

# Governance, Risk and Best Value Committee

10.00am, Thursday 18 December 2014

## Children and Families (SMT) Risk Register

Item number 7.5  
Report number  
Executive/routine  
Wards

### Executive summary

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The attached risk register is the Children and Families SMT risk register as at November 2014. It reflects the current highest priority risks identified by the SMT, the mitigating controls and related action plans to further mitigate these risks to a tolerable level.

The risk register is a dynamic working document and is updated regularly to reflect the changing risks of the Service Area and the Council as a whole. This process is primarily driven by the quarterly Risk Committees.

### Links

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Coalition pledges P30  
Council outcomes CO25  
Single Outcome Agreement

## Children and Families (SMT) Risk Register

### Recommendations

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- 1.1 To review the attached risk register and invite relevant officers to discuss key risks as required.

### Background

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- 2.1 The Council's Governance, Risk and Best Value Committee are responsible for monitoring the effectiveness of the Council's risk management arrangements, including monitoring internal financial control, corporate risk management and key corporate governance areas.
- 2.2 The GRBV reviews a Service Area risk register quarterly on a cyclical basis. The purpose of this report is to provide a quarterly update to the Governance, Risk and Best Value Committee on the key risks facing Children and Families.

### Main report

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- 3.1 The attached risk register is the Children and Families (SMT) risk register as at November 2014. It has been updated to reflect the current highest priority risks of the Service Area, the compensating controls and related action plans to mitigate these risks to a tolerable level.
- 3.2 The attached risk register has been challenged and scrutinised by the Children and Families SMT and by CMT.
- 3.3 The risk register is a dynamic working document and will be updated regularly, primarily through the quarterly risk committee process, to reflect the changing risks of the Service Area and the Council.

### Measures of success

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- 4.1 Fully embedded risk management practices should ensure that key risks of the Service Areas and the Council are prioritised and relevant action plans are put in place to mitigate these risks to tolerable levels.

### Financial impact

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- 5.1 None.

## Risk, policy, compliance and governance impact

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- 6.1 Risk registers are a key management tool to help mitigate risks and to implement key strategic projects of the Council.

## Equalities impact

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- 7.1 None.

## Sustainability impact

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- 8.1 There is no direct sustainability impact arising from the report's contents.

## Consultation and engagement

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- 9.1 Corporate Management Team (CMT).  
9.2 Service Area Senior Management Team and all service area risk managers.

## Background reading/external references

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None.

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## Links

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<b>Coalition pledges</b>	P30 - Continue to maintain a sound financial position including long-term financial planning
<b>Council outcomes</b>	CO25 - The Council has efficient and effective services that deliver on objectives
<b>Single Outcome Agreement</b>	
<b>Appendices</b>	Appendix 1 – C&F SMT full Risk Register as at November 2014



## Appendix 1 - C&F SMT Full Risk Register (by Inherent Risk) as at November 2014

Ref	Category	Key Risks	Risk Owner	I	L	Inherent Risk	Key Controls in place	I	L	Current Risk	Approach to Risk	Further Actions
CF01 0012	Operational	There is a risk of insufficient resources to meet statutory obligations in relation to vulnerable children and young people	C&F SMT	5	4		<ul style="list-style-type: none"> <li>Multi-agency child protection procedures updated annually by the Child Protection Committee</li> <li>Child Protection Action and Social Work Improvement Plans reviewed monthly by the Child Protection Committee</li> <li>Bi-monthly reports on key performance indicators to the Children &amp; Families reviewed by SMT</li> <li>Serious Case reviews undertaken by assigned lead Officer and action points agreed and implemented. Serious case reviews are published.</li> <li>Actions arising from the Care Commission reports are managed and resolved by Management and Teams</li> <li>KPIs used to track effectiveness of care are reviewed weekly</li> <li>The Practice Panel meets monthly to ensure that there is an effective approach to work</li> <li>There is an annual program for managers to audit other practice team files to ensure quality of content/standard of work is maintained</li> <li>Child Protection Committee undertake internal monitoring of all CP actions</li> <li>Controls in place through GIRFEC and GIRFEC training</li> <li>Inspection processes provide external scrutiny and result in improvement plans where these are required</li> </ul>	5	2		Treat	<ul style="list-style-type: none"> <li>Quality Assurance and Case evaluations are completed throughout the year</li> </ul>
CF01 0005	Integrity / Hazard	There is a risk that ICT system fails to support C&F operations resulting in inefficiencies and potential service failures or security breaches.	C&F SMT	5	4		<ul style="list-style-type: none"> <li>Current BT maintenance contract in place includes a requirement to respond within 4 hours</li> <li>Response times are tracked and reported monthly to ensure the requirements of the contract are being fulfilled</li> <li>Information is backed up daily onto a separate server located at a secondary site</li> </ul>	3	2		Treat	<ul style="list-style-type: none"> <li>Management contribution to procurement process.</li> <li>Management meeting with C&amp;F IT Lead Officers on risks</li> </ul>

Ref	Category	Key Risks	Risk Owner	I	L	Inherent Risk	Key Controls in place	I	L	Current Risk	Approach to Risk	Further Actions
CF01 0008	Operational	There is a risk that a lack of effective contingency planning to respond to severe weather/emergency situations leads to loss or disruption of services.	C&F SMT	5	3		<ul style="list-style-type: none"> <li>ERM/BC principal officer appointed with job description to maintain plans and coordinate communications in such an event</li> <li>Severe Weather Contingency Plan developed by the Business Continuity Officer and reviewed by SMT annually</li> <li>Approved procedures in place for emergency closure of Children &amp; Families establishments are updated annually and reviewed by SMT before being issued to all C&amp;F establishments</li> <li>All head teachers / establishment managers trained in managing Significant Occurrence Procedure.</li> <li>Annual issue of C&amp;F Ready for winter pack and scenarios.</li> <li>C&amp;F Buddy arrangements</li> <li>The use of SEEMIS centrally in emergencies</li> <li>The use of esendex to text key staff groups</li> <li>Winter Weather Workshops</li> </ul>	3	2		Treat	<ul style="list-style-type: none"> <li>Development of "C&amp;F Hit the Hub" a one stop area for C&amp;F information on the Orb</li> </ul>
CF01 0003	Integrity / Hazard	There is a risk of non compliance with Health and Safety legislation which would lead to regulatory fines and/or employee injury	C&F SMT	5	3		<ul style="list-style-type: none"> <li>Health and Safety policy is available to all staff through the Orb and is reviewed (and updated if required) annually by the SMT</li> <li>Health and Safety Joint Working Group meet every 8 weeks and maintain a Risk Management Action Log</li> <li>C&amp;F Health &amp; Safety Working Group meets monthly and maintains a Risk Management and action plan.</li> <li>Annual C&amp;F H&amp;S report is reviewed by the SMT.</li> <li>Departmental Joint Consultative Committees (DJCC) and Local Negotiating Committee Teaching (LNCT) H&amp;S action log is maintained and reviewed by DJCC/LNCT</li> <li>H&amp;S internal audits are completed and recommendations arising are addressed and actioned by the H&amp;S Joint Steering Group</li> <li>Mandatory Health &amp; Safety training for C&amp;F staff available on Orb</li> <li>Ongoing Council wide H&amp;S review following Internal Audit report in August 14 will fundamentally realign strategy and operations in order to better embed Health and Safety across service delivery areas</li> </ul>	5	2		Treat	<ul style="list-style-type: none"> <li>Health &amp; Safety Facilities Management Log/H&amp;S Assurance Statement being developed</li> <li>Development of SHE Health &amp; Safety incident reporting database.</li> <li>SMT review of establishment audits</li> </ul>
CF01 0023	Strategic	There is a risk that the integration of C&F and Child Health Services is not effectively managed with partners resulting in additional and unnecessary cost	C&F SMT	4	4		<ul style="list-style-type: none"> <li>Monitored by Multi-Agency Chief Officer Group of Childrens Partnership bi-monthly</li> <li>C&amp;F SMT monitor and assess health and social care integration at SMT meetings on a regular basis.</li> </ul>	4	2		Treat	<ul style="list-style-type: none"> <li>Regular programme of staff engagement</li> <li>Ongoing stakeholder engagement.</li> <li>Fortnightly meetings between strategic leads for both services.</li> </ul>

Ref	Category	Key Risks	Risk Owner	I	L	Inherent Risk	Key Controls in place	I	L	Current Risk	Approach to Risk	Further Actions
CF01 0025	Integrity / Hazard	There is a risk of not fully implementing equalities legislation leading to user service failure and potential reputational damage	C&F SMT	4	4		<ul style="list-style-type: none"> <li>Equality and Rights Action Plan to ensure implementation of the corporate equalities and rights outcomes maintained by Council Equalities and Implementation Monitoring Group and reviewed annually, group focus to look at strategic outcomes</li> <li>C&amp;F Equalities and Rights Group meets quarterly with remit to oversee all equalities work and receive monitoring reports and share good practice</li> <li>Equalities and rights impacts assessments completed through ongoing work across all service areas (e.g. included within Committee reports).</li> </ul>	3	2		Treat	<ul style="list-style-type: none"> <li>C&amp;F contribute to Council wide working group to monitor implementation an ensure consistent approach</li> </ul>
CF01 0017	Operational	There is a risk that failure to engage with trade unions will lead to a breakdown in industrial relations resulting in strike action and consequential impact on service delivery	C&F SMT	4	4		<ul style="list-style-type: none"> <li>Departmental Joint Consultative Committees (DJCC) and Local Negotiating Committee Teaching (LNCT) H&amp;S action log is maintained and reviewed by both groups</li> <li>Quarterly meetings are held with EIS to discuss union issues and the working relationships between staff</li> </ul>	3	2		Treat	<ul style="list-style-type: none"> <li>Partnership agreement between trade union, Council written (code of practice)</li> </ul>
CF01 0024	Integrity / Hazard	There is a risk that infection is not prevented or in the case of an outbreak not adequately managed across the network of schools and establishments	C&F SMT	4	4		<ul style="list-style-type: none"> <li>Infection Control Arrangements are available to all staff through the Orb</li> <li>Service Coordinators are all trained on Infection Control</li> <li>Debriefs undertaken following outbreaks to look at lessons learned and enhance procedure</li> <li>C&amp;F Infection Control procedure updated and cascaded regularly to head teachers and Managers.</li> <li>Head teachers and Establishment Managers asked prior to winter to work through infection control scenario with teams to consider management of situation, roles/responsibilities</li> </ul>	2	2		Treat	<ul style="list-style-type: none"> <li>Regular debriefs to ensure continual improvements in procedure and management of outbreaks</li> <li>Continuing liaison with NHS Public Health to enhance preparedness</li> </ul>
CF01 0001	Financial	There is a risk that inadequate management of current and future budgets results in inability to maintain and deliver statutory, education and care service obligations	C&F SMT	4	4		<ul style="list-style-type: none"> <li>Revenue and Capital budget is approved annually by SMT/CMT and reviewed monthly by the SMT</li> <li>Efficiency plan is approved by SMT/CMT each year and reviewed monthly by the SMT</li> <li>Responsibilities of Budget Managers are written into the job description for each staff member in the role</li> <li>Budget Managers review weekly budget reports and report directly to the Head of Service</li> <li>Workforce planning is reviewed by SMT monthly to ensure vacant posts are managed appropriately and in line with budgets and savings plans</li> <li>Each efficiency saving has a clearly aligned service manager responsible for delivery</li> <li>Each saving has a clear plan for delivery (implementation plan) including, where appropriate, targets and performance data</li> <li>Where the saving involved staff reductions there is a clear strategy/plan for achieving reductions</li> </ul>	3	1		Treat	<ul style="list-style-type: none"> <li>C&amp;F SMT meet fortnightly to monitor budget in addition to ongoing discussions at weekly management meetings</li> </ul>

Ref	Category	Key Risks	Risk Owner	I	L	Inherent Risk	Key Controls in place	I	L	Current Risk	Approach to Risk	Further Actions
CF01 0022	Integrity / Hazard	There is a risk of not managing information sharing safely and effectively leading to legal/reputational implications	C&F SMT	4	3		<ul style="list-style-type: none"> <li>• Council-wide information security guidance is available to all staff on the Orb</li> <li>• All mobile devices are encrypted to protect data</li> <li>• All staff have a unique username and login to access the network and further login details to access key software including Swift and Seemis</li> <li>• Continue to use management procedures referred to in approved Internal Audit Information Security report.</li> </ul>	4	2		Treat	<ul style="list-style-type: none"> <li>• Continuous discussion at C&amp;F Risk Management Group.</li> </ul>
CF01 0021	Strategic	There is a risk that a lack of effective Integrated Property Facilities Management results in shortcomings in service delivery	C&F SMT	4	3		<ul style="list-style-type: none"> <li>• The C&amp;F Property Facilities Management Group meets monthly is chaired by Integrated Property Facilities Management to focus on managing operational property issues and risks</li> <li>• The group has cross departmental representation from headquarters and establishment to provide operational and strategic expertise address actions of the group</li> <li>• Asset maintenance programme targeted at priority sites</li> <li>• Investment requirements routinely reviewed and subject to Council approval</li> <li>• Corporate Asset Management Plan regularly reviewed</li> </ul>	3	2		Treat	<ul style="list-style-type: none"> <li>• Corporate Property Facilities Management Joint Review of Services</li> <li>• SLA's to be agreed and finalised</li> </ul>
CF01 0018	Staff	There is a risk that excessive sickness absence leads to inadequate service delivery which diminishes staff morale and increases pressure on budgets and service delivery.	C&F SMT	4	3		<ul style="list-style-type: none"> <li>• The Absence Management Policy and Procedure sets out the controls in relation to the management of short/long term absence and is approved annually</li> <li>• All managers monitor sickness absence MI each month through MyPeople</li> <li>• HR Representative manages and reviews performance absence monthly and reports to the SMT</li> </ul>	3	2		Treat	<ul style="list-style-type: none"> <li>• Fortnightly meeting HR Partner/ Director of C&amp;F/ HoS Planning &amp; Performance</li> </ul>
CF01 0020	Operational	There is a risk that inadequate engagement with and monitoring of partner activity (external organisations) leads to risk of reputational damage or non-delivery of services	C&F SMT	3	3		<ul style="list-style-type: none"> <li>• Integrated Action Plan to identify key partner activity across agreed outcome areas</li> <li>• Performance and Infrastructure Group meets monthly to oversee performance reporting</li> <li>• Regular contract reviews in place in line with agreed business processes</li> <li>• Annual grant application process includes reporting against outcomes achieved</li> </ul>	3	2		Treat	<ul style="list-style-type: none"> <li>• Performance &amp; Infrastructure Group have identified need for Risk Register for Integrated Plan: timeline for production to be agreed</li> </ul>

Ref	Category	Key Risks	Risk Owner	I	L	Inherent Risk	Key Controls in place	I	L	Current Risk	Approach to Risk	Further Actions
CF01 0002	Integrity / Hazard	There is a risk of financial loss and reputational damage as a result of significant fraud/bribery/corruption	C&F SMT	4	2		<ul style="list-style-type: none"> <li>• Corporate policies and procedures embedded throughout the Council are reviewed and approved annually</li> <li>• Manager toolkits are available and annual training is completed to support implementation of new/revised policies and procedures</li> <li>• Escalation of sensitive/high profile risk matters to HoS/Director/CMT as per the Council policy approved annually</li> <li>• Action plans are maintained to respond to findings from Best Value reviews</li> <li>• C&amp;F bi-annual update of anti-bribery risk register</li> <li>• Mandatory annual programme of training is completed by all staff and is monitored to ensure completion</li> <li>• Monthly hospitality register reminder cascaded to Head Teachers and Establishment Managers/Managers</li> </ul>	3	1		Treat	<ul style="list-style-type: none"> <li>• Bi-annual update of anti-bribery risk register</li> </ul>



# Heat Map – C&F SMT Inherent Risks mapped to Residual Risk Score

