Report

Report to:	**Social Work Resources Committee**
Date of Meeting:	**20 January 2021**
Report by:	**Director, Health and Social Care**

Subject:	**Update of the Social Work 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 are 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, which was reviewed in April 2020, 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 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 twenty five (low – very 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 SWR Risk Register was reported to the Social Work Resources Committee on 1 December 2019.

3.6. The Council's top Risk Register and Risk Control Plan has been reviewed. This work was completed in August 2020.

3.7. The Central Risk Management Team annually review Resource compliance with the Risk Management Strategy. The outcome of the 2019/20 review identified that SWR achieved 100% per cent compliance, scoring 42 out of a possible 42.

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 SWR Risk Management Group continues to meet on a quarterly basis.

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 changes to the register are summarised below:
  ♦ Care Inspection grades in our Home Care Services is now a standalone risk and elevated as a Corporate risk
  ♦ a new risk for the COVID-19 implications has been introduced
  ♦ some risks have been re-scored as part of COVID-19 implications
  ♦ Self Directed Support (SDS) is no longer a high risk, but classified as medium

5.6. All risks have been rescored in-line with the revised 5x5 risk scoring matrix. The scoring matrix was changed from a 3x3 matrix, following a review of the Council's Risk Management Strategy at the start of the year. The revised 5x5 scoring matrix and definitions for likelihood and impact is shown at Appendix 1.

5.7. 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 closely. The top risks identified for the Resource, that is those that are residually scored as being very high and high, are attached at Appendix 2.

5.8. 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.

5.9. Risks evaluated residually as being medium or low risk will be monitored to ensure that they continue to be adequately managed.

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

6. Insurance Hotspots
6.1. As part of the work that is currently being undertaken in connection with the ongoing Insurance Fund Review, the Council's insurers were approached and asked to carry out an analysis of our claims experience for the last five years for Public Liability, Employers' Liability, motor and property claims, with a view to identifying areas where a number of similar types of claim or high value claims were originating, through claims leakage reports.

6.2. The first stage of the analysis has been completed, and insurers have now been asked to provide their opinion on mitigating measures that can be implemented by the Council to prevent future reoccurrence of the identified insurance hotspot areas. The outcome of this hotspots review will be reported as part of the Insurance Fund Review recommendations.

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 10% of residual risks at a very high level
 ♦ no more than 15% of residual 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

7.4. Table One below shows the top risks heat map, that is, it details the total number of risks for each individual risk score. Table Two below notes the overall risk profile for the top risks.

Table One – Top Risks Heat Map

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

Table Two – Top Risks Risk Profile

Risk Category	Risk Rating	Number of risks	Percentage of risks
1	Very high	5	24
2	High	12	57
3	Medium	4	19
4	Low	0	0

7.5.   Despite the fact that the profile noted in Table Two is out with the ideal universal risk exposure defined by the Risk Management Strategy, this risk exposure is reasonable as these are the highest level risks currently being faced by the Council, a number of the top risks scores have increased significantly this year as a result of the effects of COVID-19.

7.6.   SWR control measures are in place. Where further control measures are required, these are included within the Resource Risk Control Plan.

7.7.   A direct comparison of risk scores for this year compared to last year is not possible, given the change in the scoring matrix, along with the addition of a new very high risk rating.

8.   Control Actions

8.1.   One hundred per cent (2/2) of Risk Control actions due to be completed during 2019/2020 were completed on time against an overall Resource target of 90%.

8.2.   Details of the completion of Risk Control actions during 2019/20 are contained in Table Three below.

Table Three

	2019/2020
Total number of actions due	2
Completed on time	2
Completed late	0
Due to be completed at a later date	0

8.3.   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.

8.4.   A further eight Risk Control actions have been identified for completion during 2020/2021. The Senior Management Team (SMT) is asked to note that these actions to mitigate risks will be progressed by the relevant officers. Details of the actions are noted within the Risk Control Plan at Appendix 2.

9.   Major projects, partnerships or change

9.1.   Within SWR, 12 partnerships have been identified. Two of these is considered to be high risk, Health and Social Care Integration, and MAPPA Public Protection. Of the remaining partnerships, six have been assessed as being medium risk and four low risk.

9.2.   Appropriate risk management arrangements are in place for the high level partnerships.

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 successful risk management bids for the following initiatives:

♦ Autism Resources Co-ordination Hub (ARCH) – Reid Street Hamilton (Bin Security)

13. Climate Change, Sustainability and Environmental Implications

13.1. There are no Climate Change implications associated with this report.

13.2. There are no sustainability implications associated with this report.

13.3. There are no environmental implications associated with this report.

14. Other Implications

14.1. 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.

14.2. There are no implications for sustainability in terms of the information contained in this report.

15. Equality Impact Assessment and Consultation Arrangements

15.1. 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.

Val de Souza
Director, Health and Social Care

11 December 2020

Link(s) to Council Values/Ambitions/Objectives
♦ Accountable, effective, efficient and transparent

Previous References

♦ Social Work Resources Committee of 11 December 2019

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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2020 Risk Scoring Matrix and 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	£500,000 to £1million per annum	Major impact to service delivery; multiple	Medium-term attention from legislative/ regulatory body	Fatality; Or injuries to several people

	Reputation	Financial	Service delivery/ Time to recover	Compliance	Safety
	criticism		service standards are not met; long term disruption to operations; multiple partnerships affected		
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 partnerships are affected	National impact with rapid intervention of legislative/ regulatory body	Multiple fatalities; Or injuries to large number of people

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

Social Work Resources Risk Register (as at 25 November 2020)
Extract of risks with residual score category of Very High and High

Risk Category	Risk	Inherent score	Sample of Controls	Residual score
1 **Very High** **(15-25)**	**1.** 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 ♦ Lack of PPE ♦ Clarity/timing of Government guidance ♦ Workforce absences/shortage (particularly for critical and support services) ♦ Ineffective Communications to employee and service users ♦ Lack of mobile IT devices **Top Council Risk**	25	♦ Roll out of MS Teams throughout the Council ♦ IT – Increased numbers of agile workers, increased number of laptops/tablets ♦ Priority 1 Services identified and maintained ♦ Specific H&SCP Covid-19 Risk Register in place ♦ PPE - Newberry Rooney Centre established as centralised hub. Orders of masks etc. being received. Security measures in place. ♦ Arrangements in place to distribute PPE to all agencies (public and private care) ♦ Arrangements in place to distribute PPE to all agencies (public and private care) ♦ Benefits advice issued via internet ♦ Reopening of 2 care homes to assist in intermediate needs – faster hospital discharges ♦ Recovery Plans in place ♦ Continued working from home arrangements ♦ Safe systems of working adopted ♦ 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 ♦ Remote working arrangements in place	16

Risk Category	Risk	Inherent score	Sample of Controls	Residual score
1 Very High (15-25)	**2. Failure to evidence sufficient progress against Care Inspectorate requirements** (Care at Home Service) ♦ Lack of evidence to show improv[e] and not meeting requirements sp[ecified] in last inspection report **Top Council Risk**	25	To address this risk and to respond to the Care Inspectorate Improvement Notice, a transformation and improvement programme is underway to address in the short term the specific requirements and also take forward medium and longer term actions to remodel the entire service and improve governance arrangements, with actions being progressed in respect of training, recruitment, employee support, service delivery and communications. ♦ Head of Health and Social Care and Nurse Director co chair a group tasked with remodelling service to achieve a positive outcome. Group meets fortnightly. ♦ Transfer Blantyre and Larkhall service users to East Kilbride And Clydesdale localities respectively ♦ Ongoing regular meetings with Care Inspectorate ♦ Multi layered approach to providing evidence involving staff from a number of disciplines ♦ Elected Members briefed on issues and consequences ♦ External "Critical Friend" identified to review service and provide a report with recommendations ♦ Additional funding to support capacity in service ♦ Project Governance Co-ordinator recruitment underway ♦ Voluntary moratorium (VM) lifted in Rutherglen area 31/8/2020 ♦ Voluntary moratorium (VM) lifted in the Hamilton area 16/11/2020 ♦ Care at Home transformation board established ♦ Workplan in place ♦ Workstream groups established (10 groups) ♦ Care Inspectorate to revisit/reinspect ♦ Continued dialogue with Care Inspectorate	16

Risk Category	Risk	Inherent score	Sample of Controls	Residual score
1 **Very High** **(15-25**	**3. Failure to prepare for the analogue to digital switchover** ♦ There are currently approximately 9,000 community alarm users in South Lanarkshire ♦ The Council's Alarms Receiving Centre (ARC) is based at Pollock Avenue, Hamilton and is not digitally equipped	25	♦ Senior management team representation on ICT programme Board ♦ Workstream dedicated to digital switchover ♦ 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 ♦ Linked to the Care at Home Improvement Board workstream activity ♦ Dedicated officer supporting this agenda	15
1 **Very High** **(15-25**	**4. Reduction in Council funding resulting in difficulties in achieving savings and maintaining frontline services.** ♦ Money Matters mitigating implications of the welfare reform agenda. ♦ Failure to achieve Resource savings targets ♦ Failure to collect care and grant income ♦ Service demand arising from Covid ♦ Delivery of statutory services **Top Council Risk**	25	♦ Money Matters service continues to income maximise ♦ Active participation in the Efficiency agenda ♦ Annual budget meetings ♦ Service reviews and redesign ♦ Assessment and care arrangements and income maximisation opportunities ♦ Review grants to voluntary organisations ♦ Review service user and carer prioritisation in terms of accessing service and support ♦ Support carers in their caring role ♦ Target resources on those with critical/substantial needs ♦ Work in partnership with voluntary organisations to provide early intervention and preventative supports. ♦ Service Reviews including IT solutions to deliver service models ♦ Reassess 'waiving of charges' SDS in relation to carers Adults Carer Support Plans	20

Risk Category	Risk	Inherent score	Sample of Controls	Residual score
			♦ Procurement of Carers Services, Care at Home and Support Services to those with Learning disabilities ♦ Introduction of Eligibility Criteria ♦ Front line service delivery – Staff working beyond 48 hour week WTD ♦ Consideration of Peripatetic team to reduce overtime costs ♦ The European Working Time Directive (WTD) will cease to apply to the United Kingdom at the end of the current transition period (**31 December 2020**). However, the UK's Working Time Regulations which implement the EU Working Time Directive will continue to apply unless and until they changed by UK law.	
1 **Very High (15-25**	**5. The Council is significantly affected by the impact of the UK leaving the European Union** ♦ There will be a shortage of highly skilled workers in certain professions which currently rely on migrant workers – for example education and healthcare ♦ 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	25	♦ The Council's Economic Development Service provides support to businesses within the South Lanarkshire area ♦ Advice published by the Government and other economic development agencies shared via partners and business networks ♦ Financial Strategy addresses potential changes in funding ♦ There is potentially new EU funding that the Council could apply for in the period 2019-2023 totalling £6.5m (ESF Employability Phase 2 bid). This is currently on hold with the SG. ♦ 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 leaving the EU ♦ Various reports to Executive Committee highlights implications for Council Services ♦ Report presented to the CMT on "Brexit and the Implications for the Council's European Funded Projects"	20

Risk Category	Risk	Inherent score	Sample of Controls	Residual score
	Top Council Risk		♦ UK and Scottish Government Reasonable Worst Case Scenario Planning Assessments in planning updates to CMT ♦ Brief guide for businesses which signposts the support and guidance that is available and to consider the six areas under which Brexit may affect their business has been published ♦ Risk workshop held with the Community Planning Partnership (CPP) to examine the potential implications for partners and to identify areas where a joined up approach to Brexit planning can be developed ♦ Officers have attended various seminars ♦ Project management structures in place, with lead officers identified ♦ Resource risk registers reflect Brexit risks ♦ Brexit Statement in the Annual Accounts ♦ Limited impact on Social Work Care Services ♦ Potential impact on sourcing NHS medication/drugs	

Risk Category	Risk	Inherent score	Sample of Controls	Residual score
	6 Failure to fulfil emergency response commitments befitting Council's status as Category One (emergency) responder ♦ Business continuity arrangements are not complete or robust ♦ 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 ♦ The resource utilised the SWIS plus client index system which required IT support **Top Council Risk**	25	♦ 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 ♦ Contract monitoring undertaken with external service providers. ♦ Member of the West of Scotland Resilience partnership – caring for people sub group	12

Risk Category	Risk	Inherent score	Sample of Controls	Residual score
2 **High** **(8-12)**	**7. 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 ♦ Potential disclosures to the inquiry which result in the Council as the successor authority being liable ♦ Claims for compensation ♦ Damage to the reputation of the Council ♦ Potential periods of the inquiry uninsured ♦ Current Public consultation (November 2019) inviting views on aspect of the design of the redress scheme, and how those responsible could make a financial contribution. **Top Council Risk**	16	♦ Cross Council Steering Group established ♦ 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
2 **High** **(8-12**	**8. Information Governance not subject to adequate controls** ♦ Ineffective records management practices could lead to data breaches ♦ Poor information recording within Client index systems ♦ Systems not geared towards	16	♦ Regular audits of case file activity undertaken ♦ 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 preparing for Corporate file structure Objective ♦ SWiSplus training team dedicated to training staff in use of client index system	12

Risk Category	Risk	Inherent score	Sample of Controls	Residual score
	sharing relevant information across partners ♦ Impact of GDPR **Top Council Risk**		♦ Contract monitoring in place with external providers ensuring their data protection obligation followed ♦ Annual audit checklists ♦ Information Governance Board GDPR action plan ♦ Regular updates on guidance circulated (use of Zoom/MS Meetings)	
2 **High** **(8-12**	**9 Fraud, theft, organised crime and cyber-attacks** ♦ Employee fraud/theft ♦ Resource employs over 3000 staff ♦ Procurement processes fail to identify suppliers with links to serious organised crime ♦ Breach in internet security **Top Council Risk**	16	♦ Code of conduct for all Social Work Staff ♦ Scottish Social Services Council accreditation ♦ Disciplinary procedures in place ♦ Core clauses in standard model contract with external providers ♦ Contract monitoring arrangements in place ♦ IT systems in place to combat breaches ♦ Inventories in place for equipment	12

Risk Category	Risk	Inherent score	Sample of Controls	Residual score
2 High (8-12	**10. The Council fails to evidence delivery of actions necessary to achieve the objectives set out in the IJB Strategic Commissioning Plan** ♦ Implications for children and justice services ♦ Governance and accountability arrangements ♦ Locality Planning models ♦ Locality Service delivery models ♦ Budgets and finance ♦ Reputation **Top Council Risk**	16	♦ Chief Officer and Senior Management Team in post ♦ Committee structure in place ♦ Reports presented to CMT and Executive Committee ♦ Integration Board links to the Community Planning Partnership SLC representation on the Integration Board ♦ Chief Officer representation on Group ♦ SOLAR Guidance ♦ Strategic Commissioning Plan 2019-22 approved ♦ IJB Directions issued to Council and NHS Board annually ♦ National Audit Activity ♦ Locality Management Teams approved by the Senior Management Team ♦ 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 ♦ New Carer Representative identified	12
2 High (8-12	**11. Failure to achieve the outcomes of the Community Plan** ♦ Failure to deliver on the Community Planning Partnership priorities. ♦ Health and Social Care Partnership ♦ Getting It Right for South Lanarkshire Children's Partnership	20	♦ Key performance measures identified ♦ Structure reporting streams with individual partnerships ♦ Clear terms of reference for partnership groups and sub groups ♦ Clear action plans and progress plans. ♦ Health and Social Care Partnership is a stand-alone identified risk ♦ Review number of performance measures across range of partnership activity ♦ Review underway of the CPP and associated Partnership Improvement Plans (PIP's)	8

Risk Category	Risk	Inherent score	Sample of Controls	Residual score
	♦ Corporate Parenting Strategy ♦ Community Justice Partnership ♦ Competing demands from range of partnerships **Top Council Risk**			
2 **High** **(8-12**	**12. Failure in multi-agency public protection procedures that result in harm to vulnerable children and adults.** ♦ Child Protection ♦ Adult Protection ♦ Prevent (Terrorism or Extremism) ♦ Gender based Violence ♦ COVID impacts on people living in Scottish Index of Multiple Deprivation (SIMD) Areas. **Top Council Risk**	16	♦ 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 ♦ Significant case review protocol in place ♦ Data sharing agreements in place to support alert messaging and sharing key information ♦ Multi-agency Prevent case discussions take place ♦ Training to raise awareness – Learn on line modules/ material in schools, Prevent is part of the curriculum ♦ Existing partnership working with Police Scotland and other organisations (Community Planning Partnership) ♦ Internal Prevent Group ♦ Internal Contest Serious Organised Crime Group ♦ Contemporary guidance for PREVENT provided to staff ♦ Wider public health and environment COVID impacts ♦ addressing	9
2 **High** **(8-12**	**13. Death or injury to employees, service users or member of the public** ♦ Failure to implement child protection processes ♦ Failure to implement adult	16	♦ 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	9

Risk Category	Risk	Inherent score	Sample of Controls	Residual score
	protection processes ♦ Failure to meet statutory legislative duties and responsibilities through legislation and other regulatory bodies, such as Scottish Social Services Council (SSSC) to ensure that it provides services that meet the needs of local people. This includes protection of vulnerable children, young people and adults ♦ Assessment and Care Management arrangements in respect of risks and needs and use of chronologies **Top Council Risk**		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 monitoring system ♦ Workforce regulated by Scottish Social Services Council ♦ Safe systems of work	
2 **High** **(8-12**	**14. Procurement practice and management of contracts** ♦ Centralised procurement function reducing capacity and knowledge of health and social care requirements ♦ Inadequate monitoring of contracts for social care and quality assurance of service delivery ♦ Failure to deliver statutory duties, that is, protect vulnerable children, young	16	♦ Liaison with central procurement ♦ Governance arrangements in place ♦ Standard model contracts in place ♦ Monitor Care Inspectorate reports on purchased services ♦ Deficiency in care meetings in place for poor grading of care providers ♦ Review of grants to voluntary organisations ♦ Provider liaison meetings ♦ Potential to establish quality assurance team	9

Risk Category	Risk	Inherent score	Sample of Controls	Residual score
	people and adults if social care contract not in place ♦ Failure to recognise that procurement of care and support services is a complex ♦ Principles of choice and control **Top Council Risk**			
2 High (8-12	**15. Failure to meet sustainable development and climate change objectives** ♦ The public sector have a duty to reduce carbon emissions, adapt to a changing climate and act sustainably as a result of the Climate Change (Scotland) Act 2009 ♦ Scottish Government expectation that the public sector lead by example and fully embed environmental sustainability and climate change action into day to day activities and council service delivery **Top Council Risk**	16	♦ Sustainable development is embedded in the Resource Plan and Council Plan ♦ Sustainable development measures monitored through IMPROVE ♦ Strategic Environmental Assessment undertaken for plans and policies ♦ Resource energy champion ♦ Recycling of equipment (stair lifts) ♦ Energy efficiency in relation to new build programmes and maximise the energy efficiency of all Social Work Operational properties ♦ Reduce use of plastics across the Resource ♦ More flexible and agile working	9
2 High (8-12	**16. IT development and functionality does not meet service requirements** ♦ Restrictions on legacy systems (SWIS plus)	16	♦ Strategic review of Social Work IT System ♦ IT Programme Board in place ♦ Resource Plan 2018/19 ♦ IT Infrastructure Sub Group in place for IJB ♦ As part of digital strategy, council has commenced a move	9

Risk Category	Risk	Inherent score	Sample of Controls	Residual score
	♦ The ability to respond effectively to demand for service may prove difficult in the future ♦ Inability to respond to new statutory requirements ♦ Difficulty in partnership working leading to delays in service provision from inability ♦ to share assessments through IT platforms ♦ Impact of shift from analogue to digital in telecare/alert alarms. ♦ Lack of IT resource to support strategic developments **Top Council Risk**		to the Cloud, which will include the introduction of Office 365 ♦ Outline business case prepared for the replacement of SWIS plus ♦ SMT report outing Standard IT profiles for each category of staff	
2 **High** **(8-12**	**17. Lack of capacity and skills to provide and meet increased service demands** ♦ Impact of cross cutting services reviews ♦ Delivery of person centred care ♦ Home Care workforce to support increased older people demographic growth ♦ Ageing workforce ♦ Mixed economy of care ♦ Scottish Social Services Registration (SSSC) requirements for Managers within Children's homes.	16	♦ Learning and development Board identifies and monitors training and support required ♦ Social Work Governance Board in place with LDB reports tabled ♦ 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 ♦ Council Workforce plan ♦ Resource Workforce plan ♦ Registration requirements for care at home and housing support services ♦ Development of Care Academy alongside third sector organisations. ♦ Supervision policy audit undertaken and templates	9

Risk Category	Risk	Inherent score	Sample of Controls	Residual score
	♦ Scottish Living Wage ♦ Registration requirements ♦ Lack of suitably qualified potential recruits in general work force ♦ Hamilton Care at Home Inspection report **Top Council Risk**		updated. ♦ Inspection Action Plans ♦ Working time Directives ♦ Learn of Line Mandatory Courses ♦ Plans to scope the use of digital platforms to deliver training ♦ Consideration of peripatetic teams	

Category	Number of Risks	Percentage
Very High	5	24%
High	12	57%
Medium	4	19%
Low	0	0
Total	**21**	**100%**

Social Work Resources Risk Actions 2020

	Risk Actions 2020/2021 (Additional control measures required to mitigate the risk)		
	Action	**Responsible person**	**Target completion date**
1.	Continue to monitor impact of Eligibility/Prioritisation Criteria	Head of Service	March 2021
2.	Review funding to Voluntary organisations linked to the Carers Strategy (RCC/EK Dementia Carers/Lanarkshire Links/Take Control/PAMIS)	Head of Service	March 2021
3.	Continue to review Day Opportunities for both Adults and Older People Services	Head of Service	March 2021
4.	Resource undertake Privacy Impact Assessment on new procurement activity	Head of Service	March 2021
5.	Resource Leads reviewing non contract spend and expired contracts	Head of Service	March 2021
6.	Plan for replacement SWiSplus client index system	Head of Service	September 2021
7.	Monitor the changes in the Home Care Workforce reorganisation	Head of Service	March 2021
8.	Continue to implement (COVID-19) Recovery Plan in-line with National Guidance	Head of Service	October 2021
9.	Develop improvement plan following Joint Inspection of Children's Services 2019	Head of Service	August 2020