
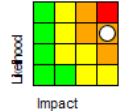

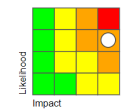

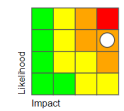

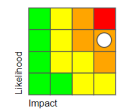

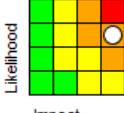

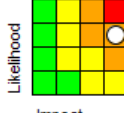

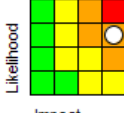

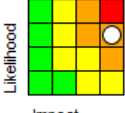

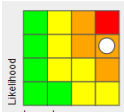

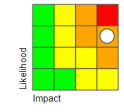

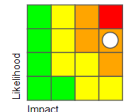

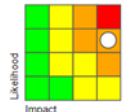

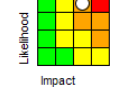

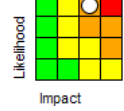

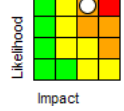

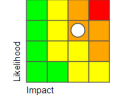





## Appendix A1 – Adult Social Care Committee - Corporate Risk Register Q1 2024-2025 as at June 2024

### Threat Risk Performance Summary


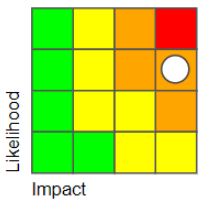
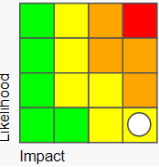
Risk	Page Number	Q2 Rating (23/24)	Q2 Matrix (23/24)	Q3 Rating (23/24)	Q3 Matrix (23/24)	Q4 Rating (23/24)	Q4 Matrix (23/24)	Q1 Rating (24/25)	Q1 Matrix (24/25)
CRR10 - Safeguarding Adults may be at Risk with Care and support needs.	2	21 		21 		21 		21 	
CRR51 – ASC may be financially unsustainable due to national and local NHS pressures, leading to a failure to deliver statutory duties	4	21 		21 		21 		21 	
CRR56 – Potential threat to the ASC Care Quality Commission (CQC) Assurance Preparedness and Rating	8	21 		21 		21 		21 	
CRR53 - Increased social worker and occupational therapists vacancies and sickness rates may result in vulnerable adults care being compromised	6	20 		20 		20 		15 	

### Risk Trend Key


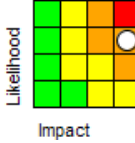
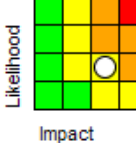
Arrow	Description
	The risk rating has improved from the previous quarter, having reduced in its severity.
	The risk rating has deteriorated from the previous quarter, having increased in its severity.
	The risk rating has not changed from the previous quarter.

## Appendix A1 – Adult Social Care Committee - Corporate Risk Register Q1 2024-2025 as at June 2024

### Threat Risks

Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level		
<p><b>Risk Title:</b> CRR10 - Safeguarding Adults may be at Risk with Care and support needs.</p> <p><b>Description:</b> The council fails to ensure adequate safeguarding measures are in place for adults at risk.</p>	<p><b>Constant</b></p> 	<p><b>21</b></p> <p>Likelihood = 3 Impact = 7</p>		<p><b>7</b></p> <p>Likelihood = 1 Impact = 7</p>		
<p><b>Risk Causes:</b> Demand for services exceeds capacity and capability leading to potentially unsafe practice. Significantly reduced workforce leading to inadequacy of controls and absence of proactive early intervention and prevention activity. Increases in demand</p>	<b>Existing Controls</b>		<b>Mitigating Actions</b>			
	<b>Control</b>		<b>Action Title</b>	<b>Due Date</b>	<b>Progress</b>	
<p><b>Risk Consequences:</b> Financial damage, Legal liability Death. Inadequate information sharing. Failure to meet the requirements of the 'Prevent Duty' placed on Local Authorities. Increased destitution in families, impacting on mental ill health, managing increased infection within the population. Increase identification of self-neglect and complexity. Carer strain leading to family/carers breakdown. Reputational damage</p>	<ul style="list-style-type: none"> <li>Annual report shared with Elected Members to allow for scrutiny of progress of the Keep Bristol Safe Partnership (KBSP).</li> <li>Training for all key staff in the essentials of safeguarding.</li> <li>Twice weekly business continuity meeting around supply of commissioned care and active management of waiting list.</li> <li>Improved Data through PowerBI – capturing safeguarding concerns feeding into monthly management operational meetings</li> <li>Safeguarding Discussion Forum – multi-agency held monthly – sharing information on high risk/complex cases</li> </ul>		<p>Demand Management Review</p> <p>Deliver safeguarding hub (NEW)</p>	<p>June 2024</p> <p>Dec 24</p>	<p>70%</p> <p>30%</p>	
<p><b>Risk Owner(s):</b> Executive Director Adult and Communities, Director Adult Social Care.</p>						
<p><b>Committee:</b> Adult Social Care</p>	<p><b>Summary of Progress:</b> Risks remain high. Waiting list trays have now been built into LAS for reporting through PowerBI so we now have the capability to performance manage. A safeguarding performance hub has been created through use of agency staff which is beginning to improve waiting times, but they remain in excess of what is acceptable.</p>					
<p><b>Strategic Theme:</b> Strategy Theme: Our Organisation, Empowering others and Caring, Fair and Inclusive, Well connected, Wellbeing.</p>						


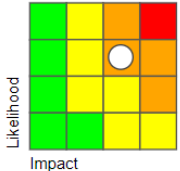
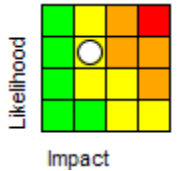
## Appendix A1 – Adult Social Care Committee - Corporate Risk Register Q1 2024-2025 as at June 2024

Threat Risk	Trend	Current Risk Assessment			Risk Tolerance Level	
<p><b>Risk Title:</b> CRR51 - ASC may be financially unsustainable due to national and local NHS pressures, leading to a failure to deliver statutory duties</p> <p><b>Description:</b> There is a risk that ASC financial unsustainability due to a number of national and local pressures compromises the ability to deliver statutory duties and the independence of people that draw on care and support.</p>	<p><b>Constant</b></p> 	<p><b>21</b> Likelihood = 3 Impact = 7</p>		<p><b>10</b> Likelihood = 2 Impact = 5</p>		
<p><b>Risk Causes:</b></p> <ul style="list-style-type: none"> <li>Rising demand in Adult Social Care which must be met under the Care Act. Particularly from complex needs and higher cost requirements in people under 65. These needs are more likely to be met outside of area, be subject to lower personal contributions, and be needed for longer.</li> <li>Increase of needs due to more health services being delivered in the community without appropriate funding following the patient.</li> <li>Increased complex needs across our demographics that must be met under the Care Act.</li> <li>Lack of funds available within budget to meet statutory duties.</li> <li>Lack of systems in order to ensure effective governance and control of all spend.</li> <li>Pressure from wider system pressures - for example, delays in hospitals which lead to increased long term cost provision for care.</li> <li>Local NHS income below council average of 15% which we calculate leaves us around £6m underfunded compared to national average.</li> <li>Non-recurrent funding which limits opportunity for long term investment.</li> </ul>	<b>Existing Controls</b>		<b>Mitigating Actions</b>			
	<b>Control</b>		<b>Action Title</b>	<b>Due Date</b>	<b>Progress</b>	
	<ul style="list-style-type: none"> <li>Established Care Cubed to improve pricing controls</li> <li>Improve Business Intelligence</li> <li>Improved governance process on all spend</li> <li>Leading integration opportunities with Health</li> <li>Realignment of ASC Operations</li> <li>Reset the ASC Transformation Programme</li> </ul>		Strategic Partner (People Too) transformation work	March 2024	90%	
<p><b>Risk Consequences:</b></p> <ul style="list-style-type: none"> <li>Overspending on the budget which may impact the wider council.</li> <li>The consequence of this risk are that appropriate and effective care and support as required under the Care Act may not be possible for all those who require it. The consequence could be felt in the quality or quantity of care and support, or in both.</li> </ul>				1		
<p><b>Risk Owner(s):</b> Executive Director Adult and Communities</p> <p><b>Committee:</b> Adult Social Care</p> <p><b>Strategic Theme:</b> Our Organisation, Empowering and Caring, Wellbeing.</p>	<p><b>Summary of Progress:</b> Risk remains ever present and increasing.</p>					

## Appendix A1 – Adult Social Care Committee - Corporate Risk Register Q1 2024-2025 as at June 2024

<b>Committee:</b> Homes and Housing Delivery	<b>Summary of Progress:</b> The structural concerns with Barton House have now ended and resident have moved back in. Following this there have been investigations taking place in other locations. These investigations are to be followed with structural surveys, for which the recommended proposal from the contractor is currently under review. The building safety case programme is underway and is due to be completed by April 2026.
<b>Strategic Theme:</b> Our Organisation, Empowering and Caring, Fair and Inclusive, Well Connected, Wellbeing	


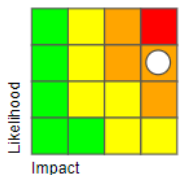
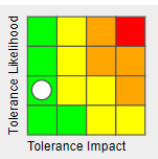
**Appendix A1 – Adult Social Care Committee - Corporate Risk Register Q1 2024-2025 as at June 2024**

Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level		
<p><b>Risk Title:</b> CRR53 - Increased social worker and occupational therapists' vacancies and sickness rates may result in vulnerable adults' care being comprised.</p> <p><b>Description:</b> Limited staff capacity within operational teams will result in increased waiting times for assessment and review potentially putting vulnerable adults at risk of going without sufficient care and support.</p>	<p><b>Improving</b></p> 	<p><b>15</b></p> <p>Impact = 5 Major Likelihood= 3 Almost Certain</p>		<p><b>9</b></p> <p>Likelihood = 3 Impact = 3</p>		
<p><b>Risk Causes:</b> Staff turnover rates remain over 15% and vacancy rates are around 20%. We continue to struggle with recruitment and retention of professionally registered staff. We are struggling to recruit and retain experienced social workers and OTs. This is in line with national picture of increasing vacancy rates in statutory adult care social care departments across the country. Staffing capacity within operational teams is around 74% although this is not distributed equally with some operational teams having less than 50% available SW capacity. Sickness absence in operational teams have also increased during this period (up by 50% in the past 12 months). Average no of working days lost to sickness has increased by 97% in the past 12 months. This is further compounding operational teams ability to respond to those in most urgent need as well as putting greater pressure on ability to make necessary savings on our purchasing budget. Cost of living crisis is also likely to impact on retention rates of social work and OT staff.</p>	<b>Existing Controls</b>		<b>Mitigating Actions</b>			
	<b>Control</b>		<b>Action Title</b>	<b>Due Date</b>	<b>Progress</b>	
	<ul style="list-style-type: none"> <li>Developing enhanced Wellbeing offer for operational staff</li> <li>Increase Social Work and OT Apprentice capacity</li> <li>Operational Business Continuity plans duty</li> <li>Recruitment Strategy</li> <li>Urgent corrective actions to address workforce capacity.</li> </ul>	<p>Deliver on internal workforce comms plan (NEW)</p>	<p>March 2025</p>	<p>40%</p>		
<p>Implement Non pay options for retention and recruitment (NEW)</p>	<p>March 2025</p>	<p>20%</p>				
<p><b>Risk Consequences:</b> As a result of this decreased operational capacity this has seen an increase in numbers of people waiting for assessment and reviews (over 1500 people). The percentage of individuals who have had an annual review of their care and support needs has also decreased in the last year with less than 50% of individual in receipt of care and support having had a formal review. This number is even lower for those receiving Direct Payments. These increased waiting times and reduction in annual reviews puts citizens at increased risk of harm as there is no guarantee that their needs are being adequately met.</p>						

## Appendix A1 – Adult Social Care Committee - Corporate Risk Register Q1 2024-2025 as at June 2024

<p>Increasingly staff are responding to citizens in crisis which also means there are much more limited opportunities to provide preventative services which results in commissioning additional services causing increased costs.</p>				
<p><b>Risk Owner(s):</b> Executive Director Adult and Communities, Director Adult Social Care.</p>				
<p><b>Committee:</b> Adult Social Care</p>				
<p><b>Strategic Theme:</b> Our Organisation, Empowering others and Caring, Fair and Inclusive, Well connected, Wellbeing.</p>	<p><b>Summary of Progress:</b>                      Job re-evaluation for social workers and occupational therapists has concluded and been implemented; this was considered the root cause of recruitment difficulties and early signs are that recruitment is picking up, hence the reduction in likelihood from almost certain to likely, changing the overall score to 15, from 20.                      Non-pay options have also been explored and implementation planning is underway.</p>			

**Appendix A1 – Adult Social Care Committee - Corporate Risk Register Q1 2024-2025 as at June 2024**

Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level			
<p><b>Risk Title:</b> CRR56 - Potential threat to the ASC Care Quality Commission (CQC) Assurance Preparedness and Rating</p> <p><b>Description:</b></p>	<p><b>Constant</b></p> 	<p><b>21</b> Likelihood = 3 Impact = 7</p>		<p><b>2</b> Likelihood = 2 Impact = 1</p>			
<p><b>Risk Causes</b> New line of work - learning whilst doing with little evidence base or benchmarking to refer to.</p> <p>Programme of work in preparation for inspection hitherto managed within BAU resource which has proved insufficient.</p> <p>Current workforce and operating model pressures are leading to risks to compliance in carrying out statutory duties, e.g. safeguarding, timely Care Act Assessments.</p> <p>Data and performance reporting (e.g. locality dashboard) delayed/unfinished.</p> <p><b>Risk Consequences:</b> People are families are waiting too long to be seen as teams are having to operate waiting lists, including in areas where there should be none, e.g. Safeguarding and First Response.</p> <p>Line of sight of risk is compromised.</p> <p>Individuals may come to harm.</p> <p><b>Risk Owner(s):</b> Director - Adult Social Care</p>	<p><b>Existing Controls</b></p>		<p><b>Mitigating Actions</b></p>				
	<p><b>Control</b></p>	<p>This is a new area of work, and so current control requirements are emerging as we learn from pilots.</p>	<p><b>Action Title</b></p>	<p><b>Due Date</b></p>	<p><b>Progress</b></p>		
			<p>Continuous Improvement Plan (CIP)</p>	<p>June 2024</p>	<p>50%</p>		
			<p>Contract for Services - Care Act Assessments</p>	<p>September 2024</p>	<p>20%</p>		
			<p>Refresh of CQC Self-assessment</p>	<p>June 2024</p>	<p>30%</p>		
<p><b>Committee:</b> Adult Social Care</p>	<p><b>Summary of Progress:</b> Rating remains unchanged. Whilst action is being taken on 'people waiting' for assessment, safeguarding and reviews, overall BCC is some way from meeting it's statutory duties. Work programme underway to prepare for CQC inspection is progressing, but difficult to resource in the necessary timeframe.</p>						
<p><b>Strategic Theme:</b> Empowering and Caring, Wellbeing Our Organisation</p>							

# Appendix A1 – Adult Social Care Committee - Corporate Risk Register Q1 2024-2025 as at June 2024

## Risk Scoring Matrix

		Threat Impact (Negative risks)					Opportunity Impact (Positive Risk)						
Threat Likelihood	Almost certain	4	4 (Low)	12 (Medium)	20 (High)	28 (Critical)	28 (Significant)	20 (High)	12 (Medium)	4 (Low)	4	Almost certain	Opportunity Likelihood
	Likely	3	3 (Low)	9 (Medium)	15 (High)	21 (High)	21 (High)	15 (High)	9 (Medium)	3 (Low)	3	Likely	
	Unlikely	2	2 (Low)	6 (Medium)	10 (Medium)	14 (High)	14 (High)	10 (Medium)	6 (Medium)	2 (Low)	2	Unlikely	
	Rare	1	1 (Low)	3 (Low)	5 (Medium)	7 (Medium)	7 (Medium)	5 (Medium)	3 (Low)	1 (Low)	1	Rare	
			1	3	5	7	7	5	3	1			
			Minor	Moderate	Major	Critical	Exceptional	Significant	Modest	Slight			

Threat Level	Opportunity Level	Level of Risk	Actions Required
1-4	1-4	Low	May not need any further action / monitor at the Service level.
5-12	5-12	Medium	Action required, manage and monitor at the Directorate level.
14-21	14-21	High	Must be addressed - if Directorate level consider escalating to the Corporate Risk Report, if Corporate consider escalating to the Cabinet Lead.
28	28	Critical / Significant	Action required - escalate if a Directorate level risk, escalate to the Corporate Level, if Corporate bring to the attention of the Cabinet Lead to confirm action to be taken.



## Appendix A1 – Adult Social Care Committee - Corporate Risk Register Q1 2024-2025 as at June 2024

### LIKELIHOOD AND IMPACT RISK RATING SCORING

#### Likelihood Guidance

Likelihood	Likelihood Ratings 1 to 4			
	1	2	3	4
<b>Description</b>	Might happen on rare occasions.	Will possibly happen, possibly on several occasions.	Will probably happen, possibly at regular intervals.	Likely to happen, possibly frequently.
<b>Numerical Likelihood</b>	Less than 10%	Less than 50%	50% or more	75% or more

#### Severity of Impact Guidance (Risk to be assessed against all of the Categories, and the highest score used in the matrix).

Impact Category	Impact Levels 1 to 7			
	1	3	5	7
Service provision	Very limited effect (positive or negative) on service provision. Impact can be managed within normal working arrangements.	Noticeable and significant effect (positive or negative) on service provision.  Effect may require some additional resource, but manageable in a reasonable time frame.	Severe effect on service provision or a Corporate Strategic Plan priority area.  Effect may require considerable /additional resource but will not require a major strategy change.	Extremely severe service disruption. Significant customer opposition. Legal action. Effect could not be managed within a reasonable time frame or by a short-term allocation of resources and may require major strategy changes. The Council risks 'special measures'. Officer / Member forced to resign.
Communities	Minimal impact on community.	Noticeable (positive or negative) impact on the community or a more manageable impact on a smaller number of vulnerable groups / individuals which is not likely to last more than six months.	A more severe but manageable impact (positive or negative) on a significant number of vulnerable groups / individuals which is not likely to last more than twelve months.	A lasting and noticeable impact on a significant number of vulnerable groups / individuals.
Environmental	No effect (positive or negative) on the natural and built environment.	Short term effect (positive or negative) on the natural and or built environment.	Serious local discharge of pollutant or source of community annoyance that requires remedial action.	Lasting effect on the natural and or built environment.
<b>Financial Loss / Gain</b>	<b>Under £0.5m</b>	<b>Between £0.5m - £3m</b>	<b>Between £3m - £5m</b>	<b>More than £5m</b>
Fraud & Corruption Loss	Under £50k	Between £50k - £100k	Between £100k - £1m	More than £1m
Legal	No significant legal implications or action is anticipated.	Tribunal / BCC legal team involvement required (potential for claim).	Criminal prosecution anticipated and / or civil litigation.	Criminal prosecution anticipated and or civil litigation (> 1 person).
Personal Safety	Minor injury to citizens or colleagues.	Significant injury or ill health of citizens or colleagues causing short-term disability / absence from work.	Major injury or ill health of citizens or colleagues may result in. long term disability / absence from work.	Death of citizen(s) or colleague(s). Significant long-term disability / absence from work.
Programme / Project Management <i>(Including developing commercial enterprises)</i>	Minor delays and/or budget overspend but can be brought back on schedule with this project stage. No threat to delivery of the project on time and to budget and no threat to identified benefits / outcomes.	Slippage causes significant delay to delivery of key project milestones, and/or budget overspends.  No threat to overall delivery of the project and the identified benefits / outcomes.	Slippage causes significant delay to delivery of key project milestones; and/or major budget overspends.  Major threat to delivery of the project on time and to budget, and achievement of one or more benefits / outcomes.	Significant issues threaten delivery of the entire project.  Could lead to project being cancelled or put on hold.
Reputation	Minimal and transient loss of public or partner trust. Contained within the individual service.	Significant public or partner interest although limited potential for enhancement of, or damage to, reputation.  Dissatisfaction reported through council complaints procedure but contained within the council.  Local MP involvement. Some local media/social media interest.	Serious potential for enhancement of, or damage to, reputation and the willingness of other parties to collaborate or do business with the council. Dissatisfaction regularly reported through council complaints procedure.  Higher levels of local or national interest.  Higher levels of local media / social media interest.	Highly significant potential for enhancement of, or damage to, reputation and the willingness of other parties to collaborate or do business with the council. Intense local, national and potentially international media attention.  Viral social media or online pick-up.  Public enquiry or poor external assessor report.