



People Scrutiny Commission

26th September 2016

Report of: Strategic Director - People

Title: Directorate Risk Register Review August 2016

Ward: Citywide

Officer Presenting Report: John Readman, Strategic Director - People

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Recommendation

The Commission review and scrutinise the Directorate Risk Register as at 31st August 2016 which is attached to this report.

Summary

This report presents the Directorate Risk register. Going forward, Directorate Risk Registers will be reviewed by Directorate Leadership Teams on a quarterly basis and will be provided for scrutiny at six monthly intervals.

The significant issues in the report are:

- Corporate Risk in the context of Directorate risk consideration (Paragraph 4)
- Process for review of Directorate risks. (Paragraph 5.2)
- Issues arising from the Directorate Risk Register (Paragraph 5.5)
- The full directorate risk register (Appendix 1)



Policy

1. *The Audit Committee is responsible for providing independent assurance to the Council regarding the effectiveness of its strategic risk management arrangements. The Council has a Risk Management Policy which requires strategic risks to the Council, and details of how they are managed to be recorded in strategic risk registers – the Corporate and Directorate Risk Registers. Whilst the Corporate risk Register is scrutinised by the Audit Committee on a six monthly basis, it was agreed at Overview and Scrutiny Management Board, that the Directorate Risk Registers will be scrutinised by each Directorate scrutiny twice a year. They will however also be provided once each year to Audit Committee, for information (not scrutiny) to provide the Audit Committee with assurance that Directorate Risk Registers are in place and effectively scrutinised.*

Consultation

2. **Internal**
Directorate Leadership Team / Risk Owners / Cabinet Members – People, Education & Skills and Health & Wellbeing
3. **External**
Not applicable
4. **Background – Risk Management and the Corporate Risk Register**
 - 4.1. Risk is defined in the Risk Management Policy as ‘the chance of something happening that will impact (positively or negatively) on the achievement of the Council’s Objectives’. Risk Management is the planned and systematic approach to the identification, evaluation, prioritisation and control of risks and opportunities facing the Council Management.
 - 4.2. Risk Assessment is the measure of likelihood and impact on objectives of an uncertain action of event.
 - 4.3. The Corporate Risk Register (CRR) is an integral element of the Council’s Strategic Risk Management arrangements and aims to support the delivery of the Council’s objectives by setting out the strategic high level risks facing the Council in delivering its plans and how they are ensuring these risks are effectively managed.
 - 4.4. The CRR is used by the Strategic Leadership Team to monitor risk levels and take assurance that all necessary steps are being taken to ensure the risks are managed to a level acceptable to them.
 - 4.5. The CRR is currently under review but at this time includes the following risks:
 - **Safeguarding (Amber)** – The Council fails to ensure adequate safeguarding measures are in place, resulting in harm or death to a vulnerable adult or child.
 - **Organisational Achievement and Resilience (Amber)** - The Council fails to maximise opportunities afforded by the Single Change Programme to deliver and achieve the Mayoral and corporate objectives and maintain its resilience into the future.

- **Governance (Amber)** - The Council fails to comply with internal controls and to effectively meet the framework of obligations within the statutory Annual Governance Statement and the Code of Corporate Governance.
- **Infrastructure (Red)** - The Council fails to generate the investment necessary to maximise its influence upon the delivery and maintenance of a sustainable infrastructure which will support the City to grow and prosper.
- **Community resilience (Red)** - Failure of the Council and the community at large to anticipate, sufficiently mitigate, respond to or recover quickly enough from a significant and unexpectedly disruptive event. This risk is focused on how the Council and communities can adapt to significant changes in society over time rather than focussing on the Council's physical infrastructure that is in place to contribute when such an event occurs – this is considered in risk 4 – Infrastructure.
- **Finance (Red)** - Failure to deliver robust Financial Plans that will secure ongoing financial resilience to deliver statutory services and mayoral priorities.
- **Educational Attainment (Amber)** - Failure to focus and prioritise resources to effect the changes necessary to ensure the equality of educational opportunities across all ages and all communities.
- **Demographic and Service Pressures (Amber)** - The Council fails to appropriately manage demand for its services and does not maximise all potential delivery methods to ensure that services are provided in the most cost effective way.
- **Devolution (Red)** - Failure of the Council to work with the neighbouring authorities and the community at large to maximise the benefits of the Government devolution agenda to the best advantage of the people of Bristol and across the West of England.
- **Delivery Democracy (Amber)** - Failure to deliver statutory elections and comply with all legal requirements.
- **Trading Company Operations (Amber)** - Successfully managing the trading companies where the Council is the majority Shareholder, or has an interest in the Company.

5. The Directorate Risk Register

5.1. As well as Corporate Risks, Directorate Risk Registers (DRR) detail risks faced by each Directorate. The DRR is owned by the Strategic Director and is used by the Directorate Leadership Team to ensure and monitor that risks are effectively managed.

5.2. The Directorate Risk Register was developed following:

- DLT Risk identification and assignment of a risk owner who is responsible to ensure each risk is effectively managed

- Detailed work with the Risk Owner to determine key current mitigations and further actions to ensure the risk is properly managed
- Re-review by DLT to ensure risk levels are correctly identified and target risk levels are acceptable

- 5.3.** The People Directorate Risk Register is attached as Appendix 1 for scrutiny. The register is presented in the standard format agreed by ELT / SLT and uses the risk management methodology in the risk management policy agreed by the SLT and the Audit Committee in November 2014. Appendix 2 provides helpful extracts from that policy to assist Members in understanding risk levels recorded in the register. The risk matrix, Guidance parameters used to measure impact and Guidance parameters used to measure likelihood.
- 5.4.** The timing of presentation of the Directorate Risk Register to Scrutiny is such that the commission are also receiving information concerning Directorate performance at this meeting. It is envisaged that both the risk and performance information provided to the Committee should be reviewed together to aide effective challenge to both sets of information.
- 5.5.** The People Directorate Scrutiny Commission last received the Directorate Risk Register on 7th September 2015. The following paragraphs summarise the key changes to the risk environment since then:
- 5.6.** No new risks have been identified and added to the register since the last review.
- 5.7.** The only risk removed from the register since the last review is a short term risk relating to a contractual issue involving the withdrawal of the providers of Children and Young People’s Community Health Services which has since been resolved.
- 5.8.** There has been a change to Risk 5 major ICT project failure and this risk is now focussed on the coordination of case management systems across the Children’s, Adults and Education service
- 5.9.** There has been a change of focus to the risk around the number of households being managed at high intervention of crisis level. This is due to the fact that a number of housing services including homelessness have transferred to the Neighbourhoods Directorate and the focus is now on the potential loss of funding in Early Intervention.
- 5.10.** The risks around Educational Attainment and the number of young people not in Education, Employment or Training (NEET) have been merged as these both relate to educational outcomes.
- 5.11.** The risk level has increased in relation to Risk 1 Failure to Delivery the Medium Financial Plan and deliver savings.
- 5.12.** Risk levels have remained unchanged in all other areas.

Other Options Considered

- 6.** None necessary

Risk Assessment

7. Robust and effective strategic risk management arrangements are essential in helping the Council manage its business and deliver its priorities.

Public Sector Equality Duties

None necessary for this report

Legal and Resource Implications

Legal

None sought

Financial

(a) Revenue

None arising from this report

(b) Capital

None arising from this report

Land

Not applicable

Personnel

Not applicable

Appendices:

Appendix 1 – People Directorate Risk Register

Appendix 2 – Risk Matrix, Guidance parameters used to measure impact and Guidance parameters used to measure likelihood

LOCAL GOVERNMENT (ACCESS TO INFORMATION) ACT 1985

Background Papers:

None

	Risk Description, Causes, Consequences and Horizon	Risk Owner	Current Risk Management Arrangements (Current Mitigation) Responsible officer (RO):	Status of Current Mitigation	Current Risk Like/Imp	Target Risk Like/Imp	Further Actions Required	Timeframe for Action	Responsible Officer for Action
1	<p>Risk description Failure to deliver the Medium Term Financial Plan and deliver savings included in the financial plan</p> <p>Cause Failure to achieve required savings. Inadequacy of cash resources. Demographic pressures. Pressure points are currently in demand for home care and nursing care and children's specialist commissioning</p> <p>Consequence Savings not achieved. Budget not met. Financial shortfall. Unplanned reductions in services. Corporate objectives not met. Lack of organisational resilience. Failure to secure efficiencies and benefit realisation.</p> <p>Horizon Short/Medium term</p>	JR	<p>There is strong Directorate focus on delivering the savings in the financial plan as against the forecast Directorate shortfall.</p> <p>The Budget is monitored monthly at DLT.</p> <p>The Finance Business Partner role is fully utilised to maximise all opportunities.</p> <p>Collaboration with external funders e.g. PCT/CCG, DoH.</p> <p>Maintain financial controls and governance arrangements</p> <p>Regular reporting and challenge of Cabinet Member (People)</p> <p>Continue to work with health partners on Section 256 transfer agreements through Health and Wellbeing Board and other boards locally.</p> <p>A resourced and prioritised action plan is in progress to implement recommendations from EY 2015 Financial Diagnostic.</p> <p>Opportunities to promote independence reducing the need for high cost support and/or care provision are being implemented through the following programmes and projects: - Rehabilitation and Reablement - Bristol Retirement Living Programme which includes Extra Care Housing and the Dementia Care Home Partnership. The contracts for these projects have now been awarded and planning is being applied for.</p> <p>Promoting independence is supported and promoted by the Care Act and Independent Living Fund projects.</p> <p>Focus on needs assessment, care and pathway planning and targeted support to children in care and care leavers offers opportunities for them to achieve independence and improved outcomes on leaving care, reducing demand and costs in other service areas into adulthood.</p> <p>The Short Break provision for children has been recommissioned which promotes choice and control for children with disabilities and their families, underpinning the child centred approach.</p>	<p>In place</p> <p>In place</p> <p>In place</p> <p>In place</p> <p>Ongoing</p> <p>Ongoing</p> <p>Complete</p> <p>Ongoing</p> <p>Ongoing</p> <p>In place</p>	<p>Likely/ Critical (18)</p>	<p>Possible/ Critical (9)</p>	<p>Utilisation and allocation of reserves where possible and appropriate. Recharge/reclaim where appropriate.</p> <p>Identify sources of additional funding / resource</p> <p>Budget holders held to account for forecasting, overspend and underspend.</p> <p>Budget management actions agreed with budget holders and DMTs</p> <p>Completion of the following projects: - Rehabilitation & Reablement - Bristol Retirement Living programme which include the: *Extra Care Housing *Dementia Care Home Partnership projects</p> <p>Completion of the following projects: - Care Act - Independent Living Fund Services commissioned that will better meet the needs and target support for children in care and care leavers</p> <p>Other opportunities are being explored</p>	<p>2016/17</p> <p>2016/17</p> <p>2016/17</p> <p>2016/17</p> <p>2018/19</p> <p>Dec 2018</p> <p>Mar 2018</p> <p>Sep-16</p> <p>Sep-16</p> <p>Ongoing</p>	<p>John Readman</p> <p>John Readman</p> <p>John Readman</p> <p>John Readman</p> <p>Jayne Clifford</p> <p>Tim Wye</p> <p>Tim Wye</p> <p>Mike Hennessey</p> <p>Hilary Brooks</p> <p>John Readman</p>

	Risk Description, Causes, Consequences and Horizon	Risk Owner	Current Risk Management Arrangements (Current Mitigation) Responsible officer (RO):	Status of Current Mitigation	Current Risk Like/Imp	Target Risk Like/Imp	Further Actions Required	Timeframe for Action	Responsible Officer for Action
2	Risk description The Directorate fails to maximise opportunities afforded by the Change Programme Cause Costs outweigh benefits realisation. Pace of delivery is too slow. Insufficient resilience for continued delivery of services. Existing forecasts of demand growth are exceeded by reality due to cuts to other public services. Lack of resource, skill and experience in Project Management. Consequences Opportunities not realised. Organisation remains unfit for purpose. Unplanned cuts in services result in reputational damage. Savings not realised in full. Interruptions to business continuity. Failure to meet statutory duties. Horizon Short term 1-3 years	JR	A Local Monitoring Group (LMG) for delivering change has been set up to oversee the projects approved by Change Board in August 2015 which form the People Directorate Change Plan. The LMG meets monthly and comprises People DLT. It monitors progress and review the effectiveness of the change projects including monitoring the level of savings.	In place	Possible/ Critical (9)	Unlikely/ Critical (6)	Project implementation is now running. The resource plan was signed off by Change Board in August 2015. Highlight reports go to Change Board and there is a clear governance structure for all projects	2016/17	Netta Meadows
			LMG also consider the targeting of Project Resource to best maximise efficiencies. A Programme Manager leads the programme and project team. The recent transfer of the People based project team to Corporate Change Services increases transparency and visibility of the projects and ensures best use of corporate resources	In place			Engagement and maximisation of Applied Programme	Ongoing	John Readman
3	Risk description Failure to deliver the Capital Programme. Risk of insufficient resources to meet medium and long term requirements including delivery of sufficient school places Cause Increase in number of children needing school places. Increase in birth rate. Increase in number of people making Bristol their home putting pressure on school places Consequences Classes are not big enough. Increasing proportion of children not getting their first choice of schools. Impacting on Ofsted ratings. Horizon Long term	PJ	The Integrated Education & Capital Strategy was approved at the Learning City Board in January 2016 and is being implemented.	Ongoing	Possible/ Critical (9)	Unlikely/ Critical (6)	Continued engagement with delivery partners, particularly with the DfE regarding Free Schools.	Ongoing	Paul Jacobs
			Majority of schemes have been delivered on time and on budget. Continued engagement with delivery partners needed to ensure a high standard of delivery.	Ongoing			Ensure school properties are suitable and sufficient to meet curriculum needs	Ongoing	Paul Jacobs
			Annual funding from central government is in place	In place					
			Additional funding has been secured from central government where possible.	On schedule					
			Monthly reports to Capital Programme Board	In place					
Regular reporting to the Cabinet Member for Education & Skills, People DLT and SLT	In place								
4	Risk description Inadequate response to an emergency or continuity challenge Cause	MH/MF	To provide where appropriate, a direct service response under these plans. Support to Older People team (STOP) and the meals service in particular.	Ongoing	Possible/ Critical (9)	Unlikely/ Critical (6)			

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	<p>Failure to have adequate and up to date continuity plans in place. Lack of staff knowledge of plans and how to enact them</p> <p>Consequences Unacceptable disruptions to the delivery of critical services</p> <p>Horizon Long term</p>		<p>Directorate and Critical Services, are identified, risk assessed and continuity plans reviewed and exercised regularly.</p> <p>Winter Pressures Planning, attendance at urgent care boards and contributions to development of service/capacity plans for whole system approach.</p>	On schedule			<p>Critical Service Managers to attend mandatory business continuity training as and when appropriate</p> <p>Winter plan for 16/17 to be completed. The plan will be signed off at DLT and the Cabinet Member for People will be briefed .</p>	<p>Ongoing</p> <p>Dec-16</p>	<p>All service managers</p> <p>Tim Wye/ Stephen Beet</p>
5	<p>Risk description Coordination of case management systems across Children's, Adults and Education service</p> <p>Cause Failure to develop appropriate project plan and agree to contract terms and conditions with supplier</p> <p>Consequences Failure to provide treatment and adequate care to service users</p> <p>Horizon Medium term</p>	MH	<p>Creation of a Care and Education Systems Steering Group.</p> <p>Review of support teams</p>	<p>Complete</p> <p>Ongoing</p>	<p>Possible/ Critical (9)</p>	<p>Unlikely/ Critical (6)</p>	<p>Coordination of supplier relationship management, joint with Business Change (Dominic Mason).</p>	Dec-16	Rob Logan
6	<p>Risk Description: The Directorate fails to ensure adequate safeguarding measures are in place resulting in harm or death to a vulnerable adult or child</p> <p>Causes Lack of capacity and an increase in the number of CSE cases due to better identification.</p> <p>Consequences Culpable for harm or fatality of vulnerable adult or child. Litigation. Financial costs. Reputational damage.</p> <p>Horizon: Current and on-going</p>		<p>Safe recruitment processes / Disclosure and Barring Service checks for staff working with vulnerable adults and monitoring of commissioned services is robust.</p> <p>The Safeguarding Boards (Adults and Children) maintains oversight; monitoring performance, quality and learning from serious incidents; delivers training and leads on key strategic priorities, providing scrutiny and challenge where required</p> <p>Best practice outlined in the Care Act 2014 is embedded in processes which are monitored and refinements made to as needed.</p>	<p>On schedule</p> <p>On schedule</p>	<p>Possible/ Critical (9) but reducing</p>	<p>Unlikely/ Critical (6)</p>	<p>The Independent chair of Bristol Safeguarding Adult's Board has overseen an overhaul of the Board; revised terms of reference for subgroups are in place; a new preventative strategy was presented to SAB 3 May 2016; all chief officers have signed a memorandum of understanding; both the Bristol Safeguarding Adults and Children's Boards are now serviced by a single business unit and recruitment is ongoing.</p> <p>The full roll out of updated approach to Making Safeguarding Personal has been completed. All relevant staff have been trained in the MSP approach and all tools are available.</p>	<p>Complete</p> <p>Complete</p>	<p>Mike Hennessey/Hilary Brooks</p> <p>Mike Hennessey</p>

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			Strong relationship with regional Quality Surveillance Group and Care Quality Commission. Six weekly meetings take place to collate intelligence to inform decision making around registered providers.	On schedule					
			A Contracts and Quality Service Manager is in post and responsible for overseeing the quality of services delivered.	Ongoing			The 'Quality Assurance Framework' now embedded into contracts for care homes, home care and, by the end of this year, community support services. The original QAF is now being revised to include learning and good practise from the initial phase.	December 2016	Mel Rogers
			Work with the Voluntary and Community Sector and Health watch to support our Quality Assurance function. RSVP has been commissioned to do this.	On schedule					
			Thresholds guidance, accreditation and other key policies and Quality Assurance Frameworks are implemented, These are regularly reviewed in line with Care Assurance.	Ongoing					
			Work with practitioners by effective use of continuing professional development, PMDS and supervision to ensure clarity of functions and understanding and implementation of best practice. Use of the professional capabilities framework to evaluate practice				Continue to develop the approach to new duties around safeguarding in care and support of Adults.	Ongoing Crossed the line and requirements met; ongoing to refine.	Mike Hennessey
		HB	Children An Early Help Service is now in place for children's services using a triage process to ensure that needs are met early, costs are minimised and pressure on social care is reduced. Comprehensive workforce development programme implemented.	On going			Children The continuing refinement and use of Predictive Analytics to try to identify needs at the earliest stage.	Dec-16	Gary Davies
			The Children's Service Improvement Plan Year 2 is in place and is focused on key areas for improvement for safeguarding, children in care and care leavers. Implementation of the plan is overseen by an Improvement Board which meets monthly.	On schedule and ongoing					
			A Child Sexual Exploitation Strategy led by the Bristol Safeguarding Children Board is in place and its effectiveness is being monitored.	On going			Continuing to work together with partner agencies, particularly the Police, in order to identify new cases of CSE and/or children at risk of CSE.	Ongoing	Hilary Brooks
7	Risk Description: An adult older or vulnerable person suffers avoidable death, serious injury or abuse whilst under the care of the council. Causes Lack of adherence to procedures, poor practice, lack of capacity. Consequences Culpable for harm or fatality of	MH	Adherence to H&S requirements, risk assessments with adequate mitigations for risk in place. Out of Area Treatment Panel in place. Policy for dealing with inadequate services in place	Ongoing Ongoing Complete	Probable/ Significant (8)	Possible/ Significant (6)	Completion of Corporate H&S Management System (CHaSMS) by all managers	Ongoing	Mel Rogers

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	vulnerable adult. Litigation. Financial costs. Reputational damage. Horizon: Current and on-going		Compliance with care management policies / procedures. Social Workers are registered with HCPC, supervised and records kept. Active PQ programme in place for qualified staff. SW supervision in place and SW board focus on professional standards Monitoring visits by quality assurance officers have assisted in raising the standards with Care Homes. Emergency Duty Team work with Out of Hours Team to identify and pick up the care needs for the more vulnerable adults whose of care and/or support packages are at risk. This includes those with mental Health needs. Regular inspection and regulatory processes undertaken by CQC.	Ongoing Ongoing Ongoing			Adherence to professional standards, supervision, PMDS Care Management Review A principal social worker has now been appointed. An enhanced award and recognition package for the Approved Mental Health Professional service to retain good staff and reduce risks to vulnerable adults.	Ongoing Ongoing Completed	Mike Hennessey Mike Hennessey Mike Hennessey
8	Risk description Failure to meet corporate responsibilities to protect children in need and inadequate support to Children Looked After Causes Huge increase in demand and complexity in cases resulting in a lack of capacity Consequences Culpable for harm or fatality of vulnerable child. Litigation. Financial costs. Reputational damage. Horizon Current and on-going	HB	Safeguarding processes robust and effective. Performance of the service is regularly reported to the Bristol Safeguarding Children Board. Children in care and Care Leaver services have now been remodelled which has improved the size of caseloads and quality of through care services for young people The Children's Services Improvement Plan is in place in order to improve the quality of assessments and plan. Comprehensive training programme. The Corporate Parenting Panel meeting regularly and provides challenge to the service	Ongoing In place In place Ongoing In place Ongoing	Possible/ Critical (9)	Possible/ Significant (6)	Cases that no longer meet the current threshold will be reviewed and closed. Children in Care cases will be audited to ascertain whether the number of looked after children can be reduced.	Dec-16 Dec-16	Hilary Brooks Hilary Brooks
9	Risk description That a regulated service is rated 'Requires Improvement' or 'Inadequate' on inspection by the Care Quality Commission (CQC). A non regulated service is subject to concerns about quality or safety. Causes Failure to have adequate facilities. Staffing levels and training. Lack of monitoring procedures put in place.	MH	Social Workers registered with HCPC, supervised and records kept. Case Discussion Forum implemented. Support plans checked by Care Brokerage Team Revised Care Management structure which more clearly identifies roles and responsibilities for teams and avoids the risk of silo approaches	Ongoing Ongoing Ongoing	Probable/ Significant (8)	Possible/ Significant (8)	People DLT to receive a quarterly report of in house services inline with CQC inspections. Monitor casework practice and other areas known to be on CQC inspection agenda.	Ongoing 2016/17	Mike Hennessey Mike Hennessey

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	<p>Consequences Reputational risk to the authority</p> <p>Horizon Current and on-going</p>		<p>Active Post qualification programme in place for qualified staff</p> <p>As part of all quality monitoring, issues of concern are raised with providers and addressed in a timely fashion</p> <p>Quality assurance visits undertaken as part of quality monitoring framework. A revised Quality Framework is at the consultation stage.</p> <p>A developed joint protocol with the Clinical Commissioning Group (CCG)</p> <p>Membership to the Quality Surveillance Group</p> <p>Regular liaison with the CQC</p>	<p>In place</p> <p>Slipped</p> <p>In place</p> <p>In place</p> <p>In place</p> <p>In place</p>			<p>A joint protocol with CQC now in place.</p> <p>Jointly consulting with NHS regarding new contracts due in 2016.</p>	Ongoing	Netta Meadows
10	<p>Risk description Loss of funding in Early Intervention resulting in too many households being managed at high intervention or crisis level.</p> <p>Cause Lack in opportunities to recognise deterioration of escalation of need and the need for funding to support early intervention</p> <p>Consequence See above. Continued high cost and late interventions and poorer outcomes. This would result in an increase in demand on children and family and adult services due to lack of early intervention.</p> <p>Horizon Medium term</p>	MF	<p>Early intervention and further integration as an approach, and join up across partners is being actively promoted and pursued at Strategic Council and Partnership level. Recognition of the value of these services is acknowledged at Senior Leadership Team level.</p> <p>Working with partners in the city to create a new model and embed Early Intervention across the city. The implementation of greater choice and control ensures individuals receive the right services to meet their needs thus promoting recovery or delaying deterioration and need of statutory services/thresholds being met.</p> <p>Early Help Teams, Family Intervention Team and Supporting Families Contracts are fully operational</p> <p>The expanded Troubled Families Programme underpins preventative work and supports whole system approach. This programme is funded up until 2020.</p> <p>DSG Funding is in place until 2017.</p> <p>Bristol Youth Links Contracts are in place, targeting of the most vulnerable to receive services and support is being driven and monitored through regular contact monitoring.</p> <p>Funded Learning for two year olds is in place with take up increasing.</p>	<p>Ongoing</p> <p>Ongoing</p> <p>In place</p> <p>Ongoing</p> <p>In place</p> <p>Ongoing</p> <p>In place</p>	<p>Probable/ Significant</p> <p>(8)</p>	<p>Probable/ Significant</p> <p>(8)</p>	<p>Applied programme will review opportunities for 'demand management' through EI.</p> <p>Managed pathways between different tiers of service provisions.</p> <p>Development of information, advice and advocacy provision</p> <p>Implementation and development of Early Help and Intervention services –using additional DSG resource targeting resources to meet need early, reducing cost and alleviating pressure on social care. Triage case work progressing and effectiveness to be reviewed</p> <p>Review and recommissioning of the Bristol Youth Links Contracts</p> <p>Number of SAFs (Single Assessment Framework) completed by the Early Help network to increase</p> <p>Publication and promotion of the Two Year Old Offer</p>	<p>No date set</p> <p>2016/17</p> <p>Dec-16</p> <p>Mar-17</p> <p>Mar-17</p> <p>Dec-16</p> <p>Ongoing</p>	<p>Tara Dillon</p> <p>Michele Farmer</p> <p>Gary Davies</p> <p>Michele Farmer</p> <p>Gary Davies</p> <p>Michele Farmer</p> <p>Sally Jaeckle</p>

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11	<p>Risk description Failure to ensure the equality of educational opportunities across all ages and all communities to deliver continued improvement in Educational attainment and reduce the number of young people Not in Education, Employment or Training (NEET)</p> <p>Causes Variation in needs of learners Variation in performance of City schools. Strong private education sector in adjacent environment. Insufficient staffing levels and/or adequately trained staff Lack of performance monitoring. Economic downturn.</p> <p>Consequences Inequalities are not addressed. Schools do not improve fast enough in both GCSE and A levels. Impairment of life chances for Bristol citizens i.e. reduced earnings capacity/lifelong dependency on benefits. Divided City. Reputation tarnished.</p> <p>Horizon Medium term</p>	PJ	<p>The City Council has an Education and Skills Service which is structured to enable Bristol City Council to both fulfil its statutory role of education provision and to ensure it can play a key role in education systems leadership and development across the City.</p> <p>The Trading with Schools Service is in place to provide support to schools in being self-improving and to quality services. The service also provides a link between the Council and schools providing intelligence on schools performance and their contribution to achievement of the Council's statutory role of education delivery. An income strategy is in place.</p> <p>The Children & Families Board meet six times each year and focus on improving outcomes, with strategic oversight of priority areas and taking joint action accordingly. Membership of the Board is periodically refreshed and their terms of reference agreed. A 16/17 work programme has been agreed.</p> <p>The Children's Services Improvement Plan Year 2 is in place and being implemented to secure better outcomes for children in care and care leavers and is monitored by the Improvement Board.</p> <p>A Learning City Board has been established to strengthen school to school partnerships, focussing on outcomes. And, an Excellence in Schools group within the Learning City partnership has been established to bring coherence to schools partnerships in the City.</p> <p>The Learning in Education challenge group within Learning City will have an overview of education outcomes in the City.</p> <p>All schools causing concern have a clear action plan and are monitored closely with reporting to DLT and the Cabinet Member for Education & Skills. There is an increasing use of support from</p> <p>All aspects of education performance are regularly monitored by reporting to DLT, SLT and Cabinet Member for Education & Skills and reviewed by the Directorate Scrutiny Commission. Links between</p> <p>14-19 Action Plan in place and updated annually. Action plan for care leavers aged 19, 20, 21 in education, employment or training monitored.</p> <p>Schools/Colleges have agreed to supply data on education offers and uptake.</p>	<p>On schedule and ongoing</p> <p>On schedule and ongoing</p> <p>On schedule</p> <p>On schedule</p> <p>On schedule</p> <p>Ongoing</p> <p>Ongoing</p> <p>On schedule</p> <p>Ongoing</p> <p>In place</p>	<p>Possible/ Critical (9)</p>	<p>Unlikely/ Critical (6)</p>	<p>Focus on underperforming groups at all key stages and increasing the percentage of Children's Centres rated good or better by Ofsted. A coherent Teaching School offer now in place and meeting regularly to develop the offer.</p> <p>Develop the governance and business model for further Trading with Schools in the context of the Bristol Companies model and in partnership with schools</p> <p>Implement SEND Development Plan and new Alternative Learning Commissioning Plan</p> <p>A new Children and Families Strategy for 2016-20 to set out key priorities for the City with key partners is in development and will be signed off at Cabinet in November.</p> <p>The Children's Services Improvement Plan Year 2 to be signed off at Cabinet and completed.</p> <p>The Learning City Challenge Groups need to embed and wider communication and engagement secured with partners and more widely with citizens.</p> <p>All NEET young people receiving appropriate support to achieve goals</p>	<p>Ongoing</p> <p>Dec-16</p> <p>Sep-16</p> <p>Nov-16</p> <p>Jul-17</p> <p>Jul-17</p> <p>Ongoing</p>	<p>Paul Jacobs</p> <p>Paul Jacobs</p> <p>Paul Jacobs</p> <p>Michele Farmer</p> <p>Paul Jacobs / Hilary Brooks</p> <p>Paul Jacobs</p> <p>Jackie Turner</p>

	Risk Description, Causes, Consequences and Horizon	Risk Owner	Current Risk Management Arrangements (Current Mitigation) Responsible officer (RO):	Status of Current Mitigation	Current Risk Like/Imp	Target Risk Like/Imp	Further Actions Required	Timeframe for Action	Responsible Officer for Action
			<p>Negotiation and extension of Bristol Youth Links Contracts. The contracts has been improved to clarify data transfer and priority groups and NEET drop in services have been established in all BYL locality areas and citywide drop in centre</p> <p>Agreement for Engagement Workers to be available in schools/colleges on results day to ensure that GCSE pupils can find a course for September</p> <p>Pilot schemes in place to support care leavers.</p> <p>Closer working links established with Work Based Learning providers, Job Centre Plus advisers as well as post-16 providers.</p>	<p>In place</p> <p>In place</p> <p>Ongoing</p> <p>Ongoing</p>					
12	<p>Risk description Potential unitary charge shortfall. Cause Declining pupil numbers Consequence There is a significant shortfall in unitary charge to be paid for PFI schools buildings Horizon To be paid over the remaining life of the PFI scheme (c.25 years)</p>	PJ	<p>DfE to reconsider current position as part of their next spending review</p> <p>DfE Surplus Place return completed</p> <p>The Integrated Education & Capital Strategy was approved at the Learning City Board in January 2016 and is being implemented.</p> <p>External review of PFI complete and report recommendations are being implemented.</p> <p>Revised forecast model in use</p>	<p>Ongoing</p> <p>Complete</p> <p>Ongoing</p> <p>In place</p>	<p>Possible/ Critical (9)</p>	<p>Unlikely/ Critical (6)</p>	Strengthened oversight of PFI schemes within the People Directorate.	Ongoing	Rob Logan
13	<p>Risk description The Directorate fails to commission appropriately, and services do not meet the needs of the users/communities Cause Inadequate commissioning arrangements. Mechanisms are not in place to shape the market, and to fully consult/engage and understand needs of service users and communities. Consequences Poor quality and inefficient services. Unable to re-design services. Damage</p>	NM to lead	<p>The Council has an 'Enabling Commissioning' approach - a commissioning framework which requires all commissioning activity to operate around the whole 'commissioning cycle' (Analyse, Plan, Do, Review) ensuring a strong understanding of demand and user need, comprehensive market analysis and development, and rigorous management of contractual relationships with internal and external providers.</p> <p>The framework also provides decommissioning guidance for planning and managing a service reduction or terminating services in line with commissioning objectives.</p>	In place	<p>Possible/ Critical (9)</p>	<p>Unlikely/ Critical (6)</p>	<p>Develop our ability to market manage services and to respond to the changing dynamics of the provider market (irrespective of sector). This can be achieved by:</p> <ul style="list-style-type: none"> - improved commissioning intentions, with consideration of how we disclose our intentions to the market - Ensuring we always have clear commissioning strategies that articulate our future demands for service provision. - Where applicable publish commissioning intentions which are regularly updated. 	September 2016 and ongoing	Procurement and Commercial Relations Manager/ All commissioning Service Directors

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	to reputation. Failure to secure value for money. Provider failure. Horizon Medium term		The provision of commissioned services is monitored to ensure the continued quality and delivery of those services. Where performance monitoring suggests services are not to standard, the delivery mechanism for those services is reviewed and appropriate action taken.	Ongoing			Procurement and Commercial Relations Manager filled on an interim basis (pending external recruitment) and postholder to review initiatives and whether new tendering system is embedded and used to actively monitor and manage contracts across the Council.	September 2016 and ongoing	Procurement and Commercial Relations Manager	
							Ensure that all commissioners use the Enabling Commissioning Framework via the introduction of "checkpoints" to ensure consistency, best practice and appropriate strategic connections. Complete for Commissioners in People Directorate.	September 2016 and ongoing	Netta Meadows	
				The Corporate Procurement Team also support commissioning but also to understand market shaping and market dynamics.	In place			Commissioning intentions/ forward programme and a consolidated list for major projects published on the website and available via the new tendering system Proserve. Updated quarterly.	Ongoing	Procurement and Commercial Relations Manager
				· Disseminating commissioning and procurement best practice ,lessons learned and providing guidance / advice in respect of the EU, National and BCC procurement regulations and · Ensuring contracting processes are transparent and fair, facilitating the involvement of the broadest range of suppliers.	In place			In addition, commissioners and the procurement team are involved in early market engagement activities on a project by project basis and publishing more frequently "future opportunities" on the Contracts Finder site. A training day for major suppliers has been held.	Ongoing	Procurement and Commercial Relations Manager
				Joint Commissioning opportunities with other major commissioning organisations both within the city and with neighbouring Councils are always explored and this is enabled through internal and external mechanisms such as such as the Health and Wellbeing board , Children's & Families board , West of England Local transport Body etc.	Ongoing			Funding received from learning and development to run in conjunction with the Crown commercial services an early market engagement course. This was run on a "train the trainer" basis so that the best practice can be cascaded through the business. The cascade is ongoing.	Ongoing	Procurement and Commercial Relations Manager
				The City Council has recently reorganised, with renewed focus on commissioning in the largest directorate (People). Joint commissioning opportunities are always considered in order to bring together other major commissioning partners across the City. This is enabled via the Health & Wellbeing Board and the Children's & Families Board etc.	Ongoing			To continue to ensure that all commissioners use and understand the Enabling Commissioning Framework.	Ongoing	All Commissioning Service Directors
				In managing People Services demand, the whole care pathway is considered to enable an understanding of the key drivers that result in demand. The Council receives 'Better Care' funding, operates section 75 agreements and has pooled budgets with the CCG to help resource our management of demand.	In place					
			As part of contract management and the commissioning we undertake consultation and engagement with service users, citizens, providers and stakeholders. This enables us to explore gaps in provision quality and to co-produce where appropriate.	In place						

Corporate Risk Matrix Ratings

Likelihood	6	Almost certain	6	12	18	24
	5	Likely	5	10	15	20
	4	Probably	4	8	12	16
	3	Possible	3	6	9	14
	2	Unlikely	2	4	6	8
	1	Almost Impossible	1	2	3	4
Overall Risk Rating = Likelihood X Impact			Marginal	Significant	Critical	Catastrophic
			1	2	3	4
			Impact			

Guidance on Assessing Likelihood

Likelihood Rating	Likelihood Descriptors	Numerical Likelihood	
6	Almost certain	Surely will happen and possibly frequently	99% or more
5	Likely	Probably will happen at regular intervals	75% or more
4	Probable	Probably will happen on rare occasions	50% or more
3	Possible	Might happen on rare occasions	Less than 50%
2	Unlikely	Do not expect it to happen, but it is possible it may do so	Less than 25%
1	Almost impossible	This will probably never happen	Less than 1%

Guidance of Assessing Impact

Ratings	Effect on service provision Potential	Potential Financial Loss/Gain	Potential Fraud & Corruption loss	Reputation	Legal	Environmental	
1	Marginal	Very limited effect (positive or negative) on service provision. Impact can be managed within normal working arrangements.	Under £0.5m	Under £50k	Minimal and transient loss of public trust. Contained within the individual service	No significant legal implication or action is anticipated	No effect (positive / negative) on the environment / community
2	Significant	Noticeable and significant effect (positive or negative) on service provision. Effect may require some additional resource, but manageable in a reasonable time frame.	Between £0.5m-£5m	Between £50k - £100k	Significant public 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.	Tribunal / BCC legal team involvement required (potential for claim)	Short term effect (positive or negative) on the natural and or built environment.
3	Critical	Severe effect on service provision or a corporate plan priority area. Effect may require considerable additional resource but will not require a major strategy	Between £5m-£10m	Between £100k - £1m	Serious potential for enhancement of or damage to reputation. Higher levels of local media / social media interest. Dissatisfaction regularly reported through Council Complaints procedure. Higher levels of local or national interest.	Criminal prosecution anticipated and or civil litigation.	Serious local discharge of pollutant or source of community annoyance that requires remedial action.
4	Catastrophic	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	More than £10m	More than £1m	Highly significant potential for enhancement of or damage to reputation. Intense local, national and potentially international media attention. 'Viral' online social media. Public enquiry or poor external assessor report.	Criminal prosecution anticipated and or civil litigation (> 1 person)	Lasting effect on the natural and or built environment.