social Care Recruitment Campaign for the Local Authority and the wider social care sector.</li> </ul>	<p>Anne Tidmarsh</p> <p>Penny Southern</p> <p>ASCH Directorate Management Team</p>	Control	Control	Control	Low 2 Minor (1) Unlikely (2)
<b>Review Comments</b>	This was reviewed as part of DMT review on 29th January and workforce plan to be included in business planning					11/02/2020			

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Risk Ref	AH0017	Risk Title and Event	Owner	Last Review da	Next Review		
<b>Facilities Management</b>			ASCH Directorate Management Team	11/02/2020	11/05/2020		
The implications of this are Health and Safety risks to residents and service users and the possibility of a KCC provider unit failing an inspection by Care Quality Commission (CQC) or OFSTED.							
Cause	Consequence	Current Risk	Previous Current Risk	Control / Action	Control / Action	Target Date	Target Risk
Delays by the contracted service provider to complete maintenance work required within the in house care provision service. This includes works to the building and the maintenance of facilities and equipment within the buildings such as lifts and hoists.	The consequences are Health and Safety risks for service users and staff. It is also a reputational risk for the Council if a registered unit should fail an inspection by CQC or OFSTED. A further risk is if parts of buildings are not accessible while essential safety work is awaited.	High		<ul style="list-style-type: none"> <li>Facilities Management (FM) updates to be shared with ASCH service representatives and communicated further within the Directorate as required</li> <li>FM dashboards to be discussed at infrastructure Stakeholder Group - ASCH representatives to be consulted on relevant dashboards.</li> <li>A Fire Safety Plan workshop was held in November for all managers of KCC Adult Social Care residential units.</li> <li>Engagement sessions have been arranged with GEN2 (FM Managing Agent) and relevant Assistant Directors in order to establish outstanding items, clarification of the FM specification for each site and explanation of the call log and escalation process.</li> <li>Escalation of cases to Directors where urgent works are required and the completion of risk assessments where required.</li> </ul>	Helen Bond	Control	Low
		16			Helen Bond	Control	4
		Serious (4)					Moderate (2)
		Likely (4)					Unlikely (2)
<b>Review Comments</b>		Reviewed by DMT on 29th January 11/02/2020					

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### Risk Register - Adult Social Care and Health

Risk Ref	AH0006	Risk Title and Event	Owner	Last Review da	Next Review			
<b>Working with Health, Integration, Sustainability Transformation Programme (STP) and Better Care Fund (BCF)</b> There is a need to develop integrated health and social care services, there is a risk if services do not become fully integrated. Local Authorities are required to put a plan in place and to be ready for integration by 2020. There are risks associated with joint working including ensuring commitments to Section 75 agreements. The NHS landscape is emerging around the Integrated Care System (ICS), and Integrated Care Partnerships (ICP), and Primary Care Networks (PCN)- the authority needs to be able to shape the support that feeds into these new structures. There is no information about what funding will be available after 2020.			ASCH Directorate Management Team	27/01/2020	27/04/2020			
Cause	Consequence	Current Risk	Previous Current Risk	Control / Action	Control / Action	Target Date	Target Risk	
	Increased health and social care integration will impact on ways of working and the delivery of services. If services are not integrated there is a risk of gaps between services or in some instances duplication of services or inefficient use of the available joint resources. If health services are not meeting needs there can be increased pressures on social care services and budgets.	High 16 Serious (4) Likely (4)		<ul style="list-style-type: none"> <li>Developing integrated performance measures and monitoring</li> <li>Closer working with health to align commissioning plans for social care and Clinical Commissioning Groups (CCG).</li> <li>KCC is part of the STP and has input at various levels. Working with CCGs on Local Care and Hospital models as part of the STP.</li> <li>Programme management arrangements in place for integration with a Programme Plan and local action plans based on the Programme Plan. Co-ordination by a programme manager. Integrated steering groups to oversee priorities and delivery of action plan. This also includes the development of the Design and Learning Centre to support the integration of health, social care and the voluntary sector.</li> <li>Reporting and inputting to Transformation Board regarding integration but also to Health and Well Being Boards, and Locality boards and Clinical Commissioning Groups and Vanguard Groups.</li> </ul>	Anne Tidmarsh ASCH Directorate Management Team Anne Tidmarsh Anne Tidmarsh	A -Accepted A -Accepted Control Control	30/04/2020 30/04/2020 30/04/2020	Medium 9 Significant (3) Possible (3)

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			<ul style="list-style-type: none"> <li>• A new Operating Model for mental health and social care partnership working has been fully implemented whereby KCC secures full accountability for all social care whilst continuing to work with Kent and Medway Partnership Trust (KMPT) to provide an integrated response in secondary care..</li> <li>• Joint Strategic Needs Assessment (JSNA) to support health and social care commissioning.</li> <li>• Already integrated working and commissioning in place for Learning Disability and Mental Health.</li> <li>• Joint working with health on Section 75 agreements including the Section 75 agreement for the provision of the Community Equipment Service. Need to continue to monitor services delivered under Section 75 agreements.</li> <li>• Ensure adherence to the revised national Continuing Health Care (CHC) Framework and monitor joint working arrangements to prevent cost shunting. Data now being collated to provide baseline measures and performance dashboard to monitor</li> <li>• Close working at a leadership level through Health and Well Being Boards and meetings with CCG Accountable Officers.</li> </ul>	Cheryl Fenton	Control		
				Penny Southern	Control		
				Penny Southern	Control		
				ASCH Directorate Management Team	Control		
				ASCH Directorate Management Team	Control		
				ASCH Directorate Management Team	Control		

#### Review Comments

This risk will be reviewed at DMT on 29th Jan 27/01/2020

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## Risk Register - Adult Social Care and Health

Risk Ref	AH0011	Risk Title and Event	Owner	Last Review da	Next Review		
<b>Business disruption</b>			ASCH	11/02/2020	11/05/2020		
Impact of emergency or major business disruption on the ability of the Directorate to provide essential services to meet its statutory obligations.			Directorate Management Team				
Cause	Consequence	Current Risk	Previous Current Risk	Control / Action	Control / Action	Target Date	Target Risk
Possible disruption to services	Such an event would impact on service users and the wider public. Potentially people could be put at risk and the reputation of the service could suffer.	Medium 15 Major (5) Possible (3)		<ul style="list-style-type: none"> <li>Terms of Reference and membership of Directorate Resilience Group revised in light of current threats (including Brexit). Group now meets monthly with established arrangements to meet daily if required.</li> <li>Training/exercise package available to all teams and services to test services Business Continuity Plans against Brexit planning assumptions . Identify gaps and areas for improvement. Management action plan developed.</li> <li>Management system in place to quality assure contingency arrangements including review and identification of lessons arising from the way incidents/exercises are managed.</li> <li>Advanced Business Impact Analysis and Risk Assessment to be undertaken for all services, reviewed annually or when substantive changes in policy, process or procedure occur.</li> <li>To review Service Level Business Continuity Plans as part of service Realignment. Develop new Service Level Business Continuity Plans as apart of Mental Health Transformation, reflecting outcome of Business Impact Analysis and Risk Assessments. Service Managers to review Plans annually or in light of significant changes or events.</li> </ul>	<p>Helen Gillivan</p> <p>Control</p> <p>Helen Gillivan</p> <p>Control</p> <p>Helen Gillivan</p> <p>Control</p> <p>Helen Gillivan</p> <p>Control</p>		<p>Medium</p> <p>9</p> <p>Significant (3)</p> <p>Possible (3)</p>

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			<ul style="list-style-type: none"> <li>• Business Management Systems Team to work with Commissioning to ensure that business continuity arrangements are in place for contracted services to meet requirements. If necessary make recommendations for improvement as part of contract monitoring process.</li> <li>• A range of in-house and multi agency training available to ensure all staff are aware of their roles and responsibilities in responding to business disruption, increased needs and/or service demands.</li> <li>• System resilience plan in place setting out how the Directorate is prepared to respond to the increased needs and/or service demands as a result of seasonal pressures and other periods of escalations across the Kent and Medway Health and Social Care System.</li> <li>• Service Level Business Continuity plans in place for all services reflecting outcome of Business Impact Analysis and Risk Assessment. Service Managers to review Plans annually or in light of significant changes or events.</li> <li>• Good partnership working across KCC departments and multi-agency partners including joint planning with NHS organisations.</li> </ul>	<p>Helen Gillivan</p> <p>Penny Southern</p> <p>Penny Southern</p> <p>Penny Southern</p> <p>ASCH Directorate Management Team</p>	<p>Control</p> <p>Control</p> <p>Control</p> <p>Control</p> <p>Control</p>		
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#### Review Comments

Reviewed by DMT 29th January and BIA approved by DMT in December 11/02/2020



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Risk Ref	AH0009	Risk Title and Event	Owner	Last Review da	Next Review		
		<b>ICT and Systems Replacement.</b>	ASCH Directorate Management Team	11/02/2020	11/05/2020		
<p>There is a risk that failure of critical systems or networks will impact significantly on the delivery of services. There is also a risk if systems do not have disaster recovery plan arrangements in place. Cygnum (system used by KEaH) does not have disaster recovery - has been looked into but cannot be implemented.</p> <p>Replacing the SWIFT/AIS system and implementation of a new system is also a risk for the Directorate . Several associated risks : organisational change may affect the new system configuration causing rework, delay and data migration issues.</p> <p>Secondly, the ability to resource the implementation project due to other/competing priorities in the Directorate could impact on project deadlines. A third Risk that the business does not fully adopt the change so that the business benefits are not fully realised. A fourth risk is that suppliers (Servelec, BSC ICT) cannot provide resources to meet project deadlines. A fifth risk is the implementation of the financial modules of MOSAIC including FinetraB2B to replace TDM- this will require significant input from Finance.</p>							
Cause	Consequence	Current Risk	Previous Current Risk	Control / Action	Control / Action	Target Date	Target Risk
Need to ensure that information and Communication systems are fit for purpose and support business requirements. The implementation of a new MOSAIC system is a major change programme.	Information Systems need to be fit for purpose to assist service delivery and performance management - if systems are not fit for purpose this could have a significant impact on the service. For example a problem with systems could impact on client billing. If there is a lot of down time or if systems are slow it can impede staff from accessing key information about service users and carers.	Medium	16	<ul style="list-style-type: none"> <li>Clear and appropriate communication to be provided ahead of any planned ICT system change/maintenance that may impact ASCH Information Systems. Helen Bond to oversee communication from Business Services Centre (BSC) to ASCH.</li> <li>Liaison with the Technology Commissioning Team regarding Disaster Recovery Testing to be coordinated.</li> <li>Working with the service provider to address any issues that arise when implementing the new system. There are a number of critical factors required which will impact on MOSAIC - for example Client Billing.</li> <li>Continued testing and configuration of the new system and the Implementation Plan.</li> <li>Directorate becomes an active member of the Strategic Technology Board, and the ASCH Portfolio Board has oversight of proposed developments within ASCH</li> </ul>	Control		Low
		12 Serious (4) Possible (3)	4 ↓				6 Moderate (2) Possible (3)
	The Adult Social Care client database is an essential requirement and needs to be fit for purpose.				Control		
					Control		

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			<ul style="list-style-type: none"> <li>• . Additional resource has been provided through secondments to the project and support from operational teams. Some resource from commissioning is required and discussions are taking place about this.</li> <li>• MOSAIC Implementation Steering Group is in place to oversee the replacement of SWIFT/AIS</li> </ul>	<p>ASCH Directorate Management Team</p> <p>ASCH Directorate Management Team</p>	<p>Control</p> <p>Control</p>		
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**Review Comments**      Reviewed by DMT on January 2020 and agreed that risk should be reduced, to possible 11/02/2020