

Aberdeenshire Adult Protection Committee Risk Register

V2 - 15/09/2020

A Risk Register is a mechanism for describing how you plan to organise the management of risk within a system. This is the risk register for the Aberdeenshire Adult Protection Committee (AAPC)

The purpose of the risk register is to record the details of all risks relevant to adult protection that have been identified along with their analysis and plans for how those risks will be mitigated.

Responsibility for designing, refreshing and monitoring this risk register rests with the AAPC on behalf of the Aberdeenshire Public Protection Executive Group. As part of the monitoring discipline, the AAPC will consider emerging risks as well as established risks recorded on the register and identify the actions that should be taken to respond to the risk. Any action identified through the development and review of the risk register will be added to the Aberdeenshire Adult Protection Committee Action Plan.

In January 2020, the AAPC undertook a Self-Evaluation (Appendix 1). Most risks noted on this document have been identified through the self-assessment.

Level of Risk	Risk Tolerance
Low	Acceptable level of risk. No additional controls are required but any existing risk controls or contingency plans should be documented.
Medium	Acceptable level of risk exposure subject to regular active monitoring measures by Risk Owners. Where appropriate further action shall be taken to reduce the risk, but the cost of control will probably be modest. Risk owners shall document that the risk controls or contingency plans are effective. APC will periodically seek assurance that these continue to be effective.
High	Further action should be taken to mitigate / reduce / control the risk, possibly urgently and possibly requiring significant resources. Risk owners must document that the risk controls or contingency plans are effective. APC will periodically seek assurance that these continue to be effective and confirm that it is not reasonably practicable to do more.
Very High	Unacceptable level of risk exposure that requires immediate corrective action to be taken. APC should be informed explicitly by the relevant Risk Owners. The APC will seek assurance that risks of this level are being effectively managed.

Risk Index

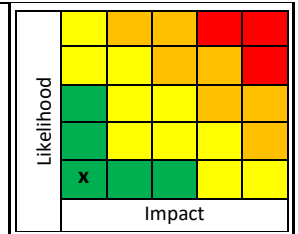
Code	Risk	Risk Rating
ASP01	Risk that the voice of adults at risk of harm their families and carers are not clearly evidenced in the adult protection systems and their rights to be heard are not being respected.	Medium
ASP02	Risk that not all key stakeholders, that should be involved in ASP activities, are involved and engaged with the Committee.	Low
ASP03	Risk that the multi-agency collection, sharing, analysis and use of data is not enabling operational and strategic decision making	Medium
ASP04	Risk the APC members do not have the understanding or capacity to fulfil their role.	Medium
ASP05	Risk that the Committee does not effectively consider the impact of Covid-19 on ASP activity as we move through the recovery phase.	Low

Code & Definition ASP01	APC 09/07/20	Risk that the voice of adults at risk of harm their families and carers are not clearly evidenced in the adult protection systems and their rights to be heard are not being respected.		
Potential Impact	Possible Causes	Control Effectiveness		Current Risk Assessment
		Control	Control Assessment	
<p>The outcomes for adult at risk in Aberdeenshire are unknown.</p> <p>ASP activity is not inclusive, and person centred.</p> <p>Practice is not influenced by the experience of adults at risk, their families, and carers.</p> <p>Adults, their families, and carers are reluctant to engage with professionals and lack confidence on the ASP process.</p>	<p>Effective mechanisms are not in place to engage with adults, families and carers subject to adult protection processes, in order to understand their needs and experiences. (SA05)</p>	<p>Adults and their carers views are listen to by skilled and informed multi-agency professionals throughout their ASP Journey.</p>	<p>Ongoing, effective</p>	
		<p>Feedback survey using outcomes methodology is available and adults and carers are encouraged to give feedback following their attendance at APCC.</p>	<p>Ongoing, partially effective</p>	
	<p>Feedback from adults, families, and carers subject to adult protection processes are not used to inform our strategic outcomes, adult protection activities. (SA06)</p>	<p>Leaflets communicating the ASP process are available.</p>	<p>Ongoing, effectiveness unknown</p>	
		<p>The Grampian Policy encourages service user, family and carer participation at every stage in the ASP process.</p>	<p>Ongoing, effective</p>	
	<p>Committee does not engage effectively with the residents of Aberdeenshire, especially families, carers, and adults, about its work. (SA 07)</p> <p>The ASP process is not communicated effectively to Adults, their families, and their carers.</p>	<p>Audit results evidence positive engagement of adults and their carers in the ASP process</p>	<p>Ongoing, effective</p>	
		<p>ANE is a consistent member of the APC.</p>	<p>Complete, effective</p>	
		<p>Consideration of Independent Advocacy is a statutory responsibility and is encouraged at different stages of the ASP process.</p>	<p>Complete, effective</p>	
		<p>NHSG Care Opinion system available, sharing of relevant information through the NHSG Adult Protection Advisor</p>	<p>Complete, partially effective</p>	
		<p>Horizon scanning of good practice taking cognisance of recommendation in national inspections.</p>	<p>Ongoing, effective</p>	
		<p>Mitigating Actions</p>	<p>Residual risk</p>	
<ul style="list-style-type: none"> ➤ Develop and utilise a system to capture informal feedback for Adults, Carers and Families through the ASP Council Officers. ➤ Review information available to Adults, Carers and Families and it use and effectiveness – leaflets and websites. ➤ Development of a communication strategy where consistent messaging for Adults, their families and carers are a priority. ➤ Engage fully with the National Strategic Forum for Adult Support & Protection regarding their priority of involving people with lived experience in development of ASP services. 				

Risk Owner	ANE – Service Manager	Risk Manager	APC Independent Convenor
Latest Note			

Code & Definition ASP02	APC 09 07 2020	Risk that not all key stakeholders, that should be involved in APC activities, are involved, and engaged with the Committee.																								
Potential Impact	Possible Causes	Control Effectiveness		Current Risk Assessment																						
		Control	Control Assessment																							
<p>Key agencies / services not represented</p> <p>Protection of Adults at Risk of Harm is not seen as everyone's responsibility.</p> <p>Inability to deliver APC priorities and corresponding impact on adults at risk of harm</p> <p>The work of the APC is not transparent and accountable</p> <p>Lost opportunities to learn from each other</p>	<p>All key public sector and third sector organisations who can contribute to achieving the Committee's agreed outcomes are not actively engaged. (SA08)</p>	<p>APC membership has good attendance and participation by key partners – AC, HSCP, PS, NHSG, SAS, SFRS, ANE.</p>	<p>Ongoing, partially effective</p>	<table border="1"> <tr> <td rowspan="4" style="writing-mode: vertical-rl; transform: rotate(180deg);">Likelihood</td> <td style="background-color: yellow;"></td> <td style="background-color: orange;"></td> <td style="background-color: red;"></td> <td style="background-color: red;"></td> </tr> <tr> <td style="background-color: yellow;"></td> <td style="background-color: orange;"></td> <td style="background-color: orange;"></td> <td style="background-color: red;"></td> </tr> <tr> <td style="background-color: green; text-align: center;">x</td> <td style="background-color: yellow;"></td> <td style="background-color: yellow;"></td> <td style="background-color: orange;"></td> </tr> <tr> <td style="background-color: green;"></td> <td style="background-color: green;"></td> <td style="background-color: yellow;"></td> <td style="background-color: yellow;"></td> </tr> <tr> <td colspan="5" style="text-align: center;">Impact</td> </tr> </table>	Likelihood									x								Impact				
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	<p>The Committee does not effectively engage with relevant national organisation e.g. OPG, MWC about its work. (SA10)</p>	<p>AVA representation at Committee – support 3rd sector involvement.</p>	<p>Ongoing, effectiveness unknown</p>																							
	<p>The Committees' agreed outcomes are not reflected in the strategic & operational plans of all its partner organisations (SA23)</p>	<p>CI representation at APC and Oversight Group</p>	<p>Ongoing, effective</p>																							
	<p>Elected members and other senior officers (EGPP, IJB) are not engaged with the leadership of the Committee to seek assurance. (SA31)</p>	<p>Links to CASWGG through Lead SW post.</p>	<p>Ongoing, partially effective</p>																							
		<p>Links to the EGPP through attendance of the IC and CSWO. EGPP receives ASP dataset, APC minutes and exception reporting of the APC Action Plan.</p>	<p>Ongoing, effective</p>																							
<p>APC - terms of reference</p>		<p>Complete, partially effective</p>																								
<p>Cross representation with linked groups VAWP, CPC.</p>		<p>Ongoing, effective</p>																								
<p>ASP practitioners involved in Community Safety Structures.</p>		<p>Ongoing, effective</p>																								
<p>Sharing/communicating the APC biennial report to key stakeholders</p>		<p>Ongoing, partially effective</p>																								
	<p>Use of ASPC group and SWS group to engage with national organisations. Regular feedback given to APC.</p>	<p>Ongoing, effective</p>																								
Mitigating Actions				Residual risk																						

- Develop clear process which evidences information sharing and actions between groups/committees. (GAPWG, IJB, EGPP)
- The development of a Communication strategy will identify key stakeholders and tools for effective communication.
- Support AVA to effectively engage with 3rd Sector organisations on the work of the APC.
- Improve links with ADP and CJ/SMS.
- Chief Executive will be invited to attend the APC on a rotational basis.
- Develop process for collating comments from relevant ASP social media posts.



Risk Owner	HSCP – Public Protection SDO	Risk Manager	APC Independent Convenor
Latest Note			

Code & Definition ASP03		APC 09 07 2020	Risk the APC members do not have the understanding or capacity to fulfil their role.																														
Potential Impact		Possible Causes	Control Effectiveness		Current Assessment	Risk																											
			Control	Control Assessment																													
<p>The ASP improvement agenda is not adequately promoted and delivered.</p> <p>Inability to deliver APC priorities and corresponding impact on adults at risk of harm</p> <p>Undermines strong local APC activities</p> <p>Insufficient management support and drive on improvement and communication of Adult Support & Protection issues.</p>		<p>All partners have not discussed and agreed their respective roles and responsibilities in relation to implementing the Committee's Action Plan. (SA18)</p> <p>Risk that all partners do not play an active role in agreeing, monitoring and taking action to achieve the Committee's outcomes. (SA21)</p> <p>Risk that not all partners effectively communicate Committee decisions within their own organisation. (SA22)</p> <p>Risk that all individuals involved in the Committee are not sufficiently empowered to significantly advance key issues within their own organisation/ networks. (SA28)</p> <p>Frequent changes in staff who attend APC and regular non-attendance lead to gaps in knowledge.</p>	<p>The development, progression and monitoring of the APC action plan is a shared responsibility of APC partnership organisations.</p> <p>Members and their deputies make ASP decisions/take actions on behalf of their organisation.</p> <p>Induction pack for new committee members. Including APC Terms of Reference.</p> <p>Members are confident in the ASP work being undertaken within their organisation. They communicate good practice and areas of development to the Committee.</p> <p>Member have the processes in place to communicate APC activity to their services/staff.</p> <p>Members are empowered/supported within their organisation to take forward the work of the APC. Members are able to share barriers with their organisation and the Committee.</p>	<p>Ongoing, effective.</p> <p>Ongoing, unknown</p> <p>Ongoing, partially effective</p> <p>Ongoing, partially effective</p> <p>Ongoing, unknown</p> <p>Ongoing, effectiveness unknown</p>	<table border="1"> <tr><td rowspan="4">Likelihood</td><td></td><td></td><td></td><td></td><td></td></tr> <tr><td></td><td></td><td></td><td></td><td></td></tr> <tr><td></td><td></td><td>x</td><td></td><td></td></tr> <tr><td></td><td></td><td></td><td></td><td></td></tr> <tr><td colspan="6">Impact</td></tr> </table>	Likelihood													x								Impact						
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Mitigating Actions					Residual risk																												
<ul style="list-style-type: none"> ➤ Training/ workshops developed to support Committee members to understand the role of the committee, wider governance and partnership structures, expectations of Committee members and encourage critical curiosity. ➤ Review APC Terms of Reference ➤ The development of a Communication strategy will clarify the role of committee members in communicating ASP matters within their own organisation. 					<table border="1"> <tr><td rowspan="4">Likelihood</td><td></td><td></td><td></td><td></td><td></td></tr> <tr><td></td><td></td><td></td><td></td><td></td></tr> <tr><td></td><td></td><td></td><td></td><td></td></tr> <tr><td></td><td>x</td><td></td><td></td><td></td></tr> <tr><td colspan="6">Impact</td></tr> </table>	Likelihood																	x				Impact						
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Risk Owner	NHSG APP Lead		Risk Manager	APC Independent Convenor																													
Latest Note																																	

Code & Definition ASP04		APC 09 07 2020	Risk that the multi-agency collection, sharing, analysis and use of data is not enabling operational and strategic decision making																													
Potential Impact		Possible Causes	Control Effectiveness		Current Risk Assessment																											
			Control	Control Assessment																												
<p>Adult Protection resources are targeted at incorrect areas of need.</p> <p>Inability to identify trends, gaps and areas of poor performance.</p> <p>Inability to forward plan and to prevent/minimise harm from occurring.</p>		<p>The Committee does not actively use performance information to facilitate constructive strategic discussion and decisions, and to make improvements where any areas of under-performance are identified. (SA20)</p>	Consistent monitoring at APC of APN data.	Ongoing, effective	<table border="1"> <tr><td rowspan="5">Likelihood</td><td>Yellow</td><td>Orange</td><td>Red</td><td>Red</td></tr> <tr><td>Yellow</td><td>Orange</td><td>Red</td><td>Red</td></tr> <tr><td>Green</td><td>Yellow</td><td>Orange</td><td>Orange</td></tr> <tr><td>Green</td><td>Yellow</td><td>Yellow</td><td>Orange</td></tr> <tr><td>Green</td><td>Green</td><td>Yellow</td><td>Yellow</td></tr> <tr><td colspan="4">Impact</td><td></td></tr> </table>	Likelihood	Yellow	Orange	Red	Red	Yellow	Orange	Red	Red	Green	Yellow	Orange	Orange	Green	Yellow	Yellow	Orange	Green	Green	Yellow	Yellow	Impact					
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		Where practice improvements are taken forward the effective use of data is considered. (evidence of need and effectiveness)	Ongoing, partially effective.																													
		ASP partners updates at APC meetings include relevant data trends.	Ongoing, partially effective.																													
		ASP partners have systems in place for collating and interrogating data.	Ongoing, effective.																													
Mitigating Actions					Residual risk																											
<ul style="list-style-type: none"> ➤ APC members receive training on how to use data effectively ➤ Agree and collate the data which will enable the Committee to look at future demand. ➤ Evidence through data analysis will be included in processes for taking forward APC actions on practice improvements. ➤ Develop APC Subgroup – Data Analysis to develop the systems for data collection and analysis, linking in with other data systems for committees. 					<table border="1"> <tr><td rowspan="5">Likelihood</td><td>Yellow</td><td>Orange</td><td>Red</td><td>Red</td></tr> <tr><td>Yellow</td><td>Orange</td><td>Red</td><td>Red</td></tr> <tr><td>Green</td><td>Yellow</td><td>Orange</td><td>Orange</td></tr> <tr><td>Green</td><td>Yellow</td><td>Yellow</td><td>Orange</td></tr> <tr><td>Green</td><td>Green</td><td>Yellow</td><td>Yellow</td></tr> <tr><td colspan="4">Impact</td><td></td></tr> </table>		Likelihood	Yellow	Orange	Red	Red	Yellow	Orange	Red	Red	Green	Yellow	Orange	Orange	Green	Yellow	Yellow	Orange	Green	Green	Yellow	Yellow	Impact				
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Risk Owner	APN Team Manager		Risk Manager		APC Independent Convenor																											
Latest Note																																

Code & Definition ASP05		APC 09 07 2020 Risk that the Committee does not effectively consider the impact of Covid-19 on ASP activity as we move through the recovery phase.			
Potential Impact	Possible Causes	Control Effectiveness		Current Risk Assessment	Risk
		Control	Control Assessment		
<p>Adults at risk of harm are not identified, assessed or supported.</p> <p>Adult Protection Statutory duties are not undertaken.</p> <p>Opportunities to learn from the crisis is not undertaken in developing systems through recovery.</p> <p>Professional relationships are not built or maintained.</p> <p>Staff do not have appropriate opportunities to learn and develop.</p>	<p>Good practice that has been established through the Covid 19 pandemic are not recognised and retained as we move through the recovery phase.</p> <p>Virtual meetings impact negatively in professional relationship being developed and maintained.</p> <p>Loss of learning through reduced ability to carry out SCR's.</p> <p>Increased demand especially reduced mental wellbeing of service users, increase scrutiny of care homes and reduce resilience of staff.</p>	Aberdeenshire APC completed review and self-assessment of Covid19 risk register.	Complete, effective		
		Chair allows ample opportunity for participation to all Committee members including opportunity to engage individually out with meeting	Ongoing, effective		
		Use of data to monitor capacity and resilience.	Ongoing, partially effective		
		Council Officer forums and some ASP training available virtually	Ongoing, effective		
		Continue to provide messaging around the impact of Covid-19 in relation to ASP.	Ongoing, effective		
Mitigating Actions				Residual risk	
<ul style="list-style-type: none"> ➤ Review terms of reference and welcome pack. ➤ Some non-virtual meeting to occur when safe to resume. ➤ Ensure data includes information about staff resilience. ➤ APN prioritisation tool to be used if required. ➤ Develop tools to enable case reviews to be undertaken virtually. ➤ Develop further online training and capacity to deliver. We will re-establish face to face training when safe to do so. 					
Risk Owner	APC Independent Convenor		Risk Manager		
Latest Note					

Appendix 1

Risk Identification Self Evaluation (Jan 2020)

Code	Risk	Scoring*
SA01	Risk that committee members are not clear about their roles and responsibilities as a member of the APC.	17%
SA02	Risk that organisations do not give enough support to their representative on the committee to enable them to fulfil their roles and responsibilities as an APC member.	0%
SA03	Risk that Aberdeenshire Council (as the lead agency) does not provides enough support to allow committee members to undertake their roles and responsibilities.	17%
SA04	Risk that the APC is not supportive to committee members to enable them to fulfil their roles and responsibilities as an APC member.	17%
SA05	Risk that the Committee does not have effective mechanisms in place to engage with adults, families and carers subject to adult protection processes, in order to understand their needs and experiences.	67%
SA06	Risk that the Committee does not use feedback from adults, families and carers subject to adult protection processes to inform its strategic outcomes, the activities it undertakes and the way these activities are delivered.	67%
ASP07	Risk that the Committee does not engages effectively with the residents of Aberdeenshire, especially families, carers and adults, about its work.	75%
ASP08	Risk that all key public sector and third sector organisations who can contribute to achieving the Committee's agreed outcomes are not actively engaged with the Committee, and key organisations are missing from the group.	67%
ASP09	Risk that the Committee are not effectively engaged with relevant linked local groups – GP Subgroup, Aberdeenshire CPC, Community Planning Partnership, ADP, VAW, etc. about its work.	8%
ASP10	Risk that the Committee does not effectively engages with relevant national organisation - OPG, MWC about its work.	60% (all don't knows)
ASP11	Risk that the Committee's Biennial Report and Action Plan do not contain clear recommendations that detail specific outcomes that the Committee is working	0%

	towards.	
ASP12	Risk that the Committee's priorities and agreed outcomes do not respond to the key issues identified through data analysis and community/ stakeholder engagement activity.	17%
ASP13	Risk that the Committee does not utilise research and case reviews to influence actions and improve outcomes for families, carers and adults at risk.	0%
ASP14	Risk that the Committee does not encourage innovation and discussion concerning the best ways to achieve its outcomes.	17%
ASP15	Risk that the Committee has not delivered improvements by working together.	0%
ASP 16	Risk that the Committee has made demonstrable progress against its own agreed Action Plan.	17%
ASP17	Risk that appropriate structures and processes are not in place to support effective decision making within the Committee.	17%
ASP18	Risk that all partners have not discussed and agreed their respective roles and responsibilities in relation to implementing the Committee's Action Plan.	41%
ASP19	Risk that all partners do not regularly attend Committee meetings, to ensure continuity as much as possible.	17%
ASP20	Risk that the Committee does not actively use performance information to facilitate constructive strategic discussion and decisions, and to make improvements where any areas of under-performance are identified.	50%
ASP21	Risk that all partners do not play an active role in agreeing, monitoring and taking action to achieve the Committee's outcomes.	41%
ASP22	Risk that not all partners effectively communicate Committee decisions within their own organisation.	67%
ASP23	Risk that the Committees' agreed outcomes are not reflected in the strategic & operational plans of all its partner organisations.	83%
ASP24	Risk that individuals involved in the Committee do not offer constructive criticism and do not regularly challenge each other and to promote a culture of continued improvement.	50%
ASP25	Risk that the Committee does not 'add value' to the individual contributions made by each partner organisation to identifying and addressing risk to adults.	17%

ASP26	Risk that the Committee does not have a clear vision for identifying and addressing risk, which all partners are fully committed to achieving	25%
ASP27	Risk that the Committee does not have strong and effective collective leadership.	25%
ASP28	Risk that all individuals involved in the Committee are not sufficiently empowered to significantly advance key issues within their own organisation/ networks.	58%
ASP30	Risk that partners do not work effectively together to achieve an agreed, shared purpose.	33%
ASP31	Risk that elected members and other senior officers (EGPP, IJB) are not engaged with the leadership of the Committee to seek assurance.	33%

* ASP01-31 Scoring taken from Self Evaluation checklist exercise Jan 20 – agreed any risk scoring more that 33% would be monitored through the 2020-2022 Risk Register and Action Plan.