SOUTH LANARKSHIRE COUNCIL

Report

Report to:	**Social Work Resources Committee**
Date of Meeting:	**7 September 2022**
Report by:	**Director, Health and Social Care**

Subject:	**Social Work Risk Register**

1. Purpose of Report

1.1. The purpose of the report is to:-

♦ provide an update on the Social Work Risk Register and the risk control actions for Social Work Resources

♦ seek approval to report progress on the Social Work Approve reporting at every Social Work Resources Committee

2. Recommendation(s)

2.1. The Committee is asked to approve the following recommendation(s):-

(1) that the content of the report be noted; and

(2) that future updates on the Social Work Risk Register be reported at every Social Work Resources Committee.

3. Background

3.1. From a good practice and sound governance perspective, all public bodies are required to identify and take account of the impact of any potential risks in delivering services and discharging their obligations.

3.2. The Council's Risk Management Strategy promotes consideration of risk in service delivery, planning and decision-making processes. The strategy requires Resources to record and review risks and control actions regularly.

3.3. The purpose of the Risk Register is to ensure that the Resource is fully aware of its top risks; that these risks are prioritised; and that controls are in place to eliminate or minimise the impact of the risks. Risks are scored on their inherent score (risk if we do nothing) and their residual risk (risk after applying controls).

3.4. The Council aims to be *risk-embracing*, that is it will accept a tolerable level of risk in seeking service efficiencies and in agreeing control measures. All Resources are adopting the "Three Lines of Defence" model as it provides a valuable framework in assuring the effective management of risk.

3.5. The level of risk facing the Council is measured both before (inherent risk) and after (residual risk) consideration of controls. Risks scored 15 to 25 are considered to be very high risks, and risks scored 8 to 12 are considered to be high risks. Very high and high risks are monitored particularly closely. The top risks identified for a Resource are those residually scored as very high or high.

3.6.   Social Work Resources seeks to promote an environment that is risk aware and strives to place risk management information at the heart of key decisions. This means that the Resource can take an effective approach to managing risk in a way that both addresses significant challenges and enables positive outcomes.

3.7.   The last update of the Social Work Resources Risk Register was reported to Social Work Resources Committee on 10 November 2021. The Social Work Resources Risk Sponsor Group regularly reviews the Risk Register, with the most recent review in April 2022. The current Resource Risk Register is attached at Appendix 1.

3.8.   Governance and oversight arrangements are in place through the following:
*   Bi-monthly meetings to Resource Risk Management Group to review the Risk Register with each service area.
*   Quarterly meetings with Central Risk Management Team
*   Monthly meeting to review any risks associated with the Health & Social Care Partnership (HSCP) and the South Lanarkshire Integration Joint Board (IJB) which may impact on the Resource Risk Register
*   Standing agenda item on Social Work Governance Group
*   Social Work Resources Risk Register reported annually to Social Work Resources Committee and South Lanarkshire Council Executive Committee
*   Oversight by Internal Audit

3.9.   In order to strengthen the oversight arrangements, it is proposed that an update report on risk will be provided at each Social Work Resources Committee alongside the annual overview report being provided in November/December each year.

4.   Current Position
4.1.   Work is being prepared by the Resource Risk Sponsors Group to finalise the review of the Resource Risk Register. Risk scorecards are being reviewed to consider risks at a service level as well as a strategic level.

4.2.   The development process for the Resource Plan requires a risk assessment process to be undertaken, as appropriate, resulting in some actions within the Resource Plan having a corresponding risk identified within the Risk Register. Similarly, there are risks within the Health and Social Care Partnership and Integration Joint Board risk registers which may have an impact on the Resource Risk Register.

4.3.   The status of the risk register is as follows:
*   risk descriptions, controls and actions are being reviewed by risk owners
*   There is a new risk concerning workforce capacity – there are significant supply-side labour market availability challenges for social care locally just as there are nationally
*   there is a risk recognising the challenging Council funding situation affecting all Resources
*   there is a new risk associated with the proposed National Care Service
*   the risk of failing to evidence sufficient progress against Care Inspectorate requirements remains in relation to all registered services. However, improvement in the risk to the Council about Care at Home Services has been removed from the Council's risk register due to the progress made in service improvement and increase in Care Inspectorate gradings
*   the risk associated with EU Brexit is being removed from the Council's risk register as well as the Social Work Risk Register

4.4.   Table 1 shows the top risks heat map, that is, it details the total number of risks for those categorised as very high or high.

Table 1 – Top Risks Heat Map

		1 Negligible	2 Minor	3 Moderate	4 Major	5 Catastrophic
Likelihood	5 Almost Certain				4	
	4 Likely				6	
	3 Possible				9	
	2 Unlikely					
	1 Rare					
		1 Negligible	2 Minor	3 Moderate	4 Major	5 Catastrophic
		Impact				

4.5.   The Committee is asked to note the contents of the current Resource Risk Register.

5.   Employee Implications
5.1.   There are no direct employee implications associated with this report.

6.   Financial Implications
6.1.   There are no direct financial implications associated with this report.

7   Climate Change, Sustainability and Environmental Implications
7.1.   There are no direct environmental implications associated with this report.

8.   Other Implications
8.1.   From a good practice and sound governance perspective, all public bodies are required to identify and take account of the impact of any potential risks in delivering services and discharging their obligations.

9.   Equality Impact Assessment and Consultation Arrangements
9.1.   This report does not introduce a new policy, function or strategy or recommend a change to existing policy, function or strategy and therefore, no impact assessment is required.

Soumen Sengupta
Director, Health and Social Care

9 August 2022

Link(s) to Council Values/Priorities/Outcomes
Accountable, effective, efficient and transparent

Previous References
Social Work Committee Report 10 November 2021 – Update of the Social Work Risk Register and Risk Control Plan

List of Background Papers

♦ None

Contact for Further Information
If you would like to inspect the background papers or want further information, please contact:-
Colette Brown, Planning and Performance Manager
Ext: 3447 (Phone: 01698 453447)
Email: colette.brown@southlanarkshire.gov.uk

Social Work Resources Risk Register (as at 19 April 2022)
Extract of risks with residual score category of Very High and High

	Risk Category	Key Risk	Inherent risk score	Sample of Controls	Residual risk score
1	1 **Very High (15-25)**	**The Council does not provide an adequate response to the pandemic; maintaining critical services; delivering emergency response commitments as a Category One Responder; and protecting wellbeing of employees and service users as far as reasonably practicable. Responding to the pandemic will impact on everything else the Council does** ♦ Health and Social Care Services increased pressures/service demands ♦ Absence rate increases due to the Pandemic and increased pressured on wellbeing of workforce ♦ Increased vacancy levels due to attrition rate of qualified staff to fulfil statutory requirements **Council Top Risk**	25	♦ Roll out of MS Teams throughout the Council ♦ Health and wellbeing portal for staff ♦ Continued working from home arrangements in place ♦ Safe systems of working continue to be adopted ♦ New methods of service delivery such as outreach in place. ♦ All Council offices regular cleaning regime ♦ All workplace appropriate social distance signage in place ♦ Partnership risk registers in place ♦ All Core service continued to operate ♦ All core staff remained in work ♦ Testing frequency increased ♦ Ease of access to lateral flow testing ♦ National vaccination programme underway ♦ Planned Covid booster and flu vaccination autumn programme ♦ Regular statistical briefing email ♦ Effective communication systems in place ♦ Regular monitoring as restrictions ease ♦ More services remobilising as restrictions ease ♦ Enhanced cleaning and safe systems of work (infection prevention and control)	20

	Risk Category	Key Risk	Inherent risk score	Sample of Controls	Residual risk score
2	1 **Very High (15-25)**	**Failure to ensure the health, safety and wellbeing of employees and the protection of service users and members of the public in the delivery of council services.** ♦ Increased demand on Mental Health Services ♦ More vulnerable service users ♦ Staff capacity with increasing absence rates and attrition of qualified posts and challenges in recruitment ♦ Building based services, remote working, key business activity ♦ Restrictions with use of vans etc ♦ UWS 32000 hours backlog ♦ Operation Koper and potentially fatal accident inquiry (only care homes) ♦ PPE sourcing and correct materials sourced ♦ Service users non vaccinated ♦ New fire safety legislation and installation could impact on existing Community Alarms ♦ Challenges to deliver group work programmes (Caledonia etc) ♦ New variant, Omicron impacts ♦ Reduction of face to face engagement **Council Top Risk**	25	♦ Child and Adult Protection policy and procedures and governance procedures in place to guide all staff ♦ All Social Work establishments use the Corporate Occupational Health and Safety Management System. This includes developing and carrying out appropriate risk assessment and sharing information with employees and service users ♦ Protection of Vulnerable Groups (PVG) checks are carried out for all individuals who have contact with service users including staff, foster carers, and paid carers ♦ A range of telecare and assistive technology provides a means of monitoring children, young people and adults who may be at risk from a range of different types of harm ♦ Front line managers can access daily management information Reports from our SWiSplus client index and the IMPROVe performance system ♦ Workforce regulated by Scottish Social Services Council ♦ Safe systems of work ♦ Mental Health wellbeing resource available for staff ♦ UWS, unpaid work at home initiative ♦ Enhance case management for those who do not attend UWS ♦ Third sector supports (Action for children Sacro bolster Service provision ♦ Wellbeing and health and safety of staff ♦ Additional vehicles ♦ Safe systems of working ♦ Virtual technology (lack of face to face)	20

	Risk Category	Key Risk	Inherent risk score	Sample of Controls	Residual risk score
3	1 **Very High (15-25)**	**Lack of capacity and skills to provide and meet increased service demands** ♦ Competition with other industry sectors ♦ (retail and hospitality sector, less responsibility) ♦ Competition within Social Care sector ♦ Covid – expectation of vaccination ♦ Qualified Social Work and front-line Manager salary differential across the country ♦ Volume of inexperienced workers and front-line Managers ♦ Differential in salaries with other LA's ♦ Competition with other and within the sector ♦ Staff turnover ♦ Newly qualified and less experienced **Council Top Risk**	25	♦ Learning and development Board identifies, and monitors training and support required ♦ Social Work Governance Board in place with LDB reports tabled ♦ Council Workforce plan ♦ National integrated workplan 2022/25 ♦ Registration requirements for care at home and housing support services ♦ Working time Directives ♦ Learn of Line Mandatory Courses ♦ Plans to scope the use of digital platforms to deliver training ♦ Consideration of peripatetic teams ♦ Monitoring of increased service demands ♦ Recruitment and new posts on establishment ♦ High uptake of vaccinations ♦ Implications of National Care Service Consultation ♦ Additional funding from SG for Care at home (all recruiting at same time) ♦ Senior Practitioner role and team leaders (knock on to other service areas) ♦ Job evaluation – residential staff, sustainability of overall service	20

	Risk Category	Key Risk	Inherent risk score	Sample of Controls	Residual risk score
4	1 Very High (15-25)	**Reduction in external funding and fees/income received by the council, as well as increased service demands, results in saving difficulties**. ♦ Failure to generate income from charging policy **Council Top Risk**	25	♦ Active participation in the Efficiency agenda ♦ Annual budget meetings ♦ Service reviews and redesign ♦ Assessment and care arrangements and income maximisation opportunities ♦ Service Reviews including IT solutions to deliver service models ♦ Reassess 'waiving of charges' SDS in relation to carers Adults Carer Support Plans ♦ Procurement of Carers Services, Care at Home and Support Services to those with Learning disabilities ♦ Operation of Eligibility Criteria ♦ IJB Chief financial officer ♦ Additional short term funding sources ♦ Money Matters service continues to income maximise ♦ Eligibility Criteria aligned to Day Services (Lifestyles) ♦ Quality Assurance and Commission Team in place	20
5	1 Very High (15-25)	**The Council does not fully deliver the strategic outcomes of the IJB as outlined in their Strategic Commissioning Plan** ♦ Independent Review of Social Care and role of IJB **Council Top Risk**	25	♦ Chief Officer representation on Group ♦ SOLAR Guidance ♦ Strategic Commissioning Plan Current review and consultation ♦ IJB Directions issued to Council and NHS Board annually ♦ SMT Work plan re the transformation/change agenda ♦ Chief Officers Network facilitated by the Scottish Government ♦ Code of Corporate Governance ♦ Performance reporting framework ♦ Tripartite Joint Chief Executive meetings ♦ Chief Officer 1-2-1 meetings with Chief Executives ♦ Active Carer Representative on IJB ♦ Recommendations from IRASC (Feely Report) powers to IJB's	16

	Risk Category	Key Risk	Inherent risk score	Sample of Controls	Residual risk score
6	1 **Very High (15-25)**	**Community Alarms - Failure to properly prepare and successfully transition from the current analogue services to a digital solution within the pre-determined timescale** ♦ There are currently approximately 9,000 community alarm users in South Lanarkshire ♦ Interlinked fire and smoke sensors installation could lead to unintentional removal of existing alarms as part of work undertaken to met SG fire safety laws.	25	♦ Senior management team representation on ICT programme Board ♦ Workstream dedicated to digital switchover15 ♦ Capital programme funding agreed to support test of change ♦ South Lanarkshire Health and Social Care Partnership agreed to part fund a post within IT to map out the issues and way forward ♦ Ofcom have been predicting that telecommunications providers will stop supporting the public switched telephone network (PSTN) and Integrated Services Digital Network by 2025 ♦ Dedicated officer supporting this agenda ♦ Number of individual workstreams ♦ Programme Board and reports to CMT and Committee ♦ Scheduled visits and call being undertaken ♦ Developing coms strategy ♦ National tender for alarm receiving centre	16
7	1 **Very High (15-25)**	**Failure to evidence sufficient progress against Care Inspectorate requirements** ♦ Resource responsible for 39 Registered Care Services ♦ Progress Care Inspectorate Action Plan for children and young people in need of care and protection in South Lanarkshire. Outstanding Advocacy and Kinship Continuing Care protocol ♦ Future Adult Support and Protection Inspection. Risks associated with capacity due	20	♦ New Link CI Inspector ♦ Transformation Change reports presented to Committee ♦ Positive subsequent Registered Services inspection reports ♦ Care at home oversight group ♦ Care Home oversight group ♦ Regular touchdown meetings with the Care Inspectorate (in house) ♦ Other localities have low risk inspection reports all have improvement plans. ♦ All services have a service improvement plan ♦ Annual Returns complete (22 March 22) ♦ Six monthly Report to SW Committee regarding C I grades ♦ Updates on Joint Inspection Action Plans to GIRFEC South Lanarkshire Board	16

Risk Category	Key Risk	Inherent risk score	Sample of Controls	Residual risk score
	to Pandemic response, absence and staff retention for Council Officers/Qualified Social Workers and front-line Managers ♦ New key QI standard 7.2 National care standard re Health and Safely ♦ C.I Outbreak visits, Drop ins ♦ Operation Koper (Fatal accidents) ♦ Risk on service meeting regulatory requirements as part of inspection (lags with reviews) ♦ Increase in ASP's ♦ Care Home Services (external) presenting range of challenges		♦ Children's Services Promise Board established ♦ Promise workers recruited ♦ Preparation well underway for ASP ♦ Oversight of national inspection activity, report findings shared ♦ C.I. Session on Joint Adult and Older People Quality Framework (9/3/22) ♦ Monitor Care Inspectorate reports on purchased services ♦ Deficiency in care meetings in place for poor grading of care providers	

	Risk Category	Key Risk	Inherent risk score	Sample of Controls	Residual risk score
8	1 **Very High (15-25)**	**New and amended legislation** ♦ Social Work operates against a backdrop of many pieces of legislation, historically operating under the requirements of the Social Work (Scotland) Act 1968 ♦ Independent Review of Adult Social Care (IRASC) implications on Social Care Services (not just Adult Services) ♦ Guidance to Procurement on current contracts LA have in place - Ethical commissioning ♦ CJ Local Outcome Improvement Plan and national review ♦ Electronic Monitoring legislation ♦ Virtual Courts ♦ Bail and Release from Custody Consultation ♦ Children's rights	20	♦ The requirements are met under all the standard legislation the resource operates within ♦ Adults With Incapacity and Adult Support and Protection timescales are built into IMPROVe reporting systems and performance monitored ♦ Children and Child Protection legislation timeframes are built into the IMPROVe reporting system and performance monitored ♦ Social Work Governance Group established ♦ Respond to SG on range of consultations some regarding planned bills ♦ COVID legislation ♦ Mental Health Legislation/funding ♦ The Promise (Review of Children's Services) implementation Board • Review of Adult Social Care (Feeley) Report • Consultation outcome on the National Care Service • Preparation for the legislation for NCS (Briefings) • Reviewed screening process to ensure children's rights reflected • Voice of the child evident in case records • Carers Supports and Services further developed	16

	Risk Category	Key Risk	Inherent risk score	Sample of Controls	Residual risk score
9	1 **Very High** **(15-25)**	**The Council fails to meet statutory and legislative duties in respect of public protection.** ♦ Child Protection ♦ Adult Protection ♦ Prevent (Terrorism or Extremism) ♦ Gender based Violence ♦ Staff capacity and experience of workers and Managers due to Pandemic demands ♦ Children's Rights (Advocacy) ♦ Duty to Assess, unmet need levels growing. (3500hours) ♦ MAPPA ♦ VISOR (Violent and Sex Offender Register) ♦ Information sharing agreement ♦ Carers ♦ Recruitment challenges for Administration resource to support PP process (minute taking, timescales/process) **Council Top Risk**	20	♦ Public Protection Chief Officers Group ♦ Multi-agency child protection committee in place ♦ Multi-agency adult protection committee in place ♦ Multi-agency procedures adopted to provide guidance to staff ♦ Multi- agency MAPPA arrangements in place ♦ Operating oversight groups (MOG/SOG) ♦ Engaged with legal services and nation oversight groups re VISOR ♦ Significant case review protocol in place ♦ Data sharing agreements in place to support alert messaging and sharing key information ♦ Partnership Serious Organised Crime Group ♦ Contemporary guidance for PREVENT provided to staff ♦ Wider public health and environment COVID impacts ♦ Care Home Large Scale investigation findings ♦ Safer South Lanarkshire Board and Community Justice Partnership ♦ Getting it Right for South Lanarkshire Children's Partnership Board ♦ Locality Huddles re protection issues ♦ Police Scotland issuing ISA in relation to sharing routine information ♦ Carers Supports and Service Commissioned ♦ SBAR to CSWO addressing how improvements in advertising/marketin Vacancies, reviewing job descriptions, and level of experience	16

	Risk Category	Key Risk	Inherent risk score	Sample of Controls	Residual risk score
10	**1** **Very High** **(15-25)**	**Failure to fulfil emergency response commitment befitting the Council's status as a Category 1 (emergency) responder** ♦ Social Work responsible for a number of building-based services from care homes for the older people, care homes for children and young people, day care services for adults and older people ♦ The resource employs over a thousand homecare staff to support very vulnerable people in various urban and rural settings ♦ Capacity issues with service delivery ♦ Maintain life and limb services ♦ Risk to emergency social work pandemic **Council Top Risk**	20	♦ Named responsible person identified in each service area ♦ Officers identified for Major Incident Support Team Lanarkshire ♦ Emergency planning arrangements are in place with all social work establishments ♦ Clear processes for Fire Inspection and property maintenance audit are in place in all establishments ♦ Pandemic/health and contingency plans are in place ♦ Emergency Social Work Services out of hours service provided ♦ Client index system regularly backed up ♦ Covid Legislation and mobilisation of emergency arrangements ♦ Regular external providers meetings ♦ Care Home Assurance Group ♦ Care at Home oversight Group ♦ All contingency and business continuity plans updated ♦ Mutual aid and Lanarkshire Resilience ♦ Report weekly to SG reliance group	16
11	**2** **High** **(8-12)**	**The Council is materially affected by the recommendations arising from the independent review of Adult Social Care in Scotland.** ♦ All social care services no longer based in Councils ♦ Impact on Council Budgets **Council Top Risk**	16	♦ Briefing reports presented to IJB and Social Work Committee ♦ Consultation currently on National Care Services (includes all Social Care Services) ♦ Ongoing horizon scanning of recommendations ♦ COSLA supporting local councils ♦ Consultation concluded and published ♦ Further consultation to follow	12

	Risk Category	Key Risk	Inherent risk score	Sample of Controls	Residual risk score
12	2 High (8-12)	**Information Governance not subject to adequate controls** ♦ Poor information recording within Client index systems ♦ SLC equipment Laptops etc Mobiles ♦ Lack of equipment ♦ GDPR requests and accessing files in the current service operating models. ♦ Access to archiving and Mitchell Library back log ♦ Archiving delayed, significant backlog. **Council Top Risk**	20	♦ Data sharing protocols are in place with partners to ensure appropriate sharing of information about service users ♦ Electronic Documents Records Management System (EDRMS) is embedded in case file practice in all localities ♦ Resource following corporate file structure "Objective" ♦ New replacement client index system in planning ♦ Annual audit checklists ♦ Information Governance Group and Strategy ♦ Regular updates on guidance circulated (use of Zoom/MS Meetings) ♦ Good Governance Statements ♦ As working from home continues supporting guidance issued to staff regarding safe working practices and information governance. ♦ New Laptop order in place with updated Windows 10	12
13	2 High (8-12)	**Potential liability arising from claims of historic abuse** ♦ Perceived failure on the authority and predecessor authority to fulfil its obligations in relation to looked after children **Council Top Risk**	16	♦ Cross Council Historic Child Abuse Enquiry Group in place ♦ Regular meetings and monitoring Section 21 notices ♦ Review of historical records pertaining to current Section 21 notices completed ♦ Timescales met for Section 21 notices received. ♦ Level of insurance cover exists in relation to predecessor authorities. ♦ Redress for Survivors (Historical Child Abuse in Care) (Scotland) Bill published, payment levels for survivors who meet the eligibility for the scheme: Level 1, £20,000; Level 2 £40,000; Level 3 £80,000	12

	Risk Category	Key Risk	Inherent risk score	Sample of Controls	Residual risk score
14	**2** **High** **(8-12)**	**Failure to embed Self-directed support (SDS) with the Carers (Scotland) Act 2016 in respect of Carers** ♦ Allows for choice/option in how care is delivered service user/carer control ♦ Public information ♦ Better links with commissioned services	20	♦ The council's web pages have been updated to provide information on the self directed support options available to carers. ♦ The assessment for the supported person now clearly establishes the intensity and frequency of carer support. This establishes a clear link between the supported person and the carer. ♦ The key information pertaining to what carers budgets can be used for has also been updated. ♦ An electronic version of the current paper based Adult Carer Support Plan is in development and will be introduced in the near future. ♦ The methodology for calculating carers budgets has been updated and allows for a fairer distribution of resources based on levels of eligible need. ♦ General public information is under review and will be modified to reflect current practice. ♦ The council has strengthened links with third sector services such as Lanarkshire Carers and take Control South Lanarkshire. ♦ Established links with local eligibility criteria.	9 or 12

	Risk Category	Key Risk	Inherent risk score	Sample of Controls	Residual risk score
15	2 High (8-12	**Procurement activity is affected by a lack of resources, non-compliance, or legal challenge** ♦ Centralised procurement function reducing capacity and knowledge of health and social care requirements ♦ Pandemic impact on tenders (Care at home tender) ♦ Ethical commissioning ♦ Continuing Care (Tender) ♦ Swis plus replacement ♦ Care Home Services (external) presenting range of challenges **Council Top Risk**	20	♦ Liaison with central procurement ♦ Governance arrangements in place ♦ Monitor Care Inspectorate reports on purchased services ♦ Deficiency in care meetings in place for poor grading of care providers ♦ Quality Assurance and Commission Team in place ♦ Developing work priory plan ♦ Regular reports re Care Inspectorate grades to Committee/SW Governance Group ♦ Seconded staff (Scotland Excel) within Procurement Service ♦ Specialisms within procurement services ♦ New procurement staff recruitment ♦ Dedicated team taking forward Swis plus replacement	12
16	2 High (8-12	**IT development and functionality does not keep pace with changing service requirements** ♦ Restrictions on legacy systems (SWIS plus) ♦ Project team ♦ Improve system update (2026) ♦ Windows 7 issues **Council Top Risk**	20	♦ Strategic review of Social Work IT System ♦ IT Programme Board in place ♦ IT Infrastructure Subgroup in place for IJB ♦ As part of digital strategy, council has commenced a move to the Cloud, which will include the introduction of Office 365 ♦ Approval and funding for replacement SWiSplus system in place ♦ IMPROVe (CORVU) developments ♦ Regular IT update reports on range of SW developments ♦ Project team in place for new SWIS client index system	12

	Risk Category	Key Risk	Inherent risk score	Sample of Controls	Residual risk score
17	2 High (8-12	**Fraud, theft, organised crime and cyber-attacks** ♦ Employee fraud/theft ♦ Breach in internet security **Council Top Risk**	20	♦ Code of conduct for all Social Work Staff ♦ Scottish Social Services Council accreditation ♦ Internal Audit ♦ Routine guidance to service users ♦ Trading standards input to providers re bogus callers ♦ Adult Protection Committee, Trading standards now included ♦ Bulletins and updates ♦ Use of social media channels to raise awareness ♦ SOC group council wide partnership group ♦ Community Justice Partnership ♦ Prevent (Terrorism or Extremism) awareness raising	12
18	2 High (8-12	**Failure to achieve results and demonstrate continuous improvement through leadership, good governance, and organisational effectiveness** ♦ Children's Services Inspection ♦ Adult Support and Protection Inspection	20	♦ Action plans following inspections findings ♦ Performance reporting through the IMPROVe system ♦ Regular Care Inspection oversight reports developed ♦ Care Inspectorate registered services reports to Committee ♦ Registered Service annual audit included in Good Governance Statement ♦ Customer Service Excellence Awards in 3 service areas ♦ Performance and Continuous Improvement Groups ♦ Quality Assurance and Improvement Group (Child and Family) ♦ Range of audit and self-evaluation activity undertaken ♦ Social Work Governance Group oversight ♦ Action plan from Children's Services Inspection ♦ ASP preparation for inspection	12

	Risk Category	Key Risk	Inherent risk score	Sample of Controls	Residual risk score
19		**The Council is significantly affected by the impact of the UK leaving the European Union** ♦ There will be a shortage of entry level workers, including those with lower skills, those who gain their qualifications largely through work-based training, and those in less highly-paid sectors ♦ Social Care Staff shortages ♦ Access to supply chains (mobile phone components, computer parts, Technology enabled care equipment) **Council Top Risk**	20	♦ The HM Treasury has provided assurances around the current EU funded programme for all projects ♦ Council Resources have reviewed their contingency plans to ensure that they are sufficiently robust to deal with any significant negative impact that may arise from the UK leaving the EU ♦ Recruitment drives underway across the Resource	12

Category	Number of Risks	Percentage
Very High	10	45%
High	9	41%
Medium	3	14%
Low	0	0
Total	**22**	**100%**