



Adult Social Care Risk Management

6th August 2025

Context:

Adult Social Care have been invited to the Health and Adults Social Care Scrutiny Panel to present their approach to risk management and provide assurance that we have robust processes in place to:

- Identify risk
- Manage risk
- Control risk
- Mitigate risk
- Escalate risk if needed

This presentation will cover:

- Our risk governance structure and oversight
- Risk identification and matrix
- Risk currently on the Corporate Risk Register and ones that have recently been deescalated

Risk Governance Structure and Oversight

	Head of Service Meeting	Social Care Leadership Team Meetings (SCLT)	Risk Register Submissions	Risk Management Group meeting (Thursday)	Corporate Risk Register to SLT	Corporate Risk Register to ELT (Tuesday)
Tasks	<p>Current directorate risk register and mitigations review</p> <p>New risk identification</p> <p>Emerging risk identification</p> <p>Review of Fraud Risk</p>	<p>Directorate risk overview and wider discussion</p> <p>Current risk and mitigation sign off and risk escalation to corporate register if necessary</p> <p>Discussion of new and emerging risk identification</p>	<p>Submit corporate risk and service risk</p>	<p>17th July</p>	<p>Highlight of directorate risk</p> <p>Summary of risk status</p> <ul style="list-style-type: none"> • Escalations • Improvements • Static risk 	<p>5th August</p>
Frequency	Monthly – 1 week before SCLT	Monthly	Quarterly	Quarterly	Quarterly	Quarterly
Attendees	All Heads of Service Corporate risk Quality Improvement	<p>Service Directors</p> <p>All Heads of Service</p> <p>Corporate risk</p> <p>Quality Improvement</p>	Quality Improvement	<p>Corporate Risk</p> <p>Head of Service – Quality Standards and Safeguarding</p> <p>Quality Improvement</p>	<p>Directorate Executive Director</p> <p>Service Directors</p> <p>Quality Improvement</p>	<p>Executive Leadership</p> <p>Corporate Risk</p>

Risk Identification

Risks are events that could happen that would prevent us from achieving our objectives. The term “Risk Management” describes the process through which we identify and record these events and put plans in place to reduce these risks.

Within Adult Social Care our risk management processes are structured to include the process of:

- Identifying possible risks
- Applying a score to each risk in consultation with the Risk Matrix, based on:
 - ❖ How likely it is to happen (the probability)
 - ❖ How severe it would be if it did happen (the impact)
- Implementing appropriate mitigations or controls (to reduce either the probability or the impact or both)
- Reviewing the risk regularly in consultation with corporate colleagues to assess whether these controls are working effectively to reduce the risk and determining if any further actions are required.

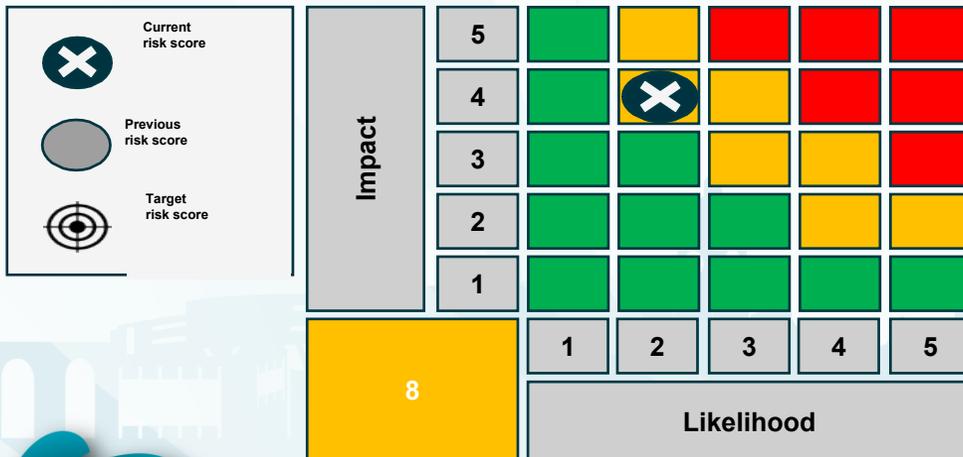
		Financil / cost	Legal / statutory compliance (inc H&S)	Reputation	Community / Service Provision	Risk Matrix					
Impact Scale	4	Losses / costs incurred / overspend of >£1.5m	Government intervention or criminal charges. Multiple breaches in statutory duty. Prosecution. Complete systems / service change required. Severely critical report. Responsible for death of employee and / or resident	Permanent, major environmental or public health damage.	Sustained negative national media attention. Possible resignation of senior officers and/or elected members. Major loss of public confidence. Perceived as failing authority requiring intervention.	Very Significant	5	10	15	20	25
	5	Losses / costs incurred / overspend of £0.8m-£1.5m	Several breaches in statutory duty. Enforcement action and improvement notices. Major civil litigation and/or national public enquiry. Critical report. Low performance rating. Fails to prevent death, causes extensive permanent injuries or long-term sickness	Long term major public health or environmental incident (1yr+).	Sustained negative local and/or significant regional and national media attention. Longer term reduction in public confidence	Major	4	8	12	16	20
	3	Losses / costs incurred / overspend of £0.5m-£0.8m	Single breach in statutory duty. Challenging external recommendations. Major civil litigation and/or local public inquiry. Fails to prevent extensive, permanent injuries or long-term sickness	Medium term major public health or environmental incident (up to 1 year).	Significant negative local /regional media attention. Short term reduction in public confidence	Moderate	3	6	9	12	15
	2	Losses / costs incurred / overspend of <0.5m	Minor breach of statutory legislation/regulation. Reduced performance rating if left unresolved. Medical treatment required, potential long-term injury or sickness.	Short term public health or environmental incident (weeks).	Short term negative local media attention	Minor	2	4	6	8	10
	1	Minimal or no financial impact	No or minimal impact or breach of guidance/statutory duty. Minor civil litigation risk	Environmental incident with no lasting detrimental effect	Unlikely to cause adverse publicity	Insignificant	1	2	3	4	5

	Rare	Unlikely	Possible	Probable	Almost Certain
Frequency	This will probably never happen / recur	Not expected to happen or recur over a 3 year horizon	Might happen or recur within 3 years	Will probably happen / recur but it is not a persisting issue (2-3 years)	Very likely to happen in next year
Likelihood	Less than 5% chance (0-5%)	Around 10% chance (5%-15%)	Around 25% chance (15%-40%)	Around 60% chance (40%-80%)	Around 90% chance (80%-100%)
	1	2	3	4	5
Probability Scale					

Corporate Risk Register

We currently have 1 risk on the corporate risk register

- ❖ AH01 Adults Safeguarding - Failure to adequately safeguard vulnerable adults from harm, abuse and neglect because of increased complexity, referral volumes and a lack of service capacity to respond to the assessed need.
- ❖ This risk is owner is Cath Simms, Service Director Adult Social Care Operations
- ❖ Using the Risk Matrix this risk is currently scored: 8



Controls in Operation:

- ❖ Corporate Safeguarding Policy reviewed regularly (Jan 2024)
- ❖ Mandatory training requirements and additional training where need identified
- ❖ Person in position of trust (PIPOT) process in place – being reviewed.
- ❖ Self-neglect policy and pathway in place. Self-neglect cases managed through the multi-agency risk escalation conferences
- ❖ Adult’s representation on all strategic and operational groups related to safeguarding (such as; Prevent, Domestic Abuse and Modern Slavery)
- ❖ Governance through Kirklees Safeguarding Adults Board and Health & ASC Scrutiny Panel
- ❖ Learnings and improvement plans from Safeguarding Adults Reviews (SAR) reports
- ❖ Prioritisation and escalation managed by Safeguarding Service Manager
- ❖ Large Scale Safeguarding Enquiry (LSE) policy is being reviewed
- ❖ Waiting Well policy rolled out in the hubs – S42 enquiries allocated within 48 hours