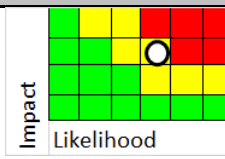
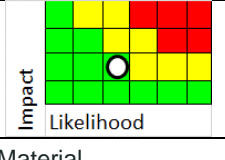


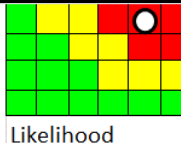
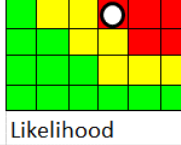
Integrated Children's and Family Services – Cluster Risk Register

The Risk Register for the ICFS unction details the live risks of operational significance, the Risk Register is presented to both the Operational Delivery Committee and Education Operational Delivery Committee. Whilst we acknowledge there are other areas that present a risk to the Council if not managed correctly, these are monitored effectively in business as usual activities therefore not detailed in the function risk register. We actively monitor all operational risks and will appropriately escalate any risk if there is an increase in significance.

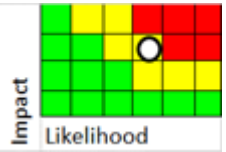
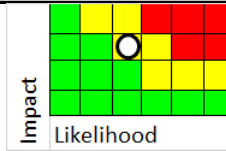
Risk Code	Risk Title	Current Risk Score	Residual Risk Score	Cluster	Risk Owner	Risk Manager	LOIP Themes
ICFS 002	Risk that performance management arrangements are not robust	12	4	Integrated Children's and Family Services	Graeme Simpson	Reyna Stewart	Prosperous People (children)
ICFS 005	Risk that service delivery is hindered by staff recruitment and retention issues	20	16	Integrated Children's and Family Services	Graeme Simpson	Eleanor Sheppard/Ali McAlpine	Prosperous People (children)
ICFS 007	Growing demographic demands result in service delivery pressures	12	9	Integrated Children's and Family Services	Graeme Simpson	Eleanor Sheppard/Gail Beattie	Prosperous People (children)
ICFS 008	Risk that financial planning is not robust	20	8	Integrated Children's and Family Services	Graeme Simpson	Eleanor Sheppard/Helen Sherrit	Prosperous Economy
ICFS 009	Risk of major CareFirst systems failure	12	8	Integrated Children's and Family Services	Graeme Simpson	Trevor Gillespie	Prosperous People (children)
ICFS 010	Failure to deliver statutory obligations	12	8	Integrated Children's and Family Services	Eleanor Sheppard	Louise Beaton/Fiona Lawrie	EOD only

	for early learning and childcare						Prosperous People (children)
ICFS 011	Unaccompanied Asylum Seeking Children (UASC)	12	9	Integrated Children's and Family Services	Graeme Simpson	Isabel McDonnell	Prosperous People (children)
ICFS 012	Foster Carers being granted employee status	15	10	Integrated Children's and Family Services	Graeme Simpson	Isabel McDonnell	Prosperous People (children)
ICFS 014	Financial cost of increase in school role	15	10	Integrated Children's and Family Services	Graeme Simpson	Eleanor Sheppard	Prosperous People (children)
ICFS 015	Risk of major SEEMiS systems failure	12	8	Integrated Children's and Family Services	Eleanor Sheppard	Charlie Love	Prosperous People (children)

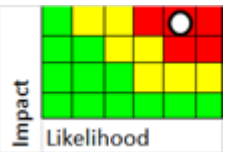
Code	ICFS002	Risk that performance management arrangements are not robust		
Definition	Performance management supports an effective compliance culture and change and continual improvement processes.			
Potential Impact	Causes	Control Effectiveness		Current Risk Assessment
<ul style="list-style-type: none"> • Effectiveness - measurement of impacts and outcomes. • Consistency - approach to the transformation and improvement agendas. • Capacity and capability - accountability, evidencing Best Value delivery and Public Performance Reporting. • Reputation – confidence and trust which stakeholders have in the organisation. • Governance – assurance and accountability, government agency approval. 	<ul style="list-style-type: none"> • Performance culture is being embedded across ICFS. • Inconsistent use of performance indicators to inform service improvement. • Poor benchmarking activity. • Target-setting inadequate. • Performance metrics used not demonstrating impact on outcomes. 	Control	Control Assessment	
		Review of Key Performance Indicators (KPIs) to measure impact of effective service delivery in order to inform planning	Partially Effective	
		Robust governance structure at committee level with reporting of KPIs	Fully Effective	
		Access to dashboard for relevant staff to support quality assurance and improvement activity	Fully Effective	
		Progress in realising improvement (including implementation of the National Improvement Framework Plan) tracked through monthly monitoring of KPIs and overseen by Chief Officer	Fully Effective	
		Performance reporting reviewed to assure and improve quality	Partially Effective	
				Serious
				Significant
Risk Owner	Graeme Simpson	Risk Manager	Reyna Stewart	Residual Risk Assessment
Latest Note	<p>The use of performance data is central to the delivery of operational services. Schools and central improvement teams are making increasingly effective use of KPIs in tracking outcomes to better understand the impact of the service on children and young people. School leadership teams have systems in place to track individual pupil progress and data gleaned is used to inform school improvement planning. The new education structure will see accountability for performance against KPIs being owned by education Service Managers. This level of tracking will inform both our improvement work and give us assurance around sound financial planning.</p> <p>All CSW teams have a performance dashboard and these feed into a service reporting system. Similarly, within schools a dashboard has been developed for schools containing key and critical information. These tools allow for more effective support and challenge to be offered to services as part of the quality assurance arrangements. A C&YP Data Forum has been established jointly chaired by the CO-BIU & CO-ICFS to develop existing data collection processes to enable more intuitive use of data to drive service improvement.</p> <p>Regular reporting is provided to Committee and external bodies on key performance indicators.</p>		September 2019	
				Material
				Very Low

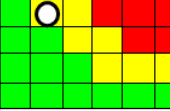
Code	ICFS005	Risk that service delivery is hindered by staff recruitment and retention issues			
Definition	The quality of the workforce is key to the delivery of high quality services and to implementing the transformation and improvement agendas. With high staff vacancies the pace of change may be slowed and more pressure put on the staff in post.				
Potential Impact	Causes	Control Effectiveness		Current Risk Assessment	
		Control	Control Assessment		
<ul style="list-style-type: none"> • Service delivery - the breadth of the curriculum delivered in schools, particularly affecting the senior phase. Children and Young People do not receive their full entitlement. • People – Services to children and their families fail to deliver on the statutory and policy expectations. • Operations – overall capacity and capability to deliver. • Resources – recruitment and retention (the pace of change and improvement may be reduced due to the number of Social Work and education vacancies). 	<ul style="list-style-type: none"> • Staffing levels for teachers and Social Workers do not meet with current and future business need. • Training and development opportunities are reduced due to staff shortages. • Cost of living in Aberdeen is above that of most places in Scotland. • The scale of change has created uncertainty about employment opportunities within the Council. • Morale is also affected by uncertainty around the new Target Operating Model and future employment opportunities with the Council. 	Service workforce plans are in place and continually refined to ensure that the plan responds to changing circumstances and opportunities to extend reach (including making better use of social media) where possible	Fully Effective	 <p>Impact Likelihood</p>	
		Annual census data is in place for teachers to ensure pupil teacher ratios are maintained	Fully Effective		
		Annual census data is in place for social work staff to ensure clarity on pressure points.	Fully Effective		
		Opportunities for retraining offered where posts are easier to fill (example PSAs being retrained as Early Years Practitioners)	Fully Effective		
		Refreshed education professional learning model linked to Quality Assurance model being developed in collaboration with colleagues in schools			
				Very serious	
				High	
Risk Owner	Graeme Simpson	Risk Manager	Eleanor Sheppard/Ali McAlpine	Residual Risk Assessment	
Latest Note	<p>The recruitment of teachers and social workers across ICFS remains a challenge. Links with local universities remain positive but demand outstrips supply. There has been a marked increase in the number of HT posts attracting interest and this is attributed to the social media campaign designed to highlight the benefits of living and working in the city and taking a 'one council approach' to recruitment. This approach has resulted in a significant reduction in the number of vacancies in schools from August 2019.</p> <p>Areas of staffing vulnerability are known and contingency plans are in place via the use of supply teachers and agency staff. The use of agency staff has reduced significantly over the past year in children's social work bringing greater stability to service delivery but may increase as the service works to reduce the level of vacancy in schools.</p> <p>The education service is engaging with agencies to see if greater collaboration will help mitigate some of the pressures felt in some secondary faculties and there are some early positive indications. ACC requested an increased cohort of probationers to address shortages in primary schools but sadly numbers did not increase across secondary.</p>		30 th Sept 19	 <p>Impact Likelihood</p>	
					Very serious
					Significant

	CSW has amended its recruitment activities to attract NQSW particularly those who have had placement experience with ACC. Additionally the SW service is exploring the viability of a trainee SW post to support existing non-qualified staff achieve a degree and be retained with the Council.		
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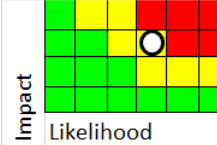

Code	ICFS007	Growing demographic demands result in service delivery pressures		
Definition	Services are increasingly delivering to a greater number of looked after and accommodated children and to a greater number of school aged pupils.			
Potential Impact	Causes	Control Effectiveness		Current Risk Assessment
		Control	Control Assessment	
<ul style="list-style-type: none"> • Capacity and capability – overcrowding leading to insufficient places to delivery statutory services • Service delivery - the best service cannot be guaranteed for children and young people. • Service Delivery - Not being able to respond to emerging needs of children and young people at risk of being accommodated. 	<ul style="list-style-type: none"> • A significant increase in house building is projected for the city in the coming years. • Immigration into Aberdeen from across the globe has resulted in an increase in the city's population, including children and young people. • Inaccurate projections regarding the increase in pupil rolls across the city and within individual schools • Failing to rationalise the school estate in order to ensure that buildings are located in the right places and that we have an efficient and affordable estate 	Pupil roll projections are conducted annually and monitored against school capacities and used to inform the routinely updated school estate strategy	Fully Effective	 <p>Impact</p> <p>Likelihood</p>
		Proposals of how ACC will deliver expanded ELC entitlements are being developed by ICFS in collaboration with the Corporate Landlord and Capital.	Fully Effective	
		Numbers of looked after and accommodated children and young people are recorded and monitored and are relatively stable.	Fully Effective	
		Cross Council development of a School Estate Strategy to ensure that the estate is well placed and in good condition to meet our current and future needs	Partially Effective	
		Service Plans take account of demographic changes and how they will be met	Fully Effective	
				Serious
				Significant
Risk Owner	Graeme Simpson	Risk Manager	Eleanor Sheppard	Residual Risk Assessment
Latest Note	A review of the school estate is being undertaken by the Corporate Landlord in collaboration with Elected Members and other functions and clusters to ensure that we have an agreed strategic approach to this risk. New national funding is currently being considered to ensure that the Local Authority are well placed to submit a bid in line with the conditions attached.		30-9-2019	 <p>Impact</p> <p>Likelihood</p>
				Serious

	<p>The expansion of ELC has required a review of our estate in order that Aberdeen City can deliver the increased hours as set out in the legislation. The Early Years' Service is working closely with Corporate landlord and Capital to ensure a joined up and sustainable response.</p> <p>Numbers of LAC children have remained stable over recent years. However, it is recognised that ACC's balance of care is out of step with other LA's. This requires all agencies (ICFS; AHSCP; NHSG; Police and 3rd Sector) to work collaboratively to address ensuring we have appropriate and sufficient local resource to support children to remain within their family and local community.</p>		Low
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Code	ICFS008	Risk that financial planning is not robust		
Definition	The Council faces continuing and increasing pressure to deliver services in an environment of reducing financial resources. Robust financial planning is essential to ensure that high class services are delivered to the citizens of Aberdeen.			
Potential Impact	Causes	Control Effectiveness		Current Risk Assessment
		Control	Control Assessment	
<ul style="list-style-type: none"> • Financial – service costs, budgets; poor management and reduction in available funds. • Legal/regulatory – criticism from the Council's External Auditor and Audit Scotland and breach of Financial Regulations. • Service delivery –the reduction of expenditure without due consideration of the impact on children and young people. 	<ul style="list-style-type: none"> • Financial pressures faced by the Council have been identified as needing to save £125 million over 5 years. • Overall reduction in the revenue and capital grants to the Council from the Scottish Government. • Contractual cost pressures increasing. Decisions about placing children out with the LA made independently. • Increasing demographics result in additional service obligations. • Changes in legislation and consequential service delivery implications are not effectively planned. • Expectations from the public that service delivery will be maintained at current levels. 	Council financial plans are agreed at the budget setting Council meeting each year	Fully Effective	
		Budget monitoring arrangements are in place between Service Managers / Head Teachers and Finance Service colleagues and improvement planning details proposed spending and is subject to quality assurance	Fully Effective	
		Budget responsibilities are set out in the Financial Regulations	Fully Effective	
		Opportunities for greater alignment of services across ICFS will be capitalised upon to maximise impact of collective resource, areas to include early years, safeguarding, additional support needs and Looked after and Care Experienced young people.	Fully Effective	
		New scheme of Devolved School Management is to be refined in light of national guidance	Partially Effective	
		Children in need of protection/additional support are tracked on an individual basis to ensure planning remains consistent with their needs.	Fully Effective	
				Very serious
				High

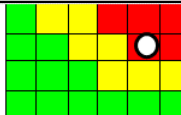
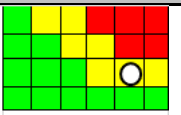
Risk Owner	Graeme Simpson	Risk Manager	Eleanor Sheppard/Ali McAlpine	Residual Risk Assessment
Latest Note	<p>The areas of financial challenge are clearly identified. In the main these relate to children placed out with the authority in fostering and residential care. A number of these statutory decisions are made independent of the local authority. For many children in foster care, they have been in these settings for a number of years and stability of care is critical to their long-term outcomes.</p> <p>The service has developed an edge of care service to support children to remain at home or within their current care setting to prevent an escalation within the care system. This ensures that all options are explored prior to placing a child out with the authority and developing its offer to kinship carers to increase the number placed in this care setting.</p> <p>A Service review is undertaken to ensure the service remains able to deliver on its statutory responsibilities within the available financial envelope.</p>		30 September 2019	 <p>Impact</p> <p>Likelihood</p> <p>Very serious</p> <p>Very Low</p>

Code	ICFS009	Risk of major CareFirst systems failure				
Definition	Secure, well-functioning IT systems are critical to carrying out statutory Children's Social Work functions.					
Potential Impact	Causes	Control Effectiveness		Current Risk Assessment		
		Control	Control Assessment			
<ul style="list-style-type: none"> • Service delivery– frontline and essential services impacted. • Resources, capacity and capability – information access and child protection cannot be recorded. • Legal - statutory requirements in terms of the Children and Young People Act 2014 not met. 	<ul style="list-style-type: none"> • IT systems suppliers unable to provide adequate support to the Council, and Service practitioners. • Suppliers fail to have effective business continuity and disaster recovery planning arrangements. • Council and Mainframe systems ability to provide sufficient protection of data. • Systems unable to meet the needs of practitioners. 	Appropriate staff training in place to ensure effective use of Carefirst systems	Partially Effective	 Impact Likelihood		
		Data systems are intuitive and support the identification of increased concerns for children.	Partially effective			
		Carefirst well established across children's Social Work	Fully Effective			
						Very serious
						Low
Risk Owner	Graeme Simpson	Risk Manager	Trevor Gillespie	Residual Risk Assessment		
Latest Note	A report was presented to Committee in June 2016 confirming agreement to extent the current contract of Carefirst but with the intention to bring back an options appraisal for the future. A project team has been established to progress this and a report will be presented to SCC in early 2019.		21 September 2018	 Impact Likelihood		
	Business Case approved at the Strategic Commissioning Committee 29 August 2019.		October 2019			
					Very serious	
				Very Low		

Code	ICFS010	Failure to deliver statutory obligations for early learning and childcare		
Definition	Local authorities are required to deliver 600 hours per year of early learning and childcare for all 3 & 4 year olds and 27% of eligible 2 year olds and by 2020 this will increase to 1,140 per year by 2020.			
Potential Impact	Causes	Control Effectiveness		Current Risk Assessment
		Control	Control Assessment	
<ul style="list-style-type: none"> • Legal/regulatory - statutory duties and requirements. • Service delivery – high quality services not available to meet local need and demand • Resources – Buildings will need to be built/adapted to accommodate the increased hours 	<ul style="list-style-type: none"> • The capacity of the primary school estate insufficient to meet the increased demands of the C&YP Act 2014. • Recruitment and retention of key staff along challenges of finding suitable partner providers will hamper the Council's ability to deliver its duties. • The fundamental shift in the approach to service delivery is not recognised by all agencies. • The 600 hours required for all eligible 3 and 4 year olds is currently not being fully utilised • not currently able to provide for all eligible 2 year olds. 	Quality assurance processes based on the new quality standard are in place with existing partner providers and local authority providers	Partially Effective	
		Planning being undertaken at a locality level to mitigate the risk of presuming that one size fits all	Partially Effective	
		Many staff working in ELCC will require to be educated to degree level (SVQ9)	Partially Effective	
		External inspections are carried out by Education Scotland and Care Inspectorate and a new ambitious quality standard will be used to assess quality	Fully Effective	
		Programme Management approach being taken to coordinate cross Council delivery.	Fully Effective	
				Serious
				Significant
Risk Owner	Eleanor Shepperd	Risk Manager	Aisling McQuarry	Residual Risk Assessment
Latest Note	<p>Committee Report submitted to EODC in September 2018 providing update to Elected Members. A cross Council project management approach has been established to ensure coordinated development of approach to delivering the 1140 hours. Strong and effective links exist with partner providers to support development of enhanced provision.</p> <p>Collaboration with funded providers regarding a sustainable rate is nearing completion. Considerable work has undertaken of late to ensure that future housing developments are accounted for in plans and that delivery models are efficient and effective in providing a sustainable model of delivery. The ELA Academy launched their 'Quality Awards' in June. The first cohort of ELC Trainees graduated at the end of last school session with the second cohort due to begin in August and plans for a third. There is sufficient interest in this retraining opportunity to ensure future cohorts will progress through the training course to fill support and practitioners roles</p>		Updated Oct 2019	
				Very serious
				Very Low

Code	ICFS011	Unaccompanied Asylum Seeking Children (UASC)				
Definition	UK Government keen for the dispersal of UASC from two English authorities to other parts of Country to allow for more equal distribution.					
Potential Impact	<ul style="list-style-type: none"> • Finance - UK government will provide some funding for each UASC this will not cover the full costs of their care and support • Resources - Lack of resources - staff and buildings to effectively plan for the support UASC. • Service Delivery - The needs of this group of young people will be unique and there is a lack of experience among staff team of this area of work. 	Causes <ul style="list-style-type: none"> • limited accommodation options that are appropriate for UASC. • UASC will not be eligible to access employment or state funded education/training opportunities. Lack of meaningful day time occupation could lead to isolation/negative associations • Resources to provide for each UASC will not cover all their needs. • The needs of UASC are very different to other groups of young people in terms of legal status and experiences 	Control Effectiveness		Current Risk Assessment	
			Control	Control Assessment		
			Multi-Agency planning group meeting to support anticipated arrival	Fully Effective		
			Engagement with other LA's and SG	Fully Effective		
			System of dispersal currently voluntary and will allow for some planning prior to any decision to commit to UASC coming to Aberdeen City.	Partially Effective		
		The UASC (16/17) are predominantly migrant asylum seekers and will have different needs and expectations of the care provided.	Partially Effective			
				Serious		
				Significant		
Risk Owner	Graeme Simpson		Risk Manager	Isabel McDonnell	Residual Risk Assessment	
Latest Note	The Scottish Government has amended the legislation which allows for UASC to be dispersed. At present this is on a voluntary basis, although could move to a compulsory basis should demand grow. Current assessment would indicate that ACC is not able to offer placements to UASC. ACC staff have established links with the local faith community to explore support options should this situation change.			Updated October 2019		
	Impact will provide for different border controls and number of UASC entering UK anticipated to slow.					Serious
						Low

Code	ICFS012	Foster Carers being granted employee status		
Definition	Following a Court judgement in England this called into question the employment status of certain foster carers. Full implications of this judgement as it applies in Scotland is still to be determined.			
Potential Impact	Causes	Control Effectiveness		Current Risk Assessment
		Control	Control Assessment	
<ul style="list-style-type: none"> • Finance - Foster carers to be treated as employees of the council with same entitlement to paid holidays, sick pay etc. • Resources – Limited foster carers, impact on children and resources - staff and buildings to effectively plan for the support UASC. • Service Delivery - The needs of this children and young people require stability and moving foster care placements to accommodate leave detrimental to their interests. 	<ul style="list-style-type: none"> • limited accommodation options due to supply of foster carers. • Resources to pay foster carers full employment status. • The needs of children require stability and consistency of care. 	Staff linked to national bodies – SWS & IFA who are engagement with discussions with SG.	Fully effective	 Impact Likelihood
		Engagement with other LA's and SG	Fully Effective	
Risk Owner	Graeme Simpson	Risk Manager	Isabel McDonnell	Residual Risk Assessment
Latest Note	The implications for foster carers in Scotland is being considered on a national basis. At this stage it is not felt that it will apply to all carers but only to those whom Councils ask for one carer to be at home all the time to meet the needs of the child. At present Aberdeen City Council only has a small number of these carers.		Updated October 2019	 Impact Likelihood
	There is an Employment Appeal Tribunal scheduled for late in October 2019 in relation to a Scottish Authority appealing an employment tribunal decision that granted foster care workers employee rights in 2017.			

Code	ICFS014	Increase in school role			
Definition	There is a cost pressure of £500,000 resulting from an increase in school role				
Potential Impact	<ul style="list-style-type: none"> • Finance - risk of insufficient budget to continue with current staffing formula • Resources – risk that staff in post will feel overwhelmed by increased expectation of them • Service Delivery - risk of negative impact on quality of provision 	Causes	Control Effectiveness		Current Risk Assessment
			Control	Control Assessment	
		•increase in school age population	Review Devolved School Management to ensure that all demands are met	Partially effective	
		Lack of forward planning to ensure that expenditure meets demand	Review of systems to ensure the best use of staff time to reduce inefficient systems	Not yet effective	
		Lack of professional development to ensure staff work efficiently	Ensure current spend (including PEF and SAC funding) is effectively utilised to limit an escalation in needs	Partially effective	
Lack of efficient systems to make the best use of staff time	Continue to improve the professional learning offer to ensure that staff are well placed to delivery primary prevention and targeted intervention	Partially effective			
				Serious High	
Risk Owner	Graeme Simpson		Risk Manager	Eleanor Sheppard	Residual Risk Assessment
Latest Note	Updated guidance on Devolved School Management has been made available and is informing a review of local arrangements. It is anticipated that this will be ready for publication in the Spring 2020. A change in approach to professional learning has been highly evaluated with next steps currently being shaped to ensure that a 5 year plan effectively enables the service to ensure that staff are well placed to deliver both primary prevention and early intervention and make best use of resource. A full review of systems will take place over session 19-20 and will likely form part of the ACC National Improvement Framework Plan as this will ensure that we are well placed to make best use of the expertise across our schools. This will include a focus on tackling bureaucracy in order to make the best use of available resource.			Update Oct 2019	
				Serious High	

Code	ICFS015	Risk of major SEEMiS systems failure			
Definition	Secure, well-functioning IT systems are critical to carrying out statutory Education functions.				
Potential Impact	Causes	Control Effectiveness		Current Risk Assessment	
		Control	Control Assessment		
<ul style="list-style-type: none"> • Service delivery– frontline and essential services impacted. • Resources, capacity and capability – information access, child protection, educational attainment and achievement cannot be recorded. • Legal - statutory requirements in terms of the Children and Young People Act 2014, The Education (Scotland) Act 1980 and Education (Scotland) Act 2016. 	<ul style="list-style-type: none"> • IT system supplier is unable to provide adequate support to the Council, and Service practitioners. • Supplier fails to have effective business continuity and disaster recovery planning arrangements. • Council and provider systems ability to provide sufficient protection of data. • Systems unable to meet the needs of practitioners. 	Appropriate staff training in place to ensure effective use of both SEEMIS systems	Partially Effective	<p>Impact</p> <p>Likelihood</p>	
		Update of SEEMIS membership agreement	Fully Effective		
		SEEMIS system now relocated into a new data centre with resilient backup	Fully Effective		
		Data systems are intuitive and support the identification of increased concerns for children.	Partially effective		
		SEEMiS provide timescales and assurance of delivery and readiness of Phase 1 and Phase 2 of SEEMiS Schools system.	Partially effective		
		SEEMiS provide timescales and assurance of delivery and readiness of SEEMiS Early Years	Partially effective		
			Very serious		
			Low		
Risk Owner	Eleanor Sheppard	Risk Manager	Charlie Love	Residual Risk Assessment	
Latest Note	SEEMiS School system has entered a phase of redevelopment with an August 2020 delivery for Phase 1 and August 2021 for Phase 2. SEEMiS are also developing a SEEMiS Early Years application which ACC will use from August 2020 to support early years expansion.		Due dates re dec 2019 onwards	<p>Impact</p> <p>Likelihood</p>	
	This is a redevelopment of the two services (SEEMiS Schools and SEEMiS Early Years) using cloud infrastructure. It is expected that this will significantly improve the resilience of the service. This will also eliminate the technical debt of the existing SEEMiS service and remove the reliance on third-party software (Java).				Very serious
	There will be dual-running of both the legacy SEEMiS Service and the new SEEMiS Schools from August 2020 until August 2021 at least which will have a degree of risk. The Early Years application will be a new product and will not dual run with any legacy system.				Very Low

Integrated Children's and Family Services Assurance Maps

Risk Reference	Risk Description	First Line of Defence (Do-ers)	Second Line of Defence (Helpers)	Third Line of Defence (Checkers)
<p>(Grouped ICFS 009/015/09</p>	<p>Systems Failures</p> <p>Secure, well-functioning IT systems are critical to carrying out statutory Children's Social Work and Education functions. Fraud risk</p>	<ul style="list-style-type: none"> • Operational Test Schedules for Business Continuity Plans • Operational procedures and guidance including those set out in the Business Continuity Plans in the event of a system or process failure. • Risk Assessments • Staff training and development on business continuity arrangements. • Analysis following activation of business continuity arrangements / tests and improvement plans identified. 	<ul style="list-style-type: none"> • Customer Experience Cluster Senior Management Team (SMT) undertakes review of Cluster Operational Risk Register • Customer Function Senior Management Team (SMT) undertakes review of Cluster Operational Risk Register • Assurance Team • Business Continuity Group Sub-Group 	<ul style="list-style-type: none"> • Annual reporting of Function / Cluster Risk Register to Operational Delivery Committee. • Internal Audit Plan approved and overseen by Audit, Risk and Scrutiny Committee

Risk Reference	Risk Description	First Line of Defence (Do-ers)	Second Line of Defence (Helpers)	Third Line of Defence (Checkers)
(ICFS 008/014)	<p>Financial sustainability</p> <p>There is a cost pressure of £500,000 resulting from an increase in school role The Council faces continuing and increasing pressure to deliver services in an environment of reducing financial resources. Robust financial planning is essential to ensure that high class services are delivered to the citizens of Aberdeen.</p>	<ul style="list-style-type: none"> • The areas of financial challenge are clearly identified. In the main these relate to children placed out with the authority in fostering and residential care. A number of these statutory decisions are made independent of the local authority. For many children in foster care, they have been in these settings for a number of years and stability of care is critical to their long-term outcomes. • The service has developed an edge of care service to support children remain at home or within their current care setting to prevent an escalation within the care system. This ensures that all options are explored prior to placing a child out with the authority and developing its offer to kinship carers to increase the number placed in this care setting. • Review Devolved School Management to ensure that all demands are met • Review of systems to ensure the best use of staff time to reduce inefficient systems • Ensure current spend (including PEF and SAC funding) is effectively utilised to limit an escalation in needs • Continue to improve the professional learning offer to ensure that staff are well placed to delivery primary prevention and targeted intervention 	<ul style="list-style-type: none"> • Corporate Management Team (CMT) Stewardship undertakes monthly review of Risk Register • Senior Management Team (SMT) undertakes review of Cluster Operational Risk Register • Regular finance meetings with Director • Regular meetings with finance contacts with third tier officers and alert system in place to escalate risks • Quality assurance of SAC provided by QIM (Closing the Gap) 	<ul style="list-style-type: none"> • Monthly budget print outs <ul style="list-style-type: none"> • Annual External Audit and report • Annual Internal Audit Plan approved and overseen by Audit, Risk and Scrutiny Committee • CIFA financial management review • PWC budget review • Annual credit rating review • LSE compliance checks • Audit Scotland and National Audit reports • HMRC Treasury, Director of Finance and other bodies reports and advice • Charities Commission reports and advice and reports on Trust Accounts

Risk Reference	Risk Description	First Line of Defence (Do-ers)	Second Line of Defence (Helpers)	Third Line of Defence (Checkers)
(ICFS010/011/012)	<p>Statutory Obligations</p> <p>Local authorities are required to deliver 600 hours per year of early learning and childcare for all 3 & 4 year olds and 27% of eligible 2 year olds and by 2020 this will increase to 1,140 per year by 2020.</p> <p>UK Government keen for the dispersal of UASC from two English authorities to other parts of Country to allow for more equal distribution. Following a Court judgement in England this called into question the employment status of certain foster carers. At full implications of this judgement as it applies in Scotland is still to be determined.</p>	<ul style="list-style-type: none"> • Quality assurance processes based on the new quality standard are in place with existing partner providers and local authority providers • Planning being undertaken at a locality level to mitigate the risk of presuming that one size fits all • Many staff working in ELCC will require to be educated to degree level (SVQ9) • External inspections are carried out by Education Scotland and Care Inspectorate and a new ambitious quality standard will be used to assess quality • Programme Management approach being taken to coordinate cross Council delivery. • • System of dispersal currently voluntary and will allow for some planning prior to any decision to commit to UASC coming to Aberdeen City • Staff linked to national bodies – SWS & IFA who are engagement with discussions with SG. 	<ul style="list-style-type: none"> • Corporate Management Team (CMT) Stewardship undertakes monthly review of Risk Register • Senior Management Team (SMT) undertakes review of Cluster Operational Risk Register • Regular updates shared with Elected Members and CMT through Project Sponsor • Committee reports 	<ul style="list-style-type: none"> • Regular contact with Scottish Government Assurance Team • Regular contact with Northern Alliance Early Years Assurance team • ADES • COSLA • External Audit