

REPORT TO: Audit and Governance Committee

MEETING DATE: 30 April 2013

BY: Chief Executive

SUBJECT: Children's Wellbeing Risk Register

1 PURPOSE

- 1.1 To present to the Audit and Governance Committee the Children's Wellbeing Risk Register (Appendix 1) for discussion, comment and approval.
- 1.2 The Children's Wellbeing Risk Register has been developed in keeping with the Council's Risk Management Strategy and is a live document which is reviewed and refreshed on a regular basis, led by the Children's Wellbeing Local Risk Working Group (LRWG), comprising all senior managers within the service.

2 RECOMMENDATIONS

- 2.1 It is recommended that the Audit and Governance Committee approves the Children's Wellbeing Risk Register.
- 2.2 In doing so, the Audit and Governance Committee is asked to:
 - note that the relevant risks have been identified following appropriate consultation with all risk contacts;
 - recognise that while this report has been compiled by the Risk Officer, the Risk Register has been compiled by the Children's Wellbeing LRWG and the Head of Children's Wellbeing has lead responsibility. The Executive Director (Services for People) will speak to it at the Committee;
 - note that the significance of each risk is appropriate to the current nature of the risk;
 - agree that the total profile of the Children's Wellbeing risk can be borne by the Council at this time in relation to the Council's appetite for risk; and,
 - recognise that, although the risks presented are those requiring close monitoring and scrutiny throughout 2013, many are in fact longer term risks for Children's Wellbeing and are likely to be a feature of the risk register over a number of years.

3 BACKGROUND

- 3.1 The Council's Risk Management Strategy was established following Audit Scotland's 2008/09 review of the Council when it was recommended that: "The implementation of the risk management framework be expedited and target dates established".
- 3.2 Responsibility for Risk Management sits within the Corporate Policy and Improvement unit. The Emergency Planning and Risk Manager, supported by a Risk Officer, has implemented the current Risk Management Strategy and set up both an

overarching Corporate Risk Management Group (CRMG) together with LRWGs in service areas such as the Children's Wellbeing LRWG.

- 3.3 The LRWGs meet on a regular basis to discuss their Risk Register which is also included as a topic in team meetings. They also feed information to the CRMG; this Group is fundamental to the delivery of risk management throughout the Council and ensures that risk management remains high on the corporate agenda.
- 3.4 All LRWG's were revised following the Senior Management and Service restructure of 2012 resulting in 8 Risk Registers/Groups being reduced to 7.
- 3.5 A copy of the risk matrix used to calculate the level of risk is attached as Appendix 2 for information.

4 POLICY IMPLICATIONS

- 4.1 In approving the Children's Wellbeing Risk Register the Committee will be affirming the process of embedding risk management principles across the Council in support of the Risk Management Strategy.

5 EQUALITIES IMPACT ASSESSMENT

- 5.1 This report is not applicable to the well being of equalities groups and an Equalities Impact Assessment is not required.

6 RESOURCE IMPLICATIONS

- 6.1 Financial – It is the consideration of the Children's Wellbeing Local Risk Working Group that recurring costs associated with the measures in place for each risk are proportionate to the level of risk.

The financial requirements to support the Children's Wellbeing Risk Register for 2013/14 should be met within the proposed budget allocations for 2013/14. Any unplanned and unbudgeted costs that arise in relation to any of the risks identified will be subject to review by the Board of Directors.

- 6.2 Personnel - There are no immediate implications.
- 6.3 Other – Effective implementation of this register will require the support and commitment of the Risk Owners identified within the register.

7 BACKGROUND PAPERS

- 7.1 Appendix 1 – Children's Wellbeing Risk Register
- 7.2 Appendix 2 – Risk Matrix

AUTHOR'S NAME	Scott Kennedy
DESIGNATION	Risk Officer
CONTACT INFO	Ext.7900
DATE	17 April 2013

Children's Wellbeing Risk Register

Date Reviewed: 08 March 2013

Risk ID No. & Status S/C/N (same, changed, new)	Risk Description (Threat/Opportunity to achievement of business objective)	Risk Control Measures (currently in place)	Assessment of Current Risk			Planned Risk Control Measures	Assessment of Residual Risk [With proposed control measures]			Risk Owner	Timescale for Completion / Review Frequency	Single Outcome Agreement Outcome Number Link	Evidence held of Regular Review
			Likelihood (Probability)	Impact (Severity)	Risk Rating		Likelihood (Probability)	Impact (Severity)	Residual Risk Rating				
			L	I	L x I		L	I	L x I				
CW 1	Failure of the Council to provide employees with an effective Lone Working Policy & Practice and the appropriate training could result in injury or death to those employees resulting in H&S prosecution, civil insurance liability, reputational risk, increased sickness absence, pressures on service delivery and also potential claims against the Council.	<p>There are lone working procedures in place for staff informing Managers and admin staff of their whereabouts and reporting in when finished calls. These include electronic diaries and signing in/out books as well as the automated system via the Contact Centre.</p> <p>Comprehensive training is being carried out to show Social Workers the full capabilities of Frameworki.</p> <p>Alarms were recently installed in those rooms that are used by Social Workers to interview Clients.</p> <p>Single Foster Carers must have a robust family support network and have more intensive support from their Supervising SW and Family Placement Team.</p>	4	5	20	<p>Lone Working policy and procedures to be embedded within Children's Wellbeing managers and admin staff ensuring that front line employees adhere to Lone Working controls.</p> <p>Information on Lone Working Policy in part of Induction process. Employees are advised that if they do not adhere to this policy it is their personal responsibility, and will be asked to sign an agreement to this effect.</p> <p>All employees are to receive training on the use of the alarm system.</p> <p>SMG will take over functions of Lone Working Group in monitoring use and reviewing current procedures.</p>	2	5	10	Head of Children's Wellbeing	April 2013 (Review quarterly)	SOA 15	SMG/OMG Minutes
CW 2	<p>If we fail to deliver the 'Getting it Right for Every Child' (GIRFEC) framework described in the 'Integrated Children's Services Plan' a child could be put at risk.</p> <p>This failure could be due to a lack of resources (financial, services or staffing), poor practice, lack of training, a failure to prioritise, non-compliance with procedures/guidance or failing to intervene early enough.</p>	<p>Specialist staff within East Lothian Council and its partners closely monitor policy changes.</p> <p>Briefing sessions, specialist training and support are in place.</p> <p>Provision of a coherent suite of policies and criteria to ensure consistent practices are held on central databases EINet and NIMBUS.</p> <p>Procedures guidelines and policy development updates are published to allow staff to access the information.</p> <p>Competitive salaries and working conditions in place. Recruitment and selection procedures adhered to.</p> <p>The Community Planning Partnership is responsible for developing and monitoring the ICSP.</p>	4	4	16	<p>Developing Kinship Care and Fostering Strategy for ELC.</p> <p>To ensure high professional standards/reputation/innovation is maintained to attract high calibre professionals.</p> <p>To ensure budget is adequate to recruit sufficient SWs to protect vulnerable children.</p> <p>To ensure that the rec process is adhered to.</p> <p>Ensure all agencies are fully committed to the principles of GIRFEC in East Lothian including taking responsibility for Lead Prof and Named Person roles, and full engagement in SAI.</p> <p>Review cycle of ISCP at GIRFEC Theme Group.</p>	3	4	15	Executive Director Services for People	April 2013 (Review quarterly)	8	GIRFEC Theme Group & CPC Minutes/SMG minutes
CW 3	Failure to fulfil our duty of care could result in the death, serious harm or detriment of a child. This would in turn result in prosecution, having to pay compensation a negative impact on the reputation of the Council.	<p>We prioritise maintenance of adequate staffing levels for Child Protection and other work with vulnerable children.</p> <p>The department has received good assessment reports from the Inspection Agencies, which should help in attracting high calibre staff.</p>	4	4	16	<p>Ensure the budget for accommodating vulnerable children meets the needs of the children.</p> <p>To ensure adequate staffing in the Service Development Team on an ongoing basis.</p>	3	4	12	Head of Children's Wellbeing	April 2013 (Review quarterly)	8	GIRFEC Theme Group & CPC Minutes/SMG minutes

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	<p>This failure could be due to a lack of resources (financial, services or staffing), poor practice, a failure to prioritise or non-compliance with procedures/guidance.</p> <p>In the short term there is an additional risk during the period of service review and implementation of change that staff will be diverted from their primary tasks</p>	<p>Briefing sessions, specialist training and support are in place. Provision of a coherent suite of policies and criteria to ensure consistent practice. Procedures guidelines and policy development updates are published to allow staff to access the information.</p> <p>Completion of Personal Development Plan, focusing on specific and agreed development needs.</p> <p>There is a Code of Practice for Employers of Social Service Workers which sets down the responsibilities of employers in the regulation of social service workers. Managers ensure that staff are up-to-date with changes in legislation, practice guidelines etc.</p> <p>Comprehensive ongoing training programmes are in place. Two training Officers (qualified Social Workers) and a Team teach Officer are employed to carry out training.</p> <p>Checks carried out under PVG scheme The duty of care is reinforced through support and supervision arrangements as well as professional development Case management carried out so that the duty of care and risk are central to the care planning process. Work is also monitored through internal and external review groups.</p> <p>Frameworki is used to identify/record risk.</p> <p>Any Significant Case Reviews are discussed at multi-agency meetings, as and when required. Children's Wellbeing has operational procedures in place to maintain 'protection' arrangements in compliance with legislation and inspection regimes. Action Plan in place following on from Child Protection and SWIA/Care Inspectorate inspections. Follow up of service user feedback.</p>				<p>Ensure budget is adequate to recruit sufficient Social Workers, Foster Carers and Kinship Carers to protect vulnerable children.</p> <p>Action Plan following on from Child Protection and Isla inspections in place. As part of GIRFEC, staged assessment and Intervention the project board will oversee a 3 year action plan with the overall aim of improving assessment and planning in Children's Wellbeing from very good to excellent.</p> <p>The development of a multi-agency Signs of Safety Model Development of an overall learning culture, use of Action Learning Sets and promotion and development of skills such as "Giving and Receiving Feedback" and "Coaching". We will monitor the implementation of the new ELBEG Procedures</p> <p>Co-ordinate CAMHS support for all children who need it and in particular those with the most complex needs as a result of trauma, abuse and parental difficulties.</p> <p>Re-launch of East Lothian Quality Improvement Group.</p> <p>Frameworki is being developed to improve the ways cases are recorded and risks identified.</p> <p>As part of the service review we are considering the development of supervisory groups. Risk during the period of service review and implementation of change will be mitigated by good communication, resource prioritisation, raised awareness and auditing</p>							

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CW 4	A lack of a sufficient qualified staff resource or the unexpected loss of a key employee or employees may reduce the quality and scope of the service resulting in children's lives and safety being put at risk.	<p>Competitive salaries and working conditions in place. Recruitment and selection procedures adhered too.</p> <p>A number of checks and balances are in place in relation to the Recruitment and Selection process e.g. staff recruitment and selection training, interview panels, job and employee outlines, screening of application forms, interview selection process, quality assurance checks, timescales for processing recruitment paperwork/adverts etc.</p> <p>Children's Services has an excellent record among professional workers which should help in attracting high calibre staff.</p> <p>Prioritise maintenance of adequate staffing levels of Child Protection and other work with vulnerable children.</p> <p>Development of an overall learning culture, use of Action Learning Sets and promotion and development of skills such as "Giving and Receiving Feedback" and "Coaching".</p> <p>Two Training Officers (qualified Social Workers) and a Team Teach Officer are employed to carry out comprehensive training programmes.</p>				<p>Ensure high professional standards, reputation, and innovation is maintained to attract high calibre professionals.</p> <p>Ensure that the recruitment process is adhered too.</p> <p>Ensure Foster Carers allowances and fees are competitive with neighbouring Councils and Independent Fostering Agencies.</p> <p>Continue to regularly publicise a need for Foster Carers.</p> <p>Annual review of feedback from Employee Engagement Survey and development/implementation of action plan.</p> <p>Service review</p>				Head of Children's Wellbeing	April 2013	8	Minute from SMG/OMG
CW 5	Not carrying out disclosure/PVG checks or errors being made whilst carrying the checks out could put children's lives, safety and increase the risk of abuse.	<p>There is an HR policy in place on procedures laid down by Disclosure Scotland and the Protecting Vulnerable Groups scheme and training sessions are in place for all managers and staff to make them aware of the policy and processes to be followed to comply with the PVG scheme.</p> <p>Employees' contracts state that where an employee is convicted of a criminal offence which is likely to adversely affect their work or their working relationship with the Council, they must advise their Director or Head of Service.</p> <p>Details of the posts which are subject to the disclosure process are published on the Council intranet.</p>				<p>People who work with children and protected adults will each have a 'scheme record' that will be subject to continuous updating, to help ensure that these groups are not exposed to individuals who might do them harm.</p> <p>Carers are receiving training and advice about helping children using the internet safely.</p> <p>Review PVG processes/timescales twice yearly</p>				Head of Children's Wellbeing	April 2013 (6 monthly review)	8	Inspections , Reviews with HR, SMG minutes

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		<p>Foster Carers and Supervising SWs develop a risk assessment for the child which is reviewed and updated.</p> <p>Each LAC child has a plan and the allocated SW regularly updates this.</p> <p>Each Foster Care Family has an approved 'Safer Care policy' which is regularly updated.</p>												
CW 6	<p>Children's lives and safety put at risk due to a failure by staff to record or access salient information or a lack of understanding of the functions of Frameworki.</p>	<p>Ongoing staff training and updates made to Frameworki.</p> <p>Back-up database available within a few hours.</p> <p>Additional employees identified on a short term basis to further develop Frameworki.</p> <p>Foster Carers undertake their own recording and this is communicated to relevant professionals. Training on Frameworki and support is given, especially for new staff.</p> <p>East Lothian recording guidelines require that all Child Protection files are reviewed by the line manager every three months and other files are reviewed every six months.</p>	2	4	8	<p>Senior managers to review a sample of these cases annually.</p> <p>They will report any improvements required for general team awareness</p>	2	4	8	Head of Children's Wellbeing	Annual Review	8	Induction process and OMG minutes	
Original date produced (V1)		16th December 2011										Risk Score	Overall Rating	
File Name		Children's Wellbeing Risk Register										20-25	Very High	
Original Author(s)		S Kennedy										10-19	High	
Current Revision Author(s)		S Kennedy										5-9	Medium	
Version		Date	Author(s)		Notes on Revisions								1-4	Low
Original		16th December 2011	S Kennedy		Children's Services Risk Register Operational Risks including merged Corporate Risks and minor amendments to CS3 to take account of the setting up of a Lone Working Group.									
2		11th May 2012	S Kennedy		Children's Services changed to Children's Wellbeing as well as job titles updated.									
3		19 th November 2012	S Kennedy		Refreshed following update to Risk Strategy									
4		08 March 2013	S Kennedy		Updated by Children's Wellbeing Management Team.									