ABERDEEN CITY COUNCIL

COMMITTEE	Education and Children's Services Committee
DATE	21 November 2023
EXEMPT	No
CONFIDENTIAL	No
REPORT TITLE	Cluster Risk Registers and Assurance Maps
REPORT NUMBER	CFS/23/335
DIRECTOR	Eleanor Sheppard, Interim Director, Children's and Family Services
CHIEF OFFICER	Shona Milne, Chief Education Officer and Graeme Simpson, Chief Officer, Integrated Children's and Family Services/CSWO
REPORT AUTHOR	Chief Officers
TERMS OF REFERENCE	1.1.4

1.   PURPOSE OF REPORT

1.1   To present the Cluster Risk Registers and Assurance Maps in accordance with Education and Children's Services Committee Terms of Reference to provide assurance that risks are being managed effectively within Education and Integrated Children's Services Clusters.

2.   RECOMMENDATION

That the Committee note the Cluster Risk Registers and Assurance Maps set out in appendices A, B, C and D.

3.   CURRENT SITUATION

3.1   The Audit, Risk and Scrutiny Committee is responsible for overseeing the system of risk management and for receiving assurance that the Extended Corporate Management Team (ECMT) are effectively identifying and managing risks. Reviewing the strength and effectiveness of the Council's system of risk management as a whole is a key role for the Committee.

3.2   The Risk Management Policy Framework states that all committees should receive assurance on the risk management arrangements which fall within their terms of reference. This is provided through the risk registers for the relevant Clusters which fall within the remit for this Committee as detailed below:

- Education
- Integrated Children's and Family Services

Risk Registers

3.3   The Council's Risks Registers are tools used by Functions and Clusters to capture and manage the risks which could prevent achievement of organisational outcomes and service delivery.

3.4   The Council's Corporate Risk Register (CRR) captures the risks which pose the most significant threat to the achievement of the Council's organisational outcomes and have the potential to cause failure of service delivery. The CRR is scrutinised annually by the Audit, Risk and Scrutiny Committee.

3.5   The Cluster Risk Registers are set out in appendices A and B and reflect the risks which may prevent the Clusters from delivering on organisational outcomes and services, these risks may be escalated to the CRR where deemed necessary.

3.6   The risks contained within the Risk Register for each Cluster are grouped by risk category in appendix E and show the Council's corresponding risk appetite for each category as set within the Council's Risk Appetite Statement (RAS) which was approved by the Audit, Risk and Scrutiny Committee in March 2023.

        The Clusters are working towards a target risk score which aligns with the risk appetite.

3.7   The Cluster Risk Registers provides the organisation with the detailed information and assessment for each risk identified including;

   - **Current risk score** – this is current assessment of the risk by the risk owner and reflects the progress percentage of control actions required in order to achieve the target risk score.
   - **Target risk score** – this is the assessment of the risk by the risk owner after the application of the control actions. This is aligned with the risk appetite for this particular category of risk.
   - **Control Actions** – these are the activities and items that will mitigate the effect of the risk event on the organisation.
   - **Risk score** – each risk is assessed using a 4x6 risk matrix as detailed below.

The 4 scale represents the impact of the risk and the 6 scale represents the likelihood of the risk event.

| Impact	Score						
Very Serious	4	4	8	12	16	20	24
Serious	3	3	6	9	12	15	18
Material	2	2	4	6	8	10	12
Negligible	1	1	2	3	4	5	6
Score		1	2	3	4	5	6
Likelihood		Almost Impossible	Very Low	Low	Significant	High	Very High

3.8   Development and improvement of the Cluster Risk Registers and associated risk management processes has continued since the Cluster Risk Register was last reported to Committee:

- The Council's Risk Appetite Statement (RAS) was reviewed and updated.
- "Managing Risk" pages were published on the Council's intranet pages which contains information and links for officers and elected members on the Council's RAS, Risk Management Policy, Guidance and Training. This supports the further embedding of our risk management culture and ensures that everyone knows the part they play in managing risks within the wider system.
- Training was provided to officers on the updated Committee report template risk sections that were reviewed and updated to reflect RAS, ensuring that officers fully align their proposals to elected members with the Council's agreed risk appetite statement.
- Risk owners and leads continue to review and update risk registers to improve monitoring and reporting across the organisation. These are mechanisms which reflect the day-to-day business of assessing and mitigating the risks and opportunities inherent in delivering public services.

Assurance Maps

3.9   The risk registers which are reviewed by the Council's Committees detail the risks identified within each of the relevant Functions and Clusters and provide detail of the risk, the potential impact and consequence of the risk materialising and the control actions and activities required to manage and mitigate the risk. Assurance Maps as set out in appendices C and D provide a visual representation of the sources of assurance associated with each Cluster so that the Committee can consider where these are sufficient. Sources of assurance are controls which are fully effective, following the completion of control actions. Presentation of each Cluster's assurance map provides full sight of the

defences we have in place as an organisation to manage the risks facing local government.
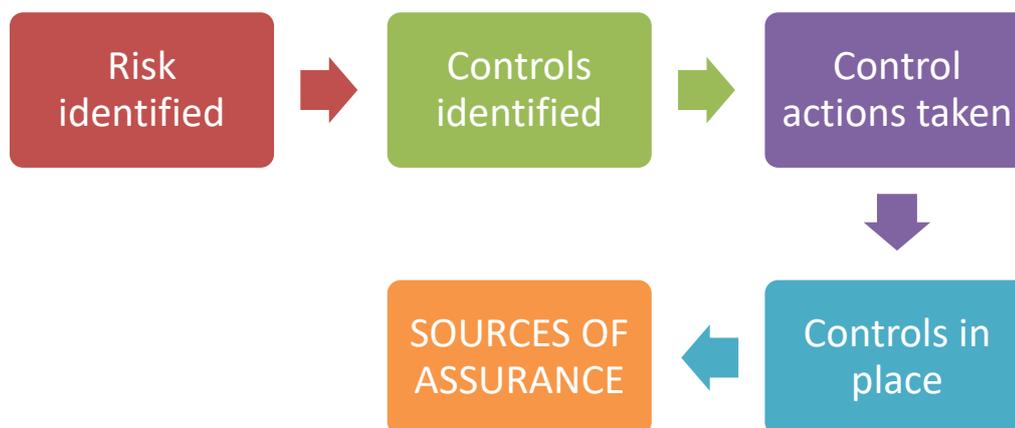
3.10 The Assurance Map provides a breakdown of the sources of assurance within "three lines of defence", the different levels at which risk is managed. Within a large and complex organisation like the Council, risk management takes place in many ways. The Assurance Map is a way of capturing the sources of assurance and categorising them, thus ensuring that any gaps in sources of assurance are identifiable and can be addressed:

First Line of Defence "Do-ers"	Second Line of Defence "Helpers"	Third Line of Defence "Checkers"
The control environment; business operations performing day to day risk management activity; owning and managing risk as part of business as usual; these are the business owners, referred to as the "do-ers" of risk management.	Oversight of risk management and ensuring compliance with standards, in our case including ARSC as well as CMT and management teams; setting the policies and procedures against which risk is managed by the do-ers, referred to as the "helpers" of risk management.	Internal and external audit, inspection and regulation, thereby offering independent assurance of the first and second lines of defence, the "do-ers" and "helpers", referred to as the checkers" of risk management.

Risk Overview

Education

3.11 Fortnightly assessment and mitigation of risk as part of service manager meetings has supported the education service to address identified risks over the year.

Our Quality Improvement Framework has been updated to mitigate against the risk around Quality. This along with targeted staff development activities will

provide mitigation against risk. We are beginning to see more positive inspection reports in ELC and this will continue to be reviewed over the school session.

Removal of the Scottish Attainment Challenge funding has been included as this will impact the ability of schools to deliver the level of interventions currently in place. To mitigate against this schools are being asked to describe how current interventions will become sustainable in the future.

We are seeing a rise in the number of staff reporting that they have COVID and this is impacting on staffing. This risk increases as we enter the winter term and staff are exposed to other winter illnesses.

There has been a reduction in the number of suitable applicants for HT posts and this risk reflects the requirement for those applying to either have the qualification for headship or undertake the qualification within the first 3 years of taking up post. In order to mitigate against the risk we are encouraging our own middle leaders to engage with the qualification.

Demographic changes continue to present a risk. This risk reflects the number international students arriving with families and settling in the city and the number of families fleeing conflict choosing to settle in the city.

Integrated Children's and Family Services

3.12   The risk register is routinely considered by the Chief Officer and members of the Senior Management Team. This ensure a regular review of the mitigating actions and their effectiveness but also whether new risks are emerging.

Evaluative activity in relation to Child protection and Corporate Parenting help inform our assessment of risk. In addition we utilise the findings of local and national inspection activity to which we have contributed to. All locally based regulated services continue to be graded as either very good or good.

Locally and nationally there continues to be a challenge in recruiting social workers and attracting suitable skilled staff to work within children's social care services. We continue to recognise the emotional and psychological impact on our staff as a result of the increasing workloads and the more complex needs of those they support. Mitigating the risks associate with ensuring sufficiently numbers of suitably qualified staff remains a priority.

Demographic changes continue to present a risk. The service has seen a significant and growing demand for social work intervention supporting asylum seeking young people relocated to Aberdeen City. This is a complex area of social work activity and one which historically all services have had limited exposure to.

4.   **FINANCIAL IMPLICATIONS**

4.1   There are no direct financial implications arising from the recommendations of this report. This report deals with risk management at Cluster level and this

process serves to identify controls and assurances that finances are being properly managed.

5.   LEGAL IMPLICATIONS

5.1   There are no direct legal implications arising from the recommendations of this report. The Council's Risk Registers serve to manage many risks with implications for the legal position and statutory responsibilities of the Council.

6.   ENVIRONMENTAL IMPLICATIONS

6.1   There are no direct environmental implications arising from the recommendations of this report.

7.   RISK

7.1   There are no risks arising from the recommendations in this report.   The Committee is provided with assurance that the risks presented within the Cluster Risk Register are those that may affect achievement of organisational outcomes and delivery of services for each Cluster are identified, appropriately managed and that the Council's activities are compliant with its statutory duties.

Category	Risks	Primary Controls/Control Actions to achieve Target Risk Level	*Target Risk Level (L, M or H) *taking into account controls/control actions	*Does Target Risk Level Match Appetite Set?
Strategic Risk	The council is required to have a management system in place to identify and mitigate its risks.	The council's risk management system requires that risks are identified, listed and managed via Risk Registers.	L	Yes
Compliance	As above.	As above.	L	Yes
Operational	As above.	As above.	L	Yes
Financial	As above.	As above.	L	Yes
Reputational	As above.	As above.	L	Yes
Environment / Climate	As above.	As above.	L	Yes

8.   OUTCOMES

8.1   The recommendations within this report have no direct impact on the Council Delivery Plan however, the risks contained within the Council's risk registers could impact on the delivery of organisational outcomes.

9. IMPACT ASSESSMENTS

Assessment	Outcome
Integrated Impact Assessment	It is confirmed by the Chief Officers listed above that an Integrated Impact Assessment is not required
Data Protection Impact Assessment	Not required
Other	Not applicable

10. BACKGROUND PAPERS

10.1 None

11. APPENDICES

11.1 Appendix A and B - Cluster Risk Registers for Education and Integrated Children's and Family Services.

11.2 Appendix C and D - Cluster Assurance Maps for Education and Integrated Children's and Family Services.

11.3 Appendix E – Cluster Risks grouped by category

12. REPORT AUTHOR CONTACT DETAILS

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