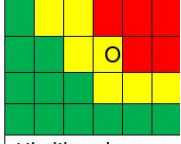
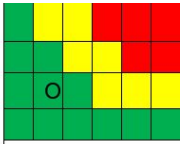
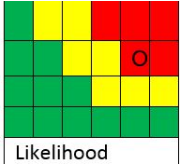
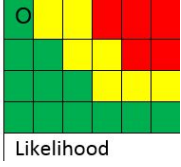
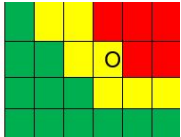
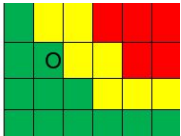
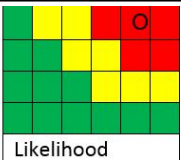
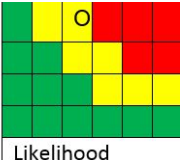


Code	ICFS 001	Risk that Business Continuity Planning is not managed or tested		
Definition	<p>Effective and robust business continuity planning and disaster recovery arrangements are essential to safeguard public services and to protect communities. Business continuity plans are required for Critical Functions in respect of:</p> <p>Internal</p> <ol style="list-style-type: none"> 1. Ability to respond to emergencies. 2. Finances of the Council 3. Reputation <p>External</p> <ol style="list-style-type: none"> 4. Human welfare or the environment 5. Statutory obligations 			
Potential Impact	Causes	Control Effectiveness		Current Risk Assessment
		Control	Control Assessment	
<p>Internal:</p> <ul style="list-style-type: none"> • Resilience – ability of systems; (Financial, HR, Legal and Commercial and Procurement), disaster recovery and business continuity. • Capacity and capability – accountability, recruitment and retention of staff, resources. • Financial – budget management, revenue and creditors. • Reputation – Confidence and trust which stakeholders have in the organisation, services users. • Delivery – frontline service and relationships. • Legal – community, environmental and Health and Safety. 	<ul style="list-style-type: none"> • Disaster recovery planning, business continuity planning and testing arrangements are not effectively developed and reviewed. 	Business Continuity Policy in place	Fully Effective	<p>Impact</p> <p>Likelihood</p>
		Clear ownership of business continuity plans	Partially Effective	
		Quarterly review by SMT	Partially Effective	
		Regular Internal audit of BC Planning and Disaster recovery	Partially Effective	
		Annual assurance by Audit, Risk and Scrutiny Committee	Partially Effective	
		Annual committee oversight of business continuity plans established	Fully Effective	
		Regular BCP testing regime	Partially Effective	
				Very serious
				Significant
Risk Owner	Graeme Simpson	Risk Manager	Eleanor Shepperd/ Anne Donaldson	Residual Risk Assessment
Latest Note	<p>A meeting was held with the Emergency Planning Manager (EPM) on 8 August 2018 to discuss the practicalities of testing the plans and training appropriate staff. EPM advised that he would look in to setting up training sessions for staff. Updating of BCPs for all Social Work Children's Services has been done, though some still outstanding, and are being followed up. Those received have been sent to the EPM. All schools' BCPs are about to be reviewed as per the annual schedule.</p>		04 Sep 2018	<p>Impact</p> <p>Likelihood</p>
				Very serious
				Almost Impossible

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
		Control	Control 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 being reviewed to demonstrate outcomes. 	Review of performance metrics to match changes in service delivery	Partially Effective	 Likelihood
		Robust governance structure at committee level with quarterly reporting	Fully Effective	
		Access to dashboard for relevant staff	Fully Effective	
		Performance reporting reviewed	Fully Effective	
				Serious Significant
Risk Owner	Graeme Simpson	Risk Manager	Reyna Stewart/Anne Donaldson/Eleanor Shepperd	Residual Risk Assessment
Latest Note	The use of performance data is central to the delivery of operational services. Increasingly schools and teams are making effective use of this in tracking the outcomes for individual children and the aggregated performance of services. 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 are allowing for more effective support and challenge to be offered to schools and services. Regular reporting is provided to Committee and external bodies on key performance indicators.		21 September 2018	 Likelihood
				Material Very Low

Code	ICfS003	Risk of non-compliance with health and safety management system			
Definition	The Council is required by law to safeguard its employees and users and to ensure their wellbeing through effective implementation of the Health and Safety Policy.				
Potential Impact	Causes	Control Effectiveness		Current Risk Assessment	
		Control	Control Assessment		
<ul style="list-style-type: none"> • People – injury/fatality, absence and industrial action. • Legal and regulatory – prosecution and policy breaches. • Financial – compensation claims, absence levels, enforcement action and cost recovery of regulator time. • Delivery – frontline service and relationships. • Reputation – confidence and trust in which stakeholders have in the organisation. 	<ul style="list-style-type: none"> • A positive health and safety culture is not yet ingrained across all areas of ICFS. • Inconsistent delivery of training to meet the health and safety needs of staff. • Communication of H&S matters is not co-ordinated. • Non-reporting/recording of incidents and near misses with poor or no investigation resulting in no identification of remedial action to prevent reoccurrence • Compliance with health and safety management system is not consistently monitored. • Lack of clarity of health and safety responsibilities. 	Plan, Do, Check, Act approach based on known risk adopted in the Health and Safety Policy	Partially Effective		
		Service Health and Safety Committee structure in place with Trade Union membership	Fully Effective		
		Directorate Health, Safety and Wellbeing Plans prepared	Partially Effective		
				Serious	
				High	
Risk Owner	Graeme Simpson	Risk Manager	Anne Donaldson/Eleanor Shepperd	Residual Risk Assessment	
Latest Note	The Operations Health and Safety Committee meets on a regular basis and is chaired by the COO and attended by both CO's and relevant Service Manager representation. A data reporting framework is being developed to ensure a consistent understanding of areas of risk are identified and addressed. The next step will be development of an action plan to ensure that all areas are being addressed appropriately. This in turn will be reported on at that Operations Health and Safety Committee.		21 September 2018		
					Very serious
					Almost Impossible

Code	ICFS004	Risk that legislative and policy changes are not anticipated or planned for		
Definition	The Council must be aware and plan for changes in legislation and policy and ensure that risks to functions and services are managed and opportunities seized			
Potential Impact	Causes	Control Effectiveness		Current Risk Assessment
		Control	Control Assessment	
<ul style="list-style-type: none"> • People – Services to children and their families will fail to deliver on the statutory and policy expectations Legal/regulatory - statutory responsibilities, policy and legislation. • Financial – government penalties. • Delivery – effectiveness of service. • Reputation – confidence and trust in which citizens have in the organisation. 	<ul style="list-style-type: none"> • Horizon scanning is not as effective as it needs to be. • Communication shortfalls between Scottish Government and national bodies in the preparation of legislative changes. • Internal planning processes and capacity are challenged. • Difficult to predict the financial implications of new policy/legislative initiatives 	Embedded legislation and policy tracking with consultees consistently providing effective feedback	Fully Effective	
		Management engage both officers and elected members to provide input where required.	Partially Effective	
		Senior management monitor assurances against key corporate risks and direct actions as required.	Partially Effective	
		Understanding of and willingness to embrace opportunities arising from legislation	Partially Effective	
		Membership and attendance at national groups such as Social Work Scotland and ADES	Fully Effective	
				Serious
				Significant
Risk Owner	Graeme Simpson	Risk Manager	Anne Donaldson/Eleanor Shepperd	Residual Risk Assessment
Latest Note	The service has brought together staff into one team whose remit will include horizon scanning. Senior managers are also well connected to national professional groupings to enable them to be aware of policy and legislative changes.		21 September 2018	
				Serious
				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 the best educational or life opportunities. • 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 in children’s Social Work may be reduced due to the number of Social Work vacancies). 	<ul style="list-style-type: none"> • Staffing levels for teachers, Early Years Practitioners and Social Workers do not meet with 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 in place	Fully Effective		
		Annual census data is in place for teachers and early years practitioners monitored to ensure that national requirements for pupil teacher ratios are delivered	Fully Effective		
		Annual census data is in place for social work staff to ensure clarity on pressure points.	Fully Effective		
				Very serious	
				High	
Risk Owner	Graeme Simpson	Risk Manager	Eleanor Shepperd/Anne Donaldson	Residual Risk Assessment	
Latest Note	The recruitment of teachers and social workers across ICFS remains a challenge. Links with local universities remain positive and efforts to attract new staff are productive but demand outstrips supply. 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 bringing greater stability to service delivery.		21 September 2018		
					Very serious
					Low

Code	ICFS006	Risk of poor contract management			
Definition	An effective and properly maintained contracts register underpins good supplier management and efficient use of resources.				
Potential Impact	<ul style="list-style-type: none"> • Resources – sourcing emergency supplies, essential services unsupported, duplication of effort and reduction in pool of suppliers. • Reputation - audit outcomes, litigation, confidence and trust in the organisation. • Financial – commissioned services are delivery against identified need and represent value for money. 	Causes <ul style="list-style-type: none"> • Absence of properly maintained contracts register and expiration dates, and skills level and relationships with suppliers leads to inadequate management of contracts. • Communication with the Corporate Procurement Teams ineffectual. • Understanding of Council or National Policy on contract frameworks not as full as required. 	Control Effectiveness		Current Risk Assessment
			Control	Control Assessment	
			Delegation of powers in standing orders to ensure correct authorisation levels in place	Partially Effective	
			Contracts register for Children's Social Work to be created	Partially Effective	
			Procurement Working Groups established and led by appropriate officers	Fully Effective	
			Contract management procedures	Partially Effective	
			Focus on continuous improvement and cost reduction	Partially Effective	
				Very serious	
				Low	
Risk Owner	Graeme Simpson	Risk Manager	Anne Donaldson/Eleanor Shepperd	Residual Risk Assessment	
Latest Note	Extensive work has been progressed across Children's Social Work to recommission a number of services. Further work is planned in the coming months to conclude this. An outline of the commissioning needs across education services was presented to SCC in September 2018 and work will be taken forward to ensure all commissioned work is contract compliant.		21 September 2018		
				Very serious	
				Almost Impossible	

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 and operational ability to deliver (600 hours early education and childcare), growing to 1140 hours by 2020. • Service delivery - the best service cannot be guaranteed for children and young people; an increase in out of authority placements as provision cannot be delivered internally. 	<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, including parental choice for each school. • Failing to invest in increasing the capacity of the ECS estate to meet the educational or care needs of increasing numbers of young people. 	Pupil roll projections are conducted annually and monitored against school capacities	Fully Effective	
		Numbers of looked after and accommodated children and young people are recorded and monitored	Fully Effective	
		The ECS Estate Plan reviews the needs of the service to effectively deliver to the citizens of Aberdeen	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 Shepperd/Andrew Jones	Residual Risk Assessment
Latest Note	Projections of the pupil rolls across Aberdeen City continue to indicate a growing school roll. A review of the school estate is being undertaken by the Corporate Landlord and this will be presented to committee. In addition, the expansion of ELC has required a review of our estate in order that Aberdeen City can deliver the increased in hours as set out in the legislation.		21 September 2018	
				Serious
				Low

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	Fully Effective	
		Budget responsibilities are set out in the Financial Regulations	Fully Effective	
		New scheme of Devolved School Management is to be completed	Partially Effective	
		Children 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 Shepperd/Anne Donaldson	Residual Risk Assessment
Latest Note	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. Many of these statutory decisions are made independent of the local authority. For many of the 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 is ensuring 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.		21 September 2018	
				Very serious
				Very Low

Code	ICFS009	Risk of major SEEMiS and / or CareFirst systems failure		
Definition	Secure, well-functioning IT systems are critical to carrying out statutory Education and 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, child protection, educational attainment and achievement 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 both SEEMiS and Carefirst systems	Partially Effective	<p>Very serious</p> <p>Low</p>
		Update of SEEMiS membership agreement(2015)	Fully Effective	
		Development of GIRFEC module supported by enhanced payment to SEEMiS in 2015/16	Fully Effective	
		Corporate and Curricular ICT provision is being modernised and servers located in new data centre	Fully Effective	
		SEEMiS system now relocated into a new data centre with resilient backup	Fully Effective	
		Wellbeing module now in deployment. Key Staff have been trained by SEEMiS and a programme of in-house training is proceeding	Partially Effective	
		Carefirst well established across children's Social Work	Fully Effective	
Risk Owner	Graeme Simpson	Risk Manager	Anne Donaldson/ Trevor Gillespie.	Residual Risk Assessment
Latest Note	A report to SCC was presented 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	<p>Very serious</p> <p>Very Low</p>

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 ¾ 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 – children and young people, especially those most vulnerable, (best start in life), preparation for formal educational journey into Primary 1. • 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 met. • not currently able to provide for all eligible 2 year olds. • Increased pressure on ECS to deliver 1,140 hours by August 2020 for eligible 2, - 4 year olds. 	Quality assurance processes are in place with existing partner providers	Fully Effective	
		Staff are registered with SSSC	Fully Effective	
		Lead staff in early education will be required to be educated to degree level (SVQ9)	Partially Effective	
		External inspections are carried out by Education Scotland and Care Inspectorate	Fully Effective	
		Project Management approach being taken to coordinate cross Council delivery.		
				Serious
				Significant
Risk Owner	Eleanor Shepperd	Risk Manager	Louise Beaton & Fiona Lawrie	Residual Risk Assessment
Latest Note	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.		21 September 2018	
				Very serious
				Very Low