

INFORMATION REPORT TO THE AUDIT COMMITTEE

8th July 2011

TITLE: HEALTH & SOCIAL CARE DIRECTORATE RISK REGISTER

Report author: Simon Merrett, on behalf of Denise Hunt Finance Business Partner ,
Health & Social Care.

1. PURPOSE:

1.1. To brief the Audit Committee on the review and update of the Health & Social Care Directorate Risk Register.

2. RECOMMENDATIONS:

2.1. To note the amendments to the register.

3. BACKGROUND:

3.1. A Directorate level risk register exists for each Directorate and these are reported on to the Audit Committee annually.

3.2. Following a comprehensive overhaul and general review of the register in February/March 2011 the risks were migrated to the automated SPAR.net system.

4. CONTENT:

4.1. There are currently thirteen key risks on the Directorate risk register (including two corporate risks on the Corporate Risk Register).

4.2. There are two new risks, and a risk has been deleted.

4.3. All risks were reviewed by the risk owners in June 2011 and the status and mitigations updated accordingly.

4.4. A copy of the SPAR.net risk register is attached at Appendix 1.

2010/11 - QUARTER 4

HEALTH & SOCIAL CARE RISK REGISTER

	<i>No.</i>	<i>Day</i>	<i>Month</i>	<i>Year</i>
VERSION	13	8th	July	2011

VERSION CONTROL HISTORY

Version No.	Reviewed By:	Review Date	Version No	Reviewed By:	Review Date
1	Audit Committee	9/6/06	8	Clr Bev Knott, Exec Member	30/9/09
2	Audit Committee	25/6/07	9	HSC Management Team	14/12/09
3	Adult Community Care Senior Management Team	15/9/08	10	HSC Management Team	23/3/10
4	Clr Derek Pickup	17/9/08	11	Audit Committee	27/9/10
5	Audit Committee	26/9/08	12	Review & migration to SPAR.net	Feb/March 2011
6	Clr Derek Pickup	21/1/09	13	Executive Briefing	June 2011
7	Audit Committee	25/9/09	13	Audit Committee	8/7/11

SIGNIFICANT CHANGES

Mitigations previously reported may no longer be contained in the body of this report if no longer relevant to controlling the risk (although remain in the SPAR.net database).

Main variations to the risk register since the previous submission to the 27th September 2010 Audit Committee (Version 11) , and to the current review status, are as follows:

Risk No.	RISK	Current Risk Ranking	VARIATION TO RISK			
			Previous Risk Ranking	Direction of travel	(inc. amended/new/deleted risk, additional mitigations/information)	
				Current Status	Previous Status	
CRR34	Health & Adult Social Care overspend	1	1	6	6	These are corporate risks
CRR25	Adult Care	2	12	4	2	
HS001	Provision of below standard services	3	3	4	4	In Feb/March 2011 all H&SC Directorate risks which were formerly administered in manual word processor format were comprehensively re-examined and transferred over to the computerised SPAR.net system.
HS002	Information and Communications Technology (I&CT) project failure	4	4	4	4	
HS003	Serious fraud	5	5	4	4	
HS004	Insufficient care to meet needs of community	6	6	4	4	
HS005	Risks identified in 2010/11 Service Delivery plans	7	7	4	4	
HS006	Interim management team with insufficient capacity	8	8	4	4	

Risk No.	RISK	Current Risk Ranking	VARIATION TO RISK			
			Previous Risk Ranking	Direction of travel		(inc. amended/new/deleted risk, additional mitigations/information)
				Current Status	Previous Status	
HS007	Serious, systematic Health & Safety failure	9	9	4	2	
HS011	HSC Transformation Programme fails to deliver objectives	10	N/A	4	NEW RISK	
HS008	Major failure of key supplier of an externally contracted service	11	10	2	2	
HS010	Inadequate response to an emergency or continuity challenge	12	N/A	2	NEW RISK	
HS009	Serious breach of confidentiality/security of personal information	13	11	2	2	
	Residential futures project does not deliver a modernised residential care service due to lack of capital investment	N/A	2	N/A	6	DELETED RISK

Health & Social Care - ALL RISKS (CRR and DRR)

Report for 2011-2012
For Health and Social Care
Not Including Child Projects records, Including Mitigation records

Key to Performance Status:

Mitigation: Well behind schedule Behind schedule On schedule Completed No Data available

Risks: Review Overdue (0+) High (6+) Medium (3+) Low (1+)

Health & Social Care - ALL RISKS (CRR and DRR)

Risk: Health and Adult Social Care overspend Failure to implement budget containment measures or do not predict growth in demand leading to budget overspend. Disruption to Authority Services as unplanned budget cuts are made elsewhere to balance budget. This would mean reputational damage, drop in CAA performance, failure to achieve VFM.						Risk Code: CRR034
Inherent Status: High (9)		Inherent Risk Severity: High		Inherent Risk Likelihood: High		
Date Identified: 01 Apr 2009				Service: Corporate Indicators (HSC)		
Mitigation records						
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date	
On schedule	Action plan prepared by HSC DLT with Cabinet endorsement	Forecast overspend of £1.9m for 11/12. Transformation Programme developing Action Plan to deliver 11/12 savings and achieve a balanced budget.	Alison Comley	01/04/2009	23/06/2011	
Behind schedule	Additional resources examining demand model	Demand model updated for Older People but further service modelling is required for other service areas. Transformation Programme is developing demand modelling to predict future needs, demographic changes in order to inform MTFP and commissioning strategies.	Netta Meadows	01/04/2009	23/06/2011	
On schedule	Create and use of reserves and provisions consistent with accounting standards		Alison Comley	22/03/2011	23/06/2011	
Completed	Identify sources of additional funding		Gillian Vickers	22/03/2011	23/06/2011	
On schedule	Maintain financial controls and governance arrangements	Report to budget holders and agree actions to respond to forecast overspends and underspends.	Denise Hunt	22/03/2011	23/06/2011	
On schedule	Regular monthly monitoring	Monitor in year budget v actual, income and expenditure together with identification of corrective action.	Peter Robinson	01/04/2009	23/06/2011	
On schedule	Report to line management	Executive and other elected members as necessary on the financial position.	Denise Hunt	22/03/2011	23/06/2011	
Completed	Set realistic budgets within known resources		Alison Comley	22/03/2011	23/06/2011	
Current Status: High (6)		Previous Status: Low (2)		Current Risk Severity: Medium		Current Risk Likelihood: High
Risk Champion: Denise Hunt				Risk Owner: Alison Comley		
Review Note:						

Health & Social Care - ALL RISKS (CRR and DRR)

Risk: Adult Care An adult older or vulnerable person suffers avoidable death, serious injury or abuse whilst under the care of the council.					Risk Code: CRR025	
Inherent Status: High (6)		Inherent Risk Severity: High		Inherent Risk Likelihood: Medium		
Date Identified: 01 Apr 2009				Service: Corporate Indicators (HSC)		
Mitigation records						
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date	
On schedule	Adherence to H&S requirements, risk assessments with adequate mitigations for risk in place, staff	Recent sampling by DLT of safeguarding cases has highlighted good practice and recommendations to practitioners regarding further improvements and higher standards.	Netta Meadows	01/04/2009	23/06/2011	
On schedule	Adherence to professional standards, supervision, pmds.	Safeguarding adults board and joint working with partner agencies – Police, probation, NHS, shared protocols / joint working. All safeguarding concerns are carefully followed up and reported to CQC. DLT have agreed to recruitment of two senior practitioners to strengthen Service - July 2011.	Netta Meadows	01/04/2009	23/06/2011	
On schedule	Ceasing admissions to care homes where concerns have been reported.	Recent monitoring “inspections” by Commissioning staff have assisted in raising the standards with Care Homes. The majority of in-house services are now rated good, with a small number “adequate”.	Netta Meadows	01/04/2009	23/06/2011	
On schedule	Compliance with care management policies / procedures.	Team manager authorisation and review of care plans and regular case sampling by Senior Management Team. (Approval by Panel process)	Netta Meadows	01/04/2009	23/06/2011	
On schedule	Lessons learnt report on serious incidents (national and local e.g. Cornwall enquiry) and complaints	Lessons Learnt from recent safeguarding complaints have been shared with practitioners and assisted in improving practice. All new staff are CRB checked and robust risk assessments in place whilst	Netta Meadows	01/04/2009	23/06/2011	
On schedule	Regular inspection and regulatory processes undertaken by CQC	All regulated services managed by the City Council are re-inspected by CQC on an annual basis. There are 23 services which include Residential, Home Care and Intermediate Care.	Gillian Vickers	01/04/2009	23/06/2011	
On schedule	Safe recruitment processes / CRB checks for staff working with vulnerable adults.	Staff employed by the Council are all CRB and POVA checked prior to commencement of employment. Care staff are NVQ assessed to at least level 2 standards, are regularly supervised and receive an annua	Netta Meadows	01/04/2009	23/06/2011	
On schedule	We regularly monitor all services against a structured quality monitoring framework	This involves an annual visit to providers irrespective of their rating. This allows for essential scrutiny of services and gives an additional opportunity to talk to staff and users regarding the service	Gillian Vickers	01/04/2009	23/06/2011	
Current Status: Medium (4)		Previous Status: Medium (4)		Current Risk Severity: Medium		Current Risk Likelihood: Medium
Risk Champion: Denise Hunt				Risk Owner: Alison Comley		
Review Note:						

Health & Social Care - ALL RISKS (CRR and DRR)

Risk: Provision of below standard services Provision of below standard services in service area covered by "star ratings" and inspection carried out by Care Quality Commission (CQC). Budget pressures resulting in inability to make placements in zero-rated homes, creating voids and potential for homes to become financially unviable.					Risk Code: DRR - HS001
Inherent Status: High (6)		Inherent Risk Severity: High	Inherent Risk Likelihood: Medium		
Date Identified: 31 Dec 2010		Service: Corporate Indicators (HSC)			
Mitigation records					
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date
On schedule	Follow up remedial action in relation to poor performance areas.		Netta Meadows	31/12/2010	23/06/2011
On schedule	Identify of areas of potential poor performance through ongoing service monitoring.		Netta Meadows	31/12/2010	23/06/2011
On schedule	Involvement of Continuous Service Improvement Plan	To drive faster improvement in care management processes.	Gillian Vickers	31/12/2010	23/06/2011
On schedule	Monitor casework practice and other areas known to be on CQC inspection agenda.	Appropriate response to CQC inspection recommendations.	Gillian Vickers	31/12/2010	23/06/2011
Current Status: Medium (4)		Previous Status: Medium (4)	Current Risk Severity: Medium		Current Risk Likelihood: Medium
Risk Champion: Denise Hunt			Risk Owner: Alison Comley		
Review Note:					

Risk: Major Information & Communications Technology (I&CT) project failure Major Information & Communications Technology (I&CT) project failure or non-delivery – EMS Project					Risk Code: DRR - HS002
Inherent Status: High (6)		Inherent Risk Severity: High	Inherent Risk Likelihood: Medium		
Date Identified: 31 Dec 2010		Service: Corporate Indicators (HSC)			
Mitigation records					
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date
On schedule	Provide adequate resources		Alison Comley	31/12/2010	23/06/2011
On schedule	Regularly monitor project progress		Gillian Vickers	31/12/2010	23/06/2011
Completed	Set up Project Board and hierarchy in line with Council approved practice		Alison Comley	31/12/2010	23/06/2011
Current Status: Medium (4)		Previous Status: Medium (4)	Current Risk Severity: Medium		Current Risk Likelihood: Medium
Risk Champion: Denise Hunt			Risk Owner: Alison Comley		
Review Note:					

Health & Social Care - ALL RISKS (CRR and DRR)

Risk: Serious Fraud Risk of Serious Fraud. Financial loss; adverse publicity; loss of reputation and public confidence					Risk Code: DRR - HS003	
Inherent Status: High (6)		Inherent Risk Severity: High		Inherent Risk Likelihood: Medium		
Date Identified: 31 Dec 2010				Service: Corporate Indicators (HSC)		
Mitigation records						
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date	
Behind schedule	Complete Fraud Assessment Workbook	All identified third tier managers to arrange completion of workbook. Behind schedule, reminder to be sent June 2011.	Gillian Vickers	31/12/2010	21/06/2011	
On schedule	Maintain controls, inspection, audit, budgeting and delegated limits.		Denise Hunt	31/12/2010	21/06/2011	
Behind schedule	Raise fraud awareness in managers	All 1 - 4th tier managers to complete E-Training Fraud Awareness for Managers. Behind schedule, reminder to be sent June 2011.	Denise Hunt	31/12/2010	21/06/2011	
On schedule	Regular internal audits as per agreed audit plan.		Denise Hunt	31/12/2010	21/06/2011	
Current Status: Medium (4)		Previous Status: Medium (4)		Current Risk Severity: Medium		Current Risk Likelihood: Medium
Risk Champion: Denise Hunt				Risk Owner: Alison Comley		
Review Note:						

Risk: Insufficient care to meet needs of community e.g. lack of choice and availability of personalised care, home care, care home placements.					Risk Code: DRR - HS004	
Inherent Status: High (6)		Inherent Risk Severity: High		Inherent Risk Likelihood: Medium		
Date Identified: 31 Dec 2010				Service: Corporate Indicators (HSC)		
Mitigation records						
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date	
On schedule	Maintain market knowledge and awareness of available placements and fair pricing.		Netta Meadows	31/12/2010	23/06/2011	
Completed	Publish purchasing intentions and commissioning strategies	Publish purchasing intentions and commissioning strategies to signal to market and in house services the capacity required.	Netta Meadows	31/12/2010	23/06/2011	
On schedule	Support of in-house service through maintenance of staffing levels and reduction in sickness levels	SART Project	Gillian Vickers	31/12/2010	23/06/2011	
On schedule	Transformation Programme	Develop demand modelling to predict future needs, demographic changes in order to inform MTFP and commissioning strategies.	Netta Meadows	31/12/2010	23/06/2011	
Current Status: Medium (4)		Previous Status: Medium (4)		Current Risk Severity: Medium		Current Risk Likelihood: Medium
Risk Champion: Denise Hunt				Risk Owner: Alison Comley		
Review Note:						

Health & Social Care - ALL RISKS (CRR and DRR)

Risk: Risks identified in 2010/11 Service Delivery Plans Risks identified in 2010/11 Service Delivery Plans					Risk Code: DRR - HS005	
Inherent Status: High (6)		Inherent Risk Severity: High		Inherent Risk Likelihood: Medium		
Date Identified: 31 Dec 2010				Service: Corporate Indicators (HSC)		
Mitigation records						
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date	
On schedule	Partnership working with organisations eg Health during organisational change		Alison Comley	31/12/2010	23/06/2011	
On schedule	Present robust evidence based reasons	Present robust evidence based reasons, backed by national policy drivers to members to ensure difficult decisions are made	Alison Comley	31/12/2010	23/06/2011	
On schedule	Review current national policy drivers and adjust to meet current needs		Alison Comley	31/12/2010	23/06/2011	
Current Status: Medium (4)		Previous Status: Medium (4)		Current Risk Severity: Medium		Current Risk Likelihood: Medium
Risk Champion: Denise Hunt				Risk Owner: Alison Comley		
Review Note:						

Risk: Interim management team with insufficient capacity. Service disruption as a result of the creation of the new Children, Adults and Families Directorate. Departmental restructuring leads to skills gaps, which causes a drop in performance and failure to implement MTFP savings.					Risk Code: DRR - HS006	
Inherent Status: High (6)		Inherent Risk Severity: High		Inherent Risk Likelihood: Medium		
Date Identified: 31 Dec 2010				Service: Corporate Indicators (HSC)		
Mitigation records						
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date	
On schedule	Put in place action plan to achieve savings	Put in place action plan to achieve savings, reporting to DLT on progress, interim additional management capacity introduced to support the implementation of the action plan	Alison Comley	31/12/2010	23/06/2011	
On schedule	Put in place action plans	Put in place action plans to improve performance as needed and reported at DLT performance focus meetings	Gillian Vickers	31/12/2010	23/06/2011	
On schedule	Recruitment to vacant posts actively progressed to minimise service disruption	Recruitment to be completed by July 2011.	Alison Comley	31/12/2010	23/06/2011	
On schedule	Set up Project Board and hierarchy in line with Council approved practice		Alison Comley	31/12/2010	23/06/2011	
Current Status: Medium (4)		Previous Status: Medium (4)		Current Risk Severity: Medium		Current Risk Likelihood: Medium
Risk Champion: Denise Hunt				Risk Owner: Alison Comley		
Review Note:						

Health & Social Care - ALL RISKS (CRR and DRR)

Risk: Serious, systemic Health and Safety failure Serious, systemic Health and Safety failure, leading to prosecution, serious injury or death of member of staff, service user or member of publicCivil or criminal prosecution by HSE, or Improvement Notice. Financial losses if found guilty in prosecution. Reputation losses of health and safety failures.High cost of corrective action to ensure failures do not recur.					Risk Code: DRR - HS007	
Inherent Status: High (9)		Inherent Risk Severity: High		Inherent Risk Likelihood: High		
Date Identified: 31 Dec 2010				Service: Corporate Indicators (HSC)		
Mitigation records						
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date	
On schedule	Audit of H&S compliance by corporate H&S Advisors		Netta Meadows	31/12/2010	21/06/2011	
Completed	Full implementation of H&S Annual Action Plan 2010/11		Netta Meadows	31/12/2010	21/06/2011	
On schedule	Full implementation of H&S Annual Action Plan 2011/12		Netta Meadows	21/06/2011	21/06/2011	
On schedule	Identify management role to lead on H&S issues within HSC		Alison Comley	31/12/2010	21/06/2011	
On schedule	Implement Corporate H&S Management System (CHASMS)		Netta Meadows	31/03/2010	21/06/2011	
On schedule	Review H&S Action Plan quarterly		Netta Meadows	31/12/2010	21/06/2011	
Current Status: Medium (4)		Previous Status: Medium (4)		Current Risk Severity: Medium		Current Risk Likelihood: Medium
Risk Champion: Denise Hunt				Risk Owner: Alison Comley		
Review Note:						

Risk: HSC Transformation Programme fails to deliver objectives HSC Transformation Programme fails to deliver objectives.					Risk Code: DRR - HS011	
Inherent Status: High (6)		Inherent Risk Severity: High		Inherent Risk Likelihood: Medium		
Date Identified: 31 Dec 2010				Service: Corporate Indicators (HSC)		
Mitigation records						
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date	
Completed	Appoint two Programme Managers to lead projects.	Appoint two Programme Managers to lead projects.	Alison Comley	31/12/2010	23/06/2011	
On schedule	Monitor projects within the Programme and progress reports	Business Case in development. Completion due by end of July 2011.	Netta Meadows	31/12/2010	23/06/2011	
Current Status: Medium (4)		Previous Status: Medium (4)		Current Risk Severity: Medium		Current Risk Likelihood: Medium
Risk Champion: Denise Hunt				Risk Owner: Alison Comley		
Review Note:						

Health & Social Care - ALL RISKS (CRR and DRR)

Risk: Major failure of key supplier of an externally contracted service. Major failure of key supplier of an externally contracted service.					Risk Code: DRR - HS008	
Inherent Status: High (6)		Inherent Risk Severity: High		Inherent Risk Likelihood: Medium		
Date Identified: 31 Dec 2010				Service: Corporate Indicators (HSC)		
Mitigation records						
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date	
On schedule	Ongoing regular and effective contract monitoring		Netta Meadows	31/12/2010	23/06/2011	
On schedule	Plan compliance monitoring		Netta Meadows	22/03/2011	23/06/2011	
Current Status: Low (2)		Previous Status: Low (2)		Current Risk Severity: Medium		Current Risk Likelihood: Low
Risk Champion: Denise Hunt				Risk Owner: Alison Comley		
Review Note:						

Risk: Inadequate response to an emergency or continuity challenge. Inadequate response to an emergency or continuity challenge leading to unacceptable disruptions to the delivery of critical services					Risk Code: DRR - HS010	
Inherent Status: High (6)		Inherent Risk Severity: High		Inherent Risk Likelihood: Medium		
Date Identified: 31 Dec 2010				Service: Corporate Indicators (HSC)		
Mitigation records						
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date	
On schedule	Attend mandatory business continuity training		Netta Meadows	31/12/2010	21/06/2011	
On schedule	Identify Directorate and Critical Services	Identify Directorate and Critical Services, risk assessment and continuity plans reviewed and exercised regularly.	Netta Meadows	31/12/2010	21/06/2011	
Completed	Identify senior management role to lead on Business Continuity		Alison Comley	22/03/2011	21/06/2011	
On schedule	Regular Audits by internal audit		Netta Meadows	22/03/2011	21/06/2011	
Current Status: Low (2)		Previous Status: Low (2)		Current Risk Severity: Medium		Current Risk Likelihood: Low
Risk Champion: Denise Hunt				Risk Owner: Alison Comley		
Review Note:						

Risk: Serious breach of confidentiality/security of personal information. personal privacy infringement; financial loss					Risk Code: DRR - HS009	
Inherent Status: High (6)		Inherent Risk Severity: High		Inherent Risk Likelihood: Medium		
Date Identified: 31 Dec 2010				Service: Corporate Indicators (HSC)		
Mitigation records						
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date	
On schedule	Monitor compliance with established guidance.	All staff to complete e-learning Information Security module.	Netta Meadows	31/12/2010	23/06/2011	
On schedule	Nominate officer within the department to co-ordinate management of Information Security issues.	Member of Information Assurance Board.	Netta Meadows	22/03/2011	23/06/2011	
Current Status: Low (2)		Previous Status: Low (2)		Current Risk Severity: Low		Current Risk Likelihood: Medium
Risk Champion: Denise Hunt				Risk Owner: Alison Comley		
Review Note:						