
Report to: **Housing, Health and Care Committee**

Date of Meeting: **22nd May 2014**

Subject: **Social Services Business Plan 2014 - 2015**

Report by: **Head of Social Services**

1.0 Purpose

- 1.1. This report presents to the Committee the Social Services Business Plan for 2014 -2015 (contained as Appendix 1).

2.0 Recommendations

- 2.1. It is recommended that Committee;
- note the content of the Business Plan and comment on or challenge the priorities, risks and actions contained within it.

3.0 Considerations

Background

- 3.1. The Business Plan sets out the actions that Social Services will take forward over 2014-2015 and specifically identifies how these actions will contribute to Clackmannanshire Council's key priority outcomes. The plan incorporates priority setting, planned improvement activity, the development of the performance indicators set out in the Covalent system and a service wide risk management plan.
- 3.2. The Business Plan contains information and analysis of the key issues for the Service. The plan requires to be viewed in the context of evolving change across Social Services. Two key elements are the ongoing integration of the Shared Service and Health and Social Care Integration.
- 3.3. Links between the Business Plan and the Annual Governance Assurance process have been taken into consideration during the preparation of the Social Services Business plan.

3.4. The Plan sets out an overview of the Service, its purpose and objectives and budget information for 2014-2015 . The key issues for Social Services are set out alongside actions that will be taken to improve and support the ongoing engagement with customers and staff.

4.0 Risks

4.1. The Social Services Business Plan for 2014-2015 includes a Risk Plan which will be a standard agenda item at our Social Services Strategic Management Team Meeting.

5.0 Sustainability Implications

5.1. None identified.

6.0 Resource Implications

6.1. The full financial implications of the recommendations are set out in the report. This includes a reference to full life cycle costs where appropriate. Yes

6.2. Finance have been consulted and have agreed the financial implications as set out in the report. Yes

7.0 Exempt Reports

7.1. Is this report exempt? Yes (please detail the reasons for exemption below)
No

8.0 Declarations

The recommendations contained within this report support or implement our Corporate Priorities and Council Policies.

(1) **Our Priorities** (Please double click on the check box)

The area has a positive image and attracts people and businesses	<input type="checkbox"/>
Our communities are more cohesive and inclusive	<input checked="" type="checkbox"/>
People are better skilled, trained and ready for learning and employment	<input type="checkbox"/>
Our communities are safer	<input checked="" type="checkbox"/>
Vulnerable people and families are supported	<input checked="" type="checkbox"/>
Substance misuse and its effects are reduced	<input checked="" type="checkbox"/>
Health is improving and health inequalities are reducing	<input checked="" type="checkbox"/>
The environment is protected and enhanced for all	<input type="checkbox"/>
The Council is effective, efficient and recognised for excellence	<input checked="" type="checkbox"/>

(2) **Council Policies** (Please detail)

9.0 Equalities Impact

9.1. Have you undertaken the required equalities impact assessment to ensure that no groups are adversely affected by the recommendations?

Yes No

10.0 Legality

10.1. It has been confirmed that in adopting the recommendations contained in this report, the Council is acting within its legal powers. Yes

11.0 Appendices

11.1. Appendix A - Social Service Business Plan 2014 - 15

12.0 Background Papers

12.1. Have you used other documents to compile your report? (All documents must be kept available by the author for public inspection for four years from the date of meeting at which the report is considered).

Yes (please list the documents below) No

12.2. The Business Plan for Social Services 2013-2014

Author(s)

NAME	DESIGNATION	TEL NO / EXTENSION
Chris Sutton	Service Manager	Ext : 5031

Approved by

NAME	DESIGNATION	SIGNATURE
Val de Souza	Head of Social Services	Signed: V de Souza
Nikki Bridle	Director of Finance & Corporate Services	Signed: N Bridle

Social Services

Business plan 2014-15



Making Clackmannanshire Better

1 SERVICE OVERVIEW

1.1 SERVICE MISSION / PURPOSE & OBJECTIVES

The purpose of the Business Plan is to set out how the actions that Social Service will deliver over 2014-2015 will contribute to Clackmannanshire and Stirling Council's key priority outcomes. Social Services has a major contribution to make in supporting the delivery of the vision of both Councils. This is achieved through the provision of direct support and services to children, young people, families, adults and carers. Social Services also works in partnership and uses its influence with universal services to develop and extend personal and community resilience.

The Business Plan identifies the key issues for the next year, providing an overview of the ways in which Social Services will take forward key actions. The plan is informed by self assessment, and external scrutiny and incorporates approaches to performance and risk management. The Business Plan is the pivotal plan that provides a clear direction for the underpinning strategies for adult and child care services. There will be associated service development plans for individual service areas. All of the plans will be outcomes based and will incorporate performance and risk management approaches, the allocation of financial resources and approaches to staff and wider stakeholder engagement. The Service is committed to operational ownership of performance and quality assurance, therefore improvement actions will be incorporated into individual service plans.

The Service is committed to the delivery of modern outcomes focused services within available resources. The Service is focused on providing high quality, personalised and responsive services that are designed and delivered in partnership with individuals and local communities. By strengthening self-evaluation and through the use of robust performance management, the Service will deploy resources effectively and efficiently to deliver the desired outcomes.

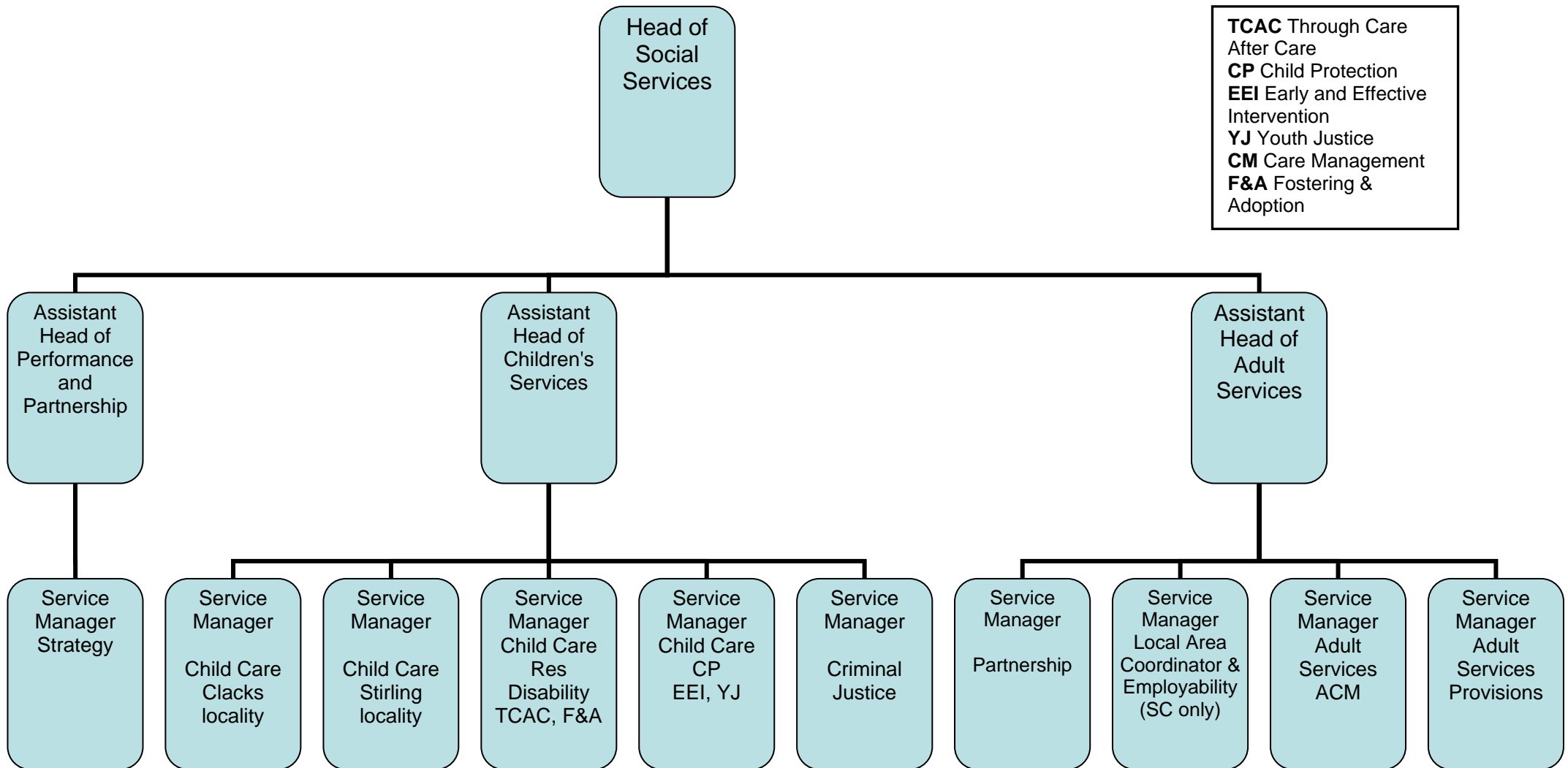
The vision is focused, both on people with acute and complex needs, and on promoting the wellbeing of all by working in partnership with universal services. Social Services have a statutory duty across the lifespan to assess and determine eligibility for publicly funded services and to assess risks and determine the requirement for statutory intervention. By maximising the capacity of those who use and require our services, we will assist people to have as much independence, choice and control as possible over their lives and will use resources to best effect. By helping people earlier, and working more closely with the Third and Independent Sector, other Council services and NHS Forth Valley, the aim is to promote wellbeing and assist people to have as much independence, choice and control as possible over their lives. The Service will share knowledge, skills and experience, to support and keep people safe at challenging times in their lives, and to enable people to achieve their full potential, reducing dependence on formal care services.

The key aspirations determined by the two councils for the Social service are:

- To provide high quality, equitable and responsive services
- To Keep children safe, healthy and prepare them well for adulthood
- To Support adults to lead independent and fulfilled lives
- To work with people who use the services, carers and stakeholders in the design and delivery of services
- To provide personalised services, which deliver what people need to fulfil their potential

This means communicating openly and working in collaboration with the public and with other strategic partners. This also means being responsive to the changing needs of individuals and families, whilst recognising and fulfilling our statutory responsibilities.

1.2 SERVICE STRUCTURE



1.3 BUDGET

Stirling Council

REVENUE BUDGET	£000
Head of Service/Management	1,123
Adults Social Services	30,273
Children's Social Services	9,352
Strategy, Commissioning and Partnership	3,146
Criminal Justice	-
Total Budget	43,894

CAPITAL BUDGET	
Project	£000
Telecare	130
Total	

Clackmannanshire Council

REVENUE BUDGET	£000
Head of Service/Management	556
Adults Social Services	14,395
Children's Social Services	10,630
Strategy, Commissioning and Partnership	1,342
Criminal Justice	-
Total Budget	26,923

CAPITAL BUDGET	
Project	£000
Telecare	75
Total	

2 KEY ISSUES FOR THE SERVICE

The key, national drivers for change in Social Services include:

1. **The Public Bodies (Joint Working) (Scotland) Act 2013** sets out the requirement for the integration by April 2015 of adult health and social care services and for joint strategic commissioning strategies to be developed in partnership with key stakeholders for all adult care groups.
2. **The introduction of the Social Care (Self-directed Support) (Scotland) Act** in April 2014, requiring Local Authorities to make significant shifts in the way services and supports are planned, commissioned and delivered to promote increased choice and control for those with social care needs. This includes adults, children, young carers and adult carers.
3. **The Children and Young People (Scotland) Act 2014** requires local authorities and health boards to develop joint children's services plans. The Act covers four main areas: Children's rights, Getting it Right for Every Child, Early Learning and Childcare and "Looked After" children. There is a statutory requirement on agencies to cooperate with each other in meeting the needs of children.
4. **The Community Empowerment and Renewal Bill** places new statutory duties on public bodies and Community Planning Partnerships (CPPs) to work effectively in partnership to deliver on local outcomes
5. **The Redesign of the Community Justice System** focused on delivering better outcomes for victims, people who offend and their families and for local communities.
6. **The Early Years Collaborative** is designed to promote early intervention and improve the life chances of children, young people and families at risk.
7. **The increase in demand on services**, specifically in relation to higher numbers of older people.
8. **The ongoing financial challenge and reducing public sector budgets**- The need to work within budget, to make best use of available resource and to ensure fair and equitable allocation of resources.

The Social Services Management Team have established key priorities for the Service and for specific service user groupings. The actions set out in this Business Plan build on the progress in taking forward these priorities in 2013-2014. The priorities address national legislative and policy demands, the need to deliver efficiencies in line with corporate objectives and to achieve better outcomes for individuals. The priorities across service user groups are on improving the focus on prevention and early intervention, effective partnership working and collaboration, a coherent approach to workforce development and strategic commissioning of services based on a robust analysis of needs and a strong evidence base to deliver better outcomes. The Service has developed a coherent approach to meeting the requirements of Clackmannanshire and Stirling Councils aligned with *Making Clackmannanshire Better* and *Stirling Council Priority Based Budgeting*.

The Service will focus on the following key programmes during 2014- 2015. A number of individual projects will be progressed as elements of these overarching initiatives:

- Implementation of Self-directed Support for adults, children, carers and young carers;
- Redesign of Adult Care Services;
- Health and Social Care Integration;
- Redesign of Children's Services;
- The ongoing development of Multi-Agency Child Protection Services;
- Integration of Social Services Criminal Justice Service in line with the Scottish Government proposed model;
- Implementation of single case management systems across all service user groups.

3 APPROACHES

3.1 CUSTOMER/STAKEHOLDER ENGAGEMENT

The Service is fully committed to engaging the wider public and those who currently use our services in the development of both our policies and procedures and in the review and redesign of services. It is essential that those who receive services and supports from us (and their families) are fully involved in every stage of the process from assessment through to care planning and review. We recognise the need to use a range of methods and styles of engagement and to be proactive in engaging those who may be "harder to reach".

The introduction of Social Care (Self-directed Support) (Scotland) Act 2013 requires Local Authorities to maximise the choice and control exercised by those with social care needs. The underlying principle of self directed support is the development of a culture and the tools to enable people to take greater control of the support they receive and how they receive it, so that wherever possible make their own decisions and manage their own risks. We recognise that this will require a significant shift in approach, placing a greater emphasis on the contribution of those who use our services as active citizens, rather than passive recipients of care. We are developing our web-based information and public leaflets to raise awareness about self-directed support. In 2013-2014, we interviewed a sample of service users who receive direct payments, we will follow this up in 2014-2015 by supporting the development of a self-directed support forum. The move towards increasing numbers of people directing their own support requires changes in the way we commission services as individuals become their own commissioners. It is essential that we engage and maintain an open dialogue with people who use our services, potential service users. This also includes using opportunities to engage with citizens in the wider community, to raise awareness, communicate and involve people in service developments. There are participation strategies in place across the Service and service user and carers forums meet on a regular basis in key service areas.

Feedback and opinions are gathered using a range of methods including surveys, service specific forums and consultation events. Annual surveys of service users are undertaken by the Performance and Quality Assurance Team. Clackmannanshire and Stirling Councils have an individual appointed with responsibility for the Social Work Complaints Process. The emphasis is on dealing with dissatisfaction with the service as early and as constructively as possible. The analysis of complaints provides feedback about outcomes for service users and carers and helps to identify where there are areas that require attention and improvement. The themes arising from consultations and complaints are reviewed by the Social Service Management Team and addressed through service delivery plans.

Partnership working across both Councils and with external partner agencies is key to the delivery of our operational services and the development of joint approaches to commissioning services. There will be a focus in 2014-2015, on engaging more extensively with third and independent sector partners working with all service user groups. We will extend the arrangements in place for engaging with service providers around the implementation of self directed support.

3.2 SUPPORTING AND DEVELOPING STAFF

Learning and Development team staff work with practitioners, managers and partner organisations to identify, plan for and deliver activities that support individual and organisational learning. The Service adopts a strategic approach to supporting and developing staff, which is aligned to national policy and legislative developments, while addressing services, team and individual requirements. Each area of learning activity is underpinned by four overarching principles:

All learning should be centred on better outcomes for Children and Adults, Families and Carers

Learning should be collaborative and integrated across Social Services and with Partner Organisations

Learning should be experiential and create the opportunities for sharing and promoting good practice

Practitioner feedback from learning events should inform service standards and improvement

Social Services works to provide a range of learning and development opportunities that uphold the commitment to continuously improve practice at all levels. A broad range of workforce learning and development activities are designed, developed, commissioned and delivered e.g. post qualifying awards, mandatory training, work based learning, a course, coaching a more recently on-line or e-learning.

Through its engagement with individuals, teams and services, the Service seeks to promote a culture of organisational as well as individual learning. A learning organisation embraces a shared responsibility for learning and emphasises the importance of discussion and planning between staff, line managers and senior management to establish a strong link between individual learning and service improvement.

Together with their involvement in the delivery of formal learning activities, members of the learning and development team work alongside operational colleagues to provide mentoring support, information and advice in all areas of learning and development.

Reports are produced providing an overview of learning and development opportunities. These reports may include or draw on the following data:

- On the day Evaluations
- Impact of Learning Evaluations
- Practice Audit and Reporting Protocol
- Qualifications achieved
- Activity reports
- Registration information
- Data from individual development plans
- E-Learning take up and pass rates
- Self Evaluation
- External inspection
- Evaluation and verbal or written feedback from individuals and managers

Social Services Managers are responsible for ensuring that staff members have the confidence and competence to undertake their role and responsibilities and ensuring that they accessing appropriate development opportunities. Each member of staff should have a professional development plan / performance review and development plan. This plan should be reviewed annually. The outcomes identified within individual plans should be clearly linked to those identified in service specific delivery plans and to the broader themes and priorities in the Social Services Business Plan. Workforce planning issues are addressed through service planning and through the process of service redesign to ensure that the workforce is fit for purpose to meet the core objectives. This is a key element of the integration across Clackmannanshire and Stirling Social Services, to ensure that resources are deployed efficiently and effectively across both Council areas and that the workforce is supported to meet the key priorities and objectives.

3.3 MANAGING SERVICE PERFORMANCE

Improving key areas of Social Services performance is a key priority for Clackmannanshire and Stirling Councils. The approach to service improvement is designed to support a whole systems approach, increasing the capacity of the service to improve and supporting a positive performance based culture. This approach is detailed in the Service Improvement Framework. The Framework is designed to bring all strands of performance management activity together and ensure accountability across the service and to key stakeholders. There is a focus on ensuring performance information is used effectively to support service change.

The importance of having robust arrangements in place to monitor and review the ways in which commissioned services contribute to the outcomes for individuals and service user groups is fully recognised. Systems are in place to identify and respond as appropriate to the assessment of services by the regulatory bodies and to gather information from external services about their performance. The development through self-directed support of individual budgets and individual service funds provides for alternative models of designing and commissioning service and supports. This will require a shift towards more outcomes orientated approaches to monitor and evaluate performance, with a clear emphasis on the voice of the individual service user. The Social Services Planning and Commissioning Team are working in conjunction with operational colleagues and provider organisations, to ensure there is a shared understanding of our approach to measuring and monitoring the performance of commissioned services.

The Service recognises that there is a need to embed a culture that is performance orientated and focussed on achieving better outcomes making best use of all available resources Supporting strategies, activities and procedures are in place and underpin the commitment to self-evaluation and continuous improvement across Social Services. Examples of this include:

- An annual programme of self evaluation including practice and documentation audit and stakeholder perception;
- The introduction of a Practice Governance Framework with clear expectations for managers to undertake audit in their teams and service areas;
- A programme of PSIF self assessment to provide a baseline of current practice, areas of progress and areas of challenge;
- A framework to ensure the alignment of financial, performance, workforce planning and service development functions;
- Participation by the Service in an action research project - *Meaningful and Measurable* - designed to develop new approaches to measuring personal outcomes.

In 2014 -2015, the Service will build on this progress, with a strong focus on developing more integrated approaches to managing performance. Over 2013-2014, there has been an increased focus on measuring and monitoring performance in partnership with NHS Forth Valley and Third

Sector partners, particularly in the context of re-shaping care for older people. This work will be progressed over 2014- 2015, to embed a more integrated approach to performance management in line with national requirements.

Involving front-line staff and managers in improvement activity and providing support to ensure that changes are fully implemented is critical. In Autumn 2014, the Service launched the Practice Governance Framework with operational managers. Clear expectations are set out for managers to audit case records and identify strengths and areas for improvement. We will build on this, involving operational staff in themed audits to support improvements in practice standards. The Service has now identified a group of operational staff, who will champion and be involved throughout 2014-2015 in improvement activity.

The introduction of single systems is a key mechanism for improving the efficiency of gathering management information and will support the redesign of processes in line with practice requirements. Operational staff and business support colleagues will continue to be actively involved in workshops to support the implementation of single case management systems across the Service.

The Performance Forum will continue to be the single point of reference for key performance information and activity. The service specific performance groups manage and monitor progress on improvement plans in their relevant areas, in response to self-assessment activity, internal audits, complaints and comments, and external inspection feedback. There are multi-agency forums where performance is reported e.g. Child Protection Committee, Adult Support and Protection Committee and Joint Management Meeting with NHS Forth Valley.

Information on performance and quality is reported using a Social Services Balanced Scorecard. All the scorecards incorporate information on resources, people and outputs and outcomes. Analysis of this will enable the service and key stakeholders to have clear information about overall performance and support the management of integrated business functions. The use of covalent supports the presentation of robust performance information that is of real value to service delivery and offers greater transparency to key stakeholders.

Social Services reports on performance indicators to Clackmannanshire Council Health, Housing and Care Committee and Stirling Council Health and Social Care Committee, on a quarterly basis. An annual year end summary is also presented. An annual report providing data and analysis about complaints is provided to Clackmannanshire and Stirling Councils. A joined up social work complaints procedure and guidance is in operation across Clackmannanshire and Stirling to support a consistent approach to complaints handling. The Chief Social Work Officer prepares an annual report for Clackmannanshire and Stirling Councils. Social Services is also subject to external scrutiny and regulation from the Care Inspectorate.

4 DELIVERY PLAN

Social Services Business Plan 2014-15



PRIORITY OUTCOME

Communities are more inclusive and cohesive, Be a good corporate parent

Covalent Code	KPI	2011/12	2012/13	2013/14	2014/15	2015/16	Lead
		Value	Value	Value	Target	Target	
ADC ADA 01a	% of people aged 65 and over with intensive care needs receiving services at home	43%	42%	45% ¹	TBC	TBC	Jane Menzies
ADC ADA 006	Delayed hospital discharges over 4 weeks	0	0	0	0	0	Jane Menzies
CHC LAC 05d	Percentage of looked after children who remain in their communities	n/a	88%	76% ²	90%	90%	Liam Purdie
CHC TCA 002	% Care leavers aged 16+ with a pathway plan	21%	TBC	TBC	TBC	TBC	Liam Purdie

Covalent Code	ACTION	Impact	By When	Project Budget	Lead
SOS SSS 026	Deliver the Stirling Corporate Parenting Strategy and Action Plan following approval in January 2014 and ensure a joint approach is taken with Clackmannanshire	Lead and coordinate the Council's approach to corporate parenting and delivery of the Corporate Parenting strategy			Liam Purdie
SOS SSS 027	Identify service relationship management	Manage the service's engagement activities			Jane Menzies

¹ Average of first three quarters.

² Average of first three quarters.

PRIORITY OUTCOME
Communities are and feel safer, Substance misuse and its effects are reduced, Health is improving, Vulnerable people and families are supported, Increased focus on early intervention to help families in need.

Covalent Code	KPI	2011/12	2012/13	2013/14	2014/15	2015/16	Lead
		Value	Value	Value	Target	Target	
CHC SCR 002	% of children requiring supervision seen by supervising officer within 15 working days	100%	80%	68% ³	100%	100%	Liam Purdie
CHC SCR 01a	% Reports submitted to the Children's Reporter within 20 working days	64%	48%	85% ⁴	90%	90%	Liam Purdie
CHC CPR 078	Children on the Child Protection Register with at least one Core Group in the past month	n/a	80%	86%	90%	90%	Liam Purdie
CJS ADP 001	% of Criminal Justice reviews of high risk offenders that took place by scheduled date	n/a	100%	100%	100%	100%	Val de Souza
CHC CPR 029	Children on the child protection register visited weekly and seen	n/a	100%	100%	100%	100%	Liam Purdie
ADC ADA 018	% of Adult Support and Protection investigations that have an outcome of an initial case conference	n/a	12%	25%	Data only		Jane Menzies
ADC ADA 019	% of Adult Protection IRD/planning meetings held within 24 hours of referral	n/a	66%	73%	75%	75%	Jane Menzies
CHC LAC 18a	children looked after away from home with 3+ placements	n/a	n/a	n/a	Data only		Liam Purdie
CHC TCA 003	% Care leavers aged 16+ with a pathway co-ordinator	TBC	TBC	TBC	TBC	TBC	Liam Purdie

Covalent Code	ACTION	Impact	By When	Project Budget	Lead
SOS SSS 028	Develop a staged model of intervention that defines a tiered pathway of support and intervention	To develop a multiagency approach to family and parenting support, supporting early and appropriate intervention			Liam Purdie
SOS SSS 029	Ensure early intervention to improve outcomes for children and their families is prioritised				
SOS SSS 030	Clearly define the multi agency and single agency roles and responsibilities				
SOS SSS 031	Improve the quality and consistency of assessment, decision				

³ Average of first three quarters.

⁴ Average of first three quarters.

Covalent Code	ACTION	Impact	By When	Project Budget	Lead
	making and timescales around permanency planning. Improve the medium and long term outcomes for children in permanency planning.				
SOS SSS 032	The development of an evidence based outcomes focussed adult care pathway with Health	Improve outcomes for adults with complex needs			Val DeSouza
SOS SSS 033	Develop a multiagency prevention focussed pathway of care				
SOS SSS 034	Shift the balance of care towards effective care at home				
SOS SSS 035	Oversee design and business case development	To lead the delivery of the Stirling Care Village			Val DeSouza
SOS SSS 036	Oversee project implementation				
SOS SSS 037	Establishment of a shared development team to progress the work of the Joint Management Team	The establishment of a formal Health integration arrangement for adult services to be in place by 2015			Val DeSouza
SOS SSS 038	Establishment of preferred governance model for the partnership				
SOS SSS 039	To progress a joint commissioning strategy for adults with complex needs				

PRIORITY OUTCOME

Our Public Services Are Improving

Covalent Code	KPI	2011/12	2012/13	2013/14	2014/15	2015/16	Lead
		Value	Value	Value	Target	Target	
SOS CUS 001	Number of complaints received	5	3	1 ⁵	Data only		Jane Menzies
SOS LAG 003	% of staff who feel that the annual appraisal system helps them improve the way they do their job	n/a	54%	54%	60%	60%	Val de Souza
GOV SAB SOS	Staff sickness absence throughout social services	n/a	n/a	TBC	TBC	TBC	Val de Souza
ACC BUV SOS	Projected variance as % of actual budget	-6.66%	+0.88%	TBC	TBC	TBC	Val de Souza
SOS IBP 009	Social Services Assessments completed within timescale	78%	71%	70% ⁶	75%	75%	Val de Souza

⁵ Average over three quarters.


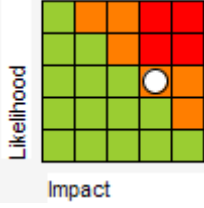
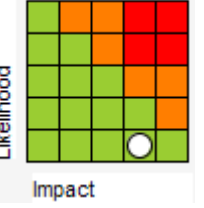

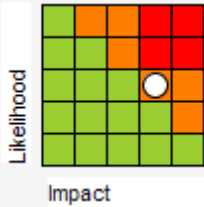
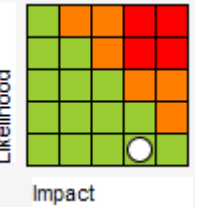
⁶ Average over three quarters.

Covalent Code	KPI	2011/12	2012/13	2013/14	2014/15	2015/16	Lead
		Value	Value	Value	Target	Target	
SOS LAG 027	% staff who feel they have the ability to improve the service their team provides.	n/a	55%	57%	65%	65%	Val de Souza
SOS CUS 002	% Social Services who achieve Care Inspectorate evaluation scores of 4 and above across residential and day services	n/a	94%	62.5% ⁷	100%	100%	Val de Souza


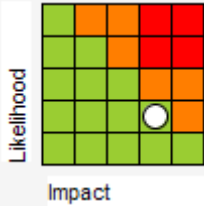
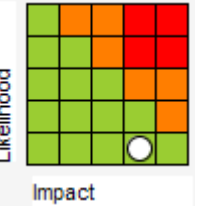
Covalent Code	ACTION	Impact	By When	Project Budget	Lead
SOS SSS 040	Ensure effective budget management arrangements are in place and are effectively reported	To manage costs within budget demonstrating value for money			Val de Souza
SOS SSS 041	Ensure effective customer standards are in place	To deliver service to customers at the appropriate standards of service			
SOS SSS 042	Ensure customer standards are effectively reported and managed				
SOS SSS 043	Ensure consistent application of attendance support and capability procedures across service	To have a high attending, motivated and engaged workforce			Val de Souza
SOS SSS 044	Undertake employee engagement activities	To have a high attending, motivated and engaged workforce			Val de Souza
SOS SSS 045	Report results, agree and implement improvement actions				
SOS SSS 046	Ensure effective risk and resilience management arrangements at service level				
SOS SSS 047	Ensure the most vulnerable clients needs are represented,	To manage risks appropriately at the right level			Val de Souza
SOS SSS 048	Manage public protection risks.				


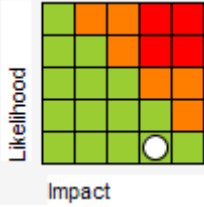
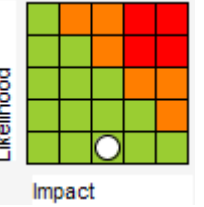
⁷ As at quarter three.

Social Services Risk Register 2014-15


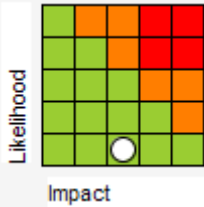
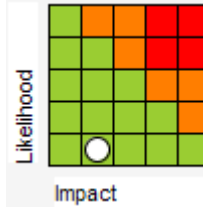
Covalent Code	Risk Description		Status		Current Rating	12	Target Rating	4	
STP SOS 014	We may fail to work effectively in partnership with NHS Forth Valley								
Managed By	Jane Menzies								
Potential Effect	Failure to; <ul style="list-style-type: none"> ▪ meet Scottish Government objectives ▪ meet Council objectives ▪ deliver the required services 								
Related Actions	SOS RIS 001	Joint action plans and commissioning strategies				Internal Controls	Corporate Management Team meetings STP SOS CMT		
							Health & Social Care Joint Management Team meetings STP SOS JMT		
Latest Note	Ongoing discussions between the Councils and NHS regarding integration.					Managed By	Jane Menzies		
Covalent Code	Risk Description		Status		Current Rating	12	Target Rating	3	
STP SOS 015	Lack of a sufficiently robust strategic planning framework across all care groups								
Managed By	Jane Menzies								
Potential Effect	Impact on financial expenditure, failure to deliver efficiencies, impact on the sustainability of services and ability to meet future needs								
Related Actions	SOS RIS 002	Joint commissioning work plan in place				Internal Controls	Joint Commissioning Strategy for Older People STP ADC JCS		
	SOS RIS 003	Additional resources in place to progress and deliver on efficiencies in line with strategic objectives for commissioned services.					Health & Social Care Joint Management Team meetings STP SOS JMT		
							Shared Social Services Change Programme STP SOS CPP		
							Programme for capacity planning and commissioning		


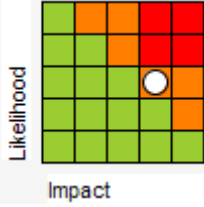
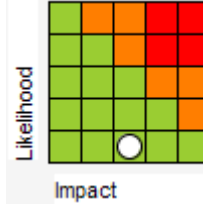
					activity in place for Social Services for 2013 - 2014. STP SOS CPP
Latest Note				Managed By	Jane Menzies

Covalent Code	Risk Description		Status	Current Rating	8	Target Rating	2
STP SOS 016	There is a risk that procedures are not up-to-date and easily accessible by staff				8		2
Managed By	Jane Menzies/Liam Purdie						
Potential Effect	Failure to: <ul style="list-style-type: none"> meet Scottish Government objectives meet Council objectives deliver the required services Risk of harm to current or potential service users						
Related Actions	SOS RIS 004	Work has commenced to develop action plan and allocate resources to review operational procedures and guidance.		Internal Controls		Service Plans STP SOS SPM	
Latest Note				Managed By		Jane Menzies & Sheila Graham	

Covalent Code	Risk Description		Status	Current Rating	4	Target Rating	4
STP SOS 017	Information system may be unavailable due to lack of controls				4		4
Managed By	Tony Morrison/John Allan						
Potential Effect	Negative impact on the smooth running of the service						
Related Actions	SOS RIS 015	Review Disaster Recovery and Business Continuity arrangements for shared Social Services		Internal Controls		Joint IT Governance Group STP SOS IGG	
	SOS RIS 016	Develop an implementation plan for the migration to SWIFT from CFIS for Childcare Clacks.				Business Continuity Plans FCS CUS BCP	
Latest Note				Managed By		John Allan	

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Covalent Code	Risk Description		Status	Current Rating	3	Target Rating	2
STP SOS 018	Criminal Justice Services may fail to meet the outcomes expected by the Community Justice authority, particularly in relation to a reduction in re-offending						
Managed By	Stuart Landels						
Potential Effect	Negative impact on the smooth running of the service. Reputational damage						
Related Actions	SOS RIS 005	Service plan to be updated incorporating practice governance.		Internal Controls		Social Services Business Plan (performance Information) STP SOS BUP CJ Performance Management Group STP CJA CPF Fife and Forth Valley Community Justice Authority Area Plan 2011-2014 (Performance monitoring Framework) STP CJA ARP CJ Service Plan STP CJA SRP MAPPA guidance STP CJA MPA	
Latest Note				Managed By		Stuart Landels	


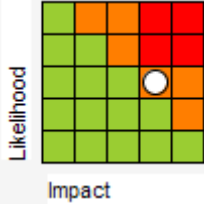
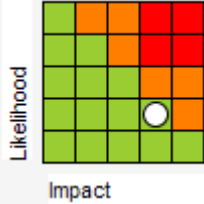
Covalent Code	Risk Description		Status	Current Rating	12	Target Rating	6
STP SOS 019	We may fail to have full contract monitoring procedures and compliance in place for Social Services						
Managed By	Jane Menzies						
Potential Effect	Pressure on contract compliance staff Paying for services not provided Non compliance with statutory reqs Critical services may not be supplied						
Related Actions	SOS RIS 006	Strategy service redesign to provide additional capacity for contract management and monitoring.		Internal Controls		Corporate Procurement Strategy STP SOS PRO Shared Social Services Change	


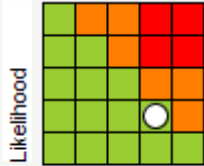
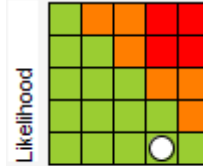
				Programme STP SOS CPP Corporate Contract Standing Orders STP SOS CSO
Latest Note	Additional temporary resources allocated to address contract compliance for Social Services.		Managed By	Jane Menzies


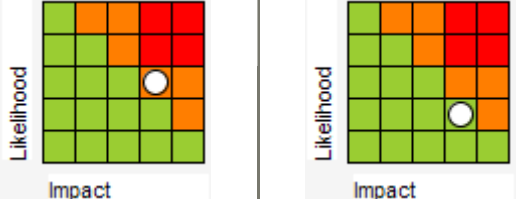


Covalent Code	Risk Description	Status	Current Rating	8	Target Rating	3
STP SOS 020	Failure to meet targets on processes, requirements and service standards including administrative processes					
Managed By	Val de Souza					
Potential Effect	We may fail to deliver the required services Risk of harm to current or potential service users					
Related Actions	SOS RIS 007	Review of key processes is in progress	Internal Controls		Social Services Business Plan (performance Information) STP SOS BUP Senior Social Services Management Team STP SOS SMT	
Latest Note			Managed By		Val de Souza	

Covalent Code	Risk Description	Status	Current Rating	12	Target Rating	6
STP SOS 021	We may fail to have sufficient staff capacity to undertake core duties					
Managed By	Val de Souza					
<u>Potential Effect</u>	We may fail to deliver the required services Lack of effective support to staff Risk of harm to current or potential service users We may fail to meet statutory requirements					
<u>Related Actions</u>	SOS RIS 008	Focussed interventions in service areas i.e. recruitment, attendance, support, supervision and PRDs.	Internal Controls		Recruitment & retention policy STP SOS RTP	
	SOS RIS 009	Increased focus on Workforce Planning and Workforce Development			Attendance Support Policy STP SOS ASP	
					Supervision policy STP SOS PRD	
					Business Continuity Plans FCS CUS BCP	

Latest Note		Managed By	Val de Souza
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Covalent Code	Risk Description		Status		Current Rating	12	Target Rating	3
STP SOS 022	We may fail to have competent, confident staff and managers to undertake core duties							
Managed By	Val de Souza							
Potential Effect	Failure to deliver the required services and meet statutory requirements. Lack of effective support to staff Risk of harm to current or potential service users							
<u>Related Actions</u>	SOS RIS 010	Risk Assessment and Risk Management Training Programme			<u>Internal Controls</u>	Corporate health & safety policies FCS GOV H+S		
						Clacks Supervision policy STP SOS PRD		
						Learning & Development Strategy STP SOS LDS		
						Staff engagement plan STP SOS SEP		
						Integrated Children's plan - FV GIRFEC agenda STP CHC ICS		
						FV risk assessment model - child & adults STP SOS RAM		
						Child protection procedures STP CHC CPP		
						MAPPA guidance STP CJA MPA		
						Workforce Learning & Development Strategy, Plan & Framework (Clacks) STP SOS WLD		
Latest Note					Managed By			

Covalent Code	Risk Description		Status	Current Rating	8	Target Rating	3
STP SOS 023	Failure to meet standards and deliver action plan improvements in line with Care Inspectorate requirements for internally and externally commissioned services						
Managed By	Jane Menzies						
Potential Effect	Potential for service closure Reputational damage to Service & Council						
<u>Related Actions</u>	SOS RIS 012	All services to have service specific forums focused on performance management		<u>Internal Controls</u>		Care Inspectorate Improvement Plan STP SOS CIP	Performance Forum STP SOS PER
						Annual Plan for Audit Activity STP SOS AUD	PSIF programme STP SOS PSF
Latest Note	Planning and Commissioning team monitoring externally commissioned services to ensure adherence with required standards.			Managed By		Jane Menzies	

Covalent Code	Risk Description	Status		Current Rating	12	Target Rating	6
STP SOS 024	Instability in the external care home market						
Managed By	Jane Menzies						
Potential Effect	Potential for service closure Deterioration in service standards Reputational damage to service						
Related Actions	SOS RIS 013	Contingency Plans in place.	Internal Controls				
	SOS RIS 006	Strategy service redesign to provide additional capacity for contract management and monitoring.		Contracts Monitoring Framework STP SOS CMF			
Latest Note				Managed By	Jane Menzies		
Covalent Code	Risk Description	Status		Current Rating	6	Target Rating	
STP SOS 025	Industrial relations may deteriorate						
Managed By	Val de Souza						
Potential Effect	Disruption to service delivery. Negative impact on Employee Morale, Risk of harm to service users or potential service users						
Related Actions			Internal Controls				
				Industrial relations meetings. STP SOS INR Staff engagement plan STP SOS SEP			
Latest Note				Managed By	Val de Souza		

