

**To:** Education and Children Policy Board

**On:** 12 May 2016

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**Report by:** Director of Children's Services

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**Heading:** Risk Management Plan 2016/17

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## **1. Summary**

- 1.1 In keeping with 'Risk Matters', the Council's combined risk management policy and strategy, the service risk management plan is refreshed on an annual basis.
  - 1.2 This paper presents the service risk management plan from April 2016. (Appendix 1) to the Board for approval. An action plan will be submitted with the mid-year progress report.
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## **2. Recommendations**

- 2.1 It is recommended that the Education and Children Policy Board approves the Children's Services Risk Management Plan 2016/17.
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## **3. Background**

- 3.1 The business and social environment that the service operates within and provides services to continues to be a challenging and dynamic one and the proposed service risk management plan going forward from April 2016 must continually evolve in order to keep pace with, and accurately reflects the service's key priorities and key challenges.
- 3.2 The Council actively promotes good and sensible risk management practice. In doing so the Council aims to deliver high quality services for all service users, achieve high standards of performance, make the most of opportunity, and provide a safe environment for those it employs, contracts or partners with in providing a wide range of services.

- 3.3 Good risk management is about seeking to prevent harm or loss; seeking to ensure the right things happen and that 'risk-aware' not 'risk-averse' decisions are made in all aspects of Council business.
- 3.4 The process to identify key service risks seeks to focus on the significant challenges and uncertainties that may impact on the service's ability to deliver its key priorities and the risks are aligned to the themes of the Council plan.
- 3.5 The resulting service risk management plan is used to record, monitor and review the management of these risks.
- 3.6 A number of methods are used and information sources reviewed to ensure a broad and thorough approach to identifying the service's risks and these methods include but are not limited to:
- Consultation and benchmarking within and outwith the service;
  - Review of key reports (internal and external) specific to the service responsibilities; and
  - Review of new/ emerging legislation and extension of provisions.
- 3.7 In presenting the service risk management plan to the board, the Senior Leadership Team (SLT) would wish to draw the Board's attention to a number of specific matters.
- 3.7.1 The service risk management plan continues to bring to sharp focus the significant risk facing the service and this should be balanced with recognition of the benefits that also continue to be delivered.
- 3.7.2 The risks have been evaluated using the Council's risk matrix (final appendix) and involves multiplying the likelihood of occurrence of a risk by its potential impact. This produces an evaluation of risk as either 'low', 'moderate', 'high' or 'very high.' High/ very high risks are viewed as significant. The profile of the service's risk going forward from April 2016 is shown in the table below:

Evaluation:	Low	Moderate	High	Very High	Total
No. of Risks:	0	10	3	0	12

- 3.7.3 In appraising the service risk management plan, the SLT have identified those risks that they perceive to be the 'top three' for the service and these relate to:

Public protection: Social work services have a statutory public protection role relating to child and adult protection and offending behaviour. Effective partnership working with key agencies and the police is critical to ensuring risk to and from individuals is effectively managed. **(High risk)**

Workforce Planning & Organisational Development: A flexible, skilled workforce is essential to the delivery of high quality services. If planning and development activity is not prioritised, it could lead to short- and long-term workforce difficulties. **(High risk)**

GIRFEC (Getting It Right For Every Child) and Implementation of the Children & Young People (Scotland) Act 2014: Children's Services aims to provide high quality services to meet the needs of children, young people and vulnerable adults. It is critical to manage risk as failure to do so might impact on our ability to ensure children, young people and vulnerable adults feel safe, nurtured, achieving, respected and responsible, healthy, included and active and reaching positive destinations. **(High risk)**

- 3.8 In preparing this paper for the Board, the SLT consider that the proposed risk register suitably reflects the service's risk management focus for the forthcoming year.
- 3.9 In relation to individual risks recorded, the SLT believe that appropriate control measures are in place to prevent and/ or mitigate adverse effects and that further planned action is appropriate to the level of risk. Where no new actions are defined for any particular risk, this is indicative of a level of confidence in the current control measures in place and a consequent decision to tolerate the risk at this time. Robust monitoring arrangements are in place to track the progress of planned actions.
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## **Implications of the Report**

### **1. Financial**

Recurring costs associated with the measures in place for each risk are considered proportionate to the level of risk, and new planned actions are also considered to be cost effective.

The financial requirements to support the service risk management plan should be met within the service budget allocations. Any unplanned and unbudgeted cost pressures that arise in relation to any of the risks identified will be subject to review in consultation with the Chief Executive and the Director of Finance and Resources

### **2. HR and Organisational Development**

Any risks relating to HR and Organisational Development issues are reflected within Appendix 1.

### **3. Community Planning**

Any risks relating to the Community Planning themes are reflected within Appendix 1.

### **4. Legal**

Any risks that may have legal implications are reflected within Appendix 1.

### **5. Property/Assets**

Any property-related risks are reflected within Appendix 1.

### **6. Information Technology**

Any risks relating to ICT are reflected within Appendix 1.

## **7. Equality and Human Rights**

The Recommendations contained within this report have been assessed in relation to their impact on equalities and human rights. No negative impacts on equality groups or potential for infringement of individuals' human rights have been identified arising from the recommendations contained in the report. If required following implementation, the actual impact of the recommendations and the mitigating actions will be reviewed and monitored, and the results of the assessment will be published on the Council's website.

## **8. Health and Safety**

Any risks relating to health, safety and wellbeing are reflected within Appendix 1.

## **9. Procurement**

Any risks relating to procurement are reflected within Appendix 1.

## **10. Risk**

For member assurance, all areas of the service have been consulted to ensure that the relevant risks have been identified.

The risk scores are believed to be as realistic as possible taking account of the type of risks recorded and the effectiveness of the measures in place to manage them.

The risk profile shows there are significant risks being managed by the service however for assurance, the senior leadership team believe that this risk can be managed and contained (in relation to the Council's risk capacity and tolerance).

Although the risks require close monitoring and scrutiny throughout the year, many are longer term risks that are likely to be a feature of the risk management plan over a number of years.

## **11. Privacy Impact**

Any risks relating to privacy matters are reflected within Appendix 1

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### **List of Background Papers**

(a) Background Paper 1: Service Risk Management Plan 2015

The foregoing background papers will be retained within *Children's Services* for inspection by the public for the prescribed period of four years from the date of the meeting. The contact officer within the service is  
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**Children's Services**  
**Risk Management Plan**

April 2016

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## 1. Risk management arrangements within Children's Services

- 1.1 During 2014-15, Children's Services implemented a range of standard procedures in keeping with the Council's risk management strategy, "Risk Matters." This includes using the agreed risk management process and the standardised risk matrix for analysis and evaluation of risk within the services.
- 1.2 The Director of Children's Services is accountable to the Chief Executive, Corporate Management Team (CMT) and Education and Children Policy Board for the management of risk within his area of responsibility. As Chief Social Work Officer, he also has a statutory role in relation to risk. Each service risk is allocated to a responsible officer and progress against the management of service risks is reported to the Senior Leadership Team (ESLT). Significant service risks are reported to the corporate risk management group (CRMG) on a quarterly basis and any exceptional risk information is reported by the CRMG to the CMT.

## 2. Report on service's contribution to relevant strategic risk management objectives

- 2.1 Children's Services continues to support the Council's strategic risk management objectives by:
- (1) Leadership and management: ensuring directors and senior managers fully support and promote risk management and have clear lines of responsibility for the management of risk.
  - (2) Policy and strategy: implement robust procedures to ensure the risk management policy and strategy remain fit for purpose, providing a consistent approach to risk management and increasing its effectiveness.
  - (3) People: ensuring that the organisation's people are equipped and supported to manage risk well. Children's Services promotes the Council's Risk Management training and development opportunities; identifying and supporting employees to attend the training which forms part of continuous professional development programme.
  - (4) Partnerships and resources: ensuring that the organisation has effective arrangements in place for managing risks in partnerships.
  - (5) Processes: ensuring that the risk management processes are effective in supporting the business activities of the organisation.
  - (6) Risk handling and assurance: ensuring that risks are handled well and that the organisation has assurance that risk management is delivering successful outcomes and supporting innovation.
  - (7) Outcomes and delivery: reporting on risk management arrangements to elected members on a six monthly basis and participate actively in the Corporate Risk Management Group, thus ensuring that risk management does contribute to achieving positive outcomes for the organisation.

## 3. Report on previous year's Risk Management Plan

- 3.1 In 2015/16, Children's Services submitted its first Risk Management Plan's to the Education and Children Policy Board. This identified 20 service risks, with a profile as follows:

<b>Evaluation:</b>	<b>Low</b>	<b>Moderate</b>	<b>High</b>	<b>Very High</b>	<b>Total</b>
<b>No. of Risks:</b>	<b>0</b>	<b>17</b>	<b>3</b>	<b>0</b>	<b>20</b>

- 3.2 The service undertook actions believed to be proportionate and cost effective in relation to the level of each risk and the Policy Board received a midyear report on the progress being made in relation to this activity. The risk register identified 24 actions which would contribute to the mitigation and management of risk; at the end of the year, 22 of these are complete. One of the overdue actions relates to a delay in the completion of

Riverbrae School due to contractor issues which are now being resolved. The self-evaluation exercise in relation to Children's Support Services will take place in April and May 2016.

#### 4. Current business context for Children's Services

- 4.1 The development of the service's risk register was undertaken in tandem with the development of the Service Improvement Plan 2016-2019, to ensure that appropriate risk management considerations were embedded into the service's key planning and financial prioritisation processes.
- 4.2 In developing the Service Improvement plan, Children's Services took cognisance of the views of employees, service users, carers, key stakeholders and partners through the Children's Services Conference and other similar events, through the range of partnership working which is 'business as usual' for the service, and through ongoing engagement with the wider Senior Leadership Team.
- 4.3 The Children's Services Improvement Plan and Risk Management Plan for 2016/17 reflect the dynamic environment in which the service is currently operating. The integration of adult health and social care services and the redesign of the community justice service are significant changes which impact the planning and development of social care services. Current partnership working through Renfrewshire Children's Services Partnership will continue to be a focus in 2016/17.
- 4.4 In addition to planned integration and enhanced partnership working, the policy landscape, changing demographics and increasing demands on resources suggest a dynamic operational environment for the Children's Services going forward.
- 4.5

Priority	Description
Children and Young People (Scotland) Act 2014	<p>We will put training and policies in place to make sure that all parts of the new legislation are delivered in Renfrewshire. As part of this, we will make sure that the wider community understands the changes.</p> <p>Working with partners, children and young people and their families get the support that they need, when they need it. Our looked after young people are supported to be all they can be and supported into adulthood.</p>
Improving outcomes for children and young people	<p>We will implement the improvement plan which stems from the recommendation of the multi-agency inspection in 2015. We will work with partners to prepare a new Integrated Children's Services Plan. We will roll out our successful approach to permanency planning for looked after children.</p> <p>We build on the strong partnership working that already exists, and work together to deliver improvements to our services which will help make the lives of children and young people in Renfrewshire better. We will provide a loving, safe and stable home for the children in our care.</p>
Closing the attainment gap	<p>We will implement our actions from the Tackling Poverty Strategy to ensure that income is not a barrier to attainment. We will look at the way in which support is provided for children with Additional Support Needs and</p>



	<p>with Social, Emotional and Behavioural Needs. We will implement new standardised assessments focused on literacy and numeracy.</p> <p>Children from all parts of Renfrewshire, whatever their background, should have the same opportunities.</p>
Employability	<p>We will have an increased focus in schools on employability support, and we will work with partners to support looked after children and care leavers into employment and training.</p> <p>Children from all parts of Renfrewshire, whatever their background, should have the same opportunities.</p>
Working smarter	<p>We will carry out a survey of all children and young people in Renfrewshire, building on the work of the 2011 survey and supporting us to develop services and interventions which best meet the needs of our population. We will make better use of the data we have, and we will implement a strategic commissioning approach to planning and evaluating services. We will redesign services where appropriate and support staff to undertake learning and development opportunities which promote leadership and improved practice.</p> <p>Services have a more detailed understanding of the population they serve, so they can plan better for that population. Services and approaches are evaluated not only in terms of the outcomes they deliver but in terms of whether they are the right services for the population.</p> <p>Staff feel supported by the organisation and that there are learning and development opportunities for them.</p>
Public protection	<p>We will continue to work with our partners through the Renfrewshire Child Protection Committee to improve multi-agency working, training and practice.</p> <p>We will implement the transition plan which will see Community Planning Partnerships have greater responsibility for community justice.</p> <p>Children are able to live as safely as possible in our communities. Agencies share knowledge and work together to protect children.</p> <p>Communities are safer, stronger and more resilient. Partner agencies build on strong, positive working relationships. There is a link between the communities where crime is committed, and the sentence being carried out.</p>

- 4.3 On the basis of the above review of the business context for Children's Services, the Senior Leadership Team has identified the key risks to be recorded within its risk register for 2016/17.

## 5. The service risk profile and top risks going forward from April 2016

- 5.1 The detailed service risk management plan from April 2016 is provided in the attached appendix. The risks are aligned to the themes of the Council Plan.
- 5.2 By way of summarising the information contained within the appendix, the remainder of this section provides:
- Table 5.2.1: the service risk profile in terms of low, moderate, high and very high risks
  - Table 5.2.2: all service risk areas ranked in descending order of significance;
  - Table 5.2.3: the service's TOP 3 risks with a brief narrative overview.
  - Table 5.2.4: an overview of how risks relate to the themes of the Council Plan.

**Table 5.2.1: Service Risk Profile**

Evaluation:	Low	Moderate	High	Very High	Total
No. of Risks:	0	10	3	0	12

**Table 5.2.2: Risk Areas in Order of Significance**

Risk areas	Likelihood	Impact	Score	Evaluation
Public protection	03	05	15	High
Workforce planning and organisational development	03	04	12	High
GIRFEC and Implementation of the Children & Young People Act 2014	02	05	10	High
Integrated service arrangements	03	03	9	Moderate
Development of early intervention and preventative services for children	03	03	9	Moderate
Failure of major providers	03	03	9	Moderate
Financial and demographic pressures	03	03	9	Moderate
Data Protection	03	03	9	Moderate
Continuous improvement	03	03	9	Moderate
Educational Attainment	02	04	8	Moderate
Property	02	04	8	Moderate
Lifelong learning	02	03	6	Moderate
Potential Fraud	01	03	3	Moderate

**Table 5.2.3: TOP Risks**

Title	Score	Risk	Overview
Public protection	15	Social work services have a statutory public protection role relating to child and adult protection and offending behaviour. Effective partnership working with key agencies and the police is critical to ensuring risk to and from individuals is effectively managed.	Public protection remains a critical duty of Children's Services. Increasing numbers of local children are being affected by parental substance or alcohol misuse and/or neglect, and the service is working with partners through Renfrewshire Child Protection Committee to continue to improve multi-agency working, training and practice. A number of new procedures have been put in place to improve information-sharing and

Title	Score	Risk	Overview
			partnership working in this area.  Our criminal justice service also has a statutory responsibility to improve community safety through the management and rehabilitation of offenders across Renfrewshire, and is an effective partner in the North Strathclyde Community Justice Authority, which includes other local authorities, the Police, the Scottish Prison Service and the Scottish Courts Service.
Workforce planning and organisational development	12	A flexible and skilled workforce is essential to the future development of high quality services, and may lead to short and longer term workforce difficulties should this not be prioritised.	Given the challenges facing the service and the Council more widely, it is more important than ever that our staff have the abilities, skills and flexibility to take forward planned service improvements, and that they are supported to do this. Central to this is ensuring that staff receive the information and training they need.
GIRFEC	10	Children's Services aims to provide high quality services to meet the needs of children, young people and vulnerable adults. It is critical to manage risk as failure to do so might impact on our ability to ensure children, young people and vulnerable adults feel safe, nurtured, achieving, respected and responsible, healthy, included and active and reaching positive destinations.	GIRFEC principles focus on children and young people feeling safe, nurtured, achieving, respected and responsible, healthy, included and active. These principles should underpin the delivery of services to children and young people across Renfrewshire.

**Table 5.2.4: Relationship with Council Plan**

### 1: A Better Future: Place

Public protection	<b>Encompassing</b> (1) Child protection (2) Effective risk management (3) Management of high-risk offenders (4) Multi-agency training and procedures
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### 2: A Better Future: People

GIRFEC and Implementation of the Children & Young People Act 2014	Encompassing (1) Implementation of the Children and Young People (Scotland) Act 2014 (2) Child poverty (3) Multi-agency training
Development of early intervention and preventative services for children	Encompassing (1) Implementation of evidence-based programmes, with partners (2) Ongoing development of services for accommodated children and care leavers (3) Redesign of frontline social work services for children and families
Failure of major providers	Encompassing (1) Monitoring of external commissioning / procurement activity
Raising Attainment	Encompassing (1) Delivering the Literacy Development Programme (2) Making better use of data to support the learning and teaching of young people (3) Implementing the National Improvement Framework in our schools
Lifelong Learning	Encompassing (1) Adult education (2) Destinations

### 3: A Better Council

Workforce planning and organisational development	Encompassing (1) Workforce planning: structural change and having a flexible, motivated and skilled workforce (2) Organisational development: management development, individual personal / employee development and performance management (3) Leadership and culture
Integrated service arrangements	Encompassing (1) Establishing strong links between services which remain the responsibility of Renfrewshire Council and those transferred to the Integration Joint Board. (2) Ensuring a smooth transition for those services delegated to the Integration Joint Board from 1 April 2016.
Financial and demographic pressures	Encompassing (1) Medium and longer term financial planning (2) Corporate and service review activities (3) Strategic commissioning approach (4) Development of cost care models
Data Protection	Encompassing (1) Subject Access Requests (2) Data sharing agreements (3) Information governance
Continuous improvement	Encompassing (1) Programme of self-evaluation in educational establishments based on How Good is Our School? (2) Supported self-evaluation with the Care Inspectorate (3) Case file auditing
Property	Encompassing (1) Asset management (2) School disruption management
Potential Fraud	Encompassing (1) Any activities which are open to potential fraud resulting in financial or reputational risk to the council

- 5.3 The risk treatment activity planned for the risks is shown within the appendix that follows. This activity (proportionate to the level of each risk) will further contribute to either the prevention of the risk occurring, where possible, or mitigating their potential effects. Where there are no actions linked to a risk this indicates that the risk is being managed as 'business as usual' taking account of the control measures currently in place.
- 5.4 A midyear progress report on the service risk management plan will be reported in due course to the Board. Information on specific significant risks will be reported to the Corporate Risk Management Group and the Corporate Management Team as required on an exceptional basis.

## Appendix 1: Children's Services Risk Register 2016/17

Context		Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
CHSRR16.01 Public protection	Encompassing: 1) Adult and child protection 2) Effective risk management 3) Management of high-risk offenders 4) Multi-agency training and procedures	Social work services have a statutory public protection role relating to child and adult protection and offending behaviour. Effective partnership working with key agencies and the police is critical to ensuring risk to and from individuals is effectively managed.	Director of Children's Services	<ul style="list-style-type: none"><li>* Multi-agency child and adult protection committees well established, with independent chair in place for both.</li><li>* Procedures developed and implemented across partnerships through the child and adult protection committees and through North Strathclyde Community Justice Authority.</li><li>* Transition Plan in place to support the development of a Community Planning Partnership model for delivery of community justice services.</li><li>* Chief Officers Group, comprising of leaders from all relevant partners agencies, meet on a regular basis to discuss key issues. Joint Communications sub-group now established.</li><li>* Multi-agency child and adult protection training programme in place, facilitated by dedicated trainer.</li><li>* Practice and service quality subject to regular external scrutiny by Care Inspectorate and other bodies as required.</li><li>* Female offenders service operational.</li><li>* Management and supervision policies in place and levels of management review established.</li><li>* Lead officers for child protection, public protection and community justice.</li></ul>	03	05	15 High
Action Codes	Linked Actions	Latest Note		Assigned To	Due Date	Status	
CHSSIP1617.03a	Ensure all relevant employees have the training, awareness and skills to keep those people at risk of harm as safe as possible.			Director of Children's Services	31-Mar-2017		
CHSSIP1617.03c	Implement the Penal Policy Improvement Project in Renfrewshire.			Criminal Justice Service Manager	31-Mar-2017		
CHSSIP1617.03d	Implement, with partners, the improvement plan arising from the multi-agency inspection of integrated children's services in			Heads of Service	31-Mar-2017		

CHSSIP1617.03e	Renfrewshire.	Implement the Up2U intervention on gender-based violence with criminal justice service users in Renfrewshire.				
				Criminal Justice Service Manager	31-Mar-2017	

Context		Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
CHSRR16.02 Workforce planning and organisational development	A flexible and skilled workforce is essential to the future development of high quality services, and may lead to short and longer term workforce difficulties should this not be prioritised.		Head of Early Years and Inclusion	* Representation on the Council's Workforce Development & Equality Group (WDEG) which is tasked on an ongoing basis with reviewing competency requirements for all job roles. * iLearn system in place providing online access to learning and developedment. * Dedicated training staff in place within the service. * Literacy Development Programme being rolled out.	03	04	12 High
<b>Encompassing</b> (1) Workforce planning: structural change and having a flexible, motivated and skilled workforce (2) Organisational development: management development, individual personal / employee development and performance management (3) Leadership and culture							
Action Codes	Linked Actions	Latest Note		Assigned To	Due Date	Status	
CHSSIP1617.09a	Deliver the Literacy Development Programme in partnership with University of Strathclyde to provide high quality professional learning opportunities for teachers.			Education Manager (Curriculum and Early Years)	31-Mar-2017		
CHSSIP1617.09b	Continue to develop the Leadership Strategy as part of the implementation of Teaching Scotland's Future.			Education Manager (Curriculum and Early Years)	31-Mar-2017		
CHSSIP1617.09c	Implement and embed a new design and approach for children's social work services.			Children's Services Manager	31-Mar-2017		

Context		Risk Statement	Owned by	Current Risk Control Measures		Likelihood	Impact	Evaluation
CHSRR16.03 GIRFEC and implementation of the Children & Young People Act 2014	Children's Services aims to provide high quality services to meet the needs of children, young people and vulnerable adults. It is critical to manage risk as failure to do so might impact on our ability to ensure children, young people and vulnerable adults feel safe, nurtured, achieving, respected and responsible, healthy, included and active and reaching positive destinations.	Children's Services aims to provide high quality services to meet the needs of children, young people and vulnerable adults. It is critical to manage risk as failure to do so might impact on our ability to ensure children, young people and vulnerable adults feel safe, nurtured, achieving, respected and responsible, healthy, included and active, and are supported to reach positive destinations.	Director of Children's Services	<ul style="list-style-type: none"> <li>* Workstreams in place for each key element of the Children &amp; Young People (Scotland) Act 2014.</li> <li>* Standard circulars implemented and available to all staff.</li> <li>* The recommendations of internal and external scrutiny reports are implemented.</li> <li>* The GIRFEC Policy is in place which ensures compliance regarding the further development and implementation of the GIRFEC Agenda.</li> <li>* Delivery of multi-agency training on new Act planned for 2016.</li> <li>* Active contributor to Renfrewshire Child Protection Committee.</li> <li>* Deployment of additional support assistants is regularly reviewed and monitored.</li> <li>* Flexible pre-school education provided and provision for 2 year olds to support parents back to work.</li> </ul>		02	05	10 High
Action Codes	Linked Actions		Latest Note	Assigned To		Due Date		Status
CHSSIP1617.08c	Ensure compliance with the provisions of the Children & Young People (Scotland) Act 2014, in particular Named Person, Child's Plan and Information Sharing.			Director of Children's Services		31-Mar-2017		
CHSSIP1617.09d	Develop and deliver multi-agency training in relation to the implementation of the Children & Young People Act.			Training and Development Manager		31-Mar-2017		

Context		Risk Statement	Owned by	Current Risk Control Measures		Likelihood	Impact	Evaluation
CHSRR16.04 Integrated service arrangements	Encompassing: (1) Establishing strong links between services which remain the responsibility of Renfrewshire Council and those transferred to the Integration Joint Board. (2) Ensuring a smooth transition for those services delegated to the Integration Joint Board from 1 April 2016.	If the Council does not establish strong links between those services transferred to the Health and Social Care Partnership and those which remain with Renfrewshire Council, there is a potential risk to service users, employees, the	Director of Children's Services	<ul style="list-style-type: none"> <li>* Programme Board overseeing arrangements for integrating services.</li> <li>* Children's Services management structure in place and Extended Senior Management Team meeting regularly</li> <li>* Chief Social Work Officer continues as professional lead for social work practitioners in both Children's Services and the Health and Social Care Partnership and will chair six monthly meetings of social work senior managers working in both services.</li> <li>* Heads of Service Liaison Group meeting 6-weekly to discuss operational and strategic issues.</li> </ul>		03	03	9

		community and the reputation of the services involved.					
Action Codes		Linked Actions	Latest Note		Assigned To	Due Date	Status
CHSSIP1617.03b		Develop structures and approaches to support the transition of community justice services to a Community Planning Partnership model.			Criminal Justice Service Manager	31-Mar-2017	
CHSSIP1617.08b		Contribute to the development of a new Carers Strategy for Renfrewshire.			Senior Officer (GIRFEC)	31-Mar-2017	
CHSSIP1617.08g		Prepare, with partners, a new Integrated Children's Services Plan for Renfrewshire.			Head of Early Years and Inclusion	31-Mar-2017	

Context		Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
CHSRR16.05	Development of early intervention and preventative services for children	If the service did not develop early intervention and prevention services whilst continuing to develop and modernise existing care services for children, there is a risk that plans to improve longer-term outcomes for children will not be achieved and that future demand for social work services will increase.	Director of Children's Services	* Ongoing development of in-house fostering service * Introduction of evidence-based programmes with partners e.g. Triple P, Functional Family Therapy, Incredible Years * New approach to permanency planning supported by CELCIS * Redesign of social work fieldwork teams	03	03	9 Moderate
Encompassing:							
1) Implementation of evidence-based programmes, with partners							
2) Ongoing development of services for accommodated children and care leavers							
3) Redesign of frontline social work services for children and families							
Action Codes	Linked Actions	Latest Note		Assigned To	Due Date	Status	
CHSSIP1617.05a	Expand the Families First approach to Gallowhill, Foxbar and Johnstone to ensure children have the best start in life.			Head of Early Years and Inclusion	30-Jun-2016		
CHSSIP1617.05b	Implement the Children's Services actions from the Tackling Poverty Strategy.			Heads of Service	31-Mar-2017		
CHSSIP1617.05c	Extend provision of the Promoting Positive Thinking Strategies (PATHS) programme to a further 10 schools. (next 18 months).			Head of Early Years and Inclusion	31-Mar-2017		



CHSSIP1617.08a	Roll out new approaches to permanency planning for looked after children to ensure children have the opportunity to reach their full potential from a safe and secure base.	Children's Services Manager	31-Mar-2017	
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Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
CHSRR16.06 Failure of major providers	Failure or loss of a major service provider may impact on our capacity to protect vulnerable children and adults.	Director of Children's Services	<ul style="list-style-type: none"> <li>* Appraisal of providers conducted as part of procurement process.</li> <li>* Purchasing patterns monitored by finance managers and senior operational managers within the service.</li> <li>* Programme of reviews of all service providers.</li> <li>* Main providers registered and inspected by the Care Inspectorate, with reports accessible for review. Participation in local and national contingency arrangements relating to providers facing financial uncertainty to ensure minimal impact on local service users.</li> </ul>	03	03	9 Moderate
Encompassing (1) Monitoring of external commissioning / procurement activity						
Action Codes	Linked Actions	Latest Note		Assigned To	Due Date	Status

Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
CHSRR16.07 Financial and demographic pressures	If the service's financial and demographic pressures were not effectively planned for and managed over the medium to longer term, this would impact on the ability of the service to deliver services to the most vulnerable people in Renfrewshire.	Director of Children's Services	<ul style="list-style-type: none"> <li>* Long term financial planning processes, including roll out of strategic commissioning approach</li> <li>* Budget monitoring processes in place and subject to ongoing review</li> <li>* Client group budget management meetings held</li> <li>* Programme of financial management training in place for budget holders</li> <li>* Eligibility criteria established as appropriate</li> <li>* Programme of service reviews in place</li> <li>* Investment in service redesign opportunities to improve efficiency and effectiveness.</li> </ul>	03	03	9 Moderate
Encompassing (1) Medium and longer term financial planning (2) Corporate and service review activities (3) Strategic commissioning approach (4) Development of cost care models						
Action Codes	Linked Actions	Latest Note		Assigned To	Due Date	Status
CHSSIP1617.09c	Implement and embed a new design and approach for children's social work services.			Children's Services Manager	31-Mar-2017	
CHSSIP1617.10b	Deliver and report on the second epidemiology study of children in Renfrewshire.			Head of Early Years and	30-Sep-2017	

			Inclusion		
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Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
CHSRR16.08 Data protection <b>Encompassing</b> (1) Subject Access Requests (2) Data sharing agreements	Failure to develop and implement robust procedures around data protection could lead to inappropriate sharing of sensitive information and potential sanctions from the Information Commissioner.	Director of Children's Services	* Process developed for responding to requests for personal data * Process developed for managing electronic and manual record containing personal data * Data protection training and awareness sessions offered to relevant staff within the service	03	03	9 Moderate
Action Codes	Linked Actions	Latest Note		Assigned To	Due Date	Status

Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
CHSRR16.09 Continuous improvement <b>Encompassing</b> 1) Programme of self-evaluation in educational establishments based on How Good Is Our School? 2) Supported self-evaluation with the Care Inspectorate 3) Case file auditing	Self-evaluation of performance and practice is key to the continuous improvement of the service. There is a risk that insufficient development of this agenda will impact on service development activity and increase the burden of external scrutiny.	Director of Children's Services	* Registered services subject to regular inspections by Care Inspectorate * Schools subject to regular inspection by Her Majesty's Inspectorate of Education. * Regular programme of external scrutiny by Care Inspectorate and HMIE for the whole service. * Inspection activity reported to Policy Board and Council as appropriate.	03	03	9 Moderate
Action Codes	Linked Actions	Latest Note		Assigned To	Due Date	Status
CHSSIP1617.06e	Implement the National Improvement Framework in our schools.			Education Manager (Planning & Performance)	31-Aug-2016	

Context		Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
CHSRR16.10 Raising Attainment	<p>The Council provides services to assist schools in the delivery of the curriculum. It is essential to manage risk as failure to do so might impact on our capacity to promote effective learning and teaching and provide access to learning opportunities which support our children and young people to become successful learners, confident individuals, effective contributors and responsible citizens.</p> <p>In addition the Council provides a range of programmes to develop the skills young people need for adult life. It is essential to manage risk as failure to do so might impact on our capacity to support young people into positive destinations.</p>	The Council provides services to assist schools in the delivery of the curriculum. It is essential to manage risk as failure to do so might impact on our capacity to promote effective learning and teaching and provide access to learning opportunities which support our children and young people to become successful learners, confident individuals, effective contributors and responsible citizens.	Head of Schools	<p>* Programme of work to ensure compliance with provisions of the Children &amp; Young People (Scotland) Act 2014</p> <p>* Self-evaluation:</p> <ul style="list-style-type: none"> <li>- Establishments and services engage in self-evaluation to improve learning and teaching</li> <li>- Establishment Review Teams monitor performance and link to inspection activity</li> </ul> <p>* Raise levels of attainment:</p> <ul style="list-style-type: none"> <li>- Implementation of the National Improvement Framework</li> <li>- Implementation of standardised assessments for literacy and numeracy at key stages</li> <li>- Improvement of information sharing on children's progress by increased parental engagement</li> </ul> <p>* Support high quality teaching and learning:</p> <ul style="list-style-type: none"> <li>- Implementation of GTCS - Professional Review and Development and Professional Update for all teachers across Renfrewshire.</li> <li>- High quality professional development opportunities through leadership development programme for teachers at all levels.</li> </ul>	03	03	9 Moderate
Action Codes		Linked Actions	Latest Note		Assigned To	Due Date	Status
CHSSIP1617.06a		Close the educational attainment gap between children from low-income families and their better-off peers.			Head of Schools	31-Mar-2017	
CHSSIP1617.06b		Implement the use of standardised assessments at key stages to support teacher professional judgement and establish a baseline in the attainment of literacy and numeracy.			Education Manager (Planning & Performance)	30-Jun-2016	
CHSSIP1617.06c		Review allocation of ASN support to schools through a staged intervention process.			Education Manager	31-Mar-2017	

		(GIRFEC)		
CHSSIP1617.06d	Review our social, emotional behavioural needs (SEBN) provision for secondary sector learners to reflect current curriculum structure including access to senior phase provision up to S6.	Education Manager (GIRFEC)	31-Mar-2017	
CHSSIP1617.06f	Make better use of the data we hold to support the learning and teaching of young people.	Education Manager (Planning & Performance)	31-Mar-2017	
CHSSIP1617.06g	Improve the sharing of information on children's progress through increased parental engagement	Education Manager (Curriculum and Early Years)	31-Mar-2017	
CHSSIP1617.06h	Improve outcomes for young people in Renfrewshire through youth work, youth information, empowerment activities and outdoor learning.	Education Manager (Policy and Strategy)	31-Mar-2017	

Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
CHSRR16.11 Property Children's Services continues to review and improve the condition of schools. It is essential that we manage risks and take steps to address the deterioration of the estate through a school estate management plan which considers financial risk and aims to mitigate against health and safety concerns and disruption to school life.	Children's Services continues to review and improve the condition of schools. It is essential that we manage risks and take steps to address the deterioration of the estate through a school estate management plan which considers financial risk and aims to mitigate against health and safety concerns and disruption to school life.	Head of Schools	School Estate Management Plan (SEMP) being implemented. Consultative processes are in place to ensure stakeholders contribute to the design and upgrade of new and refurbished properties. Liaison with the corporate asset management section in relation to the corporate asset management strategy. Health and safety monitoring and liaison groups established where appropriate. School disruption management plans are in place where appropriate.	2	4	8
Action Codes	Linked Actions	Latest Note		Assigned To	Due Date	Status
CHSSIP1617.10a	Continue to develop and improve the school estate.			Education Manager	31-Mar-2019	

				(Resources)			
Context		Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
CHSRR16.12 Lifelong Learning	The Council provides services to assist schools in the delivery of the curriculum. It is essential to manage risk as failure to do so might impact on our capacity to promote effective learning and teaching and provide access to learning opportunities which support our children and young people to become successful learners, confident individuals, effective contributors and responsible citizens. In addition The Council provides a range of programmes to develop the skills young people need for adult life. It is essential to manage risk as failure to do so might impact on our capacity to support young people into positive destinations.	The Council provides services to assist schools in the delivery of the curriculum. It is essential to manage risk as failure to do so might impact on our capacity to promote effective learning and teaching and provide access to learning opportunities which support our children and young people to become successful learners, confident individuals, effective contributors and responsible citizens. In addition The Council provides a range of programmes to develop the skills young people need for adult life. It is essential to manage risk as failure to do so might impact on our capacity to support young people into positive destinations.	Director of Children's Services	Community learning and development services working in partnership with schools; and Opportunities for continuing professional development in approaches and method. High quality professional development opportunities through leadership development programme for teachers at all levels. Recognition of learners' achievement Establishments and services engage in self evaluation to improve learning and teaching; and Establishment review teams monitor performance. Increased focus within schools on employability skills Monitoring of pupil participation in vocational programmes and award schemes.	02	03	6 Moderate
Action Codes	Linked Actions	Latest Note	Assigned To	Due Date	Status		
CHSSIP1617.07c	Improve outcomes for families through community based adult learning opportunities focused on literacies, ESOL and Work.		Education Manager (Policy & Strategy)	31-Mar-2017			

Context		Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
CHSRR16.13 Potential Fraud	The council implements a range of measures to prevent and detect serious organised crime and corporate fraud. Should measures not implemented and monitored effectively there would be increased threat to resources and security of information.	The service is mindful of activities that could be open to potential fraud. If these activities are not sufficiently scrutinised there could be financial and reputational impacts to the council.	Director of Children's Services	Controls (1) the service is represented on the council's Integrity Group (2) fraud specific controls are not in the public domain and are recorded elsewhere.	1	3	Moderate
Action Codes		Linked Actions	Latest Note	Assigned To		Due Date	Status

## Risk Matrix for Adverse Impact

### Introduction

Risk should be analysed consistently across the council in terms of the significance of its impact and the likelihood of occurrence. The Risk Matrix is therefore the tool that is to be used for this purpose. The impact element of the same matrix may be used for the grading of adverse events, complaints or claims.

### Impact

When considering the consequences of a potential risk, all scenarios must be considered. It may even be appropriate to consider the worst case scenario, however, those undertaking the risk analysis must be able to provide a robust rationale and have evidence to support their selection. For example, if 'death' could be the ultimate potential impact in relation to a specific problem, the risk assessors must have knowledge that this outcome has occurred in the past either internal or external to Renfrewshire Council. (A full list of descriptions to assist in analysing consequence is contained on the following two pages of this appendix);

### Likelihood

Similarly when considering the likelihood of occurrence, the risk assessor's judgement must be based on the prevalence of the event/ circumstance and outcome, backed up by experience and data such as relevant incidents/ events, complaints and/ or claims.

### Evaluation

As shown in the matrix below, Impact x Likelihood produces an evaluation of the significance of risk, described as 'Low', 'Moderate', 'High' or 'Very High'.

How a risk is evaluated will determine how the risk is then treated:

Likelihood	Consequent Impact				
	1 Insignificant	2 Minor	3 Moderate	4 Major	5 Extreme
5 Almost Certain	5	10	15	20	25
4 Likely	4	8	12	16	20
3 Possible	3	6	9	12	15
2 Unlikely	2	4	6	8	10
1 Remote	1	2	3	4	5

Low (1-3),

Moderate (4-9),

High (10-16), or

Very High (17-25)

## Consequence Impact

"Domains"	1 Insignificant	2 Minor	3 Moderate	4 Major	5 Extreme
Objectives and Projects	<ul style="list-style-type: none"> <li>Barely noticeable reduction in scope / quality / schedule</li> </ul>	<ul style="list-style-type: none"> <li>Minor reduction in scope / quality / schedule</li> </ul>	<ul style="list-style-type: none"> <li>Reduction in scope or quality, project objectives or schedule.</li> </ul>	<ul style="list-style-type: none"> <li>Significant reduction in ability to meet project objectives or schedule.</li> </ul>	<ul style="list-style-type: none"> <li>Inability to meet project objectives, reputation of the organisation seriously damaged and failure to appropriately manage finances.</li> </ul>
Injury (physical and psychological) to clients/staff.	<ul style="list-style-type: none"> <li>Adverse event leading to minor injury not requiring first aid.</li> </ul>	<ul style="list-style-type: none"> <li>Minor injury or illness, first-aid treatment needed. No staff absence required.</li> </ul>	<ul style="list-style-type: none"> <li>Significant injury requiring medical treatment and/or counselling.</li> </ul>	<ul style="list-style-type: none"> <li>Major injuries or long term incapacity/disability (loss of limb), requiring medical treatment and/or counselling.</li> </ul>	<ul style="list-style-type: none"> <li>Incident leading to death or major permanent incapacity.</li> </ul>
Client experience / outcome	<ul style="list-style-type: none"> <li>Reduced quality of client experience / outcome not directly related to service delivery.</li> </ul>	<ul style="list-style-type: none"> <li>Unsatisfactory client experience / outcome directly related to service provision – readily resolvable</li> </ul>	<ul style="list-style-type: none"> <li>Unsatisfactory client experience / outcome, short term effects – expect recovery &lt; 1Wk</li> </ul>	<ul style="list-style-type: none"> <li>Unsatisfactory client experience / outcome, long term effects - expect recovery &gt; 1Wk</li> </ul>	<ul style="list-style-type: none"> <li>Unsatisfactory client experience / outcome, continued ongoing long term effects.</li> </ul>
Complaints / claims	<ul style="list-style-type: none"> <li>Locally resolved complaint</li> </ul>	<ul style="list-style-type: none"> <li>Justified complaint peripheral to direct service provision</li> </ul>	<ul style="list-style-type: none"> <li>Below excess claim.</li> <li>Justified complaint involving inappropriate service.</li> </ul>	<ul style="list-style-type: none"> <li>Claim above excess level.</li> <li>Multiple justified complaints.</li> </ul>	<ul style="list-style-type: none"> <li>Multiple claims or single major claim.</li> </ul>
Staffing and competence	<ul style="list-style-type: none"> <li>Short term low staffing level (&lt; 1 day), where there is no disruption to service.</li> </ul>	<ul style="list-style-type: none"> <li>Ongoing low staffing level results in minor reduction in quality of client care</li> <li>Minor error due to ineffective training / implementation of training.</li> </ul>	<ul style="list-style-type: none"> <li>Late delivery of key objective / service due to lack of staff.</li> <li>Moderate error due to ineffective training / implementation of training.</li> <li>Ongoing problems with staffing levels in Children's Services</li> </ul>	<ul style="list-style-type: none"> <li>Uncertain delivery of key objective / service due to lack of staff.</li> <li>Major error due to ineffective training / implementation of training.</li> </ul>	<ul style="list-style-type: none"> <li>Non delivery of key objective/ service due to lack of staff.</li> <li>Loss of key staff.</li> <li>Critical error due to insufficient training/ implementation of training.</li> </ul>



Service / business interruption	<ul style="list-style-type: none"> <li>▪ Interruption in a service which does not impact on the delivery of client care or the ability to continue to provide service</li> </ul>	<ul style="list-style-type: none"> <li>▪ Short term disruption to service with minor impact on client care.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Some disruption in service with unacceptable impact on client care.</li> <li>▪ Temporary loss of ability to provide service.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Sustained loss of service which has serious impact on delivery of client care resulting in major contingency plans being invoked.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Permanent loss of core service or facility.</li> <li>▪ Disruption to facility leading to significant “knock on” effect.</li> </ul>
“Domains”	<b>1 Insignificant</b>	<b>2 Minor</b>	<b>3 Moderate</b>	<b>4 Major</b>	<b>5 Extreme</b>
Financial	<ul style="list-style-type: none"> <li>▪ Negligible organisational financial loss (£&lt; 1k).</li> </ul>	<ul style="list-style-type: none"> <li>▪ Minor organisational financial loss (£1-10k).</li> </ul>	<ul style="list-style-type: none"> <li>▪ Significant organisational financial loss (£10-100k).</li> </ul>	<ul style="list-style-type: none"> <li>▪ Major organisational financial loss (£100k-1m).</li> </ul>	<ul style="list-style-type: none"> <li>▪ Severe organisational financial loss (£&gt;1m).</li> </ul>
Inspection / assessment / audit	<ul style="list-style-type: none"> <li>▪ Small number of recommendations which focus on minor quality improvement issues.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Minor recommendations made which can be addressed by low level of management action.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Challenging recommendations but can be addressed with appropriate action plan.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Enforcement Action.</li> <li>▪ Low rating.</li> <li>▪ Critical report.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Prosecution.</li> <li>▪ Zero Rating.</li> <li>▪ Severely critical report.</li> </ul>
Adverse publicity / reputation	<ul style="list-style-type: none"> <li>▪ No media coverage, little effect on staff morale.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Local Media – short term.</li> <li>▪ Minor effect on staff morale / public attitudes.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Local Media – long term.</li> <li>▪ Impact on staff morale and public perception of the organisation.</li> </ul>	<ul style="list-style-type: none"> <li>▪ National Media (&lt; 3 days).</li> <li>▪ Public confidence in the organisation undermined.</li> <li>▪ Usage of services affected.</li> </ul>	<ul style="list-style-type: none"> <li>▪ National Media (&gt; 3 days).</li> <li>▪ MP / MSP Concern (Questions in Parliament).</li> </ul>
Council / Personal Security, and Equipment	<ul style="list-style-type: none"> <li>▪ Damage, loss, theft (£&lt; 1k).</li> </ul>	<ul style="list-style-type: none"> <li>▪ Damage, loss, theft (£1-10k).</li> </ul>	<ul style="list-style-type: none"> <li>▪ Damage, loss, theft (£10-100k).</li> </ul>	<ul style="list-style-type: none"> <li>▪ Damage, loss, theft (£100k-1m).</li> </ul>	<ul style="list-style-type: none"> <li>▪ Damage, loss, theft (£&gt;1m).</li> </ul>

## Likelihood

	<b>1 Remote</b>	<b>2 Unlikely</b>	<b>3 Possible</b>	<b>4 Likely</b>	<b>5 Almost Certain</b>
Probability	<ul style="list-style-type: none"> <li>▪ Will only occur in exceptional circumstances</li> </ul>	<ul style="list-style-type: none"> <li>▪ Unlikely to occur but definite potential exists</li> </ul>	<ul style="list-style-type: none"> <li>▪ Reasonable chance of occurring – has happened before on occasions</li> </ul>	<ul style="list-style-type: none"> <li>▪ Likely to occur – strong possibility</li> </ul>	<ul style="list-style-type: none"> <li>▪ The event will occur in most circumstances</li> </ul>