

Safeguarding Adults Boards have a unique set of risks to monitor and manage which would likely include, but go well beyond, gaining assurance that partner agencies are managing their own risk in relation to Safeguarding Adults.



RISK	IMPACT/CONSEQUENCE				
	1	2	3	4	5
LIKELIHOOD	Insignificant	Minor	Moderate	Major	Critical
Almost certain (5)	5	10	15	20	25
Highly likely (4)	4	8	12	16	20
Probable (3)	3	6	9	12	15
Possible (2)	2	4	6	8	10
Rare (1)	1	2	3	4	5

Quarter 3 Brief Overview – February 2016 (LxC)	
Risk 1.1	2016/17 projected costs being reviewed and requests for financial contributions from partner being progressed – <b>Rating 2x4=8</b>
Risk 2.1	A Board member development day is planned for 27/4/16. Minutes of GSAB meeting placed on the website - <b>Rating 1x4=4</b>
Risk 2.2	Continued monitoring of sub groups meeting attendance – <b>Rating 1x3=3</b>
Risk 2.3	Board alert to staff when SAR is commissioned – <b>Rating 2x4=8</b>
Risk 2.4	GSAB Constitution clearly states the roles and responsibilities of members – <b>Rating 1x4=4</b>
Risk 3.1	SAR training event booked facilitated by SCIE for SAR subgroup and safeguarding leads.– <b>Rating 2x5=10</b>
Risk 3.2	GSAB information sharing Guidance and Escalation protocol in place – <b>Rating 1x3=3</b>
Risk 3.3	A comprehensive communications strategy and programme is in place – <b>Rating 2x4=8</b>
Risk 4.1	CCG Commissioned work in relation to multi agency 'Positive Risk Taking' – <b>Rating 2x4=8</b>
Risk 5.1	Task & Finish Group to be established to monitor and support continuing improvement. <b>2x3=6</b>
Risk 5.2	Policy & Procedure supporting data collection tools updated with Care Act requirements – <b>Rating 2x3=6</b>
Risk 6.1	Law Commission recommendations to the DoLS statutory requirements – awaiting further guidance. DoLS Supervisory Body oversight. National guidance being consistently followed re: prioritisation and identification of what would be 'technical' breach as opposed to 'substantive' breach – <b>Rating 2x4=8</b>

## 1. FINANCIAL

SAB Priority	The Risk	Consequence/impact	Current RAG LxC	Mitigating actions	Risk owner	Timeframe	Target RAG
1.1	There is insufficient funding available from the partnership for the Board to meet its objective and deliver its work, priorities and carry out Safeguarding Adults Reviews (SAR's) as required.	<p>The Board will not be able to meet its objective to help and protect adults in its area.</p> <p>The Board will not be able to deliver its work priorities.</p> <p>The Board will be delayed or prevented from commissioning a Safeguarding Adults Review when it identifies one is needed.</p> <p>Serious harm to adults at risk due to not meeting objective or delivering priorities or learning in relation to SAR's.</p> <p>Failure to protect vulnerable adults from harm. Loss of reputation.</p> <p>Reputational damage to the Board and the County of Gloucestershire.</p>	<p><b>2x4</b> = <b>8</b> <b>Amber</b></p>	<p>Funding contributions for 2015/16 received from Gloucestershire Clinical Commissioning Group and Gloucestershire Constabulary</p> <p><u>Approx. total spending £200K</u></p> <ul style="list-style-type: none"> <li>• GCC 70.4%</li> <li>• G Constabulary 10.2%</li> <li>• CCG 19.4%</li> </ul> <p>2016/17 projected costs being reviewed and requests for contributions being progressed</p> <p>Bi-annual meetings with GSAB Independent Chair, Director of Adult Social Services and GCC Chief Executive would include discussions around sustainability of potential increased GCC funding if required (Next one 21/3/16)</p>	GSAB	2015/18	<p><b>1x4</b> = <b>4</b> <b>Green</b></p>

## 2. STRATEGIC LEADERSHIP

SAB Priority	The Risk	Consequence/impact	Current RAG LxC	Mitigating actions	Risk owner	Timeframe	Target RAG
2.1	Board members and sub group members are unclear about their role and responsibilities	<p>The Board will not be able to meet its objective to help and protect adults in its area.</p> <p>Decisions cannot be made as members are not in a position to or authorised to make such decisions</p> <p>The Board will not be able to deliver its work priorities.</p> <p>Serious harm to adults at risk due to not meeting objectives or delivering priorities or learning in relation to SAR's.</p> <p>Failure to protect adults from harm. Loss of reputation.</p> <p>Reputational damage to the Board and the County of Gloucestershire.</p>	<p><b>1x4</b> = <b>4</b> <b>Green</b></p>	<p>GSAB/GSCB Constitution ratified at August Boards</p> <p>A Board member development day is planned for 27/4/16.</p> <p>An induction pack drafted for new members</p> <p>Bi-annual meetings with GSAB Independent Chair, Director of Adult Social Services and GCC Chief Executive would escalate concerns of strategic leadership across partner agencies.</p>	GSAB	2015/18	<p><b>1x1</b> = <b>1</b> <b>Green</b></p>
2.2	Lack of sub groups attendance and participation by agencies key to their work.	<p>Significant agencies not represented on sub groups will mean work completed is not fully informed and not then implemented by that agency.</p> <p>Irregular attendance will mean individuals</p>	<p><b>1x3</b> = <b>3</b> <b>Green</b></p>	Continued monitoring of sub groups meeting attendance and recording in minutes.	GSAB	2015/18	<p><b>1x3</b> = <b>3</b> <b>Green</b></p>

		<p>are not sighted on issues so as to give meaningful and appropriate input and could delay work being completed.</p> <p>The Board will be delayed in achieving its objectives and priorities.</p> <p>Lack of full participation and involvement will result in the sub committee and subsequently Board not being able to achieve its objectives and priorities</p> <p>Significant harm to adults as risk due to not meeting objective or delivering priorities.</p> <p>Reputational damage to the Board and the County of Gloucestershire.</p>		<p>Sub group chairs to escalate to Independent Chair non attendance or low attendance of a sub group member.</p>			
2.3	<p>Failure in members to disseminate Board decisions and activity throughout their organisations</p>	<p>Board decisions will not be implemented.</p> <p>Adults at risk will not have the opportunity to challenge Board decisions and work.</p> <p>Reputational damage to the Board and the County of Gloucestershire.</p>	<p><b>2x4</b> = <b>8</b> <b>Amber</b></p>	<p>GSAB attendance figures available annually linked to the GSAB Annual Report.</p> <p>Board Alert to staff when Safeguarding Adults Review is commissioned including Council Members communication</p> <p>Minutes of GSAB meeting placed on the website.</p>	<p>GSAB Board Member</p>	<p>2015/18</p>	<p><b>1x2</b> = <b>2</b> <b>Green</b></p>

2.4	The links with other partnerships such as The Health and Wellbeing Board, Overview and Scrutiny Committee and Community Safety Partnerships are not effectively identified and managed.	<p>County wide Boards or Committees assume someone else is monitoring or managing a serious concern and matters fall through the gap – leaving individuals at risk of harm and mistreatment.</p> <p>More than one Board or Committee take forward the same concern causing duplication, possible different requirements or different messages and increasing the burden on partners.</p> <p>Reputational damage to the Board and the County of Gloucestershire.</p>	<b>1X4</b> <b>=</b> <b>4</b> <b>Green</b>	<p>GSAB Constitution clearly state the roles and responsibilities of Board members in relation to other Boards and Committees</p> <p>GSAB members are seen as primary and secondary links to other Board/Committees they are members of.</p>	GSAB Board Chair	2015/18	<b>1X4</b> <b>=</b> <b>4</b> <b>Green</b>
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### 3. REPUTATION

SAB Priority	The Risk	Consequence/impact	Current RAG LxC	Mitigating actions	Risk owner	Timeframe	Target score
3.1	<p>There is a failure to learn from, or positively respond to, Safeguarding Adults Reviews (SAR's) or national and or local enquiries.</p> <p>Current SAR's</p> <ul style="list-style-type: none"> <li>Financial &amp; Sexual Abuse within Supported Living Home X</li> <li>SILP EH</li> <li>Learning Event – R</li> <li>Root Cause Analysis – SJ</li> <li>Death 'AT'</li> <li>Neglect &amp; self neglect 'KH'</li> </ul>	<p>Learning is not identified or used to inform practice to ensure adults at risk in the County of Gloucestershire. are protected from harm or abuse.</p> <p>Reputational damage to the Board and the County of Gloucestershire for failing to meet the needs of adults at risk and their families as identified through ACRs.</p>	<p><b>2x5</b> = <b>10</b> <b>Amber</b></p>	<p>GSAB Workforce Development Group ensures learning from SAR's, national and local enquiries inform training and agencies are briefed on the issues and learning.</p> <p>Workforce Development TOR reflects learning from SARs.</p> <p>Individuals and partner agencies take personal responsibility for identifying issues and safeguarding enquires the Board could consider.</p> <p>Individuals and partner agencies challenge where they believe the Board is not responding appropriately.</p> <p>SAR training event booked facilitated by SCIE for SAR subgroup and safeguarding leads</p>	GSAB	<p>2014/16</p> <p>2015/18</p>	<p><b>1x3</b> = <b>3</b> <b>Green</b></p>

3.2	Individual and collective information sharing protocols are understood and applied	<p>Information is not shared appropriately and individuals are not protected or are placed in danger.</p> <p>Agencies are not able to undertake their work effectively or safely.</p> <p>Reputational damage to the Board and the County of Gloucestershire.</p>	<p><b>1x3</b> = <b>3</b> <b>Green</b></p>	<p>GSAB can request as necessary, information that a wide number of partners may hold (Care Act 2014 – section 45)</p> <p>GSAB Escalation Protocol in place</p> <p>GSAB Safeguarding Adults Information Sharing Guidance drafted to ensure Care Act compliance – on February Agenda</p> <p>GSAB agencies include information sharing in Safeguarding Adults training.</p>	GSAB Partner Agencies	2015/18	<p><b>1x1</b> = <b>1</b> <b>Green</b></p>
3.3	The profile of safeguarding vulnerable adults is poor with the general public, people who use services, carers and professionals and practitioners.	<p>People do not know what adult abuse is.</p> <p>People do not know how to report abuse.</p> <p>People do not know how to prevent abuse.</p> <p>People do not know what to expect once abuse has been identified and reported.</p> <p>People do not know their rights.</p> <p>Significant harm to adults as risk due to lack of awareness and knowledge.</p> <p>Reputational damage to the Board and the County of Gloucestershire.</p>	<p><b>2x4</b> = <b>8</b> <b>Amber</b></p>	<p>A comprehensive Communications Strategy and Programme is in place</p> <p>Council Members are aware of what their roles and responsibilities are in relation to Safeguarding Adults. Members training session took place on 28/10/15</p> <p>Partner agencies provide appropriate level of training for those staff who have substantial and unsupervised contact with adults at risk.</p>	GSAB Partner Agencies	2015/18	<p><b>1x2</b> = <b>2</b> <b>Green</b></p>



#### 4. INFORMATION GOVERNANCE

SAB Priority	The Risk	Consequence/impact	Current RAG LxC	Mitigating actions	Risk owner	Timeframe	Target score
4.1	Partnership and partner agencies internal safeguarding arrangements and management of risk are not robust	<p>Risk are not identified, monitored or mitigated and therefore adults are put at risk of harm and mistreatment due to this inaction.</p> <p>Reputational damage to the Board and the County of Gloucestershire.</p>	<p><b>2x4</b> = <b>8</b> <b>Amber</b></p>	<p>Partnerships and partner agencies implement a 'Duty of Candour' by proactively bringing high risks to the attention of the Board at the earliest opportunity.</p> <p>Partner agencies have an adequate risk management process.</p> <p>CCG Commissioned work in relation to multi agency 'Positive Risk Taking'</p>	GSAB Partner Agencies	2015/18	<p><b>1x1</b> = <b>1</b> <b>Green</b></p>

## 5. OPERATIONAL DELIVERY

SAB Priority	The Risk	Consequence/impact	Current RAG LxC	Mitigating actions	Risk owner	Timeframe	Target score
5.1	Failure to meet statutory guidance in (Care Act 2014 and Making Safeguarding Personal) in relation to facilitating person-centred, outcomes and focused responses to safeguarding that can be measured in order to ascertain the effectiveness of safeguarding work and to work with adults at risk to identify the outcomes they wanted and were realised	<p>Safeguarding is 'done to people' rather than with people due to procedures and practices in Gloucestershire being not fit for purpose because they are not informed by people's experiences.</p> <p>Relationships with the community are impaired.</p> <p>The reputation and influence of the Gloucestershire Safeguarding Adult Board is damaged because they are not informed by major target groups</p> <p>Lack of community understanding to inform the work of the Board.</p> <p>Reputational damage to the Board and the County of Gloucestershire.</p>	<p><b>2x3</b> = <b>6</b> <b>Green</b></p>	<p>Training and awareness has been delivered in respect of the person centred approach set out in the wider responsibilities of the Care Act 2014</p> <p>Safeguarding representation at LD Events to distribute safeguarding promotional material (leaflets, key rings) at: Parent/Carer AGM; Parent/Carer Forum; Glos Concordat Anniversary; Big Health Check Day</p> <p>The Care Act requires safeguarding enquires to be person centred</p> <p>A range of work force development workshops held in relation to the Care Act and a personalised approach.</p> <p>Task &amp; Finish Group to be established to monitor and support continuing improvement in MSP</p>	GCC	2015/18	<p><b>1x1</b> = <b>1</b> <b>Green</b></p>

SAB Priority	The Risk	Consequence/impact	Current RAG LxC	Mitigating actions	Risk owner	Timeframe	Target score
5.2	Information and data is not available to the Board to provide assurance that appropriate steps are taken to protect and safeguarding adults at risk e.g. training and recruitment	<p>Significant harm to adults as risk due to partner agencies not having adequate systems available to identify who has or has not received training, who has or has not got up to date DBS check or to ensure people unsuitable to work with adults at risk are appropriately referred to the appropriate regulatory body.</p> <p>Reputational damage to the Board and the County of Gloucestershire.</p>	<p><b>2x3</b> = <b>6</b> <b>Green</b></p>	<p>GSAB receives reports from Healthwatch in relation to health and social care feedback from the public</p> <p>GSAB Dashboard in line with care act requirements</p> <p>GSAB data submission to DoH of annual Safeguarding Adults Collection (SAC)</p> <p>CCG collection of Patient Safety Data</p> <p>Policy &amp; Procedure supporting data collection tools are kept up to date with Care Act requirements and other national and local need</p>	GSAB Partner Agencies	2015/18	<p><b>1x1</b> = <b>1</b> <b>Green</b></p>

## 6. STATUTORY/REGULATORY/LEGAL

SAB Priority	The Risk	Consequence/impact	Current RAG LxC	Mitigating actions	Risk owner	Timeframe	Target score
6.1	Failure to meet statutory requirements in relation to the Care Act 2014 and compliance with the MCA and Deprivation of Liberty Safeguards (DoLS) & Supreme Court Judgement March 2014	Delay in the vulnerable adult receiving an appropriate and timely service (Government intervention/challenge)	2x4 = 8 Amber	<p>SAB established – Independent Chair employed</p> <p>DOH provided a ‘one off’ payment in 2015/16 to assist with the resource to meet the Deprivation of Liberty Safeguards demand. GCC identified £400K extra for 2016/17</p> <p>DoLS Supervisory Body oversight ADASS Guidance followed re prioritisation and identification of what would be ‘technical’ breach as opposed to ‘substantive’ breach</p> <p>Law Commission consultation &amp; recommendations– awaiting further guidance.</p>	GCC	2015/18	1x1 = 1 Green