

Report

Report to:	Social Work Resources Committee
Date of Meeting:	15 February 2023
Report by:	Director, Health and Social Care

Subject:	Update on the 2022/23 Risk Register and the Risk Control Plan
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1. Purpose of Report

1.1. The purpose of the report is to: -

- ◆ provide an Update on Risk Management arrangements and the Risk Register 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 report be noted; and
- (2) that the set of top risks for Social Work Resources be approved.

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 (SWR) follow the guidance in developing, monitoring, and updating the Risk Register on an ongoing basis.
- 3.2. The purpose of the Risk Register is to ensure that SWR 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 these risks in accordance with the Council's Corporately agreed scoring mechanism, based on likelihood and impact. This results in risks being scored between one and twenty-five (low – very high). Risks are scored on their inherent score (risk if we do nothing) and their residual risk (risk after applying controls). Further detail on the Council's scoring matrix and approach to risk appetite is outlined in Appendix 1.
- 3.4. Each Resource has a Resource Risk Management Group which has responsibility for the promotion and management of risk. The SWR Risk Management Group continues to meet on a regular basis to provide operational oversight of all risks impacting on the delivery of Social Care Services.

- 3.5. This particular report provides an update to Social Work Resources Committee on a number of interrelated pieces of work that have been undertaken with regards to risk in the context and how these impact on the delivery of Social Care Services. Notably, this report will cover the following areas:

- ◆ a reviewed list of top risks impacting on Social Care as per agreement at Social Work Resources Committee on 7 September 2022
- ◆ proposal for a Risk Management Review of Health and Safety Training by Gallagher Bassett
- ◆ reporting and monitoring of risk by the Integration Joint Board

4. Review of the Top Risks Impacting on Social Care Services

- 4.1. At its meeting of 16 November 2022, Social Work Resources Committee agreed the current top five risks impacting on the delivery of Social Care Services, each of which remain unchanged following review:

- ◆ workforce availability and capacity (lack of capacity and skills to meet increased service demands)
- ◆ meeting public protection and legislative duties (combined legislation/statutory duties public protection, Care Inspectorate/self-directed support (SDS))
- ◆ market and provider capacity (procurement/supply chain)
- ◆ funding and budgetary pressures (Reduction in funding/increased costs)
- ◆ winter demand pressures (Emergency Response)

- 4.2. Appendix 2 provides further detail on each of these top risks, alongside the inherent and residual risk scores and sample controls.

- 4.3. Whilst these top risks are the primary focus of the Resource in terms of oversight, monitoring and management, there are other risks (whilst deemed to be of lesser impact at this point in time) that the Resource are required to monitor and contribute to by way of mitigation. Some of these risks are wider organisational risks which require all departments of the Council to respond to by working together corporately. The list below provides some additional detail in this regard:

- ◆ deliver Strategic Commissioning Plan Outcomes IJB
- ◆ IT development and functionality
- ◆ pandemic response and recovery
- ◆ National Care Service/independent Review Adult Social Care
- ◆ failure to meet sustainable development and climate change objectives
- ◆ fraud, theft, organised crime and cyber attacks
- ◆ Historic Child Abuse
- ◆ increased levels of adverse weather
- ◆ Cost of Living Crisis
- ◆ refugee resettlement and asylum seeker dispersal programme
- ◆ disruption to Council Services due to industrial action

- 4.4. From a risk appetite and tolerance perspective, the Council aims to be risk embracing, in that it will accept a tolerable level of risk in seeking service efficiencies and in agreeing control measures. 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 very 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.

- 4.5. The Council's universal risk tolerance levels were updated as part of the review of the Risk Management Strategy last year, with the ideal risk profile defined as:
- ◆ no more than 10% of residual risks at a very high level
 - ◆ no more than 15% of risks at a high level
 - ◆ around 50 to 60% of residual risks at a medium level
 - ◆ no more than 30% of residual risks at a low level
- 4.6. Of the 16 risks referred to in sections 4.1. and 4.3. Social Work Resources currently has a risk profile of 31% mainly due to the five top risks having a residual score of very high. However, this is reflective of the environment and risks which the service currently operates within.
- 4.7. Risk will remain a standing item on Social Work Resources Committee and the Risk Register and reporting of risk will be a dynamic process, with Committee receiving updates on any changes to levels of risk or new risks which may evolve overtime.

5. Proposal for Risk Management Review of Health and Safety Training by Gallagher Bassett

- 5.1. The Council has commissioned a critical evaluation of the health and safety content of training provided to staff working in higher risk areas to establish if it satisfies the requirements of Health and Safety legislation.
- 5.2. Gallagher Bassett will work across all Council services to consider and report upon:
- ◆ the content of training and delivery methods employed to communicate the significant health and safety risks and controls to employees
 - ◆ how the understanding of employees who have attended training is assessed, verified and recorded
 - ◆ the role of managers and supervisors in influencing the adoption of appropriate control measures and safe systems into working practice
 - ◆ how health and safety training is integrated into wider staff development/ performance management systems
 - ◆ how frequently training is updated/refreshed and provide opinion on adequacy of current arrangements
 - ◆ the effectiveness of the training process
 - ◆ the current processes for lessons learned following accidents/incidents involving Council employees
- 5.3. On conclusion of the evaluation, a report of the findings will be prepared, commenting on both strengths and weaknesses and comparison to good practice where appropriate, along with a table of prioritised recommendations.

6. Reporting Risks to the IJB

- 6.1. The Integration Joint Board agreed at its meeting on 20 September 2022 to update the IJB Risk Register with any reports of risks to the Directions issued by the IJB to the Council and NHS. To ensure the necessary connections and links are in place, the IJB Risk Register currently reflects very high or high risks from both the Council and NHS Board which could have an impact on the IJBs Strategic Commissioning Intentions outlined in the Strategic Commissioning Plan 2022-25. There are also a number of medium/low risks with the IJB Risk Register which include public protection, public sector duties, transformation and National Care Service.

7. Major Projects, Partnerships, or Change

- 7.1. Within SWR, 13 partnerships have been identified. None of these is considered to be high risk. Major projects/transformational change programmes are reported to Committee.

8. Next steps

- 8.1. The Resource Risk Management Group will continue to meet on a regular basis. 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 regularly to Committee.
- 8.2. Moreover, future reports and proposals brought before Social Work Resources Committee will show the correlation and read across with the top risks to assure Committee that such proposals are geared towards providing further levels of mitigation.

9. Employee Implications

- 9.1. Time will be required by the Resource Risk Management Group in the management of the Resource Risk Register and Risk Control Plan.

10. Financial Implications

- 10.1. There are no direct financial implications associated with the Resource's top risks. There are a number of proposed risks which are classified under the heading of financial. Where this is the case, the appropriate controls and actions have been included in the risk control cards and progress will be monitored.

11. Climate Change, Sustainability and Environmental Implications

- 11.1. Sustainable development issues are included within the Council's top Risk Register through being linked directly to the Council plan objective 'make communities safer, stronger and sustainable'.

12. Other Implications

- 12.1. 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. Equality Impact Assessment and Consultation Arrangements

- 13.1. 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.
- 13.2. Consultation on the content of this report has been undertaken with the Resource Management Team.

Soumen Sengupta
Director, Health and Social Care

27 January 2023

Link(s) to Council Values/Priorities/Outcomes

- ♦ accountable, effective, efficient and transparent

Previous References

- ♦ Social Work Resources Committee – 16 November 2022

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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Appendix One – Risk scoring matrix, likelihood and impact definitions

Likelihood

Score	1	2	3	4	5
Description	Rare	Unlikely	Possible	Likely	Almost certain
Likelihood of occurrence	1 in 10 years	1 in 3 years	1 in 2 years	Annually	Monthly
Probability of occurrence	The event may occur in certain circumstances	The event could occur	The event may occur	The event will probably occur	The event is expected to occur or occurs regularly

Impact

	Reputation	Financial	Service delivery/ Time to recover	Compliance	Safety
1 Negligible	Public concern restricted to local complaints	<£50,000 per annum	No impact to service quality; limited disruption to operations.	No external interest	Minor injury – no lost time
2 Minor	Minor adverse local/public/media attention and complaints	£50,000-£250,000 per annum	Minor impact to service quality; minor service standards are not met; short term	Very minor attention from legislative/regulatory body	Minor injury – resulting in lost time
3 Moderate	Adverse national media Public attention	£250,000 to £500,000 per annum	Significant fall in service quality; major partnership relationships strained; serious disruption in service standards	Short-term attention from legislative/regulatory body	Major injury or ill health resulting in lost time
4 Major	Serious negative national or regional criticism	£500,000 to £1million per annum	Major impact to service delivery; multiple service standards are not met; long term disruption to operations; multiple partnerships affected	Medium-term attention from legislative/regulatory body	Fatality; or injuries to several people
5 Catastrophic	Prolonged international, regional and national condemnation	>£1million per annum	Catastrophic fail in service quality and key service standards are not met; long term catastrophic interruption to operations; several major	National impact with rapid intervention of legislative/regulatory body	Multiple fatalities; or injuries to large number of people

			partnerships are affected		
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The assessments for impact and likelihood combine to provide an overall inherent risk score on the scale of between 1 and 25, using the Council's recognised risk matrix.

Risk matrix

Likelihood	5 Almost Certain	5	10	15	20	25
	4 Likely	4	8	12	16	20
	3 Possible	3	6	9	12	15
	2 Unlikely	2	4	6	8	10
	1 Rare	1	2	3	4	5
		1 Negligible	2 Minor	3 Moderate	4 Major	5 Catastrophic
		Impact				

The risk score is calculated as follows:

Likelihood score x Impact score = Risk Score

Risks scored 15 to 25 are considered to be very high risks and risks scored eight to 12 are considered to be high risks. Very high and high risks are monitored closely.

Appendix Two

Social Work Resources Risk Register (February 2023) Extract of risks with residual score category of Very High

				Sample of Controls			
	Risk Category	Key Risk	Inherent risk score	1st line of defence: Operational management	2nd line of defence: Corporate functions (not internal audit) that oversee or who specialise in compliance or the management of risk (CMT)	3rd line of defence independent assurance (internal/external audit and any other scrutiny or regulatory body)	Residual Risk Score
1	1 Very High (15-25)	Workforce Availability and Capacity Description <ul style="list-style-type: none"> ♦ lack of capacity and skills to meet increased service demands. ♦ National shortage of skilled workforce across all sectors ♦ recruitment, selection, and retention of Social Care Staff challenging ♦ growing demographic and post pandemic service demands ♦ workforce profile shows an ageing workforce within social care ♦ competition with other industry sectors and Local Authorities 	25	Prioritising workloads, raising concern within management team Social Care and Social Work Critical Functions Framework Care at Home social media recruitment campaign (Everyday heroes)	Workforce Monitoring reports to SWC Personnel targeted recruitment campaigns Increase use of social media to recruit Care Academy	Workforce Strategy for Health and Social Care Scotland SSSC (Scottish Social Services Council) registration requirements	20

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2	1 Very High (15-25)	Meeting Public Protection and Legislative Duties Description <ul style="list-style-type: none"> ♦ ability to meet increased demands and risks with regards Public Protection (Child Protection, Adult Support and Protection, MAPPA and Gender Based Violence) ♦ meeting all legislative duties pertaining to assessment, support planning and reviews 	25	<p>SwisPlus system records legislative rationale for intervention.</p> <p>Improve reports on legislative timescales targets being met</p> <p>ASP decision making support tool for staff.</p> <p>Wellbeing portal for all staff to access. Risk Assessment for Service Users PPE support to all who require</p>	<p>A risk assessment is part of care management function.</p> <p>Mandatory training and LOL courses for all staff, specific legislation LOL's available.</p> <p>Workforce updates to all SW Committee Meetings.</p> <p>Serious Incident recording and action</p>	<p>Previous inspections reports by CI: SDS, Children's Services and ASP inspection.</p> <p>All registered care services have oversight by Care Inspectorate</p> <p>Other inspection: Mental Welfare Commission reviews</p>	20

				Sample of Controls			
	Risk Category	Key Risk	Inherent risk score	1st line of defence: Operational management	2nd line of defence: Corporate functions (not internal audit) that oversee or who specialise in compliance or the management of risk (CMT)	3rd line of defence independent assurance (internal/external audit and any other scrutiny or regulatory body)	Residual Risk Score
3	1 Very High (15-25)	Market and Provider Capacity Description <ul style="list-style-type: none"> the market has insufficient capacity and choice to meet demand risks of Providers not being able to sustain their business models/supply chain issues providers are able to maintain compliance with national standards and quality of service delivery 	25	Quality Assurance & Commissioning Team in place Procurement Network Oversight meetings in place Mapping tool developed in support of care at home service	Oversight of all SL based registered care services maintained. Social Work Scotland Care Market intelligence shared. Market facilitation plan	Care Inspectorate regulation of all care services Scottish Care support of independent, private, voluntary care providers.	20

				Sample of Controls			
	Risk Category	Key Risk	Inherent risk score	1st line of defence: Operational management	2nd line of defence: Corporate functions (not internal audit) that oversee or who specialise in compliance or the management of risk (CMT)	3rd line of defence independent assurance (internal/external audit and any other scrutiny or regulatory body)	Residual Risk Score
4	1 Very High (15-25)	Funding and Budgetary Pressures Description <ul style="list-style-type: none"> ♦ risk that services have to re-prioritised as a result of reductions in budgets ♦ reduction in early intervention and prevention activity as a result of having to respond to statutory duties such a public protection 	25	Budget holder responsibility and monitoring. Care Packages linked to finance module Voluntary Sector commissioned services can lever additional funding to the area	Revenue and Capital budget monitoring reports to SW Committee Four weekly monitoring and reporting of financial performance to CMT	COSLA role in support of LA's and links to Scottish Government Audit Scotland reports and briefings	20

5	1 Very High (15-25)	Winter Demand Pressures Description <ul style="list-style-type: none"> ◆ increased service demand beyond normal levels as a result of the impact of seasonal Flu, other respiratory conditions and increased unwellness in the population ◆ impact on workforce availability due to potential increases in sickness/absence ◆ impact of adverse weather on service delivery 	25	<p>Planning for Winter 2022/2023 commenced in July 2022</p> <p>All health and social care staff offered flu and COVID 19 vaccines.</p> <p>Covid and Flu Vaccine Programme for public</p>	<p>GP and Pharmacy Opening</p> <p>Maximising Planned Date of Discharge, Discharge Without Delay and Home First</p> <p>Multi-agency approach across NHS Lanarkshire, the two H&SCPs/IJBs, North and South Lanarkshire Councils together with the respective supports. NHS 24 etc.</p>	<p>NHS Scotland, Public Health Scotland, Healthier Scotland driving forward Winter 2022 Vaccines programme.</p> <p>Overall Resilience Planning</p>	20
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