

# Report

11

Report to:	<b>Social Work Resources Committee</b>
Date of Meeting:	<b>7 February 2018</b>
Report by:	<b>Director, Health and Social Care</b>

Subject:	<b>Update of Social Work Resources' Risk Register and Risk Control Plan</b>
----------	---

## 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 Resources' 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 2016 – 2019 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 risk (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 23 November 2016.
- 3.6. The Council's top Risk Register and Risk Control Plan has been reviewed. This work was completed in September 2017.

- 3.7. The Central Risk Management Team annually review Resource compliance with the Risk Management Strategy. The compliance template was amended in 2016/17 with a top score of 42. The outcome of the 2016/17 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 Performance and Audit Sub Committee of the Integration Joint Board on 29 August 2017 and for approval by the IJB on 12 September 2017.

#### **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 continues to meet on a quarterly basis. The risk reporting agenda within Social Work Resources is co-ordinated 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 reflected 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 change to the Register is summarised below:
  - ◆ inclusion of the Historic Child Abuse Inquiry on the Social Work Risk Register which has also been included as one of the Council's top risks.
- 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 has now been made to the Council's top risks. Top risk rankings 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 2014 to 31 December 2016 identified the following insurance hotspot areas for Social Work Resources:
- ◆ accidents at work
  - ◆ 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:
- ◆ Social Work Resources' nomination to the Drivers' Safety Group confirmed
  - ◆ review of level of encryption on mobile devices to maintain data security undertaken

## 7. Other Implications

- 7.1. South Lanarkshire 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.
- 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. South Lanarkshire Council'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

Residual risk score	Number of risks	Percentage of risks
High (7, 8 or 9)	6	35
Medium (4, 5, or 6)	7	41
Low (1, 2, or 3)	4	24
	17	100

- 7.5. Table One shows that Social Work Resources' risk exposure is slightly outwith the ideal profile outlined above.
- 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 were no risk control actions due for delivery between April and September 2017.
- 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 currently 2 risk control actions due for completion during the remainder of 2017/18.

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

9.1. Within Social Work Resources, 2 partnerships have been identified. One of these is considered to be high risk, that is, the South Lanarkshire Health and Social Care Partnership. The remaining, that is the Community Justice Partnership, has been assessed as being low risk.

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. 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 current financial year, the Resource made a successful risk management bid for the following initiative:

- ◆ A £20k contribution from the Risk Management Fund supported additional security measures at Auchentibber.

## **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.

13.3. There are no other risks associated with 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**

27 December 2017

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

- ◆ Accountable, effective, efficient and transparent

**Previous References**

- ◆ Social Work Resources Committee 23 November 2016

**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, Performance and Planning Manager

Ext: 3745 (Phone: 01698 453745)

Email: [colette.brown@southlanarkshire.gcsx.gov.uk](mailto:colette.brown@southlanarkshire.gcsx.gov.uk)