

# Report

Report to: **Social Work Resources Committee**  
Date of Meeting: **20 February 2019**  
Report by: **Director, Health and Social Care**

Subject: **Update of Social Work Resources Risk Register and Risk Control Plan**

## 1. Purpose of Report

1.1. The purpose of the report is to:-

- ◆ present an update on the Risk Register and Risk Control actions for Social Work Resources

## 2. Recommendation(s)

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

- (1) that the contents of the Resource Risk Register be noted; and
- (2) that it be noted that the outstanding Risk Control actions will be progressed by relevant officers.

## 3. Background

- 3.1. 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. Social Work Resources follow the guidance in developing, monitoring and updating the Risk Register on an ongoing basis.
- 3.2. The purpose of the 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.
- 3.3. The Resource scores the risks in accordance with the Council scoring mechanism, based on likelihood and impact. This results in risks being scored between one and nine (low – high).
- 3.4. Risks are scored on their inherent score (risk if we do nothing) and their residual risk (risk after applying controls).
- 3.5. The last update of the Social Work Resources Risk Register was reported to the Social Work Resources Committee on 7 February 2018.
- 3.6. The Council's top Risk Register and Risk Control Plan has been reviewed. This work was completed in September 2018.

- 3.7. The Central Risk Management Team annually review Resource compliance with the risk management strategy. The outcome of the 2017/2018 review identified that Social Work Resources achieved 100% compliance, scoring 42 out of a possible 42.
- 3.8. A separate Strategic Risk Register for South Lanarkshire Integration Joint Board (IJB) has been developed and reported to the IJB (Performance and Audit) Sub-Committee on 29 August 2017. This is now embedded as part of the overall IJB's Code of Corporate Governance.

#### **4. Resource Risk Management**

- 4.1. Each Resource has a Resource Risk Management Group which has responsibility for the promotion and management of risk.
- 4.2. The Social Work Resources' Risk Management Group reports to the Social Work Governance Group on a quarterly basis. The Risk reporting agenda within Social Work Resources is coordinated through the Senior Management Team and supported by the Service Development Manager who attends the Risk sponsors group.
- 4.3. The work of the group over the last year has focused on the review and update of the Resource Risk Register, and ensuring that the Register reflects the Council plan and individual service plans.

#### **5. Risk Register**

- 5.1. Work has been completed by the Resource Risk group to finalise the review of the Resource Risk Register. The update gave consideration to risks at a service level, as well as strategic Council risks.
- 5.2. The Resource Risk Register will be monitored on an ongoing basis to allow new risks to be added and for the control measures and scores of the existing risks to be reviewed in light of new information.
- 5.3. Risks can result from internal or external influences, with examples being the impact of projected funding cuts or legislative changes or the impact of internal service changes.
- 5.4. 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.
- 5.5. The main changes to the Register are summarised below:-
  - ◆ a new Risk is added in relation to Brexit
  - ◆ Risk description for the IJB has been changed from 'The Council is not sufficiently prepared to deliver the IJB strategic directions set out in the strategic commission plan 2016 to 2019' to 'The Council fails to evidence compliance with the directions issued by the IJB'
- 5.6. Risks scored seven to nine are considered to be high risks and these are monitored closely. The top risks identified for the Resource, that is, those that are residually scored as being high, are attached at Appendix 1.

- 5.7. A clear link is made to the Council's top risks. Top risks and Resource specific risk implications are noted within the Appendix.
- 5.8. Risks evaluated residually as being medium or low risk will be monitored to ensure that they continue to be adequately managed.

## **6. Insurance Hotspots**

- 6.1. A review of claims carried out for the period 1 April 2016 to 31 December 2017 identified the following insurance hotspot areas for Social Work Resources:-
- ◆ mobile phone security
  - ◆ slips, trips and falls including those in winter weather
  - ◆ risks associated with vehicle incidents
- 6.2. The following progress has been made with actions included in the hotspot action plan:-
- ◆ staff briefing undertaken regarding loss of mobile phones
  - ◆ communication with service users regarding difficulty Council may face in delivering services during periods of severe weather
  - ◆ actions awaiting guidance on a Council wide basis are still being pursued:
    - ◆ footwear
    - ◆ training
    - ◆ updating risk assessments
  - ◆ staff briefing undertaken in respect of reinforcing legislation changes in term of fines/licence endorsement

## **7. Scope and Appetite for Risk**

- 7.1. South Lanarkshire Council (SLC) aims to be risk embracing, that is it will accept a tolerable level of risk in seeking service efficiencies and in agreeing control measures.
- 7.2. The level of risk facing the Council is measured both before (inherent risk) and after (residual risk) consideration of controls. The Council should never carry a high residual risk exposure as this would indicate instability but a low residual risk exposure should also be avoided as this indicates lack of innovation.
- 7.3. SLC's ideal risk exposure should be consistent with an acceptable tolerance of:-
- ◆ no more than 20 per cent of residual risks at a high level
  - ◆ around 40 per cent to 50 per cent of residual risks at a medium level
  - ◆ around 30 per cent to 40 per cent of residual risks at a low level

- 7.4. Social Work Resources risk exposure is detailed in Table One below:

Table One – Social Work Resources Risk Exposure

<b>Residual Risk score</b>	<b>2016/2017</b>		<b>2017/2018</b>	
	<b>Number of risks</b>	<b>Percentage of risks</b>	<b>Number of risks</b>	<b>Percentage of risks</b>
High (7, 8 or 9)	7	41%	8	44%
Medium (4, 5, or 6)	7	41%	7	39%
Low (1, 2, or 3)	3	18%	3	17%
	<b>17</b>	<b>100%</b>	<b>18</b>	<b>100%</b>

- 7.5. Despite the fact that the risk exposure is out with the ideal risk exposure defined by the Risk management strategy, it has remained similar to the previous year with slight movement in risk scores. This risk exposure is to be expected as these are the highest level risks currently being faced by the Resource.

- 7.6. Social Work Resources has ensured that all inherent risks scored at a high level have cost effective control measures in place. Where further control measures are required, these are included within the Resource Risk Control Plan.

## **8. Risk Control Actions**

- 8.1. There are a number of Risk Control actions identified as part of the Resources Risk Register review.
- 8.2. Progress with completion of Resource Risk Control actions is monitored on a monthly basis by the Central Risk Management Team. This is also reviewed by the Resource Risk group.
- 8.3. There are no Risk Control actions due for completion during the remainder of 2017/2018.

## **9. Major Projects, Partnerships or Change**

- 9.1. Within Social Work Resources 12 Partnerships have been identified. One of these is considered to be high risk, that is, the South Lanarkshire Health and Social Care Partnership.
- 9.2. Appropriate risk management arrangements are in place for the high level Partnership. See 3.8 above.

## **10. Next Steps**

- 10.1. The Resource Risk Management Group will continue to meet on a quarterly basis and report to the Social Work Governance Group. The Risk Register will be reviewed on an ongoing basis by the Group to ensure that risks remain valid for the appropriate Service areas and to identify new areas of risk that affect the Resource. An update report will be provided to Committee on an annual basis.

## **11. Employee Implications**

- 11.1. Time will be required by the Resource Risk management group in the management of the Resource Risk Register and Risk Control Plan.

## **12. Financial Implications**

- 12.1. During the year, if any new initiatives are identified which would help mitigate any particular risk faced by the Resource, some financial assistance may be available from the risk management fund. This is managed through a bid being submitted and assessed against set criteria.
- 12.2. During the 2017/2018 financial year, the Resource made successful risk management bids for the following initiatives:
  - ♦ £20,000 for improved security at Auchentibber Resource Centre

## **13. Other Implications**

- 13.1. Failure to demonstrate that risk is actively considered and managed cannot only lead to avoidable financial loss but could also affect delivery of services and could affect the Resources' reputation.
- 13.2. There are no implications for sustainability in terms of the information contained in this report.

## **14. Equality Impact Assessment and Consultation Arrangements**

- 14.1. 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.
- 14.2. Consultation on the content of this report has been undertaken with members of the Social Work Resources' Risk management group.

**Val de Souza**  
**Director, Health and Social Care**

16 November 2018

### **Link(s) to Council Values/Ambitions/Objectives**

- ♦ Accountable, effective, efficient and transparent

### **Previous References**

- ♦ 2016/2017 Annual Risk Report February 2018

### **List of Background Papers**

- ♦ None

### **Contact for Further Information**

If you would like to inspect the background papers or want further information, please contact:-

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Social Work Risk Register 2018

SWR Category	Risk	Inherent score	Sample of Controls	Residual score
1	<p><b>Reduction in Council funding resulting in difficulties maintaining frontline services.</b> (top Council Risk)</p> <ul style="list-style-type: none"> <li>• Money Matters mitigating implications of the welfare reform agenda</li> <li>• failure to achieve Resource savings targets</li> <li>• failure to collect care and grant income</li> </ul>	9	<ul style="list-style-type: none"> <li>• Money Matters service continues to income maximise</li> <li>• active participation in the efficiency agenda</li> <li>• annual budget meetings</li> <li>• service reviews and redesign</li> <li>• assessment and care management arrangements and income maximisation opportunities</li> <li>• review grants to voluntary organisations</li> <li>• review service user and carer prioritisation in terms of accessing service and support</li> <li>• support carers in their caring role</li> <li>• target resources on those with critical/substantial needs</li> <li>• work in partnership with voluntary organisations to provide early intervention and preventative supports</li> <li>• service reviews including IT solutions to deliver service models</li> <li>• reassess 'waiving of charges' SDS in relation to carers' adults carer support plans</li> </ul>	8
2	<p><b>Potential liability arising from claims of historic child abuse</b> (top Council Risk)</p> <ul style="list-style-type: none"> <li>• perceived failure on the authority and predecessor authority to fulfil its obligations in relation to looked after children</li> <li>• potential disclosures to the inquiry which result in the Council as the successor authority being liable</li> <li>• claims for compensation</li> <li>• damage to the reputation of the Council</li> <li>• potential periods of the inquiry uninsured</li> </ul>	9	<ul style="list-style-type: none"> <li>• cross council steering group established</li> <li>• review of historical records pertaining to current section 21 notices completed</li> <li>• timescales met for section 21 notices received</li> <li>• level of insurance cover exists in relation to predecessor authorities</li> </ul>	7

SWR Category	Risk	Inherent score	Sample of Controls	Residual score
	<p><b>The Council is significantly affected by the impact of the UK leaving the European Union</b> (top Council Risk)</p> <ul style="list-style-type: none"> <li>• funding and finance (for example economic changes; and increased costs)</li> <li>• workforce and employment (for example loss of available workforce; skills shortage)</li> <li>• procurement and trade (for example availability of imported goods; supplier bases effected)</li> <li>• legislation (for example changes in laws covering environment; procurement)</li> <li>• support to businesses located within South Lanarkshire area (economic development)</li> </ul>	9	<ul style="list-style-type: none"> <li>• the Council participated in the CoSLA survey in respect of non UK EU/EEA workforce employed and has identified the estimated current number of employees that fall into this category and in which Resources that they are employed. The personal data verification exercise is underway to confirm exact numbers</li> <li>• the Council's economic development service provides support to businesses within the South Lanarkshire area</li> <li>• economic development gathers informally intelligence through partners and business networks</li> <li>• advice published by the Government and other economic development agencies shared via partners and business networks</li> <li>• horizon scanning – CIPFA updates; internet; news; Fraser of Allander Institute reports etc.</li> <li>• the Council's financial strategy addresses potential changes in funding</li> <li>• there is potentially new funding that the Council could apply for in the period 2019-2023 totalling £4m</li> <li>• the HM Treasury has provided assurances around the current EU funded programme for all projects with a signed agreement in place prior to the UK</li> <li>• briefing paper prepared on "EU Funded Projects – Project Outcomes and Personnel Implications"</li> <li>• reports presented to the CMT on "Brexit and the implications for the Council's European funded projects"</li> </ul>	7
	<p><b>Information Governance not subject to adequate control</b> (top Council Risk)</p> <ul style="list-style-type: none"> <li>• ineffective records management practices could lead to data breaches</li> <li>• poor information recording within client index systems</li> <li>• systems not geared towards sharing relevant information across partners</li> <li>• impact of GDPR</li> </ul>	9	<ul style="list-style-type: none"> <li>• regular audits of case file activity undertaken</li> <li>• data sharing protocols are in place with partners to ensure appropriate sharing of information about service users</li> <li>• Electronic Documents Records Management System (EDRMS) is embedded in case file practice in all localities</li> <li>• Resource preparing for corporate file structure</li> <li>• SWISplus training team dedicated to training staff in use of client index system</li> <li>• contract monitoring in place with external providers ensuring their data protection obligation followed</li> </ul>	7

SWR Category	Risk	Inherent score	Sample of Controls	Residual score
			<ul style="list-style-type: none"> <li>annual audit checklists</li> <li>information governance board GDPR action plan</li> </ul>	
	<b>The Council fails to evidence compliance with the directions issued by the Integration Joint Board</b> (top Council Risk) <ul style="list-style-type: none"> <li>implications for children and justice services</li> <li>governance and accountability arrangements</li> <li>locality planning models</li> <li>locality service delivery models</li> <li>budgets and finance</li> <li>reputation</li> </ul>	9	<ul style="list-style-type: none"> <li>children's health services in the Partnership</li> <li>IJB code of corporate governance in place</li> <li>Director Health and Social Care and senior management team in place</li> <li>locality planning arrangements established and locality senior managers appointed</li> <li>strategic commissioning plan in place</li> <li>consultation and Partnership plan</li> <li>strategic needs assessment activity established</li> <li>performance reporting framework established</li> </ul>	7
	<b>Adverse weather</b> (top Council Risk) <ul style="list-style-type: none"> <li>43 registered care services</li> <li>failure to deliver home care services</li> <li>failure to provide day care (transport)</li> <li>staff stranded in care homes</li> <li>large home care workforce attending vulnerable clients in urban and rural settings</li> </ul>	8	<ul style="list-style-type: none"> <li>all service continuity plans including adverse weather in place</li> <li>Emergency Social Work Service available</li> <li>severe weather protocols in place</li> <li>all staff to report to nearest local office in adverse weather</li> <li>locality HUBs, care homes, day care centres utilised in adverse weather</li> <li>transport arrangements co-ordinated</li> <li>prioritisation of service users in adverse conditions according to need</li> <li>communication with service users/carers regarding implications of severe snowfall and access</li> </ul>	7
	<b>Procurement practice and management of contracts</b> (top Council Risk) <ul style="list-style-type: none"> <li>centralised procurement function reducing capacity and knowledge of health and social care requirements</li> <li>inadequate monitoring of contracts for</li> </ul>	9	<ul style="list-style-type: none"> <li>liaison with central procurement</li> <li>governance arrangements in place</li> <li>standard model contracts in place</li> <li>monitor Care Inspectorate reports on purchased services</li> <li>deficiency in care meetings in place for poor gradings of care providers</li> <li>review of grants to voluntary organisations</li> </ul>	7



SWR Category	Risk	Inherent score	Sample of Controls	Residual score
	social care <ul style="list-style-type: none"> <li>• failure to deliver statutory duties, that is, protect vulnerable children, young people and adults if social care contract not in place</li> <li>• failure to recognise that procurement of care and support services is a complex</li> <li>• principles of choice and control</li> </ul>		<ul style="list-style-type: none"> <li>• provider liaison meetings</li> <li>• strategic commissioning plan</li> </ul>	
	<b>Lack of capacity and skills to provide to meet increased service demands</b> (top Council Risk) <ul style="list-style-type: none"> <li>• impact of cross cutting services reviews</li> <li>• delivery of person centred care</li> <li>• Home Care workforce to support increased older people demographic growth</li> <li>• ageing workforce</li> <li>• mixed economy of care</li> <li>• Scottish Social Services Registration (SSSC) requirements for Managers within children's homes</li> <li>• Scottish living wage</li> <li>• registration requirements</li> <li>• lack of suitably qualified potential recruits in general work force</li> <li>• implications of Brexit</li> <li>• dedicated and skilled workers who protect and support people or help them to deal with challenging circumstances across all ages, stages and settings of life</li> </ul>	9	<ul style="list-style-type: none"> <li>• learning and development board identifies and monitors training and support required</li> <li>• Social Work Governance Board in place</li> <li>• Social Services in Scotland – a shared vision and strategy 2015/2020 review current approaches to social care workforce planning and assess whether there is a case for a national workforce planning tool</li> <li>• Council workforce plan</li> <li>• registration requirements for care at home and housing support services</li> <li>• development of care academy alongside third sector organisations</li> <li>• supervision policy audit undertaken and templates updated</li> <li>• the Review of Social Work Education (RSWE) will continue with the SSSC leading work on a number of the recommendation. As part of the RSWE they will seek to:               <ul style="list-style-type: none"> <li>○ revise, publish and implement an updated framework and standards in Social Work education</li> <li>○ explore graduate-level apprenticeships and other work-based routes into Social Work with the sector</li> <li>○ develop a new standard for continuous professional learning for social service workers</li> </ul> </li> </ul>	7