



Norfolk Safeguarding Adults Board

Risk Management Policy

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1. Context

- 1.1 The Care Act 2014 identifies that all safeguarding adults boards have a statutory responsibility to assure itself that adults within its area are being safeguarded effectively by partner agencies. Norfolk Safeguarding Adults Board (NSAB) recognises that the appropriate management of risks and issues is vital to ensure it can achieve its strategic objectives.
- 1.2 This policy enables NSAB to be proactive in its risk and issues management. Effective risk management involves the identification, evaluation and prioritisation of risks followed by the application of measures to minimise, monitor, and control the probability or impact of unfortunate events. Early identification of risks and issues which may impact upon the board's ability to deliver its strategic objectives, along with the application of targeted and proportionate risk reduction measures are key aspects of this policy.

2. Aim

2.1 The aim of the Risk Management Policy is to:

- Provide assurance to NSAB of its handling of risks that threaten to impact upon the effective safeguarding of adults within Norfolk
- Detail how risk management will be embedded into the governance structure and business of NSAB
- Increase the likelihood of achieving NSAB's vision and strategic objectives
- Prevent or reduce the potential consequences of events that could harm the objectives of the board, which could have been reasonably foreseen
- Improve and inform decision making and planning
- Integrate risk management into the culture of NSAB and its processes

NSAB's Vision, Mission and Strategic Objectives

Risk Assessment - Identification, Description and Evaluation

Response to the risk.

Monitoring

3. NSAB's Vision and Strategic Objectives

“Our vision is for all partners to work together effectively to enable the people of Norfolk to live free from abuse and neglect, and to promote widely the message that safeguarding is everybody’s responsibility”

Our strategic objectives are set out within the NSAB strategic plan.

4. Definitions

4.1 NSAB defines risk as: *'An uncertain event or set of events that, should it occur, will influence the achievement of the objectives. A risk is measured by a combination of the probability of the perceived threat or opportunity occurring, and the magnitude of its impact on objectives.'*

4.2 NSAB defines an issue as: *'A relevant event that has already happened and has impacted on or is currently impacting upon the boards objectives and requires management action.'*

5. Risk and Issue Register

5.1 NSAB holds a Risk and Issues Register as its method of risk management. The register details those risks and issues which, in the view of NSAB, pose the greatest challenge to the achievement of the board's strategic objectives and vision.

5.2 The register allows the board to:

- Identify and record the risks or issues that threaten effective adult safeguarding
- Assess the likelihood of the risks occurring and the type and severity of impact
- Put in place arrangements to manage the risks
- Monitor the progress
- Gain assurance that the issues and risks are being acted upon
- Provide a mechanism for additional scrutiny and “deep dives” for risk/issues of greatest concern

5.3 The register and proper management of it is designed to minimise the likelihood and impact of risks and issues.

5.4 It is the responsibility of each NSAB partner to anticipate issues and risks and raise through either the NSAB or Business Group, on the basis that prevention is likely to lead to reduced damages for the board and increased safeguarding for adults at risk of abuse or neglect.

5.5 The opportunity for members to raise a risk or an issue is invited by completing the NSAB Risk and Issue Submission Form which is available on the NSAB website. The

form should be completed and submitted to the NSAB business team prior to the concern being discussed via a standing item at the next NSAB meeting.

5.6 Clear identification and description of the threat is needed to establish whether it is a risk or an issue. The submission of a Risk and Issues Identification Form and any supporting documentation should be made at least 12 days prior to the NSAB meeting and in time to be circulated with the agenda.

6. Risk Management Process - Recording

6.1 Once consensus has been established at the NSAB meeting and the risk/issue management plan decided, the risk or issue will be added to the register. The entry will include:

Risk

- Risk source – description of the risk defining the source
- Risk consequences
- Impact type
- Risk owner
- Who the risk was raised by and date
- Probability, impact and resulting score of the inherent risk
- Existing controls
- Probability, impact and resulting score of current risk
- Developing controls
- Action owner
- Due date
- Progress
- Date of last update
- Actual closure date

Issue

- Issue source
- Issue owner
- Issue consequences
- Action and owner
- Due date
- Impact
- Urgency

- Impact score
- Issue progress
- Actual closure date

6.2 Risks can be archived by the board if they:

- Are no longer relevant but may become relevant again later.
- Have been mitigated to its target risk score and has become 'stable'.

6.3 It is important to note that 'risk' is dynamic, and the information recorded against the risk or issue is likely to fluctuate.

7. Risk Scoring

7.1 As part of completion of the Risk and Issue Register the following risk matrix is embedded to evaluate and measure the risk or issue. Each risk/issue is scored on the probability of the risk occurring and the impact it would likely have if it did happen.

| Probability Score | 1. Hardly ever | 2. Possible | 3. Probable | 4. Almost certain |
|-------------------|----------------|-------------|-------------|-------------------|
|-------------------|----------------|-------------|-------------|-------------------|

| Impact Score | Service Delivery | Delay | Finance | Reputation | People |
|---------------|------------------|----------------|---------------|-------------------------|------------------|
| 4. Critical | Very significant | >1month | >£1m | National media story | Loss of life |
| 3. Major | Significant | 1week - 1month | £500k - £1m. | Local media story | Serious injuries |
| 2. Minor | Major | 1day - 1week | £100k - £500k | Limited local publicity | Minor injuries |
| 1. Negligible | Minor | <1day | <£100k | Little/no publicity | - |

7.2 There are four generally accepted ways of responding to risk known as the 'Four Ts'.

| | |
|-----------|--|
| Transfer | The board transfers part or all the risk, e.g., insurance. |
| Tolerate | The board accepts the risk e.g., those with a low likelihood or impact. |
| Terminate | Also known as avoidance, the board eliminates the risk if it is too great for the organisation to bear or if the ways to reduce it are impractical or too expensive. |

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| Treat | The board takes action to control the risk by reducing the assessed likelihood or impact. |
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8. Risk Management - Roles and Responsibilities

- 8.1 NSAB will be responsible for approving the Risk Management Policy and subsequent revisions.
- 8.2 NSAB partners hold collective strategic responsibility for the Risk and Issues Register and is accountable for ensuring resources are directed into the mitigation of the identified issue and risk – proportionate to the imminence and impact.
- 8.3 NSAB’s Business Group will hold collective operational responsibility to formally review and update the register on a bi-monthly basis and provide adequate information to the next NSAB meeting around the progress.
- 8.4 Business Group is responsible for ensuring that operational changes are implemented as part of the identified risk and issue mitigation.
- 8.5 NSAB’s board manager or deputy board manager will be responsible for updating and maintaining the Risk and Issue Register and reviewing the Risk Management Policy.
- 8.6 The action owner (as stated on the risk register) is responsible for taking ownership of the risk or issue and ensuring that the action plan is executed, within the agreed timeframe. The action owner will update on changes to the nature of the risk or issue, the level of risk and effectiveness of the agreed action plan.

9. “Deep Dive” Process and Scrutiny

- 9.1 In the event that a risk or issue has been active on the Risk and Issue Register for a period of 12 months or longer or where the impact scoring is deemed significant, NSAB may suggest the risk or issue justifies a '**deep dive**' exercise.
- 9.2 The owner of the risk or issue will be required to conduct the **deep dive exercise** with board colleagues and deliver this to NSAB. For the purposes of this policy, a deep dive exercise will be a process of finding out more information to review and understand why the risk or issue remains on the register and drive identification of actions to mitigate it.
- 9.3 A deep dive exercise will usually consist of three elements:

Analysis

- A clear description of the area of issue or risk and the threat it poses to the effective safeguarding of adults
- Why the issue or risk has occurred
- A review of the information already contained within the register for the risk or issue

- A description of the actions taken to date and why (if this is the case) they have not been effective
- An analysis of why it remains active on the register

Resources and abilities

- Identification and agreement of an action plan to mitigate the risk or issue (proportionate to the probability and impact), and overcoming the barriers to achievement
- Consideration that there are enough skilled people and resources to meet the identified actions
- Does the action plan include resource implications that need to be agreed at executive level?

Assurance

- Are the agreed actions realistic, specify who is going to do what and by when, measurable and proportionate?
- Are partners assured that the actions can be achieved and if so, lead to mitigation of the issue or risk to a level which partners are comfortable with to enable removal from the register?
- Are partners assured that once the risk or issue is removed from the register that it can and will be monitored for escalation?
- Are partners assured that the agreed actions will lead to more effective safeguarding of adults in Norfolk?

9.4 Where a risk or issue has escalated significantly, or the board have concerns around any risk/issue a decision may be taken by NSAB that a particular form of multi-agency scrutiny or audit should take place as outlined within the board's assurance policy.

9.5 In the event that an issue or risk is deemed to have escalated to a point that the impact to the board is imminent and highly damaging, then the independent chair will convene an emergency executive board meeting to examine the likelihood and impact of the risk or issue together with a mitigating/remedial action plan.

9.6 Where a risk or issue has achieved its target score i.e. the level of risk exposure that NSAB is prepared to tolerate following completion of all the mitigation tasks, the risk or issue can be moved from the open risk register to the closed section of the register and information retained in line with the board's retention policy.

9.7 The sharing of information for the purposes of the Risk and Issue Register is governed by the board's information sharing agreement.

9.8 This policy will be reviewed on a three yearly basis, or as deemed appropriate to reflect agreed amendments.

Appendix 1 NSAB Risk and Issue Submission Form

This form is to be completed by Norfolk Safeguarding Adults Board members, to raise a risk or issue that could undermine the objectives of the partnership.

Risk is: *'An uncertain event or set of events that, should it occur, will have an effect on the achievement of the objectives. A risk is measured by a combination of the probability of the perceived threat or opportunity occurring, and the magnitude of its impact on objectives.'*

An issue is: *'A relevant event that has already happened and has impacted on or is currently impacting upon the boards objectives and requires management action.'*

Please complete the sections below as fully as possible and expand boxes where necessary. (A reminder of the levels of likelihood and impact are below).

| |
|---|
| Please identify what the risk or issue is: |
| |
| What is the impact of the risk or issue on multi-agency safeguarding? |
| |
| What is the likelihood of the risk occurring? |
| |
| Current factors increasing the risk: |
| |
| Current mitigating factors: |
| |
| What actions need to be taken to decrease the risk? |
| |
| How will these actions improve outcomes for adults at risk? |
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Please submit the form to NSAB@Norfolk.gov.uk 12 days prior to the relevant NSAB board and it will be added to the agenda of the next calendar meeting for discussion. Please also attach any supporting documents.

If you consider that the identified risk or issue cannot wait until the next board meeting, please highlight this within your email.