


## REPORT TO AUDIT AND RISK ASSURANCE COMMITTEE

18 January 2018

<b>Subject:</b>	Adult Social Care, Health and Wellbeing Directorate Risk Register
<b>Director:</b>	Executive Director – Adult Social Care, Health and Wellbeing
<b>Contribution towards Vision 2030:</b>	
<b>Contact Officer(s):</b>	Narinder Phagura Business Partner - Audit, Fraud, Risk and Insurance <a href="mailto:narinder_phagura@sandwell.gov.uk">narinder_phagura@sandwell.gov.uk</a>

### DECISION RECOMMENDATIONS

**That Audit and Risk Assurance Committee:**

1. Review and comment upon the accompanying report.

#### 1 PURPOSE OF THE REPORT

- 1.1 To update the Committee with details of risks for the Adult Social Care, Health and Wellbeing directorate. A summary of these risks is attached as an appendix to this report.
- 1.2 Further details are attached for information.

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## 2 IMPLICATIONS FOR SANDWELL'S VISION

- 2.1 Effective risk management is a key element of good corporate governance and is essential to the overall performance of the council in meeting its vision 2030. Good risk management will ensure that resources are used efficiently and effectively in the delivery of the Sandwell vision and that assets and resources are protected against risk in the most efficient way.

## 3 BACKGROUND AND MAIN CONSIDERATIONS

- 3.1 One of the roles of the Audit and Risk Assurance Committee is to assure itself that risks to the delivery of the council's key priorities are being managed. The Committee will be aware that these risks are managed through the council's risk management process which is set out in its Corporate Risk Management Strategy, and involves the development of risk registers at strategic, directorate, operational and project levels.

Risk hierarchy



- 3.2 Ownership of the individual directorate risks is assigned to service managers, who have responsibility to:
- Consider and agree the risk description
  - Assess the current risk score based upon the controls in place and the assurances they have received on the adequacy and effectiveness of these controls
  - Implement mitigating actions to reduce the risk scores where necessary, in order to deliver the target risk score by the target date

- 3.3 The director is responsible for keeping the Cabinet Members informed of the relevant risks that fall within their portfolio and the implementation of mitigating actions.
- 3.5 Further ongoing reviews of the directorate register are then undertaken by the Directorate Management Team on a regular basis.
- 3.4 A summary of the directorate risks is included at Appendix A of this report.

## 4 THE CURRENT POSITION

- 4.1 The Adult Social Care, Health and Wellbeing Directorate has recently undergone a restructuring exercise to better align its services to future business plans and transformational changes that are required as a result of budget reductions, central government policy changes and an ageing population.
- 4.2 The directorate incorporates the following service areas:
- Adult Social Care
  - Public Health
  - Prevention and Protection
  - Environmental and Regulatory Services
- 4.3 The risk register at Appendix A includes the key risks for the directorate. The risks are reviewed by risk owners and the directorate management team on a regular basis, in line with the council's corporate risk management strategy.
- 4.4 The register will undergo a further review in early 2018 to consider whether there are any additional risks that require inclusion as a result of the new services that have recently been transferred into the directorate and following the completion of the redesign/ restructure currently taking place.
- 4.5 In addition to the directorate register, there are also risk registers in place for each service area that reflect the operational risks, and for each key project within the directorate, a project risk register is in place.

## 5 CONSULTATION (CUSTOMERS AND OTHER STAKEHOLDERS)

- 5.1 The review and update of each directorate risk, has been discussed with the risk owners (as noted at Appendix A) and reported to the Directorate

Management team. In addition, the relevant Cabinet Members are regularly updated with the progress made in the mitigation of key risks.

## **6 ALTERNATIVE OPTIONS**

- 6.1 Whilst this report does not require a decision, when measures are being considered for the mitigation of each of the risks, this takes into account any alternative options available.

## **7 STRATEGIC RESOURCE IMPLICATIONS**

- 7.1 The authority's Corporate Risk Management Strategy (CRMS) requires close identification and alignment of risks to budget planning processes. In this way, the identification and management of its key risks informs the authority's allocation of resources.
- 7.2 The authority's budget planning process incorporates financial and other resources required to manage the authority's risks.

## **8 LEGAL AND GOVERNANCE CONSIDERATIONS**

- 8.1 The purpose of risk management is to assist in the achievement of the Sandwell vision and the authority's statutory responsibilities.
- 8.2 There are numerous standards applicable to the management of risk within the local authority sector. Included amongst these is guidance from CIPFA/Solace, the British Standards Institute (BSI) and a set of joint standards published by the Institute of Risk Management (IRM), Alarm (The public sector risk management association) and AIRMIC (Association of Risk Managers in Industry and Commerce). Evidence that robust management of the authority's strategic risks is being undertaken demonstrates compliance with these standards.

## **9 EQUALITY IMPACT ASSESSMENT**

- 9.1 As a decision is not being sought in this report, it is not necessary to undertake an Equality Impact Assessment.

## **10 DATA PROTECTION IMPACT ASSESSMENT**

- 10.1 As a decision is not being sought in this report, it is not necessary to undertake a Data Protection Impact Assessment.

## **11 CRIME AND DISORDER AND RISK ASSESSMENT**

11.1 There are no crime and disorder risks arising from this report.

## **12 SUSTAINABILITY OF PROPOSALS**

12.1 There are no direct sustainability issues arising from this report.

## **13 HEALTH AND WELLBEING IMPLICATIONS**

13.1 There are no direct health and wellbeing implications from this report.

## **14 IMPACT ON ANY COUNCIL MANAGED PROPERTY OR LAND**

14.1 There is no direct impact on any council managed property or land from this report.

## **15 CONCLUSIONS AND SUMMARY OF REASONS FOR THE RECOMMENDATIONS**

15.1 The purpose of the report is to update the Audit and Risk Assurance Committee with the key risks that the Adult Social Care, Health and Wellbeing directorate is managing, as summarised in Appendix A.

## **16 BACKGROUND PAPERS**

16.1 None.

## **17 APPENDICES:**

Adult Social Care, Health and Wellbeing directorate risk register summary.

**David Stevens**

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