

# Adult Social Care Committee

Item No.

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| <b>Report title:</b>                                                                                                                                                                                                                  | <b>Risk Management</b>                                            |
| <b>Date of meeting:</b>                                                                                                                                                                                                               | <b>8 October 2018</b>                                             |
| <b>Responsible Chief Officer:</b>                                                                                                                                                                                                     | <b>James Bullion, Executive Director of Adult Social Services</b> |
| <b>Strategic impact</b><br>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

At the Committee in May 2018, we agreed to bring the Risk report on an exception basis, i.e. where there had been any significant changes. A significant change can be defined as any of the following;

- A new risk
- A closed risk
- A change to the risk score
- A change to the risk title or description (where significantly altered).

Since the last Committee meeting the risk register has been reviewed by the Senior Management Team and the Risk Management Officer. The changes outlined below at 1.2 to 1.4 were identified as significant and have therefore been brought before this Committee.

### Recommendations:

**Committee Members are asked to:**

- Agree to the closure of Risk RM019**
- Agree to the change in the title and description for Risk RM023**
- Agree to the increase in the target risk score from 6 - 9 for Risk RM14247 for the target likelihood of meeting the risk by the target date.**
- Note Adult Social Services input into Risk RM022 which is on the corporate Risk Register**
- Consider whether any further action is required**

**Appendix A** – Risk Register report (page 46)

**Appendix B** – Background information (page 58)

## 1 Proposal

- 1.1 The Adult Social Care Risk Register has been reviewed in conjunction with the Risk Management Officer and the Senior Management Team. There are currently 18 risks included on the risk register. This report provides Members with an update on changes to the risk register which have occurred since this was last reported to Committee in May 2018.

- 1.2 Having considered the wording for the title and description of Risk RM023, this has now been amended to reflect the current situation.
- 1.3 As members will be aware, we successfully implemented Liquid Logic for Adults, Children's and Finance on time and within budget. As corporate risk RM019 (Failure to deliver a new fit for purpose social care system on time and to budget) related to the implementation of the new system, it is recommended this risk is now removed from the risk register.
- 1.4 When reviewing the Risk register, the Director of Integrated Commissioning has asked for the Risk score on Risk RM14247 (Failure in the Care Market) to be increased from 6 to 9. This is in recognition of uncertainty and instability within the care market both locally and nationally.
- 1.5 In addition to the departmental risk register, there is a Corporate Risk register and on that register is a Risk which covers the risk of potential changes in laws, regulations, government policy or funding arising from the UK leaving the European Union, which may impact on Council objectives, financial resilience and affected staff ('Brexit'). This is Risk RM022. Whilst this is not on the departmental register, it does reflect Adult Social Services concerns around social care workforce, including the workforce for providers of residential and home care.

## 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.

## 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), ten 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 B**.
- 3.3 The prospects of meeting target scores by the target dates reflect 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 Members with the latest departmental risks on a page, providing the details of those current Adult Social Services departmental risks reported by exception (risks with a current score of 12 or more, with a prospects score of either red or amber).

**Appendix B** provides Members with background information including the risk management matrix used to plot risks, and 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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