

Adult Social Care Committee

Item No.

Report title:	Risk Management
Date of meeting:	14 May 2018
Responsible Chief Officer:	James Bullion, Executive Director of Adult Social Services
Strategic impact Monitoring risk management and the departmental risk register helps the Committee undertake some of its key responsibilities and provides contextual information for many of the decisions that are taken.	

Executive summary

As this is the first Adult Social Care committee meeting of 2018/19 this report presents the full departmental risk register for information on the department's risks. For future reports, we will continue to report by exception (in line with last year).

Risks are where events may impact on the Department and the County Council achieving its objectives and these are set out in the risk register together with tasks to mitigate each of the risks and progress updates.

Recommendations:

Committee Members are asked to:

- a) Consider the main changes since the first Risk Management report of 2017/18 and the last Risk Management report presented in January 2018 (Appendix A)
- b) Discuss and agree the risk register as set out in Appendix B
- c) Agree to the removal of risk RM14290 as set out at 1.3 below

1 Proposal

- 1.1 The Adult Social Services departmental risk register has been refreshed for 2018/19 and this report provides the Committee with an update of the most recent changes. It also includes an overall view of risk management over the past year. **Appendix A**
- 1.2 This report provides the full departmental risk register, inclusive of corporate risks pertaining to Adult Social Services. The Department's risks can be seen at **Appendix B**. For future reports, we will continue to report by exception.
- 1.3 Risk RM14290 was added to the Risk Register in September 2015 as a result of a successful judicial review against the County Council. A cost of care exercise and consultation process took place and revised usual prices for care were agreed and implemented in April 2016. We now have a process in place and therefore it is recommended that this risk is removed from the register.

2 Evidence

- 2.1 The Adult Social Services departmental risk register reflects both corporate and departmental key business risks that need to be managed by the Senior Management Team and which, if not managed appropriately, could result in the service failing to

achieve one or more of its key objectives and/or suffering a financial loss or reputational damage. The risk register is a dynamic document that is regularly reviewed and updated in accordance with the Council's Risk Management Policy.

- 2.2 A clear focus on strong risk management is necessary as it provides an essential tool to ensure the successful delivery of our strategic and operational objectives. The Business Development Manager meets regularly with the Risk Management Officer to provide an update on each of the risks contained within the risk register.

3 Risk Register

- 3.1 Each risk score is expressed as a multiple of the impact and the likelihood of the event occurring:
- a) Original risk score – the level of risk exposure before any action is taken to reduce the risk when the risk was entered on the risk register
 - b) Current risk score – the level of risk exposure at the time the risk is reviewed by the risk owner, taking into consideration the progress of the mitigation tasks
 - c) Target risk score – the level of risk exposure that we are prepared to tolerate following completion of all the mitigation tasks
- 3.2 In accordance with the Risk Matrix and Risk Tolerance Level set out within the current Norfolk County Council Risk Management procedure, five risks are reported as “High” (risk score 16–25), eleven as “Medium” (risk score 6–15) and three as “Low” (risk score 1-5). A copy of the Risk Matrix and Tolerance Levels appears at **Appendix C**.
- 3.3 The prospects of meeting target scores by the target dates are a reflection of how well mitigation tasks are controlling the risk. It is also an early indication that additional resources and tasks or escalation may be required to ensure that the risk can meet the target score by the target date. The position is visually displayed for ease in the “Prospects of meeting the target score by the target date” column as follows:
- a) Green – the mitigation tasks are on schedule and the risk owner considers that the target score is achievable by the target date
 - b) Amber – one or more of the mitigation tasks are falling behind and there are some concerns that the target score may not be achievable by the target date unless the shortcomings are addressed
 - c) Red – significant mitigation tasks are falling behind and there are serious concerns that the target score will not be achieved by the target date and the shortcomings must be addresses and/or new tasks are introduced
- 3.4 The current risks are those identified against the departmental objectives for 2018/19 and have been reviewed for this report.

4 Attachments

- 4.1 **Appendix A** provides Committee members with the reconciliation report listing significant changes to the full departmental risk register including Adult Social Services corporate risks. It also includes an overall view of risk management over 2017/2018.

Appendix B provides Members with the latest departmental risks on a page, providing the full details of all of the current Adult Social Services departmental risks.

Appendix C provides Members with background information including the risk management matrix used to plot risks, risk tolerance levels.

5 Financial Implications

- 5.1 There are no financial implications other than those identified within the risk register.

6 Issues, risks and innovation

- 6.1 There are no other significant issues, risks and innovations arising from this Risk Management report.

Officer Contact

If you have any questions about matters contained in this paper or want to see copies of any assessments, e.g. equality impact assessment, please get in touch with:

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