
To: Education and Children Policy Board

On: 14 May 2015

Report by: Director of Children's Services

Heading: Risk Management Plan April 2015

1. Summary

- 1.1 In keeping with 'Risk Matters', the Council's combined risk management policy and strategy, the service risk management plan is refreshed on an annual basis.
 - 1.2 This paper presents the service risk management plan from April 2015. (Appendix 1) to the Board for approval. An action plan will be submitted with the mid-year progress report.
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2. Recommendations

- 2.1 It is recommended that the Education and Children Policy Board approves the Children's Services Risk Management Plan, April 2015.
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3. Background

- 3.1 The business and social environment that the service operates within and provides services to continues to be a challenging and dynamic one and the proposed service risk management plan going forward from April 2015 must continually evolve in order to keep pace with, and accurately reflects the service's key priorities and key challenges.
- 3.2 The Council actively promotes good and sensible risk management practice. In doing so the Council aims to deliver high quality services for all service users, achieve high standards of performance, make the most of opportunity, and provide a safe environment for those it employs, contracts or partners with in providing a wide range of services.

- 3.3 Good risk management is about seeking to prevent harm or loss; seeking to ensure the right things happen and that 'risk-aware' not 'risk-averse' decisions are made in all aspects of Council business.
- 3.4 The process to identify key service risks seeks to focus on the significant challenges and uncertainties that may impact on the service's ability to deliver its key priorities and the risks are aligned to the themes of the Council's Business plan.
- 3.5 The resulting service risk management plan is used to record, monitor and review the management of these risks.
- 3.6 A number of methods are used and information sources reviewed to ensure a broad and thorough approach to identifying the service's risks and these methods include but are not limited to:
- Consultation and benchmarking within and outwith the service;
 - Review of key reports (internal and external) specific to the service responsibilities; and
 - Review of new/ emerging legislation and extension of provisions.
- 3.7 In presenting the service risk management plan to the board, the Extended Senior Leadership Team (ESLT) would wish to draw the Board's attention to a number of specific matters.
- 3.7.1 The service risk management plan continues to bring to sharp focus the significant risk facing the service and this should be balanced with recognition of the benefits that also continue to be delivered.
- 3.7.2 The risks have been evaluated using the Council's risk matrix (final appendix) and involves multiplying the likelihood of occurrence of a risk by its potential impact. This produces an evaluation of risk as either 'low', 'moderate', 'high' or 'very high.' High/ very high risks are viewed as significant. The profile of the service's risk going forward from April 2015 is shown in the table below:

Evaluation:	Low	Moderate	High	Very High	Total
No. of Risks:	0	17	3	0	20

- 3.7.3 In appraising the service risk management plan, the ESLT have identified those risks that they perceive to be the 'top three' for the service and these relate to:

Public protection: Social Work has a public protection role relating to child protection, adult protection and protecting the public from offending behaviour. Effective partnership working with the police and other key agencies is critical to ensuring risk is appropriately managed. **(High risk)**

Workforce Planning & Organisational Development: A flexible, skilled workforce is essential to the delivery of high quality social care services. If planning and development activity is not prioritised, it could lead to short- and long-term workforce difficulties. **(High risk)**

Getting It Right For Every Child (GIRFEC): Failure to fully embed GIRFEC principles across services and fulfil legal duties could result in poorer outcomes for children and young people and reputational damage for the Council. **(High risk)**

- 3.8 In preparing this paper for the Board, the ESLT consider that the proposed corporate risk register suitably reflects the service's risk management focus for the forthcoming year.
- 3.9 In relation to individual risks recorded, the ESLT believe that appropriate control measures are in place to prevent and/ or mitigate adverse effects and that further planned action is appropriate to the level of risk. Where no new actions are defined for any particular risk, this is indicative of a level of confidence in the current control measures in place and a consequent decision to tolerate the risk at this time. Robust monitoring arrangements are in place to track the progress of planned actions.
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Implications of the Report

1. Financial

Recurring costs associated with the measures in place for each risk are considered proportionate to the level of risk, and new planned actions are also considered to be cost effective.

The financial requirements to support the service risk management plan should be met within the service budget allocations. Any unplanned and unbudgeted cost pressures that arise in relation to any of the risks identified will be subject to review in consultation with the Chief Executive and the Director of Finance and Resources

2. HR and Organisational Development

Any risks relating to HR and Organisational Development issues are reflected within Appendix 1.

3. Community Planning

Any risks relating to the Community Planning themes are reflected within Appendix 1.

4. Legal

Any risks that may have legal implications are reflected within Appendix 1.

5. Property/Assets

Any property-related risks are reflected within Appendix 1.

6. Information Technology

Any risks relating to ICT are reflected within Appendix 1.

7. Equality and Human Rights

The Recommendations contained within this report have been assessed in relation to their impact on equalities and human rights. No negative impacts on equality groups or potential for infringement of individuals' human rights have been identified arising from the recommendations contained in the report. If required following implementation, the actual impact of the recommendations and the mitigating actions will be reviewed and monitored, and the results of the assessment will be published on the Council's website.

8. Health and Safety

Any risks relating to health, safety and wellbeing are reflected within Appendix 1.

9. Procurement

Any risks relating to procurement are reflected within Appendix 1.

10. Risk

For member assurance, all areas of the service have been consulted to ensure that the relevant risks have been identified.

The risk scores are believed to be as realistic as possible taking account of the type of risks recorded and the effectiveness of the measures in place to manage them.

The risk profile shows there are significant risks being managed by the service however for assurance, the senior leadership team believe that this risk can be managed and contained (in relation to the Council's risk capacity and tolerance).

Although the risks require close monitoring and scrutiny throughout the year, many are longer term risks that are likely to be a feature of the risk management plan over a number of years.

11. Privacy Impact

Any risks relating to privacy matters are reflected within Appendix 1

List of Background Papers

(a) Background Paper 1: Service Risk Management Plan 2015

The foregoing background papers will be retained within *Children's Services* for inspection by the public for the prescribed period of four years from the date of the meeting. The contact officers within the service are

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Children's Services

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5 May 2015

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**Children's Services
Risk Management Plan**

April 2015

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1. Risk management arrangements within Children's Services

- 1.1 During 2014-15, Social Work and Education and Leisure Services implemented a range of standard procedures in keeping with the Council's risk management strategy, "Risk Matters." This includes using the agreed risk management process and the standardised risk matrix for analysis and evaluation of risk within the services.
- 1.2 The Director of Children's Services is accountable to the Chief Executive, Corporate Management Team (CMT) and Education and Children policy board for the management of risk within his area of responsibility. As Chief Social Work Officer, he also has a statutory role in relation to risk. Each service risk is allocated to a responsible officer and progress against the management of service risks is reported to the Extended Senior Leadership Team (ESLT). Significant service risks are reported to the corporate risk management group (CRMG) on a quarterly basis and any exceptional risk information is reported by the CRMG to the CMT.

2. Report on service's contribution to relevant strategic risk management objectives

- 2.1 Children's Services continues to support the Council's strategic risk management objectives by:
- (1) Leadership and management: ensuring directors and senior managers fully support and promote risk management and have clear lines of responsibility for the management of risk.
 - (2) Policy and strategy: implement robust procedures to ensure the risk management policy and strategy remain fit for purpose, providing a consistent approach to risk management and increasing its effectiveness.
 - (3) People: ensuring that the organisation's people are equipped and supported to manage risk well. Children's Services promotes the Council's Risk Management training and development opportunities; identifying and supporting employees to attend the training which forms part of continuous professional development programme.
 - (4) Partnerships and resources: ensuring that the organisation has effective arrangements in place for managing risks in partnerships.
 - (5) Processes: ensuring that the risk management processes are effective in supporting the business activities of the organisation.
 - (6) Risk handling and assurance: ensuring that risks are handled well and that the organisation has assurance that risk management is delivering successful outcomes and supporting innovation.
 - (7) Outcomes and delivery: reporting on risk management arrangements to elected members on a six monthly basis and participate actively in the Corporate Risk Management Group, thus ensuring that risk management does contribute to achieving positive outcomes for the organisation.

3. Report on previous year's Risk Management Plan

- 2.1. In 2014/15, Social Work and Education and Leisure each submitted Risk Management Plan's to their Policy Boards. Social Work identified 15 service risks, with a profile as follows:

Evaluation:	Low	Moderate	High	Very High	Total
No. of Risks:	0	10	4	1	15

- 2.2. Education and Leisure services identified 18 service risks, with a profile as follows:

Evaluation:	Low	Moderate	High	Very High	Total
No. of Risks:	0	17	1	0	18

- 2.3. Each service undertook actions believed to be proportionate and cost effective in relation to the level of each risk and each Board received a midyear report on the progress being made in relation to this activity.

4. Current business context for Children's Services

- 2.4. The development of the service's risk register was undertaken in tandem with the development of the service improvement plan 2015-2018, to ensure that appropriate risk management considerations were embedded into the service's key planning and financial prioritisation processes.
- 2.5. In developing the service improvement plan, Children's Service has taken into account the views of employees, service users, carers, key stakeholders and partners, which were gained on an ongoing basis during 2014/15. Key consultation methods include:
- Engagement with staff through the roll-out of the Public Service Improvement Framework across the service, which has generated a number of improvement actions to be progressed by the service.
 - Consultation on future developments with health partners through the Joint Planning and Performance Implementation Groups (JPPIGs).
 - Engagement with the Extended Senior Management Team and through the internal Strategic Risk and Review Group which is chaired by the Director of Children's Services.
- 2.6. The Children's Services Improvement Plan and Risk Management Plan for 2015/16 reflect a dynamic and transitional environment in which the service is currently operating. The integration of adult health and social care services and the redesign of the community justice service will have a significant impact on the planning and development of social care services. The opportunity to enhance current partnership working in children's services through Renfrewshire Children's Services Partnership will also be progressed during 2015/16.
- 2.7. In addition to planned integration and enhanced partnership working, the policy landscape, changing demographics and increasing demands on resources suggest a dynamic operational environment for the Children's Services going forward.

2.8.

Priority	Description
Maintaining appropriate levels of service provision	One of the key challenges for the Social Work Service over recent years has been the development of strategies and approaches which allow the service to continue to provide high quality outcome-focused services to individuals in the community who require them within the resources which the Council has available. Preventative and rehabilitative approaches will continue to be mainstreamed as business as usual across the whole service serving both to protect or improve outcomes for local people and to achieve financial sustainability.
Developing integrated service arrangements	<p>Planned integration of health and social care services will have a significant impact on the development and delivery of services across Renfrewshire. Local partners are working together to develop shadow arrangements for integration from 1 April 2015, with full arrangements to be in place by 1 April 2016.</p> <p>The development of the Directorate of Children's Services provides formal linkages between elements of social work services and education services. Those services which remain within the local authority will need to work with health partners to ensure that the strong, informal</p>

	<p>partnership working which currently exists is maintained. The new arrangements will require changes to the existing management arrangements for some services.</p>
<p>Developing person-centred approaches to service delivery, including self-directed support</p>	<p>The Social Care (Self-Directed Support)(Scotland) Act 2013 will ensure that service users and carers can benefit from a personalised approach to social care services by providing a range of options including Direct Payments and individualised budgets to choose the best way in which their assessed needs can be met. The legislation came into force on 1 April 2014.</p> <p>The greater choice and control which will be offered to service users may have an impact on the demand for internal services and will require the Council to work proactively with the local providers and to provide information to service users about community based supports which may meet some of their lower level care needs.</p>
<p>Effectively discharging our public protection role and working with partners to ensure that vulnerable children live as safely as possible within local communities</p>	<p>Public protection is a core duty of Children's Services. Increasing numbers of local children are being affected by parental substance or alcohol misuse and/or neglect, and the service is working with partners through Renfrewshire Child Protection Committee to continue to improve multi-agency working, training and practice. The service will also maintain strong links with Renfrewshire Adult Protection Committee and Renfrewshire Alcohol and Drug Partnership.</p> <p>In terms of community-based criminal justice services, responsibility will transfer from Community Justice Authorities to Community Planning Partnerships from 1 April 2016. The transition to these arrangements will be managed carefully to minimise operational impact.</p>
<p>Supporting vulnerable people affected by the current programme of welfare reform</p>	<p>The UK Government introduced wide-ranging reforms to the benefits system from April 2013 which have had a major impact on the Council and on the people who use our services. Services across the Council have been working with the Tackling Poverty Commission to ensure that local people have access to information and practical support.</p>
<p>Improving outcomes for children living in Renfrewshire through evidence-based programmes and a focus on educational attainment</p>	<p>The implementation of the Children and Young People (Scotland) Act (2014) is a key priority for the service and is one strand of our GIRFEC implementation.</p> <p>The service is focused on improving outcomes and achieving positive destinations for all children and young people, but will also target improvements in the educational attainment of looked after children. Evidence-based programmes such as Triple P and Functional Family Therapy will continue to be offered. The Permanence and Care Excellence project will be extended.</p> <p>Legislation has extended the provision of support to care leavers to the age of 25 and the service will work with partners to ensure continued support, particularly in relation to employability and sustainable tenancies.</p>
<p>Wider partnership working</p>	<p>The service recognises that no single agency can meet the needs of local people in isolation. Partnership opportunities with the statutory, third and community sectors will continue to be progressed.</p>

Tackling inequality in Renfrewshire	<p>The Equality Act (2010) was passed in October 2010 and came into force in April 2011. Regulations on specific duties came into effect in May 2012 and they set out a framework to assist public authorities to meet the general duty. Children's Services in Renfrewshire serve an increasingly diverse range of people, all of whom have different needs and requirements and deserve to be treated in an equal and fair way.</p> <p>The Service is an active participant in local equality groups and will produce an annual Equality report going forward in relation to the activities of the service.</p>
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- 4.3 On the basis of the above review of the business context for Children's Services, the Senior Management Team has identified the key risks to be recorded within its risk register for 2015/16.

5. The service risk profile and top risks going forward from April 2015

- 3.1. The detailed service risk management plan from April 2015 is provided in the attached appendix. The risks are aligned to the themes of the Council's business plan, "Better Future, Better Council, a High Performing Council."
- 3.2. By way of summarising the information contained within the appendix, the remainder of this section provides:
- Table 5.2.1: the service risk profile in terms of low, moderate, high and very high risks
 - Table 5.2.2: all service risk areas ranked in descending order of significance;
 - Table 5.2.3: the service's TOP 3 risks with a brief narrative overview.
 - Table 5.2.4: an overview of how risks relate to the themes of the council's business plan.

Table 5.2.1: Service Risk Profile

Evaluation:	Low	Moderate	High	Very High	Total
No. of Risks:	0	17	3	0	20

Table 5.2.2: Risk Areas in Order of Significance

Risk areas	Likelihood	Impact	Score	Evaluation
Public protection	03	05	15	High Tolerable and significant
Workforce planning and organisational development	03	04	12	High Tolerable and significant
GIRFEC (Getting it right for every child) and Implementation of the Children & Young People Act 2014	02	05	10	High Tolerable and Significant
Integrated service arrangements	03	03	9	Moderate Tolerable
Self directed support	03	03	9	Moderate Tolerable
Development of early intervention and preventative services for children	03	03	9	Moderate Tolerable
Failure of major providers	03	03	9	Moderate Tolerable
Financial and demographic pressures	03	03	9	Moderate Tolerable
Health Inequalities	03	03	9	Moderate Tolerable
Equality duties	03	03	9	Moderate Tolerable
Data Protection	03	03	9	Moderate Tolerable
Continuous improvement	03	03	9	Moderate Tolerable
Educational Attainment	02	04	8	Moderate Tolerable

Risk areas	Likelihood	Impact	Score	Evaluation
Property	02	04	8	Moderate Tolerable
Health and Safety	02	04	8	Moderate Tolerable
Incident response management	02	03	6	Moderate Tolerable
Business continuity	02	03	6	Moderate Tolerable
Environmental sustainability	02	03	6	Moderate Tolerable
Lifelong learning	02	03	6	Moderate Tolerable
Investment in services to support independent living	01	04	4	Moderate Tolerable

Table 5.2.3: TOP Risks

Title	Score	Risk	Overview
Public protection	15	The Social Work Service has a public protection role relating to child and adult protection and offending behaviour. Effective partnership working with key agencies and the police is critical to ensuring risk to and from individuals is effectively managed.	<p>Public protection remains a critical duty of the Social Work service. Increasing numbers of local children are being affected by parental substance or alcohol misuse and/or neglect, and the service is working with partners through Renfrewshire Child Protection Committee to continue to improve multi-agency working, training and practice. A number of new procedures have been put in place to improve information-sharing and partnership working in this area. Similar work in relation to adult protection is also subject to continuous development with partners through the multi-agency Adult Protection Committee. The service now has in place a dedicated Adult Protection Officer to focus on social work practice in this area, and a Lead Officer to work with the committee.</p> <p>Our criminal justice service also has a statutory responsibility to improve community safety through the management and rehabilitation of offenders across Renfrewshire, and is an effective partner in the North Strathclyde Community Justice Authority, which includes other local authorities, the Police, the Scottish Prison Service and the Scottish Courts Service.</p>
Workforce planning and organisational development	12	A flexible and skilled social care workforce is essential to the future development of high quality services, and may lead to short and longer term workforce difficulties should this not be prioritised.	Given the challenges facing the service and the Council more widely, it is more important than ever that our staff have the abilities, skills and flexibility to take forward planned service improvements, and that they are supported to do this. Central to this is ensuring that staff receive the information and training they need.
GIRFEC	9	Failure to fully embed GIRFEC principles across services could result in poorer outcomes for children and young people.	GIRFEC principles focus on children and young people feeling safe, nurtured, achieving, respected and responsible, healthy, included and active. These principles should underpin the delivery of services to children and young people across Renfrewshire.

Table 5.2.4: Relationship with council business plan

1: A Better Future	
GIRFEC	Encompassing (1) Implementation of the Children and Young People (Scotland) Act 2014

	(2) Child poverty
Development of early intervention and preventative services for children	Encompassing (1) Early years change fund (2) Early Years Strategy (3) Implementation of evidence based programmes with partners (4) Development of services for accommodated children and care leavers
Public protection	Encompassing (1) Child protection (2) Effective risk management (3) Management of high-risk offenders (4) Multi-agency training and procedures
Self directed support	Encompassing (1) Social Care (Self-Directed Support) (Scotland) Act 2013 (2) Personalised approach to social care services (3) Individual budgets
Health Inequalities	Encompassing (1) Health Improvement (2) Partnership (3) Active, healthy lifestyles
Educational Attainment	Encompassing (1) Recognising achievement (2) Curriculum for Excellence (3) The attainment gap
Lifelong Learning	Encompassing (1) Adult education (2) Destinations

2: A Better Council

Failure of major providers	Encompassing (1) Monitoring of external commissioning / procurement activity
Workforce planning and organisational development	Encompassing (1) Workforce planning: structural change and having a flexible, motivated and skilled workforce (2) Organisational development: management development, individual personal / employee development and performance management (3) Leadership and culture
Equality duties	Encompassing (1) Meeting main duties flowing from Act (2) Promoting access to care and support across minority groups
Health and Safety	Encompassing (1) Employee safety and wellbeing in the community
Financial and demographic pressures	Encompassing (1) Medium and longer term financial planning (2) Corporate and service review activities (3) Strategic commissioning approach (4) Development of cost care models
Data Protection	Encompassing (1) Subject Access Requests (2) Data sharing agreements (3) Information governance
Environmental Sustainability	Encompassing (1) Energy Consumption (2) Sustainable design
Property	Encompassing (1) Asset management

3: A High Performing Council

Integration of Health and Social Care	Encompassing (1) Legislative changes required to support the implementation of new Social and Healthcare Partnerships (from April 2015) (2) Two partnership models will be covered by the legislation. (3) The council working closely with health colleagues will require to agree the model and scope for integration that is to be implemented for Renfrewshire and identify and address the operational and governance implications of the model.
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Incident response management	Encompassing (1) Disruptive events that impact on the community, the environment, our employees or the reputation of the service. (2) Non-availability of premises, employees or systems impacting on services/functions (3) IT Disaster Recovery Plan
Developing self-evaluation arrangements	Encompassing (1) Public Service Information Framework (2) Consolidation of CSE accreditation (3) Supported self-evaluation (4) Case file auditing programme (5) Monitoring of inspection activity

- 3.3. The risk treatment activity planned for the risks is shown within the appendix that follows. This activity (proportionate to the level of each risk) will further contribute to either the prevention of the risk occurring, where possible, or mitigating their potential effects. Where there are no actions linked to a risk this indicates that the risk is being managed as 'business as usual' taking account of the control measures currently in place.
- 3.4. A midyear progress report on the service risk management plan will be reported in due course to the Board. Information on specific significant risks will be reported to the Corporate Risk Management Group and the Corporate Management Team as required on an exceptional basis.

Risk Matrix for Adverse Impact

Introduction

Risk should be analysed consistently across the council in terms of the significance of its impact and the likelihood of occurrence. The Risk Matrix is therefore the tool that is to be used for this purpose. The impact element of the same matrix may be used for the grading of adverse events, complaints or claims.

Impact

When considering the consequences of a potential risk, all scenarios must be considered. It may even be appropriate to consider the worst case scenario, however, those undertaking the risk analysis must be able to provide a robust rationale and have evidence to support their selection. For example, if 'death' could be the ultimate potential impact in relation to a specific problem, the risk assessors must have knowledge that this outcome has occurred in the past either internal or external to Renfrewshire Council. (A full list of descriptions to assist in analysing consequence is contained on the following two pages of this appendix);

Likelihood

Similarly when considering the likelihood of occurrence, the risk assessor's judgement must be based on the prevalence of the event/ circumstance and outcome, backed up by experience and data such as relevant incidents/ events, complaints and/ or claims.

Evaluation

As shown in the matrix below, Impact x Likelihood produces an evaluation of the significance of risk, described as 'Low', 'Moderate', 'High' or 'Very High'.

How a risk is evaluated will determine how the risk is then treated:

Likelihood	Consequent Impact				
	1 Insignificant	2 Minor	3 Moderate	4 Major	5 Extreme
5 Almost Certain	5	10	15	20	25
4 Likely	4	8	12	16	20
3 Possible	3	6	9	12	15
2 Unlikely	2	4	6	8	10
1 Remote	1	2	3	4	5

Low (1-3),

Moderate (4-9),

High (10-16), or

Very High (17-25)

Consequence Impact

"Domains"	1 Insignificant	2 Minor	3 Moderate	4 Major	5 Extreme
Objectives and Projects	<ul style="list-style-type: none"> Barely noticeable reduction in scope / quality / schedule 	<ul style="list-style-type: none"> Minor reduction in scope / quality / schedule 	<ul style="list-style-type: none"> Reduction in scope or quality, project objectives or schedule. 	<ul style="list-style-type: none"> Significant reduction in ability to meet project objectives or schedule. 	<ul style="list-style-type: none"> Inability to meet project objectives, reputation of the organisation seriously damaged and failure to appropriately manage finances.
Injury (physical and psychological) to clients/staff.	<ul style="list-style-type: none"> Adverse event leading to minor injury not requiring first aid. 	<ul style="list-style-type: none"> Minor injury or illness, first-aid treatment needed. No staff absence required. 	<ul style="list-style-type: none"> Significant injury requiring medical treatment and/or counselling. 	<ul style="list-style-type: none"> Major injuries or long term incapacity/disability (loss of limb), requiring medical treatment and/or counselling. 	<ul style="list-style-type: none"> Incident leading to death or major permanent incapacity.
Client experience / outcome	<ul style="list-style-type: none"> Reduced quality of client experience / outcome not directly related to service delivery. 	<ul style="list-style-type: none"> Unsatisfactory client experience / outcome directly related to service provision – readily resolvable 	<ul style="list-style-type: none"> Unsatisfactory client experience / outcome, short term effects – expect recovery < 1Wk 	<ul style="list-style-type: none"> Unsatisfactory client experience / outcome, long term effects - expect recovery > 1Wk 	<ul style="list-style-type: none"> Unsatisfactory client experience / outcome, continued ongoing long term effects.
Complaints / claims	<ul style="list-style-type: none"> Locally resolved complaint 	<ul style="list-style-type: none"> Justified complaint peripheral to direct service provision 	<ul style="list-style-type: none"> Below excess claim. Justified complaint involving inappropriate service. 	<ul style="list-style-type: none"> Claim above excess level. Multiple justified complaints. 	<ul style="list-style-type: none"> Multiple claims or single major claim.
Staffing and competence	<ul style="list-style-type: none"> Short term low staffing level (< 1 day), where there is no disruption to service. 	<ul style="list-style-type: none"> Ongoing low staffing level results in minor reduction in quality of client care Minor error due to ineffective training / implementation of training. 	<ul style="list-style-type: none"> Late delivery of key objective / service due to lack of staff. Moderate error due to ineffective training / implementation of training. Ongoing problems with staffing levels in Children's Services 	<ul style="list-style-type: none"> Uncertain delivery of key objective / service due to lack of staff. Major error due to ineffective training / implementation of training. 	<ul style="list-style-type: none"> Non delivery of key objective/ service due to lack of staff. Loss of key staff. Critical error due to insufficient training/ implementation of training.

Service / business interruption	<ul style="list-style-type: none"> ▪ Interruption in a service which does not impact on the delivery of client care or the ability to continue to provide service 	<ul style="list-style-type: none"> ▪ Short term disruption to service with minor impact on client care. 	<ul style="list-style-type: none"> ▪ Some disruption in service with unacceptable impact on client care. ▪ Temporary loss of ability to provide service. 	<ul style="list-style-type: none"> ▪ Sustained loss of service which has serious impact on delivery of client care resulting in major contingency plans being invoked. 	<ul style="list-style-type: none"> ▪ Permanent loss of core service or facility. ▪ Disruption to facility leading to significant "knock on" effect.
"Domains"	1 Insignificant	2 Minor	3 Moderate	4 Major	5 Extreme
Financial	<ul style="list-style-type: none"> ▪ Negligible organisational financial loss (£< 1k). 	<ul style="list-style-type: none"> ▪ Minor organisational financial loss (£1-10k). 	<ul style="list-style-type: none"> ▪ Significant organisational financial loss (£10-100k). 	<ul style="list-style-type: none"> ▪ Major organisational financial loss (£100k-1m). 	<ul style="list-style-type: none"> ▪ Severe organisational financial loss (£>1m).
Inspection / assessment / audit	<ul style="list-style-type: none"> ▪ Small number of recommendations which focus on minor quality improvement issues. 	<ul style="list-style-type: none"> ▪ Minor recommendations made which can be addressed by low level of management action. 	<ul style="list-style-type: none"> ▪ Challenging recommendations but can be addressed with appropriate action plan. 	<ul style="list-style-type: none"> ▪ Enforcement Action. ▪ Low rating. ▪ Critical report. 	<ul style="list-style-type: none"> ▪ Prosecution. ▪ Zero Rating. ▪ Severely critical report.
Adverse publicity / reputation	<ul style="list-style-type: none"> ▪ No media coverage, little effect on staff morale. 	<ul style="list-style-type: none"> ▪ Local Media – short term. ▪ Minor effect on staff morale / public attitudes. 	<ul style="list-style-type: none"> ▪ Local Media – long term. ▪ Impact on staff morale and public perception of the organisation. 	<ul style="list-style-type: none"> ▪ National Media (< 3 days). ▪ Public confidence in the organisation undermined. ▪ Usage of services affected. 	<ul style="list-style-type: none"> ▪ National Media (> 3 days). ▪ MP / MSP Concern (Questions in Parliament).
Council / Personal Security, and Equipment	<ul style="list-style-type: none"> ▪ Damage, loss, theft (£< 1k). 	<ul style="list-style-type: none"> ▪ Damage, loss, theft (£1-10k). 	<ul style="list-style-type: none"> ▪ Damage, loss, theft (£10-100k). 	<ul style="list-style-type: none"> ▪ Damage, loss, theft (£100k-1m). 	<ul style="list-style-type: none"> ▪ Damage, loss, theft (£>1m).

Likelihood

	1 Remote	2 Unlikely	3 Possible	4 Likely	5 Almost Certain
Probability	<ul style="list-style-type: none"> ▪ Will only occur in exceptional circumstances 	<ul style="list-style-type: none"> ▪ Unlikely to occur but definite potential exists 	<ul style="list-style-type: none"> ▪ Reasonable chance of occurring – has happened before on occasions 	<ul style="list-style-type: none"> ▪ Likely to occur – strong possibility 	<ul style="list-style-type: none"> ▪ The event will occur in most circumstances