

**BRISTOL CITY COUNCIL
Audit Committee
29th September 2012**

Report of: Interim Strategic Director Health & Social Care

Report Title: Departmental Risk Register (DRR)

Ward: Citywide

Officer presenting report: Simon Merrett, Finance Manager Health & Social Care.

Contact Telephone Number: 0117 35 21121

RECOMMENDATION

The Audit Committee review, and comment upon the Departmental Risk Register (DRR) to ensure that the register properly reflects Members current opinion.

SUMMARY

This report covers the first review in 2012/13 of the DRR, which is attached at Appendix A.

The significant issues in the report are:

The detailed content changes and variations to the risks since the previous quarter last reported are tabulated in the header to the DRR at Appendix A, and summarised in para. 2 below.

1. Policy

The annual review of the DRR at the Audit Committee is a stated aim of the Risk Management Policy. Historically, it has been presented as an information item, however, it was recently agreed by the Audit Committee for reports to be presented as a main agenda item.

Consultation:

Internal: Officers from all Directorates, including risk owners, mitigation owners, risk champions and Strategic Directors were consulted.

External: None necessary

2. Principal amendments

2.1 Since previously reported at the 2011/12 final quarter review, the principal amendments are as follows:

- *CRR025 Adult Care, . A person in the care of the Council suffers avoidable death, injury or abuse - implementation of the corporate Health & Safety management system (CHASMS) by all managers and Safeguarding training provided to Service Providers staff.*
- *DRR-HS001 Provision of below standard services - delivering the care management review.*
- *DRR-HS004 - Insufficient care to meet needs of community - development of the Target Operating Model to drive service improvement and increased efficiency.*
- *DRR-HS007 - Serious systemic Health & Safety failure - action plan to be signed off and presented to H & S Consultation Committee.100% completion of CHASMS actions in 2011/12.*
- *DRR-HS011 - HSC Transformation Programme fails to deliver objectives - recruitment of project managers completed. Corporate resources finalised with Portfolio Management Group.*
- *DRR-HS002 - Major IC&T project failure - replacement of Paris social care system initialised. EMS implementation now complete.*
- *DRR-HS003 - Risk of Serious Fraud - fraud training complete.*
- *DRR-HS006 - Interim Management Team - risk deleted as permanent management team now in place.*
- *DRR-HS010 - Inadequate response to an emergency - all plans quality assured by corporate H&S.*
- *DRR-HS008 - Failure of Key Supplier - working with corporate procurement on managing business relationships.*
- *DRR-HS009 - Breach of confidentiality - all staff completing e-learning information security module.*
- *DRR-HS034 - Health & Social Care overspend - action plan to deliver MTFP savings in place along with transformation programme.*

3. Risk Assessment

- 3.1 There are no risks arising directly from this report, although clearly the risk management process minimises the risk of failures in the Council's service provision, and supports the internal control environment and governance arrangements. The risk management process provides for Member involvement in ensuring that risks facing the Council are properly addressed and managed.

4. Equalities Impact Assessment

- 4.1 None necessary for this report

5. Legal and Resource Implications

5.1 **Legal** - N/A

5.2 **Resource** - N/A

Appendices

Appendix A - Quarter 1 2012/13 Departmental Risk Register

LOCAL GOVERNMENT ACCESS TO INFORMATION

Background Papers Relevant background details held on SPAR.net

2012/13 - QUARTER 1

HEALTH & SOCIAL CARE RISK REGISTER

	No.	Day	Month	Year
VERSION	17	28th	Sept	2012

VERSION CONTROL HISTORY					
Version No.	Reviewed By:	Review Date	Version No	Reviewed By:	Review Date
7	Audit Committee	25/9/09	13	HSC Management Team	7/9/11
8	Clr Bev Knott, Exec Member	30/9/09	14	HSC Management Team	14/1/12
9	HSC Management Team	14/12/09	15	HSC Management Team	10/4/12
10	HSC Management Team	23/3/10	16	HSC Management Team	9/8/12
11	Audit Committee	27/9/10	17	Audit Committee	28/9/12
12	Audit Committee	10/6/11	18		

SIGNIFICANT CHANGES

Mitigations reported are no longer contained in the body of this report but on the SPAR.net database with all current and deleted information.

Main variations to the risk register since the previous submission to the 30th March 2012 HSC Management Team (Version 15) , and to the current review status, are as follows:

Risk No.	RISK	Current Risk Ranking	VARIATION TO RISK		
			Previous Risk Ranking	Direction of travel Current Status Previous Status	(inc. amended/new/deleted risk, additional mitigations/information)
CRR25	Adult Care	1		4 4	This is a corporate risk.
HS034	Health & Adult Care Social overspend	2		4 1	
HS001	Provision of below standard services	3		4 4	
HS002	Information and Communications Technology (I&CT) project failure	4		4 2	
HS007	Serious, systematic Health & Safety failure	5		4 4	
HS011	HSC Transformation Programme fails to deliver	6		4 4	
HS003	Serious fraud	7		2 2	
HS006	Interim management team with insufficient capacity			N/A 2	Deleted Risk
HS004	Insufficient care to meet needs of the community	8		2 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	
HS010	Inadequate response to an emergency or continuity challenge	9		2	2	
HS008	Major failure of key supplier of an externally contracted service	11		2	2	
HS009	Serious breach of confidentiality/security of personal information	12		2	2	

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

Report for 2012-2013
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: 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.	Completion of corporate H&S management system (CHASMS) by all managers and reviewed.	Netta Meadows	01/04/2009	29/06/2012
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 where appropriate. Additional resources allocated to safeguarding service in order to ensure appropriate response times. Service provider staff undertake training and development	Mike Hennessey	01/04/2009	29/06/2012
On schedule	Ceasing admissions to care homes where concerns have been reported.	Ongoing monitoring visits by quality assurance officers have assisted in raising the standards with Care Homes. Currently reviewing the quality assurance framework.	Netta Meadows	01/04/2009	29/06/2012
On schedule	Compliance with care management policies / procedures.	Team manager authorisation and review of care plans and regular case sampling by Senior Manager.	Mike Hennessey	01/04/2009	29/06/2012
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 reviewed by planning boards. This has assisted in improving practice. All new staff are CRB checked and robust risk assessments in place whilst waiting for CRB clearance.	Mike Hennessey	01/04/2009	29/06/2012
On schedule	Regular inspection and regulatory processes undertaken by CQC	All regulated services managed by the City Council are quality monitored by CQC.	Vareta Bryan	01/04/2009	29/06/2012
On schedule	Safe recruitment processes / CRB checks for staff working with vulnerable adults.	Staff employed by the Council are all CRB checked prior to commencement of employment. Care staff are QCF trained to appropriate standards and regularly supervised. They also receive an annual PMDS.	Vareta Bryan	01/04/2009	29/06/2012
On schedule	We regularly monitor all services against a structured quality monitoring framework	Providers are quality monitored in a proactive way to ensure high standards of care. This allows for essential scrutiny of services and gives an additional opportunity to talk to staff and users regarding the service. The Quality Assurance Framework is being currently reviewed and updated in 2012/13.	Netta Meadows	01/04/2009	29/06/2012
Current Status: Medium (4)		Previous Status: Medium (4)	Current Risk Severity: Medium		Current Risk Likelihood: Medium
Risk Champion: Simon Merrett			Risk Owner: Alison Comley		
Review Note:					

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: DRR - HS034
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	Action plan to deliver MTFP savings agreed by Cabinet in July.	Alison Comley	01/04/2011	29/06/2012
On schedule	Additional resources examining demand model	Transformation Programme is continuing to develop demand modelling to predict future needs and demographic changes in order to inform the MTFP and commissioning strategies. This development is ongoing.	Netta Meadows	01/04/2009	29/06/2012
On schedule	Create and use of reserves and provisions consistent with accounting standards		Alison Comley	22/03/2011	29/06/2012
On schedule	Identify sources of additional funding	Collaboration with external funders e.g. PCT, DoH.	Alison Comley	22/03/2011	29/06/2012
On schedule	Maintain financial controls and governance arrangements	Report to budget holders and agree actions to respond to forecast overspends and underspends.	Alison Comley	22/03/2011	29/06/2012
On schedule	Regular monthly monitoring	Monitor in year budget v forecast, income and expenditure together with identification of corrective action.	Peter Robinson	01/04/2009	29/06/2012
On schedule	Report to line management	Executive and other elected members as necessary on the financial position.	Alison Comley	22/03/2011	29/06/2012
Current Status: Medium (4)		Previous Status: Low (1)	Current Risk Severity: Medium	Current Risk Likelihood: Medium	
Risk Champion: Simon Merrett			Risk Owner: Alison Comley		
Review Note:					

Risk: Provision of below standard services Provision of below standard services in regulated service area and inspection carried out by Care Quality Commission (CQC). Budget pressures resulting in inability to make placements in homes where concerns have been raised by CQC, 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.	As part of all quality monitoring issues of concern are raised with providers and addressed in a timely fashion.	Netta Meadows	31/12/2010	29/06/2012
On schedule	Identify of areas of potential poor performance through ongoing service monitoring.	Quality assurance undertaken as part of quality monitoring framework.	Netta Meadows	31/12/2010	29/06/2012
On schedule	Involvement of Continuous Service Improvement Plan	To deliver the care management review.	Mike Hennessey	31/12/2010	29/06/2012
On schedule	Monitor casework practice and other areas known to be on CQC inspection agenda.	Appropriate response to CQC inspection recommendations.	Netta Meadows	31/12/2010	29/06/2012
Current Status: Medium (4)		Previous Status: Medium (4)	Current Risk Severity: Medium	Current Risk Likelihood: Medium	
Risk Champion: Simon Merrett			Risk Owner: Alison Comley		
Review Note:					

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

Risk: Major Information & Communications Technology (I&CT) project failure Major Information & Communications Technology (I&CT) project failure or non-delivery.					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
Completed	Provide adequate resources		Alison Comley	31/12/2010	29/06/2012
Completed	Regularly monitor project progress	Monitoring of results from EMS to continue. Implementation now complete, monitoring ongoing.	Netta Meadows	31/12/2010	29/06/2012
On schedule	Replacement of Paris social care system and ancilliary finance systems.	Project at initial stage.	Mike Hennessey	29/06/2012	29/06/2012
Current Status: Medium (4)		Previous Status: Low (2)		Current Risk Severity: Medium	
Risk Champion: Simon Merrett			Risk Owner: Alison Comley		
Review Note:					

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	8 out of 10 H&S audits completed in 2011/12. 10 programmed for 2012/13.	Netta Meadows	31/12/2010	29/06/2012
Completed	Full implementation of H&S Annual Action Plan 2011/12		Netta Meadows	31/12/2010	29/06/2012
On schedule	Full implementation of H&S Annual Action Plan 2012/13	Action plan to be signed off and presented at Corporate Employee H&S Consultation Committee.	Netta Meadows	21/06/2011	29/06/2012
Completed	Identify management role to lead on H&S issues within HSC		Alison Comley	31/12/2010	29/06/2012
Completed	Implement Corporate H&S Management System (CHASMS)		Netta Meadows	31/03/2010	29/06/2012
On schedule	Review CHASMS and Health & Safety action plan.	Target is to maintain 100% completion of CHASMS rate for 2011/12 in 2012/13.	Netta Meadows	31/12/2010	29/06/2012
Current Status: Medium (4)		Previous Status: Medium (4)		Current Risk Severity: Medium	
Risk Champion: Simon Merrett			Risk Owner: Alison Comley		
Review Note:					

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

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	Adequate capability of the organisation to deliver the programme.	Recruitment and retention of skilled and competent Operational and Project Managers.	Alison Comley	25/03/2011	29/06/2012	
Completed	Appoint Programme Managers to lead projects.	Appoint Programme Manager to lead programme.	Alison Comley	31/12/2010	29/06/2012	
Completed	Corporate resources are available to deliver Business Case.	Work with business partners and Portfolio Management Group to identify resource needs.	Alison Comley	25/03/2011	29/06/2012	
On schedule	Culture of organisation is not resistant to change.	Address any resistance through clarity of vision and strategy informed by evidence. Workforce development programme to incorporate culture change initiatives and strong communication of changes needed. Introduction of Bristol Management Development Programme.	Alison Comley	25/03/2011	29/06/2012	
On schedule	Development of Target Operating Model	Target Operating model to drive service improvement and increase efficiency. Review of the provision of Day and Residential services and action plan agreed by Cabinet. To ensure that all care packages are equitable and represent value for money.	Denise Hunt	09/08/2012		
Completed	Monitor projects within the Programme and progress reports	Programme Board in place with monthly reporting to Portfolio Management Group.	Denise Hunt	31/12/2010	29/06/2012	
Current Status: Medium (4)		Previous Status: Medium (4)		Current Risk Severity: Medium		Current Risk Likelihood: Medium
Risk Champion: Simon Merrett				Risk Owner: Alison Comley		
Review Note:						

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	
On schedule	Complete Fraud Assessment Workbook	All identified third tier managers to arrange completion of workbook. Behind schedule, reminders sent to individuals.	Alison Comley	31/12/2010	29/06/2012	
On schedule	Maintain controls, inspection, audit, budgeting and delegated limits.		Rob Murphy	31/12/2010	29/06/2012	
Completed	Raise fraud awareness in managers	All 1 - 4th tier managers to complete E-Training Fraud Awareness for Managers. Majority now completed. Priority now for staff to complete Risk Management training	Alison Comley	31/12/2010	29/06/2012	
On schedule	Regular internal audits as per agreed audit plan.		Rob Murphy	31/12/2010	29/06/2012	
Current Status: Low (2)		Previous Status: Low (2)		Current Risk Severity: Medium		Current Risk Likelihood: Low
Risk Champion: Simon Merrett				Risk Owner: Alison Comley		
Review Note:						

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

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.	Use of the Enabling Commissioning Framework to ensure that all commissioning is needs led and demand is appropriately analysed.	Netta Meadows	31/12/2010	29/06/2012	
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	29/06/2012	
On schedule	Support of in-house service through maintenance of staffing levels and reduction in sickness levels	SART Project	Vareta Bryan	31/12/2010	29/06/2012	
On schedule	Transformation Programme	Develop demand modelling to predict future needs, demographic changes in order to inform MTFP and commissioning strategies. Development of Target Operating Model to drive service improvement and increase efficiency.	Alison Comley	31/12/2010	29/06/2012	
Current Status: Low (2)		Previous Status: Medium (4)		Current Risk Severity: Medium		Current Risk Likelihood: Low
Risk Champion: Simon Merrett				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. To be included in Critical Service Managers PMDS.	To assist managers in the completion of their continuity plans. All plans quality assured by corporate H&S.	Netta Meadows	31/12/2010	29/06/2012	
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	29/06/2012	
Completed	Identify senior management role to lead on Business Continuity	Appointed Service Director, Strategic Planning & Commissioning.	Alison Comley	22/03/2011	29/06/2012	
On schedule	Regular Audits by internal audit		Netta Meadows	22/03/2011	29/06/2012	
Current Status: Low (2)		Previous Status: Low (2)		Current Risk Severity: Medium		Current Risk Likelihood: Low
Risk Champion: Simon Merrett				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 market management and communication with providers.	Regular communication events held with market providers as part of the development of the Target Operating Model.		Netta Meadows	22/03/2011	29/06/2012
On schedule	Ongoing regular and effective contract monitoring	New model of working with corporate procurement now in place. Corporate procurement undertaking business relationship management meetings.		Netta Meadows	31/12/2010	29/06/2012
Current Status: Low (2)		Previous Status: Low (2)		Current Risk Severity: Low		Current Risk Likelihood: Medium
Risk Champion: Simon Merrett				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	29/06/2012
Completed	Nominate officer within the department to co-ordinate management of Information Security issues.	Member of Information Assurance Board.		Alison Comley	22/03/2011	29/06/2012
Current Status: Low (2)		Previous Status: Low (2)		Current Risk Severity: Low		Current Risk Likelihood: Medium
Risk Champion: Simon Merrett				Risk Owner: Alison Comley		
Review Note:						