

# Report

Report to: **Social Work Resources Committee**  
Date of Meeting: **10 November 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 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 those 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 21 January 2021.
- 3.6. The Resource top Risk Register and Risk Control Plan has been reviewed. This work was completed in September 2021.

- 3.7. The Central Risk Management Team annually review Resource compliance with the Risk Management Strategy. The outcome of the 2020/21 review identified that Social Work Resources achieved 100% per cent compliance, scoring 45 out of a possible 45.

#### **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 regular 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:
- ◆ risk descriptions, controls and actions have been updated as required on individual risks, following discussion with risk owners
  - ◆ the risk description for 'death or injury to employees, service users or members of the public affected by Council operations' has been amended to capture wider health, safety and wellbeing issues
  - ◆ the Council has introduced a new (very high) risk with the Independent Review of Adult Social Care, this is captured as a new high risk for Social Work
  - ◆ the residual risk score for 'Covid-19 Pandemic' remains very high as part of wider implications to Health and Social Care Services challenges in Residential Services, Day Care, Care at Home and localities with increased demand, and associated capacity issues
  - ◆ Care Inspectorate grades still remain as a high risk as we have 39 registered Care Services
  - ◆ progress Care Inspectorate Action Plan for children and young people in need of care and protection in South Lanarkshire. Outstanding Advocacy and Kinship Continuing Care protocol
  - ◆ future Adult Support and Protection Care Inspection risk due to staffing capacity due to vacancies and recruitment challenges associated with pay differentials and increased absence levels

- ◆ UK leaving the European Union remains a high risk as we experience supply chain issues with component parts for assistive technology and increase demands to deliver services to vulnerable individuals with staff shortages and added competition with retail and hospitality sectors

- 5.6. 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.
- 5.7. Appendix 3 provides a comparison of risk scores for 2020 and 2021. This appendix also details changes in risk description.
- 5.8. Risks evaluated residually as being medium or low risk will be monitored to ensure that they continue to be adequately managed.
- 5.9. The Committee is asked to note the contents of the Resource Risk Register.

## **6. Insurance Hotspots**

- 6.1. The Council insurers have been undertaking an analysis of the public liability, employer's liability, motor, and property claims experiences for the last two years, with a view to identifying areas where a number of similar types of claim or high value claims were originating. This work was delayed due to the Pandemic and is now due to be completed by the end of 2021. Action plans will be agreed with Resources to mitigate against Hotspot areas.
- 6.2. It is anticipated that Social Work will have some actions resulting from the Insurance Hotspot Review.

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

- 7.1. The 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. 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 per cent of residual risks at a very high level
  - ◆ no more than 15 per cent of residual risks at a high level
  - ◆ around 50 to 60 per cent of residual risks at a medium level
  - ◆ no more than 30 per cent 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 –**

<b>Likelihood</b>	<b>5</b> Almost Certain			<b>3</b>		
	<b>4</b> Likely			<b>4</b>	<b>4</b>	<b>2</b>
	<b>3</b> Possible				<b>6</b>	
	<b>2</b> Unlikely					
	<b>1</b> Rare					
		<b>1</b> Negligible	<b>2</b> Minor	<b>3</b> Moderate	<b>4</b> Major	<b>5</b> Catastrophic
<b>Impact</b>						

**Table Two –Top Risks Risk Profile**

<b>Risk Category</b>	<b>Risk Rating</b>	<b>Number of risks</b>	<b>Percentage of risks</b>
<b>1</b>	<b>Very high</b>	<b>9</b>	<b>41</b>
<b>2</b>	<b>High</b>	<b>10</b>	<b>45</b>
<b>3</b>	<b>Medium</b>	<b>3</b>	<b>14</b>
<b>4</b>	<b>Low</b>	<b>0</b>	<b>0</b>

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

## **8. Control Actions**

- 8.1. One hundred per cent (5/5) of Risk Control actions due to be completed during 2020/2021 were completed on time against an overall Resource target of 90%.
- 8.2. Details of the completion of Risk Control actions during 2020/21 are contained in Table Three below.

**Table Three**

	<b>2020/2021</b>
Total number of actions due	5
Completed on time	5
Completed late	0
Due to be completed at a later date	0

- 8.3. Progress with completion of Resource Risk Control Actions is monitored by the Central Risk Management Team. This is also reviewed by the Resource Risk Group.

- 8.4. There are currently six risk control actions due for completion during the remainder of 2021/22. The Committee 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 Social Work Resources, 12 partnerships have been identified. Two of these are 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 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 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. There are no direct financial implications associated with the Resources' top risks. There are a number of proposed risks which are classified under the heading of financial, including additional costs stemming from Covid-19. Where this is the case, the appropriate controls and actions have been included in the risk control cards and progress will be monitored.

**13. Climate Change, Sustainability and Environmental Implications**

- 13.1. Sustainable development issues are included in the Council's top risk register through being linked direction to the Council plan objective "making communities safer, stronger and sustainable."
- 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.

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

**Soumen Sengupta**  
**Director, Health and Social Care**

22 October 2021

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

- ◆ Accountable, effective, efficient, and transparent

**Previous References**

- ◆ Report to Social Work Committee - 20 January 2021 Update of Social Work Resources Risk Register

**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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## 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
<b>1 Negligible</b>	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
<b>2 Minor</b>	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
<b>3 Moderate</b>	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
<b>4 Major</b>	Serious negative national or regional criticism	£500,000 to £1million per annum	Major impact to service delivery; multiple service standards	Medium-term attention from legislative/regulatory body	Fatality; Or injuries to several people

	Reputation	Financial	Service delivery/ Time to recover	Compliance	Safety
			are not met; long term disruption to operations; multiple partnerships affected		
<b>5 Catastrophic</b>	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

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

The risk score is calculated as follows:

**Likelihood score x Impact score = Risk Score**



Social Work Resources Risk Register (as at 13 October 2021)  
Extract of risks with residual score category of Very High and High

**Appendix 2**

Risk Category	Key Risk	Inherent risk score	Sample of Controls	Residual risk score
<b>1 Very High (15-25)</b>	<p><b>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</b></p> <ul style="list-style-type: none"> <li>◆ Health and Social Care Services increased pressures/service demands</li> <li>◆ Absence rate increases due to the Pandemic and increased pressured on wellbeing of workforce</li> <li>◆ Increased vacancy levels due to attrition rate of qualified staff to fulfil statutory requirements</li> </ul> <p><b>Council Top Risk</b></p>	25	<ul style="list-style-type: none"> <li>◆ Roll out of MS Teams throughout the Council</li> <li>◆ Health and wellbeing portal for staff</li> <li>◆ Continued working from home arrangements in place</li> <li>◆ Safe systems of working continue to be adopted</li> <li>◆ New methods of service delivery such as outreach in place.</li> <li>◆ All Council offices regular cleaning regime</li> <li>◆ All workplace appropriate social distance signage in place</li> <li>◆ Partnership risk registers in place</li> <li>◆ All Core service continued to operate</li> <li>◆ All core staff remained in work</li> <li>◆ Testing frequency increased</li> <li>◆ Ease of access to lateral flow testing</li> <li>◆ National vaccination programme underway</li> <li>◆ Planned Covid booster and flu vaccination autumn programme</li> <li>◆ Regular statistical briefing email</li> <li>◆ Effective communication systems in place</li> <li>◆ Regular monitoring as restrictions ease</li> <li>◆ More services remobilising as restrictions ease</li> <li>◆ Enhanced cleaning and safe systems of work (infection prevention and control)</li> </ul>	20

Social Work Resources Risk Register (as at 13 October 2021)  
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Risk Category	Key Risk	Inherent risk score	Sample of Controls	Residual risk score
1 Very High (15-25)	<b>Reduction in external funding and fees/income received by the council, as well as increased service demands, results in saving difficulties.</b> ♦ Failure to generate income from charging policy <b>Council Top Risk</b>	25	♦ Active participation in the Efficiency agenda ♦ Annual budget meetings ♦ Service reviews and redesign ♦ Assessment and care arrangements and income maximisation opportunities ♦ Service Reviews including IT solutions to deliver service models ♦ Reassess 'waiving of charges' SDS in relation to carers Adults Carer Support Plans ♦ Procurement of Carers Services, Care at Home and Support Services to those with Learning disabilities ♦ Operation of Eligibility Criteria ♦ IJB Chief financial officer ♦ Additional short term funding sources ♦ Money Matters service continues to income maximise ♦ Eligibility Criteria aligned to Day Services (Lifestyles)	20

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Extract of risks with residual score category of Very High and High

Risk Category	Key Risk	Inherent risk score	Sample of Controls	Residual risk score
1 Very High (15-25)	<p><b>The Council does not fully deliver the strategic outcomes of the IJB as outlined in their Strategic Commissioning Plan</b></p> <ul style="list-style-type: none"> <li>◆ Independent Review of Social Care and role of IJB</li> </ul> <p><b>Council Top Risk</b></p>	25	<ul style="list-style-type: none"> <li>◆ Chief Officer representation on Group</li> <li>◆ SOLAR Guidance</li> <li>◆ Strategic Commissioning Plan Current review and consultation</li> <li>◆ IJB Directions issued to Council and NHS Board annually</li> <li>◆ SMT Work plan re the transformation/change agenda</li> <li>◆ Chief Officers Network facilitated by the Scottish Government</li> <li>◆ Code of Corporate Governance</li> <li>◆ Performance reporting framework</li> <li>◆ Tripartite Joint Chief Executive meetings</li> <li>◆ Chief Officer 1-2-1 meetings with Chief Executives</li> <li>◆ Active Carer Representative on IJB</li> <li>◆ Recommendations from IRASC (Feely Report) powers to IJB's</li> </ul>	16

Social Work Resources Risk Register (as at 13 October 2021)  
Extract of risks with residual score category of Very High and High

Risk Category	Key Risk	Inherent risk score	Sample of Controls	Residual risk score
1 Very High (15-25)	<p><b>Failure to ensure the health, safety and wellbeing of employees and the protection of service users and members of the public in the delivery of council services.</b></p> <ul style="list-style-type: none"> <li>◆ Increased demand on Mental Health Services</li> <li>◆ More vulnerable service users</li> <li>◆ Staff capacity with increasing absence rates and attrition of qualified posts and challenges in recruitment</li> </ul> <p><b>Council Top Risk</b></p>	25	<ul style="list-style-type: none"> <li>◆ Child and Adult Protection policy and procedures and governance procedures in place to guide all staff</li> <li>◆ 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 service users</li> <li>◆ 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</li> <li>◆ 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</li> <li>◆ Front line managers can access daily management information reports from our SWiSplus client index and the IMPROVe performance system</li> <li>◆ Workforce regulated by Scottish Social Services Council</li> <li>◆ Safe systems of work</li> <li>◆ Mental Health wellbeing resource available for staff</li> </ul>	16

Social Work Resources Risk Register (as at 13 October 2021)  
Extract of risks with residual score category of Very High and High

Risk Category	Key Risk	Inherent risk score	Sample of Controls	Residual risk score
1 Very High (15-25)	<b>Community Alarms - Failure to properly prepare and successfully transition from the current analogue services to a digital solution within the pre-determined timescale</b> <ul style="list-style-type: none"> <li>There are currently approximately 9,000 community alarm users in South Lanarkshire</li> </ul>	25	<ul style="list-style-type: none"> <li>Senior management team representation on ICT programme Board</li> <li>Workstream dedicated to digital switchover</li> <li>Capital programme funding agreed to support test of change</li> <li>South Lanarkshire Health and Social Care Partnership agreed to part fund a post within IT to map out the issues and way forward</li> <li>Ofcom have been predicting that telecommunications providers will stop supporting the public switched telephone network (PSTN) and Integrated Services Digital Network by 2025</li> <li>Dedicated officer supporting this agenda</li> <li>Number of individual workstreams</li> <li>Programme Board and reports to CMT and Committee</li> </ul>	15
1 Very High (15-25)	<b>Failure to evidence sufficient progress against Care Inspectorate requirements</b> <ul style="list-style-type: none"> <li>Resource responsible for 39 Registered Care Services</li> <li>Progress Care Inspectorate Action Plan for children and young people in need of care and protection in South Lanarkshire. Outstanding Advocacy and Kinship Continuing Care protocol</li> <li>Future Adult Support and Protection Inspection. Risks associated with capacity due to Pandemic response, absence and staff retention for Council Officers/Qualified Social Workers and front-line Managers</li> </ul>	20	<ul style="list-style-type: none"> <li>New Link CI Inspector</li> <li>Transformation Change reports presented to Committee</li> <li>Positive subsequent Registered Services inspection reports</li> <li>Care at home oversight group</li> <li>Care Home oversight group</li> <li>Regular touchdown meetings with the Care Inspectorate (in house)</li> <li>Other localities have low risk inspection reports all have improvement plans.</li> <li>All services have a service improvement plan</li> <li>Annual Returns complete</li> <li>Six monthly Report to SW Committee regarding C I grades</li> <li>Updates on Joint Inspection Action Plans to GIRFEC South Lanarkshire Board</li> <li>Promise Board established</li> </ul>	15

Social Work Resources Risk Register (as at 13 October 2021)  
Extract of risks with residual score category of Very High and High

Risk Category	Key Risk	Inherent risk score	Sample of Controls	Residual risk score
1 Very High (15-25)	<p><b>Lack of capacity and skills to provide and meet increased service demands</b></p> <ul style="list-style-type: none"> <li>◆ Competition with other industry sectors</li> <li>◆ (retail and hospitality sector, less responsibility)</li> <li>◆ Competition within Social Care sector</li> <li>◆ Covid – expectation of vaccination</li> <li>◆ Qualified Social Work and front-line Manager salary differential across the country</li> <li>◆ Volume of inexperienced workers and front-line Managers</li> </ul> <p><b>Council Top Risk</b></p>	20	<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 with LDB reports tabled</li> <li>◆ Council Workforce plan</li> <li>◆ National integrated workplan 2022/25</li> <li>◆ Registration requirements for care at home and housing support services</li> <li>◆ Working time Directives</li> <li>◆ Learn of Line Mandatory Courses</li> <li>◆ Plans to scope the use of digital platforms to deliver training</li> <li>◆ Consideration of peripatetic teams</li> <li>◆ Monitoring of increased service demands</li> <li>◆ Recruitment and new posts on establishment</li> <li>◆ High uptake of vaccinations</li> <li>◆ Implications of National Care Service Consultation</li> </ul>	16

Social Work Resources Risk Register (as at 13 October 2021)  
Extract of risks with residual score category of Very High and High

Risk Category	Key Risk	Inherent risk score	Sample of Controls	Residual risk score
1 Very High (15-25)	<b>New and amended legislation</b> <ul style="list-style-type: none"> <li>◆ Social Work operates against a backdrop of many pieces of legislation, historically operating under the requirements of the Social Work (Scotland) Act 1968</li> <li>◆ Independent Review of Adult Social Care (IRASC) implications on Social Care Services (not just Adult Services)</li> </ul>	20	<ul style="list-style-type: none"> <li>◆ The requirements are met under all the standard legislation the resource operates within</li> <li>◆ Adults With Incapacity and Adult Support and Protection timescales are built into IMPROVe reporting systems and performance monitored</li> <li>◆ Children and Child Protection legislation timeframes are built into the IMPROVe reporting system and performance monitored</li> <li>◆ Social Work Governance Group established</li> <li>◆ Respond to SG on range of consultations some regarding planned bills</li> <li>◆ COVID legislation</li> <li>◆ Mental Health Legislation/funding</li> <li>• Review of Adult Social Care (Feeley) Report</li> <li>• Current consultation on the National Care Service</li> </ul>	16
1 Very High (15-25)	<b>The Council fails to meet statutory and legislative duties in respect of public protection.</b> <ul style="list-style-type: none"> <li>◆ Child Protection</li> <li>◆ Adult Protection</li> <li>◆ Prevent (Terrorism or Extremism)</li> <li>◆ Gender based Violence</li> <li>◆ Staff capacity and experience of workers and Managers due to Pandemic demands</li> </ul> <b>Council Top Risk</b>	20	<ul style="list-style-type: none"> <li>◆ Public Protection Chief Officers Group</li> <li>◆ Multi-agency child protection committee in place</li> <li>◆ Multi-agency adult protection committee in place</li> <li>◆ Multi-agency procedures adopted to provide guidance to staff</li> <li>◆ Multi- agency MAPPA arrangements in place</li> <li>◆ Significant case review protocol in place</li> <li>◆ Data sharing agreements in place to support alert messaging and sharing key information</li> <li>◆ Partnership Serious Organised Crime Group</li> <li>◆ Contemporary guidance for PREVENT provided to staff</li> <li>◆ Wider public health and environment COVID impacts</li> <li>◆ Care Home Large Scale investigation findings</li> <li>◆ Safer South Lanarkshire Board and Community Justice Partnership</li> <li>◆ Getting it Right for South Lanarkshire Children's Partnership Board</li> <li>◆ Locality Huddles re protection issues</li> </ul>	16

Social Work Resources Risk Register (as at 13 October 2021)  
Extract of risks with residual score category of Very High and High

Risk Category	Key Risk	Inherent risk score	Sample of Controls	Residual risk score
<b>2 High (8-12)</b>	<p><b>The Council is materially affected by the recommendations arising from the independent review of Adult Social Care in Scotland.</b></p> <ul style="list-style-type: none"> <li>◆ All social care services no longer based in Councils</li> <li>◆ Impact on Council Budgets</li> </ul> <p><b>Council Top Risk</b></p>	16	<ul style="list-style-type: none"> <li>◆ Briefing reports presented to IJB and Social Work Committee</li> <li>◆ Consultation currently on National Care Services (includes all Social Care Services)</li> <li>◆ Ongoing horizon scanning of recommendations</li> <li>◆ COSLA supporting local councils</li> </ul>	12
<b>2 High (8-12)</b>	<p><b>Information Governance not subject to adequate controls</b></p> <ul style="list-style-type: none"> <li>◆ Poor information recording within Client index systems</li> </ul> <p><b>Council Top Risk</b></p>	20	<ul style="list-style-type: none"> <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 following Corporate file structure "Objective"</li> <li>◆ New replacement client index system in planning</li> <li>◆ Annual audit checklists</li> <li>◆ Information Governance Group and Strategy</li> <li>◆ Regular updates on guidance circulated (use of Zoom/MS Meetings)</li> <li>◆ Good Governance Statements</li> <li>◆ As working from home continues supporting guidance issued to staff regarding safe working practices and information governance.</li> <li>◆</li> </ul>	12



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Extract of risks with residual score category of Very High and High

Risk Category	Key Risk	Inherent risk score	Sample of Controls	Residual risk score
<b>2 High (8-12)</b>	<b>Potential liability arising from claims of historic abuse</b> <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> </ul> <b>Council Top Risk</b>	16	<ul style="list-style-type: none"> <li>◆ Cross Council Historic Child Abuse Enquiry Group in place</li> <li>◆ Regular meetings and monitoring Section 21 notices</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> <li>◆ 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</li> </ul>	12
<b>2 High (8-12)</b>	<b>Failure to embed Self-directed support (SDS) with the Carers (Scotland) Act 2016 in respect of Carers</b> <ul style="list-style-type: none"> <li>◆ Allows for choice/option in how care is delivered service user/carer control</li> </ul>	20	<ul style="list-style-type: none"> <li>◆ A directory of support providers is available to assist service users identify organisations that that can offer appropriate forms of support</li> <li>◆ Clear criteria for the management of Direct Payments established and Take Control offer support to Service uses and Carers for options 1 &amp; 2</li> <li>◆ A range of public information items has been developed.</li> <li>◆ An updated prioritisation framework is in place</li> <li>◆ Support arrangements are reviewed annually and prioritised</li> <li>◆ Independent Research published "My Support My Choice: <ul style="list-style-type: none"> <li>○ People's Experiences of Self-directed Support and Social Care in South Lanarkshire (a research project run by the Health and Social Care Alliance Scotland (the ALLIANCE) and Self Directed Support Scotland (SDSS) and funded by the Scottish Government) (18 October 2021)</li> </ul> </li> <li>◆ Resource Allocation System (RAS) under review</li> </ul>	12

Social Work Resources Risk Register (as at 13 October 2021)  
Extract of risks with residual score category of Very High and High

Risk Category	Key Risk	Inherent risk score	Sample of Controls	Residual risk score
<b>2 High (8-12)</b>	<b>Procurement activity is affected by a lack of resources, non-compliance or legal challenge</b> <ul style="list-style-type: none"> <li>◆ Centralised procurement function reducing capacity and knowledge of health and social care requirements</li> </ul> <b>Council Top Risk</b>	20	<ul style="list-style-type: none"> <li>◆ Liaison with central procurement</li> <li>◆ Governance arrangements in place</li> <li>◆ Monitor Care Inspectorate reports on purchased services</li> <li>◆ Deficiency in care meetings in place for poor grading of care providers</li> <li>◆ Quality Assurance and Commission Team in development with very focussed remit</li> <li>◆ Regular reports re Care Inspectorate grades to Committee/SW Governance Group</li> <li>◆ Seconded staff (Scotland Excel) within Procurement Service</li> <li>◆ Specialisms within procurement services</li> </ul>	12
<b>2 High (8-12)</b>	<b>IT development and functionality does not keep pace with changing service requirements</b> <ul style="list-style-type: none"> <li>◆ Restrictions on legacy systems (SWIS plus)</li> </ul> <b>Council Top Risk</b>	20	<ul style="list-style-type: none"> <li>◆ Strategic review of Social Work IT System</li> <li>◆ IT Programme Board in place</li> <li>◆ IT Infrastructure Subgroup in place for IJB</li> <li>◆ As part of digital strategy, council has commenced a move to the Cloud, which will include the introduction of Office 365</li> <li>◆ Approval and funding for replacement SWiSplus system in place</li> <li>◆ IMPROVe (CORVU) developments</li> <li>◆ Regular IT update reports on range of SW developments</li> <li>◆ Project team in place for new SWIS client index system</li> </ul>	12

Social Work Resources Risk Register (as at 13 October 2021)  
Extract of risks with residual score category of Very High and High

Risk Category	Key Risk	Inherent risk score	Sample of Controls	Residual risk score
<b>2 High (8-12)</b>	<b>Fraud, theft, organised crime and cyber-attacks</b> <ul style="list-style-type: none"> <li>◆ Employee fraud/theft</li> <li>◆ Breach in internet security</li> </ul> <b>Council Top Risk</b>	20	<ul style="list-style-type: none"> <li>◆ Code of conduct for all Social Work Staff</li> <li>◆ Scottish Social Services Council accreditation</li> <li>◆ Internal Audit</li> <li>◆ Routine guidance to service users</li> <li>◆ Trading standards input to providers re bogus callers</li> <li>◆ Adult Protection Committee, Trading standards now included</li> <li>◆ Bulletins and updates</li> <li>◆ Use of social media channels to raise awareness</li> <li>◆ SOC group council wide partnership group</li> <li>◆ Community Justice Partnership</li> <li>◆ Prevent (Terrorism or Extremism) awareness raising</li> </ul>	12
<b>2 High (8-12)</b>	<b>Failure to achieve results and demonstrate continuous improvement through leadership, good governance, and organisational effectiveness</b> <ul style="list-style-type: none"> <li>◆ Children's Services Inspection</li> <li>◆ Adult Support and Protection Inspection</li> </ul>	20	<ul style="list-style-type: none"> <li>◆ Action plans following inspections findings</li> <li>◆ Performance reporting through the IMPROVe system</li> <li>◆ Regular Care Inspection oversight reports developed</li> <li>◆ Care Inspectorate registered services reports to Committee</li> <li>◆ Registered Service annual audit included in Good Governance Statement</li> <li>◆ Customer Service Excellence Awards in 3 service areas</li> <li>◆ Performance and Continuous Improvement Groups established across service user groups</li> <li>◆ Range of audit and self-evaluation activity undertaken</li> <li>◆ Social Work Governance Group oversight</li> <li>◆ Action plan from Children's Services Inspection</li> <li>◆ ASP preparation for inspection</li> </ul>	12

Social Work Resources Risk Register (as at 13 October 2021)  
Extract of risks with residual score category of Very High and High

Risk Category	Key Risk	Inherent risk score	Sample of Controls	Residual risk score
<b>2 High (8-12)</b>	<p><b>Failure fulfils emergency response commitment befitting the Council's status as a Category 1 (emergency) responder</b></p> <ul style="list-style-type: none"> <li>◆ 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</li> <li>◆ The resource employs over a thousand homecare staff to support very vulnerable people in various urban and rural settings</li> </ul> <p><b>Council Top Risk</b></p>	16	<ul style="list-style-type: none"> <li>◆ Named responsible person identified in each service area</li> <li>◆ Officers identified for Major Incident Support Team Lanarkshire</li> <li>◆ Emergency planning arrangements are in place with all social work establishments</li> <li>◆ Clear processes for Fire Inspection and property maintenance audit are in place in all establishments</li> <li>◆ Pandemic/health and contingency plans are in place</li> <li>◆ Emergency Social Work Services out of hours service provided</li> <li>◆ Client index system regularly backed up</li> <li>◆ Covid Legislation and mobilisation of emergency arrangements</li> </ul>	12
	<p><b>The Council is significantly affected by the impact of the UK leaving the European Union</b></p> <ul style="list-style-type: none"> <li>◆ 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</li> <li>◆ Social Care Staff shortages</li> <li>◆ Access to supply chains (mobile phone components, computer parts, Technology enabled care equipment)</li> </ul> <p><b>Council Top Risk</b></p>	20	<ul style="list-style-type: none"> <li>◆ The HM Treasury has provided assurances around the current EU funded programme for all projects</li> <li>◆ Council Resources have reviewed their contingency plans to ensure that they are sufficiently robust to deal with any significant negative impact that may arise from the UK leaving the EU</li> <li>◆ Recruitment drives underway across the Resource</li> </ul>	12

Social Work Resources Risk Register (as at 13 October 2021)  
Extract of risks with residual score category of Very High and High

Category	Number of Risks	Percentage
Very High	9	41%
High	10	45%
Medium	3	14%
Low	0	0
Total	22	100%

Social Work Resources Risk Register (as at 13 October 2021)  
Extract of risks with residual score category of Very High and High

Risk Actions 2021/2022 (Additional control measures required to mitigate the risk)			
	Action:	Responsible person:	Target completion date:
1	Continue to monitor service capacity to deliver increased demand for Care at Home Services	Scot McNeill	March 2022
2	Continue to mobilise services in line with Government Guidance	Ian Beattie	March 2022
3	Maintain overview of national care service developments	Ian Beattie	January 2022
4	Commission replacement SWIS plus system	Martin Kane	March 2022
5	Eligibility criteria further aligned to Day Service Facilities (Lifestyles)	Ian Beattie	March 2022
6	Continue preparation for inspection of Adult Support and Protection	Ian Beattie	January 2022
7	Progress the actions from the joint inspection of services for Children and Young People in need of care and protection in South Lanarkshire in relation to Corporate Parenting responsibilities	Liam Purdie	March 2022

Social Work Resources Risk Register (as at 13 October 2021)  
Extract of risks with residual score category of Very High and High

**Appendix 3**

**Comparison 2021 and 2020**

Risk Category	Key Risk	2020 Residual Risk Score	2021 Residual Risk Score	Change	Change to key descriptions
1 Very High (15-25)	<p><b>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</b></p> <p>♦ Health and Social Care Services increased pressures/service demands</p> <p><b>Council Top Risk</b></p>	16	20	↑	Addition of “providing support to community and business” to description

Social Work Resources Risk Register (as at 13 October 2021)  
Extract of risks with residual score category of Very High and High

Risk Category	Key Risk	2020 Residual Risk Score	2021 Residual Risk Score	Change	Change to key descriptions
<b>1 Very High (15-25)</b>	<b>Reduction in external funding and fees/income received by the council, as well as increased service demands, results in saving difficulties.</b> ♦ Failure to generate income from charging policy <b>Council Top Risk</b>	20	20	=	Deletion of “maintaining front line services” from description Addition of “external “ to description in respect of funding and fee/income



Social Work Resources Risk Register (as at 13 October 2021)  
Extract of risks with residual score category of Very High and High

Risk Category	Key Risk	2020 Residual Risk Score	2021 Residual Risk Score	Change	Change to key descriptions
1 Very High (15-25)	<b>The Council does not fully deliver the strategic outcomes of the IJB as outlined in their Strategic Commissioning Plan</b> <ul style="list-style-type: none"> <li>Independent Review of Social Care and role of IJB</li> </ul> <b>Council Top Risk</b>	12	16	↑	

Social Work Resources Risk Register (as at 13 October 2021)  
Extract of risks with residual score category of Very High and High

Risk Category	Key Risk	2020 Residual Risk Score	2021 Residual Risk Score	Change	Change to key descriptions
<b>1 Very High (15-25)</b>	<b>Failure to ensure the health, safety and wellbeing of employees and the protection of service users and members of the public in the delivery of council services.</b> <ul style="list-style-type: none"> <li>♦ Increased demand on Mental Health Services</li> <li>♦ More vulnerable service users</li> </ul> <b>Council Top Risk</b>	9	16	↑	Description amended from “Death or injury to employees, service users or members of the public affected by council operations”
<b>1 Very High (15-25)</b>	<b>Community Alarms - Failure to properly prepare and successfully transition from the current analogue services to a digital solution within the pre-determined timescale</b> <ul style="list-style-type: none"> <li>♦ There are currently approximately 9,000 community alarm users in South Lanarkshire</li> </ul>	15	15	=	Description fronted with the Community Alarms as the switch over impacts mainly on this for the Resource

Social Work Resources Risk Register (as at 13 October 2021)  
Extract of risks with residual score category of Very High and High

Risk Category	Key Risk	2020 Residual Risk Score	2021 Residual Risk Score	Change	Change to key descriptions
<b>1 Very High (15-25)</b>	<b>Failure to evidence sufficient progress against Care Inspectorate requirements</b> <ul style="list-style-type: none"> <li>♦ Resource responsible for 40 Registered Care Services</li> </ul>	16	15	↓	Home Care Grades improved
<b>1 Very High (15-25)</b>	<b>Lack of capacity and skills to provide and meet increased service demands</b> <ul style="list-style-type: none"> <li>♦ Competition with other industry sectors</li> <li>♦ (retail and hospitality sector, less responsibility)</li> <li>♦ Competition within Social Care sector</li> <li>♦ Covid – expectation of vaccination</li> <li>♦ Qualified Social Work salary differential across the country</li> <li>♦ Volume of inexperienced workers</li> </ul> <b>Council Top Risk</b>	9	16	↑	Major concerns with recruitment to health and social care workforce

Social Work Resources Risk Register (as at 13 October 2021)  
Extract of risks with residual score category of Very High and High

Risk Category	Key Risk	2020 Residual Risk Score	2021 Residual Risk Score	Change	Change to key descriptions
1 Very High (15-25)	<b>New and amended legislation</b> <ul style="list-style-type: none"> <li>◆ Social Work operates against a backdrop of many pieces of legislation, historically operating under the requirements of the Social Work (Scotland) Act 1968</li> <li>◆ Independent Review of Adult Social Care (IRASC) implications on Social Care Services (not just Adult Services)</li> </ul>	6	16	↑	New legislation plans developing

Social Work Resources Risk Register (as at 13 October 2021)  
Extract of risks with residual score category of Very High and High

Risk Category	Key Risk	2020 Residual Risk Score	2021 Residual Risk Score	Change	Change to key descriptions
<b>1</b> <b>Very High</b> <b>(15-25)</b>	<b>The Council fails to meet statutory and legislative duties in respect of public protection.</b> <ul style="list-style-type: none"> <li>◆ Child Protection</li> <li>◆ Adult Protection</li> <li>◆ Prevent (Terrorism or Extremism)</li> <li>◆ Gender based Violence</li> </ul> <b>Council Top Risk</b>	9	16	↑	Increased demands on services for most vulnerable individuals
<b>2</b> <b>High</b> <b>(8-12)</b>	<b>The Council is materially affected by the recommendations arising from the independent review of Adult Social Care in Scotland.</b> <ul style="list-style-type: none"> <li>◆ All social care services no longer based in Councils</li> <li>◆ Impact on Council Budgets</li> </ul> <b>Council Top Risk</b>	0	12		New risk

Social Work Resources Risk Register (as at 13 October 2021)  
Extract of risks with residual score category of Very High and High

Risk Category	Key Risk	2020 Residual Risk Score	2021 Residual Risk Score	Change	Change to key descriptions
<b>2 High (8-12)</b>	<b>Information Governance not subject to adequate controls</b> ♦ Poor information recording within Client index systems <b>Council Top Risk</b>	12	12	=	
<b>2 High (8-12)</b>	<b>Historical Childhood Abuse</b> ♦ Perceived failure on the authority and predecessor authority to fulfil its obligations in relation to looked after children <b>Council Top Risk</b>	12	12	=	Key risk description amended from "Potential liability arising from claims of historic abuse"

Social Work Resources Risk Register (as at 13 October 2021)  
Extract of risks with residual score category of Very High and High

Risk Category	Key Risk	2020 Residual Risk Score	2021 Residual Risk Score	Change	Change to key descriptions
2 High (8-12)	<b>Failure to embed Self-directed support (SDS) with the Carers (Scotland) Act 2016 in respect of Carers</b> <ul style="list-style-type: none"> <li>♦ Allows for choice/option in how care is delivered service user/carer control</li> </ul>	6	12	↑	Review of the Resource Allocation System, and risk reworded to reflect connection between legislation
2 High (8-12)	<b>Procurement activity is affected by a lack of resources, non-compliance or legal challenge</b> <ul style="list-style-type: none"> <li>♦ Centralised procurement function reducing capacity and knowledge of health and social care requirements</li> </ul> <b>Council Top Risk</b>	9	12	↑	Recruitment and contract monitoring

Social Work Resources Risk Register (as at 13 October 2021)  
Extract of risks with residual score category of Very High and High

Risk Category	Key Risk	2020 Residual Risk Score	2021 Residual Risk Score	Change	Change to key descriptions
2 High (8-12)	<b>IT development and functionality does not keep pace with changing service requirements</b> ♦ Restrictions on legacy systems (SWIS plus) <b>Council Top Risk</b>	9	12	↑	Replacement client index system plans
2 High (8-12)	<b>Fraud, theft, organised crime and cyber-attacks</b> ♦ Employee fraud/theft ♦ Breach in internet security <b>Council Top Risk</b>	12	12	=	



Social Work Resources Risk Register (as at 13 October 2021)  
Extract of risks with residual score category of Very High and High

Risk Category	Key Risk	2020 Residual Risk Score	2021 Residual Risk Score	Change	Change to key descriptions
<b>2 High (8-12)</b>	<b>Failure to achieve results and demonstrate continuous improvement through leadership, good governance, and organisational effectiveness</b> <ul style="list-style-type: none"> <li>◆ Children's Services Inspection</li> <li>◆ Adult Support and Protection Inspection</li> </ul>	6	12	↑	ASP inspection intimated
<b>2 High (8-12)</b>	<b>Failure fulfil emergency response commitment befitting the council's status as a Category 1 (emergency) responder</b> <ul style="list-style-type: none"> <li>◆ 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</li> <li>◆ The resource employs over a thousand homecare staff to support very vulnerable people in various urban and rural settings</li> </ul> <b>Council Top Risk</b>	12	12	=	

Social Work Resources Risk Register (as at 13 October 2021)  
Extract of risks with residual score category of Very High and High

Risk Category	Key Risk	2020 Residual Risk Score	2021 Residual Risk Score	Change	Change to key descriptions
<b>2 High (8-12)</b>	<p><b>The Council is significantly affected by the impact of the UK leaving the European Union</b></p> <ul style="list-style-type: none"> <li>◆ 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</li> <li>◆ Social Care Staff shortages</li> <li>◆ Access to supply chains (mobile phone components, computer parts, Technology enabled care equipment)</li> </ul> <p><b>Council Top Risk</b></p>	6	12	↑	