

# KEY OPERATIONAL RISKS

ID	CAT.	RISK IDENTIFICATION (Describe risk and underlying cause)	IMPACT (Consequences of risk maturing)	Risk Owner	Inherent (raw) risk			Existing Controls	Sources of Assurance	Residual (net) risk			Movement Indicator	Further Actions	Deadline	Responsible Officer
					Impact	Likelihood	Risk Score			Impact	Likelihood	Risk Score				
<b>Adult Social Services</b>																
ASS1	Legal/ Political /Socio Cultural / Reputational	Vulnerable persons (older persons; persons with physical & learning disabilities; mental health, transitional young people and other vulnerable adults) are not adequately safeguarded.	Abuse, Death or injury of vulnerable persons. Reputational damage to Council.	Alison Elliot - Director Adult Social Care/ Liz Jones - Assistant Director, Adult Social Care	6	4	24	Safeguarding of Adults Teams deal with safeguarding adults issues. Safer Recruitment; training; Multi - Agency Policies and Procedures for Adults; ASC Transformation Programme; Reablement. Appointeeships/Deputyship arrangements in place after client needs have been assessed. Good links with Children's & Families and Legal to ensure robust adherence to safeguarding children's policies and procedures.	Care Quality Commission Inspections; Carers Survey; Internal Audit; Office of Protection. Children's Service, Ofsted, Internal Audit	6	3	18		None	N/a	N/a
ASS2	Financial / Economic	Fraud; misappropriation and financial mismanagement of personalised budgets and direct payments by clients.	Statutory obligation to provide clients with services even where funds have been misused.	Alison Elliot - Director Adult Social Care / Liz Jones, AD, Adult Social Care	6	4	24	Robust policies and procedures; In house Direct Payments Team; Prepaid cards and managed accounts; procedures in place for financial monitoring. Robust approach to Fraud in the form of an Anti-fraud Framework; Whistleblowing .	Internal Audit	6	3	18		Fraud / Safeguarding training for staff	31/03/2013	Elizabeth Jones, Assistant Director of Finance
ASS3	Social / Community	Failure to engage with key partners across the public sector and other external organisations to maximise opportunities for collaborative working and to reduce costs. Failure of key partnerships to deliver expected benefits, service improvements and targets. Risk of service delivery being adversely affected by failure or inability to integrate with Health as planned.	Inefficiencies from service overlaps due to duplication; gaps in service provision. Residents not met. Additional savings of £2.2m would need to be found by the Department. Pressure on resources and potential for additional cuts in staff and services.	Alison Elliot - Director Adult Social Care/ Phil Newby, Director of Strategy, partnership & Improvement.	6	6	36	A business case is currently being developed. The Shadow Health & Wellbeing Board oversees intergration.	Shadow Health & Wellbeing Board,	6	5	30		Alternative savings strategy to be drafted	30/09/2012	TBA
ASS4	Political / Reputational / Legal / Financial						0			6	5	30		Further ongoing training for staff	31/03/2013	Senel Arkut, Head of Service
ASS5							0					0				
ASS6							0					0				

ID	CAT.	RISK IDENTIFICATION (Describe risk and underlying cause)	IMPACT (Consequences of risk maturing)	Risk Owner	Inherent (raw) risk			Existing Controls	Sources of Assurance	Residual (net) risk			Movement Indicator	Further Actions	Deadline	Responsible Officer
					Impact	Likelihood	Risk Score			Impact	Likelihood	Risk Score				
ASS7							0					0				
ASS8							0					0				
ASS9							0					0				
ASS10							0					0				
ASS11							0					0				
ASS12							0					0				