

## Social Work Risk Register 2017

SWR Ranking	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>• Ongoing monitoring of Money Matters service on Improve</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 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> </ul>	8
2	<p><b>The Council is not sufficiently prepared to deliver the Integration Joint Board strategic directions set out in the Strategic Commissioning Plan 2016 - 19</b> (Top Council risk)</p> <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>• 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>• Strategic Needs Assessment activity underway</li> <li>• Performance Reporting Framework in place</li> </ul>	7

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3	<p><b>Failure to work with key partners to achieve the outcomes of the Local Outcome Improvement Plan (LOIP)</b> (Top Council risk)</p> <ul style="list-style-type: none"> <li>• Failure to deliver on the Community Planning Partnership priorities.</li> <li>• Health and Social Care Partnership</li> <li>• Getting It Right for South Lanarkshire Children's Partnership</li> <li>• Carers Strategy/Advocacy Partnership</li> <li>• Corporate Parenting Strategy</li> <li>• Competing demands from range of partnerships</li> </ul>	8	<ul style="list-style-type: none"> <li>• Key performance measures identified</li> <li>• Structure reporting streams with individual partnerships</li> <li>• Clear terms of reference for partnership groups and sub groups</li> <li>• Clear action plans and progress plans.</li> <li>• Health and Social Care Partnership is a stand-alone identified risk</li> <li>• Carers Strategy and the partnership working being reviewed as part of the Carers Act 2016</li> </ul>	7
4	<p><b>Procurement practice and management of contracts</b> (Top Council risk)</p> <ul style="list-style-type: none"> <li>• Inadequate monitoring of contracts for social care</li> <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 area and requires special consideration within a public body's overall approach to the procurement of goods and services leading to service failure</li> </ul>	9	<ul style="list-style-type: none"> <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> </ul>	7

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5	<p><b>Information Management 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> </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>• 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> <li>• Annual audit checklists</li> <li>• Information Governance Board GDPR action plan</li> </ul>	7
6	<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>• Level of insurance cover exists in relation to predecessor authorities</li> </ul>	7