Education, Children and Families Committee

10am, Tuesday, 3 March 2105

Children and Families Risk Register

Item number	8.4
Report number	
Executive/routine	
Wards	All

Executive summary

As part of the City of Edinburgh Council's risk strategy each service area has a risk register which reflects the current highest priority risks. The Children and Families' risk register as at November 2014 was presented to Governance, Risk and Best Value Committee on December 18th 2014.

The decision of that committee was to ask that, following the next officer review of the Children and Families' risk register in January 2015, an updated register be submitted to the March meeting of the Education, Children and Families Committee prior to coming to Governance, Risk and Best Value Committee in April 2015.

Appendix 1 contains the revised version of the Children and Families Risk Register.

Links

Coalition pledges	P1 – P6
Council outcomes	CO1 - CO6
Single Outcome Agreement	SO3

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Report

Children and Families Risk Register

Recommendations

1.1 That the Committee notes the content of the Risk Register and requests that the Risk Register be presented to Committee on an annual basis

1.2 That the report is referred to Governance, Risk and Best Value in April 2015

Background

2.1 The Council's Governance, Risk and Best Value Committee monitors the effectiveness of the Council's risk management arrangements, including monitoring internal financial control, corporate risk management and key corporate governance areas. The Committee reviews a Service Area risk register quarterly on a cyclical basis.

2.2 The Children and Families' risk register as at November 2014 was presented to Governance, Risk and Best Value Committee on December 18th 2014.

2.3 The decision of that committee was to ask that, following the next officer review of the Children and Families' risk register in January 2015, an updated register be submitted to the March meeting of the Education, Children and Families Committee prior to coming to Governance, Risk and Best Value Committee in April 2015.

Main report

3.1 Children and Families maintains a Risk Register which is owned by the Director and the Senior Management Team and is informed and updated by intelligence from regular performance monitoring, internal audits and Health and Safety audits, and specific issues arising in the course of delivering core work.

3.2 SMT receives regular briefings on risk and resilience, and on Health and Safety, from the Principal Officer responsible for these areas of work within Children and Families.

3.3 Children and Families also supports a departmental Risk Committee and a Health and Safety Committee. The membership of each of these groups represents the various components of Children and Families remit and responsibilities and the Health and Safety Committee has Trades Union representation.

3.4 The Children and Families Risk register is regularly reviewed as part of the core business of SMT. On a three-monthly basis SMT meets as the Children and Families Risk Committee and with the support of colleagues from Corporate Governance undertakes a more detailed analysis if the register in the light of agreed presenting and current issues. This is a new approach and one which the service area has valued greatly.

3.5 Individual Risk Registers are put in place for specific pieces of work as and when required and the key learning from this will inform the review of the service area risk register on an ongoing basis.

3.6 The attached Risk Register was modified after the most recent meeting of the Children and Families Risk Committee in January. As part of that process, a number of issues were highlighted that, due to their cross-cutting nature, were forwarded for consideration by CMT in discussion of their Council-wide risk register.

Measures of success

4.1 By using Covalent to maintain the register it is possible to ascertain, on a regular basis, the extent to which the impact of identified risks is being mitigated by the internal controls which have been put in place. This means that emphasis can be placed on those areas of risk which continue to present a higher level of residual risk.

Financial impact

5.1 There may be a financial component to the controls which require to be put in place to mitigate identified risk: these costs will be considered as part of the service area budget monitoring.

Risk, policy, compliance and governance impact

6.1 Risk registers are viewed as an important management tool to help mitigate against risks and to support the effective planning and delivery of core business processes as well as key initiatives and specific workstreams.

Equalities impact

7.1 None

Sustainability impact

8.1 There are no direct sustainability impacts arising directly from the report's contents.

Consultation and engagement

9.1 Senior Management Team, Risk Committee, Risk Group, Health and Safety Committee.

Background reading/external references

None

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Links

Coalition pledges	P1 - Increase support for vulnerable children, including help for families so that fewer go into care P2 - Hold the maximum P1 class size at 25 and seek to reduce class sizes in line with Scottish Government recommendations P3 - Rebuild Portobello High School and continue progress on all other planned school developments, while providing adequate investment in the fabric of all schools P4 - Draw up a long-term strategic plan to tackle both over-crowding and under use in schools P5 - Seek to ensure the smooth introduction of the Curriculum for Excellence and that management structures within our schools support the new curriculum P6 - Establish city-wide co-operatives for affordable childcare for working parents

Council outcomes	CO1 - Our children have the best start in life, are able to make and sustain relationships and are ready to succeed CO2 - Our children and young people are successful learners, confident individuals and responsible citizens making a positive contribution to their communities CO3 - Our children and young people at risk, or with a disability, have improved life chances CO4 - Our children and young people are physically and emotionally healthy CO5 - Our children and young people are safe from harm or fear of harm, and do not harm others within their communities CO6 - Our children's and young people's outcomes are not undermined by poverty and inequality
Single Outcome Agreement	SO3 - Edinburgh's children and young people enjoy their childhood and fulfil their potential
Appendices	1 - Children and Families Senior Management Team Full Risk Register at February 2015

Children and Families SMT Full Risk Register at 18.02.15

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	**Protection of vulnerable children** Risk of harm/exploitation in relation to the protection and safety of vulnerable children and young people (including those in our care)	C&F SMT	5	4		• Multi-agency child protection procedures updated annually by the Child Protection Committee • Child protection mandatory training in place for all relevant staff • Child Protection Improvement Plan reviewed monthly by the Child Protection Committee and all child protection actions monitored. • Bi-monthly reports on key performance indicators to the Children & Families reviewed by SMT • Weekly reporting to senior service manager in place from practice teams • Bi-monthly reports on key performance indicators to the Children & Families reviewed by service manager and head of service • Significant Case reviews are undertaken and action points agreed and implemented. • Actions arising from the Care Commission reports are managed and resolved by Management and Teams • KPIs are used to monitor effectiveness of processes in relation to statutory duties and managers implement remedial actions where these are required • Daily monitoring of children in care who go missing by senior service managers • Agreed multi-agency procedure in place to act quickly when a child or young person is suspected of being the victim of sexual exploitation • Annual programme for managers to audit other practice team files to ensure quality of content/standard of work is maintained • Regular single agency and multi agency practice evaluation take place in dialogue with lead professionals and Core Groups • Actions arising from the Care Commission reports are managed and resolved by Management and Teams • Inspection processes provide external scrutiny and influence improvement plans required	5	3		Treat - Action Plan	• Multi agency practice evaluations have taken place and will inform practice developments and improvements • Weekly multi-agency review of all child protection investigations by senior managers used to identify potential patterns or risks of CSE • Further training to be provided and relevant staff will attend local and national events on CSE • Lessons learned event to be held following effective multi-agency investigation • Application of the Barnardo's Scotland Sexual Exploitation Risk Assessment Framework (SERAF) • The Speak Up Speak Out campaign will develop materials in consultation with service users and relevant individuals as part of the public protection awareness campaign relevant to CSE during 2015/16 • A briefing event on risks of exploitation of children and vulnerable adults is to be held for all Elected Members • Quality Assurance and Case evaluations are completed throughout the year

Ref	Category	Key Risks	Risk Owner	I	L	Inherent Risk	Key Controls in place	I	L	Current Risk	Approach to Risk	Further Actions
CF01 0005	Integrity / Hazard	**ICT systems support** Risk that ICT system fails to support C&F operations results in inefficiencies and potential service failures or security breaches.	C&F SMT	5	3		• Current BT maintenance contract in place includes a requirement to respond within 4 hours • Response times are tracked and reported monthly to ensure the requirements of the contract are being fulfilled • Information is backed up daily onto a separate server located at a secondary site • Situation monitored through ICT Strategy Board and other infrastructure groups	3	3		Treat	• Ongoing management and operational contribution to procurement process to identify unmet need and address gaps • Development work is underway to improve interagency access to ICT systems • Management meeting with C&F IT Lead Officers on risks • ICT is core element of BOLD workstreams
CF01 0008	Operational	**Severe weather** Risk that lack of effective contingency planning to respond to severe weather/emergency situations leads to loss or disruption of services.	C&F SMT	5	4		• ERM/BC principal officer appointed with job description to maintain plans and coordinate communications in such an event • Severe Weather Contingency Plan developed by the Business Continuity Officer and reviewed by SMT annually • Approved procedures in place for emergency closure of Children & Families establishments are updated annually and reviewed by SMT before being issued to all C&F establishments • All head teachers / establishment managers trained in managing Significant Occurrence Procedure. • Annual issue of C&F Ready for winter pack and scenarios. • C&F Buddy arrangements • The use of SEEMIS centrally in emergencies • The use of esendex to text key staff groups • Winter Weather Workshops	4	3		Treat - Action Plan	• Development of “C&F Hit the Hub” a one stop area for C&F information on the Orb

Ref	Category	Key Risks	Risk Owner	I	L	Inherent Risk	Key Controls in place	I	L	Current Risk	Approach to Risk	Further Actions
CF01 0003	Integrity / Hazard	**Health and Safety compliance** Risk that non compliance with Health and Safety legislation leads to employee / service user injury and/or regulatory fines	C&F SMT	5	4		• Health and Safety policy is available to all staff through the Orb and is reviewed (and updated if required) annually by the SMT • Health and Safety Joint Working Group meet every 8 weeks and maintain a Risk Management Action Log • C&F Health & Safety Working Group meets monthly and maintains a Risk Management and action plan. • Annual C&F H&S report is reviewed by the SMT. • Departmental Joint Consultative Committees (DJCC) and Local Negotiating Committee Teaching (LNCT) H&S action log is maintained and reviewed by DJCC/LNCT • H&S internal audits are completed and recommendations arising are addressed and actioned by the H&S Joint Steering Group • Mandatory Health & Safety training for C&F staff available on Orb • Ongoing Council wide H&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	5	3		Treat - Action Plan	• Health & Safety Facilities Management Log/H&S Assurance Statement being developed to improve consistent monitoring in all establishments • Ongoing rollout of SHE Health & Safety incident reporting database. • SMT review of establishment audits • Ongoing engagement with Traces Union to increase Health & Safety representation • Developing quarterly update on risk and Health & Safety communication for all establishments
CF01 0025	Integrity / Hazard	**Equalities implementation** Risk of not fully or properly implementing equalities legislation leads to poor experience for service users and potential reputational damage	C&F SMT	4	4		• 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 • C&F Equalities and Rights Group meets quarterly with remit to oversee equalities work in the service area and receive monitoring reports and share good practice • Annual Committee report on anti-bullying work in schools and other establishments highlights good practice and areas where specific work may be required • Equalities and rights impacts assessments completed through ongoing work across all service areas (e.g. included within Committee reports) and as part of the budget setting process	3	2		Treat	• C&F contributes to Council wide working group to monitor implementation an ensure consistent approach • Work underway to attain the LGBT Charter mark in specified service areas
CF01 0017	Operational	**Trade Union engagement** Risk of failure to engage with trade unions leads to a breakdown in industrial relations resulting in strike action and consequential impact on service delivery	C&F SMT	4	4		• Departmental Joint Consultative Committees (DJCC) and Local Negotiating Committee Teaching (LNCT) H&S action log is maintained and reviewed by both groups • Quarterly meetings are held with EIS to discuss union issues and the working relationships between staff • Partnership agreement between trade union, Council written (code of practice) • Regular engagement through working groups with Union representation in relation to Health & Safety and risk	3	2		Treat	

Ref	Category	Key Risks	Risk Owner	I	L	Inherent Risk	Key Controls in place	I	L	Current Risk	Approach to Risk	Further Actions
CF01 0024	Integrity / Hazard	**Infection control** Risk that infection is not prevented or in the case of an outbreak not adequately controlled – or that cleaning regimes are reduced or inadequate - across the network of schools and establishments	C&F SMT	5	4		• Infection Control Arrangements are available to all staff through the Orb • Service Coordinators are all trained on Infection Control • Debriefs undertaken following outbreaks to look at lessons learned and enhance procedure • C&F Infection Control procedure updated and cascaded regularly to head teachers and Managers. • Head teachers and Establishment Managers asked prior to winter to work through infection control scenario with teams to consider management of situation, roles/responsibilities	3	3		Treat - Action Plan	• Regular debriefs to ensure continual improvements in procedure and management of outbreaks • Continuing liaison with NHS Public Health to enhance preparedness • Embedding Noro Virus toolkit in a way that is fit for purpose and sustainable • Information input and update on Noro Virus at Business Managers mandatory training Feb 2015 • Awareness raising of the importance of infection control with parents
CF01 0001	Financial	**Budget management** Risk that inadequate management of current and future budgets results in inability to maintain and deliver statutory, education and care service obligations with consequent impacts on service users	C&F SMT	5	4		• Revenue and Capital budget is approved annually by SMT/CMT and reviewed monthly by the SMT • Efficiency plan is approved by SMT/CMT each year and reviewed monthly by the SMT • Responsibilities of Budget Managers are written into the job description for each staff member in the role • Budget Managers review weekly budget reports and report directly to the Head of Service • Workforce planning is reviewed by SMT monthly to ensure vacant posts are managed appropriately and in line with budgets and savings plans • Each efficiency saving has a clearly aligned service manager responsible for delivery • Each saving has a clear plan for delivery (implementation plan) including, where appropriate, targets and performance data • Where the saving involved staff reductions there is a clear strategy/plan for achieving reductions	4	3		Treat	• C&F SMT meet fortnightly to monitor budget in addition to ongoing discussions at weekly management meetings

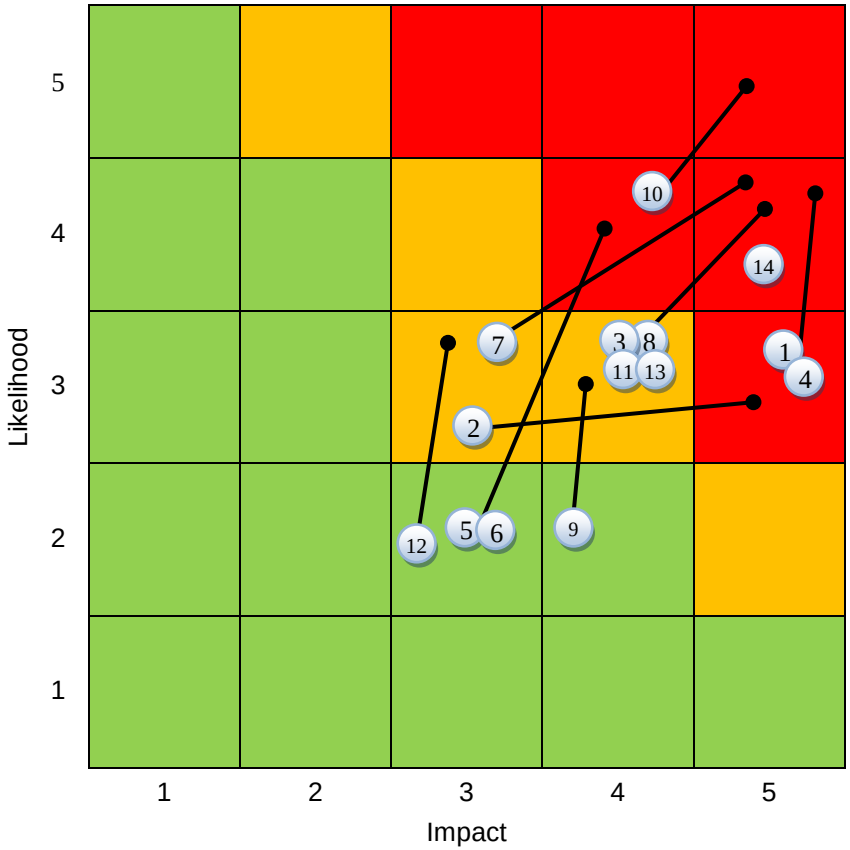
Ref	Category	Key Risks	Risk Owner	I	L	Inherent Risk	Key Controls in place	I	L	Current Risk	Approach to Risk	Further Actions
CF01 0022	Integrity / Hazard	**Information / data security** Risk of not managing information sharing safely and effectively leads to legal/reputational implications	C&F SMT	4	3		• Council wide Information Council and Data Council support infrastructure planning to comply with legislation and policy, deal with security breaches and avoid further difficulties arising • Council-wide information security guidance is available to all staff on the Orb • All mobile devices are encrypted to protect data • All staff have a unique username and login to access the network and further login details to access key software including Swift and Seemis • Use of management procedures referred to in approved Internal Audit Information Security report.	4	2		Treat - Action Plan	• Continuous discussion at C&F Risk Management Group • Further guidance on use of social media under development
CF01 0021	Strategic	**Integrated Property Facilities Management** Risk that lack of properly resourced and effective Integrated Property Facilities Management resulting in shortcomings in service delivery.	C&F SMT	5	5		• Monthly C&F Property Facilities Management Group is chaired by Integrated Property Facilities Management to focus on managing operational property issues and risks. The group has cross departmental representation to provide operational and strategic expertise. • Asset maintenance programme targeted at priority sites • Investment requirements routinely reviewed and subject to Council approval • Corporate Asset Management Plan regularly reviewed	4	4		Treat - Action Plan	• Corporate Property Facilities Management Joint Review of Services • SLAs to be agreed and finalised
CF01 0018	Staff	**Organisational change** Risk that significant organisational change has negative impact on staff and: • increases sickness absence • decreases output/activity • increases staff turnover and loss of expertise with associated negative impact on service users and potential increased financial costs to the organisation	C&F SMT	5	4		• The Absence Management Policy and Procedure sets out the controls in relation to the management of short/long term absence and is approved annually • All managers monitor sickness absence MI each month through MyPeople • HR Representative manages and reviews performance absence monthly and reports to the SMT • Regular communication on BOLD from the top of the organisation with focus on engagement in decision making process • People Plan highlights importance of leading and managing staff effectively • Pride in Our People focus on positive messages to staff about value and contribution • Regular team meetings, change discussion on agenda, team building for new and existing teams	4	3		Treat	• Fortnightly meeting HR Partner/ Director of C&F/ HoS Planning & Performance • Fortnightly budget monitoring includes workforce component

Ref	Category	Key Risks	Risk Owner	I	L	Inherent Risk	Key Controls in place	I	L	Current Risk	Approach to Risk	Further Actions
CF01 0020	Operational	**Engagement with external organisations** Risk of inadequate engagement with - and monitoring of -partner activity (external organisations) delivering services on our behalf leads to negative impact on service and reputational damage	C&F SMT	3	3		• Integrated Action Plan to identify key partner activity across agreed outcome areas • Performance and Infrastructure Group meets monthly to oversee performance reporting • Regular contract reviews in place in line with agreed business processes • Annual grant application process includes reporting against outcomes achieved	3	2		Treat - monitor	• Performance & Infrastructure Group have identified need for Risk Register for Integrated Plan: timeline for production to be agreed • Outcome Framework under development to bring more consistency to commissioning and monitoring
CF01 0002	Integrity / Hazard	**Fraud** Risk of financial loss and reputational damage as a result of significant fraud/bribery/corruption	C&F SMT	5	4		• Corporate policies and procedures embedded throughout the Council are reviewed and approved annually • Manager toolkits are available and annual training is completed to support implementation of new/revised policies and procedures • Escalation of sensitive/high profile risk matters to HoS/Director/CMT as per the Council policy approved annually • Action plans are maintained to respond to findings from Best Value reviews • C&F bi-annual update of anti-bribery risk register • Mandatory annual programme of training is completed by all staff and is monitored to ensure completion • Monthly hospitality register reminder cascaded to Head Teachers and Establishment Managers/Managers • Part of mandatory training for Heads of Establishment	4	3		Treat - monitor	• Bi-annual update of anti-bribery risk register • Development of assurance statement for all heads of establishment to complete which will feed into The Director's Annual Statement

Ref	Category	Key Risks	Risk Owner	I	L	Inherent Risk	Key Controls in place	I	L	Current Risk	Approach to Risk	Further Actions
CF01 0026	Financial/ Operational/ Reputational	**Local Development Plan - Educational Infrastructure** Risk that insufficient funding will be secured from developer contributions to fully fund the educational infrastructure requirements which would be required to support the additional pupils generated from the significant housing development identified in the second Local Development Plan. Should this situation arise and the necessary funding to deliver this infrastructure not be available for when it is required (or at all) there are operational and reputational risks that there would be insufficient capacity available in certain schools to meet catchment demand from local pupils. There is also an additional financial risk relating to the additional revenue costs arising from this new infrastructure for which there is currently no provision in the Council's Long Term Financial Plan.	SMT	5	4		Revised governance arrangements are being established led by Planning to oversee the delivery of the second Local Development Plan including: (i) Identifying and costing the actions required to deliver the Local Development Plan (ii) Identifying the level of developer contributions that can be achieved while retaining an effective housing land supply (iii) Identifying the level of shortfall that requires alternative funding mechanism. Ensuring that the risks associated with the delivery of infrastructure are understood and properly managed.	5	4		Treat - monitor	• Include in CMT Risk Register

Appendix 1 – Children & Families Risk Heat Map

1. **Protection of vulnerable children in our care**
   Risk of harm/exploitation in relation to the protection and safety of vulnerable children and young people in our care.
2. **ICT systems support**
   Risk that ICT system fails to support C&F operations results in inefficiencies and potential service failures or security breaches.
3. **Severe weather**
   Risk that lack of effective contingency planning to respond to severe weather/emergency situations leads to loss or disruption of services.
4. **Health and Safety compliance**
   Risk that non-compliance with Health and Safety legislation leads to employee / service user injury and/or regulatory fines
5. **Equalities implementation**
   Risk of not fully or properly implementing equalities legislation leads to poor experience for service users and potential reputational damage
6. **Trade Union engagement**
   Risk of failure to engage with trade unions leads to a breakdown in industrial relations resulting in strike action and consequential impact on service delivery
7. **Infection control**
   Risk that infection is not prevented or in the case of an outbreak not adequately controlled - or that cleaning regimes are reduced or inadequate - across the network of schools and establishments
8. **Budget management**
   Risk that inadequate management of current and future budgets results in inability to maintain and deliver statutory, education and care service obligations with consequent impacts on service users
9. **Information / data security**
   Risk of not managing information sharing safely and effectively leads to legal/reputational implications
10. **Integrated Property Facilities Management**
    Risk that lack of properly resourced and effective Integrated Property Facilities Management resulting in shortcomings in service delivery.
11. **Organisational change**
    Risk that significant organisational change has negative impact on staff and increases sickness absence, decreases output/activity, increases staff turnover and loss of expertise with associated negative impact on service users and potential increased financial costs to the organisation



12 **Engagement with external organisations**
Risk of inadequate engagement with, and monitoring of, partner activity (external organisations) delivering services on our behalf leads to negative impact on service and reputational damage

13 **Fraud**
Risk of financial loss and reputational damage as a result of significant fraud/bribery/corruption

14 **Local Development Plan - Educational Infrastructure**
Insufficient or delayed funding to deliver the educational infrastructure requirements necessary to support additional pupils generated from significant housing development in second Local Development Plan could result in financial risk and operational and/or reputational risk if insufficient capacity available in certain schools to meet catchment demand.

Appendix 2 – Guidance for Assessing Impact and Likelihood of Risk

Likelihood	1 – Rare	2 – Unlikely	3 – Possible	4 – Likely	5 – Almost Certain
Probability	0-15%	16-35%	36-60%	61-80%	81-100%
Chance of Occurrence	Hard to imagine, only in exceptional circumstances	Not expected to occur, unlikely to happen	May happen, reasonable chance of occurring	More likely to occur than not	Hard to imagine not happening
Timeframe	Greater than 10 years	Between 5-10 years	Likely between 3-5 years	Likely between 1-3 years	Likely within 1 year

Impact	1 – Negligible	2 – Minor	3 – Moderate	4 – Major	5 - Catastrophic
Effect on outcomes	Minimal effect	Minor short term effect	Part failure to achieve outcomes	Significant failure to achieve obligations	Unable to fulfil obligations
Financial effect	Corporate: up to £250k Services: up to £100k	Corporate: £250k - £750k Services: £100k - £300k	Corporate: £750k - £5m Services: £300k - £1m	Corporate: £5m - £20m Services: £1m - £5m	Corporate: £20m + Services: £5m +
Reputational damage	None	Minor	Moderate loss of confidence and embarrassment	Major loss of confidence and adverse publicity	Severe loss of confidence and public outcry

Likelihood	1 – Negligible	2 – Minor	3 – Moderate	4 – Major	5 - Catastrophic
5 – Almost Certain	Low	Medium	High	High	High
4 – Likely	Low	Low	Medium	High	High
3 – Possible	Low	Low	Medium	Medium	High
2 – Unlikely	Low	Low	Low	Low	Medium
1 – Rare	Low	Low	Low	Low	Low

Impact