

BRISTOL CITY COUNCIL

Audit Committee

17th January 2014

Report of: Director of Public Health

Report Title: Quarter 3 2013/14 Public Health Risk Register

Ward: Citywide

Officer presenting report: Barbara Coleman

Contact Telephone Number: 0117 9222935

RECOMMENDATION

The Audit Committee

1. review and approve the Public Health Directorate Risk Register at Appendix 1

SUMMARY

This report covers the third quarter risk management review for 2013/14.

Policy

It was recently agreed by the Audit Committee that Directorate risk register reports need to be presented as a main agenda item.

Consultation:

Internal: Officers from within the Directorate, including risk owners, mitigation owners, the risk champion and the Directorate Management Team were consulted.

External: None necessary

1. Background

Public Health transferred from the NHS to the local authority on 1st April 2013, following the changes to the NHS implemented by the government. The Director of Public Health left Bristol City Council at the end of December 2013, and we currently have an interim Director of Public Health (substantive post of Deputy Director) contracted until 31st March 2014. The post of Director of Public Health was transferred from the NHS at Strategic Director level, reporting to the Chief Executive of the authority. Following the restructure of second tier officers, the post was changed to Service Director level, reporting to the Strategic Director of the Neighbourhoods Directorate.

The risks faced by the Public Health Service are currently being identified and monitored by the use of Risk Control Sheets , and will shortly be input and thereafter administered via the SPAR.net computer system as an integral part of the new Neighbourhood Directorate.

2. Quarter 3 Directorate risk register review

- 2.1 Appendix 1 provides full details of the current directorate risks and how these risks are being managed.
- 2.2 Currently there are 8 risks recorded on the risk register and these are presented in order of highest current risk. There are 4 risks demonstrating a current risk status as “high”, as follows:
- PH0003:- Lack of access to the supply of medicines to the Bristol population due to the lack of formal governance process for development and authorisation of Patient Group Directions (PGDs) used in commissioned sexual health services.
 - PH0004:- The risk is that priorities for children and young people’s public health will not be based on local children’s expressed needs and outcomes will be impossible to measure over a period of time.
 - PH0007:- The risk is that the lack of the ASSIST programme will lead to an increase in the numbers of young people taking up smoking and a reduction in numbers currently smoking accessing support to enable them to stop.
 - PH0010:- The risk is to the health, wellbeing and safety of Gypsy, Traveller and Roma families in Bristol through loss of aspects of the local multi agency programme.
- 2.3 The remaining 4 risks are currently considered as medium or low risk when considering the effectiveness of current mitigation in place to manage the risk.
- 2.4 At its January 2013 meeting, the Committee requested inclusion of ‘target risk’ and the direction of travel since the previous quarter to be included and this analysis has been progressed and is shown in Appendix 2. The addition of this information identifies that :
- PH0001:- Limited improvement to the Health of the Bristol population due to having insufficient funds to cover all the work programmes can be reduced to a low risk.
 - PH0005:- School nursing services to cease can be reduced to a low risk.
 - PH0006:- Being aware of the levels of the risk of infectious diseases to children in care can be reduced to a low risk.
- 2.5 There is now an opportunity to develop the risk management methodology and make it more effective in reducing ‘Current risk’ levels. Ongoing work is now required by Risk Owners to review and challenge the information in the register and the effectiveness of the risk management strategies in respect of each risk.
- 2.6 The risk register is considered by the Directorate Management Team on a quarterly basis.

3. Risk Assessment

- 3.1 A robust and effective risk management process serves to minimise the risk of failures in the Council's service provision. It supports the internal control environment and governance arrangements, whilst providing 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 1 - Qtr 3 Public Health Directorate Risk Register 2013/14

Appendix 2 - Risk Improvement: Target Projection

LOCAL GOVERNMENT ACCESS TO INFORMATION

Background Papers Relevant background details held on SPAR.net.

2013/14 - QUARTER 3 RISK REPORT

PUBLIC HEALTH DIRECTORATE RISK REGISTER - SUMMARY HEADER

	<i>No.</i>	<i>Day</i>	<i>Month</i>	<i>Year</i>
VERSION	2	17th	Jan	2014

VERSION CONTROL HISTORY						
Version No.	Reviewed By:	Review Date		Version No.	Reviewed By:	Review Date
1	PH Business Team	06/12/2013				
2	Audit Committee	17/1/2014				

<p>RISK ASSESSMENT</p> <p>METHODOLOGY</p> <p>Each risk is assessed according to the potential impact and likelihood (low [=1], medium [=2] or high [=3]) of the risk occurring, and scored by cross multiplying.</p>	<p>I</p> <p>M</p> <p>P</p> <p>A</p> <p>C</p> <p>T</p>	High	H/L 3x1=3	H/M 3x2=6	H/H 3x3=9
		Med	M/L 2x1=2	M/M 2x2=4	M/H 2x3=6
		Low	L/L 1x1=1	L/M 1x2=2	L/H 1x3=3
			Low	Med	High
		RISK	LIKELIHOOD		

1. Risk (ie. threat to achievement of objectives)	PH0001 The risk is limited improvement to the health of the Bristol population because the 2013/14 actual Public Health allocation is insufficient for PH to deliver programmes of work.			2. Risk Owner	Barbara Coleman				
						3. Assessment of Inherent Risk (ie. before consideration of controls)			
						Impact / Severity (H M L)		Probability (H M L)	
						H		M	
4. Risk Control Measures - ie Mitigation (control) actions									
#	List of actions/tasks	Name of officer responsible for the action/task	Present position: (behind schedule / on schedule/ completed)	Supplementary status notes (ie. effectiveness of mitigation, further actions planned if residual risk remains high)					
1	Meet with Clinical Commissioning Group (CCG) to discuss items in dispute	Barbara Coleman	On schedule	Agreed that all baseline funding would be scrutinized and any gaps / omissions would be highlighted by end September 2013					
2	Agree shortfall for Brook and Terrace Higgins Trust is in CCG baseline. Local authority to invoice CCG for funding.	Barbara Coleman	Behind schedule	Invoice to be raised to secure funding					
3	Meet with Primary Care Support Agency (PCSA) to highlight funding shortfall and identify where funding currently sits	Barbara Coleman	On schedule	PCSA investigating where funding sits. Need to raise further invoice when clarified					
4	Meet with NHS England Local Area Team (LAT) to discuss baseline funding for GPs and where there are areas which need transferred to the local authority.	Barbara Coleman	On schedule	Met with LAT and discussed. No resolution of how money will be transferred from baseline					
5	Identify level of non- commissioned activity which is likely to be charged to the local authority.	Barbara Coleman	On schedule	Identified potential activity to value of £100,000. Awaiting national guidance on way forward					
6	Identify level of Commissioning for Quality and Innovation (CQUIN) payment which is likely to be charged to the local authority.	Barbara Coleman	On schedule	Identified potential payment to value of £100,000. Agreed that CQUIN charge does not apply to local authority commissioned services					
7	Meet with CCG to agree residual transfer of funding issues linked to Acute contracts	Barbara Coleman	On schedule	Identified additional funding issues and agreed way forward with CCG Finance. Awaiting final					

					breakdown for agreement.			
5. Assessment of Residual Risk (ie. after consideration of controls)					Impact / Severity (H M L) M		Probability (H M L) M	
					H		L	
6. Additional Information (* Mandatory fields)								
Executive Member Portfolio *		Date risk identified *		Linked risks	Desired flags	Relevant hyperlinked documents / websites		
Barbara Janke		April 2013						
7. Supplementary details								
Supplementary general notes about the risk								

Signed by Risk Owner:				Date:			
Loaded onto SPAR.net by:				Date:			

1. Risk (ie. threat to achievement of objectives)		PH0003 The risk is the lack of access to supply of medicines to the Bristol population due to the lack of formal governance process for development and authorisation of PGDs (Patient Group Directions) used in commissioned sexual health services.			2. Risk Owner		Viv Harrison							
									3. Assessment of Inherent Risk (ie. before consideration of controls)					
									Impact / Severity (H M L)			Probability (H M L)		
									M			H		
4. Risk Control Measures - ie Mitigation (control) actions														
#	List of actions/tasks	Name of officer responsible for the action/task	Present position: (behind schedule / on schedule/ completed)	Supplementary status notes (ie. effectiveness of mitigation, further actions planned if residual risk remains high)										
1	Develop governance process proposals, involve legal team in development	VH	Work commenced	Extension of some existing PGDs will still be needed as expiry imminent (Dec 13), and agreement and implementation of formal governance process will not yet be in place										
2	Secure formal agreement of governance process through SLT													
3	Engage with CCG to develop specification for specialist expertise if agreed, and commission													
4	Establish PGD approval group and implement agreed policy													
5. Assessment of Residual Risk (ie. after consideration of controls)							Impact / Severity (H M L)		Probability (H M L)					
							M		H					
6. Additional Information (* Mandatory fields)														
Executive Member Portfolio *		Date risk identified *	Linked risks	Desired flags	Relevant hyperlinked documents / websites									
Barbara Janke		25 th November 2013												

7. Supplementary details

Supplementary general notes about the risk

Signed by Risk Owner:

Date:

Loaded onto SPAR.net by:

Date:

1. Risk (ie. threat to achievement of objectives)	PH0004 The risk is that priorities for children and young people's public health will not be based on local children's expressed needs and outcomes will be impossible to measure over a period of time.			2. Risk Owner	Anne Colquhoun (PH0005)
	That the pupil voice survey that records the views and opinions of over 5000 children and young people in Bristol will cease due to lack of funding. This was previously funded for £24,000 from external sources. Having run the survey for 3 years we are now seeing evidence of the data being used to inform priorities and projects within children and young people's services.				
				3. Assessment of Inherent Risk (ie. before consideration of controls)	
				Impact / Severity (H M L)	Probability (H M L)
				H	H
4. Risk Control Measures - ie Mitigation (control) actions					
#	List of actions/tasks	Name of officer responsible for the action/task	<u>Present position:</u> (behind schedule / on schedule/ completed)	Supplementary status notes (ie. effectiveness of mitigation, further actions planned if residual risk remains high)	
1	Decide ownership of pupil voice survey with performance monitoring team BCC	Anne Colquhoun	On schedule	Decision to run survey every 2 years. Next one will be due in 2015.	
2	Raise issue with Claudia McConnell, service director	Anne Colquhoun	On schedule		
3	Investigate the feasibility of procuring from another organisation at a reduced cost	Anne Colquhoun	On schedule		
5. Assessment of Residual Risk (ie. after consideration of controls)				Impact / Severity (H M L) M	Probability (H M L) M
				H	H
6. Additional Information (* Mandatory fields)					

Executive Member Portfolio *	Date risk identified *	Linked risks	Desired flags	Relevant hyperlinked documents / websites
Brenda Massey	1 st April 2013			

7. Supplementary details

Supplementary general notes about the risk	
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Signed by Risk Owner:		Date:	
Loaded onto SPAR.net by:		Date:	

1. Risk (ie. threat to achievement of objectives)	PH0005 The risk is the School Nursing service will cease if no agreement to extend the Community Child Health Partnership Contract with North Bristol Trust, of which the school nursing contract is part.			2. Risk Owner	Jo Williams
				3. Assessment of Inherent Risk (ie. before consideration of controls)	
				Impact / Severity (H M L)	Probability (H M L)
				H	M
4. Risk Control Measures - ie Mitigation (control) actions					
#	List of actions/tasks	Name of officer responsible for the action/task	<u>Present position:</u> (behind schedule / on schedule/ completed)	Supplementary status notes (ie. effectiveness of mitigation, further actions planned if residual risk remains high)	
1	Regular communication between co-commissioners at Community Child Health Partnership Commissioner meetings	Jo Williams	On schedule		
3	Request direct feedback about negotiations from the SW Commissioning Support Unit, who are conducting the negotiation on behalf of Bristol CCG.	Jo Williams			
4	Escalate within local authority to increase the influence on the negotiation relating to school nursing. Jo Williams to discuss with Kelechi Nnoaham and Janet Maxwell.	Jo Williams			
5. Assessment of Residual Risk (ie. after consideration of controls)				Impact / Severity (H M L) M	Probability (H M L) M
				H	L
6. Additional Information (* Mandatory fields)					
Executive Member Portfolio *	Date risk identified *	Linked risks	Desired flags	Relevant hyperlinked documents / websites	

Barbara Janke

September 2013

7. Supplementary details

Supplementary general notes about the risk

The current contract between five joint commissioners (Public Health Bristol, South Gloucestershire Public Health, Bristol Clinical Commissioning Group, South Gloucestershire Clinical Commissioning Group, and NHS England) and NBT is due to finish at the end of March 2014. The original contract included the provision for a possible extension until March 2016, but there has not been agreement between the commissioners and provider over whether this extension will take place. This has been in discussion for over a year and is still not resolved, due to financial discussions. The impacts include the destabilisation of the current service due to the uncertainty, as well as the difficulty securing a future service provider within a shortened time period should this contract be lost.

Signed by Risk Owner:

Jo Williams

Date:

04/09/13

Loaded onto SPAR.net by:

Date:

1. Risk (ie. threat to achievement of objectives)	PH0006 The risk is being aware of the levels of the risk of infectious diseases to children in care. The poor quality data on immunisation status may lead to poor achievement in OFSTED inspection.			2. Risk Owner	Jo Williams
				3. Assessment of Inherent Risk (ie. before consideration of controls)	
				Impact / Severity (H M L)	Probability (H M L)
				H	M
4. Risk Control Measures - ie Mitigation (control) actions					
#	List of actions/tasks	Name of officer responsible for the action/task	Present position: (behind schedule / on schedule/ completed)	Supplementary status notes (ie. effectiveness of mitigation, further actions planned if residual risk remains high)	
1	Make service directors aware of the risk	Jo Williams	Completed	The original risk request to look into this issue came from Claudia McConnell, and I have briefed Kelechi Nnoaham	
2	Establish an immediate solution to receive some up to date data for this population through contacting North Bristol Trust (specialist service for looked after children), and the Child Health Database at the South West Commissioning Support Unit	Jo Williams	On schedule		
3	Set up a working group to solve this issue going forward by i) a catch-up of the current dataset via transfer of NHS data to the LA	Jo Williams		Can complete this once contact established with appropriate colleagues (see #2)	
4	Set up a working group to solve this issue going forward by ii) establishing a data sharing protocol to ensure on-going transfer to data to the LA	Jo Williams		A level 1 data sharing protocol has been agreed and a level 2 data shared protocol has been drawn up already for another project which we can adapt.	
5. Assessment of Residual Risk (ie. after consideration of controls)				Impact / Severity (H M L)	Probability (H M L)
				H	L

6. Additional Information (* Mandatory fields)				
Executive Member Portfolio *	Date risk identified *	Linked risks	Desired flags	Relevant hyperlinked documents / websites
Barbara Janke	April 2013			
7. Supplementary details				
Supplementary general notes about the risk	The local authority data on the immunisation status of looked after children are neither accurate nor up to date. The impact is that we do not have the data to inform whether there are additional needs around immunisation (and the potential risk of infectious diseases if immunisations are incomplete). This is a requirement which will be included within the next OFSTED inspection (expected any time) relating to looked after children and we do not have the data required.			
Signed by Risk Owner:	Jo Williams	Date:	4/9/13	
Loaded onto SPAR.net by:		Date:		

1. Risk (ie. threat to achievement of objectives)	PH0007 The risk is that the lack of the programme will lead to an increase in the numbers of young people taking yup smoking and a reduction in numbers currently smoking accessing support to enable them to stop. The tobacco control programme in relation to young people is not currently being delivered due to the finishing of the ASSIST programme and the long term sickness of the Senior Health Promotion Specialist leading this programme of work.			2. Risk Owner	Anne Colquhoun
	3. Assessment of Inherent Risk (ie. before consideration of controls)				Impact / Severity (H M L)
				H	H
4. Risk Control Measures - ie Mitigation (control) actions					
#	List of actions/tasks	Name of officer responsible for the action/task	Present position: (behind schedule / on schedule/ completed)	Supplementary status notes (ie. effectiveness of mitigation, further actions planned if residual risk remains high)	
1	As tobacco control sits across a number of programme areas in public health, a joint discussion is needed to agree a plan of action and way forward	Anne Colquhoun	On schedule		
2	Analysis of evidence of effectiveness has been completed to inform the above discussions.	Anne Colquhoun	On schedule		
5. Assessment of Residual Risk (ie. after consideration of controls)				Impact / Severity (H M L) M	Probability (H M L) M
				H	H
6. Additional Information (* Mandatory fields)					
Executive Member Portfolio *	Date risk identified *	Linked risks	Desired flags	Relevant hyperlinked documents / websites	
Barbara Janke	1 st April 2013				

7. Supplementary details

Supplementary general notes about the risk

Signed by Risk Owner:

Date:

Loaded onto SPAR.net by:

Date:

1. Risk (ie. threat to achievement of objectives)	PH009 Risk to achievement of PHOF indicator: 2.14 Smoking prevalence – adults (over 18s) Risk of missing 4 week quit target for 1314 – 15% drop in smokers accessing services in Q1, people using e cig may be a contributor. This will contribute to prevalence and effect ability to reduce prevalence if less people quitting.			2. Risk Owner	Lynn Stanley
				3. Assessment of Inherent Risk (ie. before consideration of controls)	
				Impact / Severity (H M L)	Probability (H M L)
				Medium	Medium
4. Risk Control Measures - ie Mitigation (control) actions					
#	List of actions/tasks	Name of officer responsible for the action/task	<u>Present position:</u> (behind schedule / on schedule/ completed)	Supplementary status notes (ie. effectiveness of mitigation, further actions planned if residual risk remains high)	
1	Meeting with GP Practices to discuss how the issue might be addressed	Lynn Stanley and locality advisors in Smokefree Bristol team	Commencing November 2013	Will monitor situation monthly and change plans accordingly if necessary	
2	Update training taking place to bring community advisors up to date with latest evidence, guidance etc	Smokefree Bristol team	ongoing	Will assess and review attendance	
3	Monitor national guidance and research on e cigs	Lynn Stanley and SFB team	ongoing		
4	Talk to other service managers to see what actions they are putting in place to tackle drop in engagement –some services in the south west experienced a drop of 50% engagement in Q1 compared to previous year	Lynn Stanley	From October 13 onwards		
				Impact / Severity (H M L)	Probability (H M L)
5. Assessment of Residual Risk (ie. after consideration of controls)				M	M

6. Additional Information (* Mandatory fields)

Executive Member Portfolio *	Date risk identified *	Linked risks	Desired flags	Relevant hyperlinked documents / websites
Barbara Janke	October 2013			

7. Supplementary details

Supplementary general notes about the risk	
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Signed by Risk Owner:		Date:	
Loaded onto SPAR.net by:		Date:	

1. Risk (ie. threat to achievement of objectives)	PH0010 The risk is to the health, wellbeing and safety of Gypsy, Traveller and Roma families in Bristol through loss of aspects of local multi agency programme	2. Risk Owner	Christina Gray	
		3. Assessment of Inherent Risk (ie. before consideration of controls)		
		Impact / Severity (H M L)	Probability (H M L)	
		H	H	
4. Risk Control Measures - ie Mitigation (control) actions				
#	List of actions/tasks	Name of officer responsible for the action/task	<u>Present position:</u> (behind schedule / on schedule/ completed)	Supplementary status notes (ie. effectiveness of mitigation, further actions planned if residual risk remains high)
1	Secure continuity of the Gypsy Traveller Education Post	Director of Education / Lyn Chamberlain	Post secured November 2013	This is an essential post, which is central to child safeguarding for these communities.
2	Secure continuity of funding community engagement with Gypsy Traveller Communities	Christina Gray / Tom Gilchrist	Funding is currently provided from the PH budget and the Traveller Team budget	Engagement and trust building with local communities is essential.
3	Clarify leadership and management for multi-agency programme in Bristol	Christina Gray / Tom Gilchrist / Lyn Chamberlain	Service managers from Housing, Education and Public Health working collaboratively – but requires operational management capacity to support front line staff with complex issues.	Requires strong matrix working arrangements, and clarity of management and leadership - to ensure safe, supported working for issues such as safeguarding, managing violence, trafficking, dealing with encampments and access to pitch provision etc.

4	Continue to manage and support the specialist health visitor contract	Christina Gray	Included in public health ring fenced grant – on going fun	This service is secure, and aligned with the core health visitor service. However the effectiveness of the health visitor is highly reliant on the above functions.	
5. Assessment of Residual Risk (ie. after consideration of controls)				Impact / Severity (H M L)	Probability (H M L)
				M	H
6. Additional Information (* Mandatory fields)					
Executive Member Portfolio *	Date risk identified *	Linked risks	Desired flags	Relevant hyperlinked documents / websites	
Not aware of an executive member for Gypsies and Travellers	7 th November 2013			http://www.swpho.nhs.uk/resource/view.aspx?RID=90103	
7. Supplementary details					
Supplementary general notes about the risk	Gypsies and Travellers experience high levels of discrimination and extremely poor health outcomes, with higher levels of infant mortality, worse general outcomes for physical and mental health and lower life expectancy.				
	Bristol has a small but significant population of English Gypsy, Irish Travellers and Roma communities, living in settled accommodation within the social housing and private rented sectors as well as on the permanent and transient Traveller sites. There are in addition a number of unauthorised encampments each year.				
	An efficient and effective service requires a seamless multi agency response – drawing on the expert function of education, health, engagement, housing, site management and enforcement. Each of these functions is essential and co-dependant on the other.				
	Frontline staff in these functions are often managing highly complex, potentially volatile situations, with vulnerable individuals and families and need to be well supported.				
Ensuring that all children and families are engaged with universal services such as health and education is a first principle in reducing health inequality, supporting families and in keeping children safe.					



Signed by Risk Owner:	Christina Gray	Date:	07/11/2013
Loaded onto SPAR.net by:		Date:	

**QUARTER 3 2013/14
RISK IMPROVEMENT - TARGET PROJECTION**

SITUATION AS AT QTR3 2013/14					IMPROVEMENT TARGET PROJECTION		
Inherent Risk Status	Current Risk Status	Title	Last Review Date	Risk Owner	Improvement Target Status	Improvement Target Date	Risk owner recommendation
6	3	PH0001 - Limited improvement to Health of the Bristol population due to having insufficient funds to cover all the work programmes	25/11/2013	Barabara Coleman			
6	6	PH0003 - Access to supply of medicines to the Bristol population	25/11/2013	Viv Harrison	3	31-Jan	People Panel request to be submitted at the beginning of January to employ a Pharmacist to provide the PGD support to the Public Health team
9	9	PH0004 - Priorities for children and young people's public health will not be based on local children's expressed needs and outcomes will be impossible to measure over a period of time.	25/11/2013	Anne Colquhoun	3	31-Mar	Work is currently ongoing to identify the improvement target risks faced by the Public Health Service. This work will be progressed throughout 2014 within the overall risk register administered for the Neighbourhoods Directorate.
6	3	PH0005 - School Nursing service will cease.	25/11/2013	Jo Williams			
6	3	PH0006 - Being aware of the levels of the risk of infectious diseases to children in care	25/11/2013	Jo Williams			
9	9	PH0007 - Lack of the programme support will lead to an increase in the numbers of young people taking yup smoking and a reduction in numbers currently smoking accessing support to enable them to stop	25/11/2013	Anne Colquhoun	4	31-Mar	Work is currently ongoing to identify the improvement target risks faced by the Public Health Service. This work will be progressed throughout 2014 within the overall risk register administered for the Neighbourhoods Directorate. We have received authorisation to appoint a replacement from the People Panel, we are currently awaiting the outcome of the rebanding to the BG salary scale.
4	4	PH0009 - Failure to achieve PH targets for Smoking Prevalance / Stop Smoking	25/11/2013	Lynn Stanley			Work is currently ongoing to identify the improvement target risks faced by the Public Health Service. This work will be progressed throughout 2014 within the overall risk register administered for the Neighbourhoods Directorate.
9	6	PH0010 - Risk is to the health, wellbeing and safety of Gypsy, Traveller and Roma families in Bristol	25/11/2013	Christina Gray	3	31-Mar	Work is currently ongoing to identify the improvement target risks faced by the Public Health Service. This work will be progressed throughout 2014 within the overall risk register administered for the Neighbourhoods Directorate.