

REPORT TO: Audit and Governance Committee

MEETING DATE: 30 April 2013

BY: Chief Executive

SUBJECT: Adult Wellbeing Risk Register

1 PURPOSE

- 1.1 To present to the Audit and Governance Committee the Adult Wellbeing Risk Register (Appendix 1) for discussion, comment and approval.
- 1.2 The Adult Wellbeing Risk Register has been developed in keeping with the Council's Risk Management Strategy and is a live document which is reviewed and refreshed on a regular basis, led by the Adult Wellbeing Local Risk Working Group (LRWG).

2 RECOMMENDATIONS

- 2.1 It is recommended that the Audit and Governance Committee approves the Adult Wellbeing Risk Register.
- 2.2 In doing so, the Audit and Governance Committee is asked to:
 - note that the relevant risks have been identified following appropriate consultation with all risk contacts;
 - recognise that while this report has been compiled by the Risk Officer, the Risk Register has been compiled by the Adult Wellbeing LRWG and the Head of Adult Wellbeing has lead responsibility. The Executive Director (Services for People) will speak to it at the Committee;
 - note that the significance of each risk is appropriate to the current nature of the risk;
 - agree that the total profile of the Adult Wellbeing risk can be borne by the Council at this time in relation to the Council's appetite for risk; and,
 - recognise that, although the risks presented are those requiring close monitoring and scrutiny throughout 2013, many are in fact longer term risks for Adult Wellbeing and are likely to be a feature of the risk register over a number of years.

3 BACKGROUND

- 3.1 The Council's Risk Management Strategy was established following Audit Scotland's 2008/09 review of the Council when it was recommended that: "The implementation of the risk management framework be expedited and target dates established".
- 3.2 Responsibility for Risk Management sits within the Corporate Policy and Improvement unit. The Emergency Planning and Risk Manager, supported by a Risk Officer, has implemented the current Risk Management Strategy and set up both an

overarching Corporate Risk Management Group (CRMG) together with LRWGs in service areas such as the Adult Wellbeing LRWG.

- 3.3 The LRWGs meet on a regular basis to discuss their Risk Register which is also included as a topic in team meetings. They also feed information to the CRMG; this Group is fundamental to the delivery of risk management throughout the Council and ensures that risk management remains high on the corporate agenda.
- 3.4 All LRWG's were revised following the Senior Management and Service restructure of 2012 resulting in 8 Risk Registers/Groups being reduced to 7.
- 3.5 A copy of the risk matrix used to calculate the level of risk is attached as Appendix 2 for information.

4 POLICY IMPLICATIONS

- 4.1 In approving the Adult Wellbeing Risk Register the Committee will be affirming the process of embedding risk management principles across the Council in support of the Risk Management Strategy.

5 EQUALITIES IMPACT ASSESSMENT

- 5.1 This report is not applicable to the well being of equalities groups and an Equalities Impact Assessment is not required.

6 RESOURCE IMPLICATIONS

- 6.1 Financial – It is the consideration of the Adult Wellbeing Local Risk Working Group that recurring costs associated with the measures in place for each risk are proportionate to the level of risk.

The financial requirements to support the Adult Wellbeing Risk Register for 2013/14 should be met within the proposed budget allocations for 2013/14. Any unplanned and unbudgeted costs that arise in relation to any of the risks identified will be subject to review by the Board of Directors.

- 6.2 Personnel - There are no immediate implications.
- 6.3 Other – Effective implementation of this register will require the support and commitment of the Risk Owners identified within the register.

7 BACKGROUND PAPERS

- 7.1 Appendix 1 – Adult Wellbeing Risk Register
- 7.2 Appendix 2 – Risk Matrix

AUTHOR'S NAME	Scott Kennedy
DESIGNATION	Risk Officer
CONTACT INFO	Ext.7900
DATE	17 April 2013

Adult Wellbeing Risk Register

Date reviewed: 11 April 2013

Risk ID No. & Status S/C/N (same, changed, new)	Risk Description (Threat/Opportunity to achievement of business objective)	Risk Control Measures (currently in place)	Assessment of Current Risk			Planned Risk Control Measures	Assessment of Residual Risk [With proposed control measures]			Risk Owner	Timescale for Completion / Review Frequency	Single Outcome Agreement Outcome Number Link	Evidence held of Regular Review
			Likelihood (Probability)	Impact (Severity)	Risk Rating		Likelihood (Probability)	Impact (Severity)	Residual Risk Rating				
			L	I	L x I		L	I	L x I				
ASC 1	A service user suffers harm or detriment and becomes subject to Adult Protection measures due to a lack of appropriate operational processes and resources.	<p>Sound operational procedures and trained staff with good supervisory support.</p> <p>Monitoring systems.</p> <p>Adult protection arrangements are designed to protect the most vulnerable.</p> <p>Feedback from Care Inspectorate reports is followed up and recommendations implemented as required.</p> <p>Feedback from service users helps to identify problems with service delivery that might expose service users to risk.</p>	4	5	20	<p>Continuous monitoring and review.</p> <p>Review service delivery in line with integration agenda.</p> <p>The allocation of resources will be monitored and assessed and redirected to manage risk in a proactive way.</p>	3	5	15	Senior Manager Operations	March 2014	5	
ASC 2	Demographic pressure increases the cost of service delivery which cannot be dealt with due to budget constraints resulting in an impact on service delivery.	<p>Best value purchasing of external services.</p> <p>Service transformation – targeting services available for the most vulnerable.</p> <p>Keeping CMT and Council apprised of the demographic pressures facing the Council.</p>	4	4	16	<p>Redesign services and introduce resource allocation system (RAS).</p> <p>Review of resource allocation and to ensure resources are allocated to those with greatest need.</p>	3	3	9	Senior Manager Operations Senior Manager Resources	March 2014	4 5	
ASC 3	Lack of a skilled and experienced workforce results in an inability to provide high quality assessment and support.	<p>Offer support to staff recruitment and training.</p> <p>Mandatory training compliance.</p> <p>Inclusion of Training needs analysis within Supervision and PRD.</p>	3	4	12	<p>Increase staff learning opportunities, sustain high levels of supervision.</p> <p>Audit of training provision to ensure compliance with minimum training requirements.</p>	3	3	9	Senior Manager Strategy & Policy	March 2014	5	
ASC 4	<p>New national targets on delayed discharge of "no delays over four weeks" with a further reduction to 2 weeks from 1 April 2014 will create additional pressures.</p> <p>These new targets will have wide ranging implications across the whole care system and put pressure on assessment staff, business systems and financial resources.</p>	<p>Increased surveillance of care homes to identify spare capacity.</p> <p>Pilot new initiatives to assess potential new models in the delivery of care.</p> <p>Close working with NHS to identify commence discharge planning at the earliest opportunity.</p>	4	3	12	<p>Closer working with care at home providers to consolidate runs and release additional capacity.</p> <p>Introduce tiered bed management across the sector.</p> <p>Investment in additional resources to support discharge from hospital.</p>	4	2	8	Senior Manager Operations	December 2013		
ASC 5	The failure of a major Care Home or Domiciliary Care provider e.g. Southern Cross resulting in a loss of capacity and the risk of service users being put at risk as a result	<p>Close monitoring with care providers helps to identify potential service failures.</p> <p>Close working with all providers to</p>	3	4	12	<p>Develop of contingency arrangements to deal with failure of a major care provider.</p> <p>Participation in national working</p>	3	2	6	Senior Manager Strategy & Policy	September 2013		

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	of their service withdrawn at short notice.	gain advance information of any potential failure.				groups to maintain national market intelligence. Working with other Councils to allow information sharing mutual support and contingency planning. Continuing to work closely with providers to provide support with improvement planning.				Senior Manager Resources Senior Manager Operations			
ASC 6	Lack of resources results in a failure to comply with new legislative timescales for Community Disposals. This would result in serious reputational damage to the Council.	Work volumes and waiting times are monitored and resources redirected as required.	3	3	9		3	3	9	Criminal Justice Manager	March 2014	5 7 8	
ASC 7	Major elements of public sector reform are either taking place or being proposed including: <ul style="list-style-type: none"> Integration of Health and Social Care and creation of a new H&SC Partnership Welfare Reform and the replacement of Disability Living Allowance with Personal Independence Payment The replacement of Council Tax benefit with a cash limited locally administered scheme. <p>These reforms create uncertainty, additional workload for senior staff, requirement to restructure services and create new accountability, governance and partnership arrangements.</p> <p>These reforms will have an impact on Adult Wellbeing clients, many of whom live on limited income and face uncertainty about their future levels on income.</p> <p>As service users see their incomes reduced this may impact on the level of income received by Adult Wellbeing through client</p>	Regular discussion with all staff and stakeholders. Effective consultation with all stakeholders will allow early identification of risks and identify mitigating actions.	3	3	9	Joint working across the whole Council will allow resources to be directed to the key vulnerabilities and allow a cross council approach to be taken to managing this risk Communication with staff to allow risk areas to be identified and reduce uncertainty. Communication with service users to advise the potential impact of welfare reform and the support available. Income levels will be monitored to detect any fall off in client contributions.	2	2	4	Head of Adult Wellbeing together with Adult Wellbeing Management Team.	September 2013	5 6	

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	contributions, imposing additional pressures on the Adult Wellbeing budget.												
ASC 8	A reduced level of service is available as a result of a system failure causing a loss of access to Frameworki Social Work management information system.	Contingency arrangements are in place to provide a back up service if required. Contingency back arrangements are tested. In short term staff would deal with emergencies based on information available. Staff can relocate to other offices to deal with a local outage.	3	2	6		3	2	6	Manager Finance, Performance and Business Systems.	March 2014	5	
ASC 9	Residential homes are forced to close because the standard of the buildings of the care homes and other services do not meet the necessary standards and are no longer fit for purpose.	Adequate ongoing maintenance. Strategic planning for new homes by the Asset Management Group. Regular building condition surveys to identify potential deterioration in building quality.	3	2	6	Feedback Care Inspectorate, service users and carers and staff.	2	2	4	Senior Manager Resources	September 2013	5 9	
Original date produced (Version 1)		1st March 2012											
File Name		Adult Wellbeing Risk Register											
Original Author(s)		S Kennedy											
Current Revision Author(s)		S Kennedy											
Version		Date		Author(s)		Notes on Revisions					5-9	Medium	
Original		1st March 2012		S Kennedy							1-4	Low	
2		19 th November 2012		S Kennedy		Updated following revision of Risk Strategy							
3		30 th January 2013		S Kennedy		Revisions made following Adult Wellbeing Management Team meeting.							
4		11th April 2013		S Kennedy		Updates received from Linda Young and John Finn. Updates and one risk removed by Murray Leys.							

Appendix 2
East Lothian Council
Risk Matrix

Likelihood Description

Likelihood of Occurrence	Score	Description
Almost Certain	5	Will undoubtedly happen, possibly frequently >90% chance
Likely	4	Will probably happen, but not a persistent issue >70%
Possible	3	May happen occasionally 30-70%
Unlikely	2	Not expected to happen but is possible <30%
Remote	1	Very unlikely this will ever happen <10%

Impact Description

Impact of Occurrence	Score	Description						
		Impact on Service Objectives	Financial Impact	Impact on People	Impact on Time	Impact on Reputation	Impact on Property	Business Continuity
Catastrophic	5	Unable to function, inability to fulfil obligations.	Severe financial loss (>5% budget)	Single or Multiple fatality within council control, fatal accident enquiry.	Serious - in excess of 2 years to recover pre-event position.	Highly damaging, severe loss of public confidence, Scottish Government or Audit Scotland involved.	Loss of building, rebuilding required, temporary accommodation required.	Complete inability to provide service/system, prolonged downtime with no back-up in place.
Major	4	Significant impact on service provision.	Major financial loss (3-5% budget)	Number of extensive injuries (major permanent harm) to employees, service users or public.	Major - between 1 & 2 years to recover pre-event position.	Major adverse publicity (regional/national), major loss of confidence.	Significant part of building unusable for prolonged period of time, alternative accommodation required.	Significant impact on service provision or loss of service.
Moderate	3	Service objectives partially achievable.	Significant financial loss (2-3% budget)	Serious injury requiring medical treatment to employee, service user or public (semi-permanent harm up to 1yr), council liable.	Considerable - between 6 months and 1 year to recover pre-event position.	Some adverse local publicity, limited damage with legal implications, elected members become involved.	Loss of use of building for medium period, no alternative in place.	Security support and performance of service/system borderline.
Minor	2	Minor impact on service objectives.	Moderate financial loss (0.5-2% budget)	Lost time due to employee injury or small compensation claim from service user or public (First aid treatment required).	Some - between 2 and 6 months to recover.	Some public embarrassment, no damage to reputation or service users.	Marginal damage covered by insurance.	Reasonable back-up arrangements, minor downtime of service/system.
None	1	Minimal impact, no service disruption.	Minimal loss (0.5% budget)	Minor injury to employee, service user or public.	Minimal - Up to 2 months to recover.	Minor impact to council reputation of no interest to the press (Internal).	Minor disruption to building, alternative arrangements in place.	No operational difficulties, back-up support in place and security level acceptable.

Risk	Impact				
	None (1)	Minor (2)	Moderate (3)	Major (4)	Catastrophic (5)
Almost Certain (5)	5	10	15	20	25
Likely (4)	4	8	12	16	20
Possible (3)	3	6	9	12	15
Unlikely (2)	2	4	6	8	10
Remote (1)	1	2	3	4	5

Key

Risk	Low	Medium	High	Very High
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