

Annual Report of Risk Management Activity: 2023/24



Summary of Key Achievements in 2023/24

- Introduction of new risk management training, available to all staff through SAP, provided by the Planning & Co-ordination Team (PACT). Over 100 attendees to date, and feedback has been very positive.
- Creation of a Risk Management (RM) Hub, as part of the Policy & Governance Hub, on SharePoint, to replace the original Staffnet page. This includes:
 - the *RM Toolkit* and accompanying guidance/strategies;
 - RM Policy Statement & Strategy
 - detail of the corporate Risk Management Group (RMG), including the Terms of Reference; and
 - details of the new risk management training sessions, bookable through SAP.
- Introduction of **Target Risk** scoring, initially for the Strategic Risk Register (SRR), allowing acknowledgement of where we would like the risk level to be in a realistic world. This is now being reviewed each quarter in the same way as the Residual Risk scoring; and is allowing us to have an up-to-date understanding of our *Risk Appetite* for each risk. Work to introduce this for the Directorate registers is ongoing.
- Review of the Strategic Risk Register (SRR) with the Corporate Leadership Team (CLT) undertaken on a regular basis; changes being applied throughout the year (see *updates during 2023/24, at page 4 below*).
- Continuing involvement with the Adults Risk Group and the Children's Risk & Wellbeing Group, meeting at least bi-monthly, and regularly reviewing the relevant Directorate risk registers.
- Involvement with the Education Leadership Team, attending meetings and regularly reviewing the Directorate risk register.
- Regular engagement with the Business Continuity Management Assurance Board, significant programmes/projects, the Major Highway Projects Board, Adult Social Care and Children's Services transformation programmes, etc.
- Maintaining the corporate Risk Management Group (RMG), attended by Directorate reps and specialist advisors, chaired by the Director of Policy, Performance and Governance. Reports are provided to the Corporate Leadership Team (CLT) by the Chair (see *Items Discussed during 2023/24, from page 5, below*)

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Planned strategic work for 2024/25

- Review of the Risk Management Policy Statement & Strategy (RMPSS), which is due for its three year renewal in April 2025.
- InPhase performance and risk management system usage/improvements, to make better and wider use of InPhase for risk management purposes.
- Potential for usage of SharePoint for sharing and updating of risk registers in 'real-time'.
- Review of the current risk register template, using MS Excel. Currently we have limitations on being able to share with partners via Sharepoint.
- Embedding Target Risk scoring within the Directorate registers.
 - Aiming to improve use and consideration of risk 'target' levels as a proxy for risk appetite. We have achieved more maturity in this area at strategic level and hope to spread that learning more explicitly.
- Review of consistency of risks included on Directorate risk registers, and escalation/de-escalation processes.
- Work with the Planning & Co-ordination Team (PACT), with regards to risk identification and mitigation, in the completion of directorate/team annual service plans.

Ongoing Review of the Strategic Risk Register (SRR) with the Corporate Leadership Team (CLT): during 2023/24

New/Amended Risks	Risk Owner	Action Taken
<p><u>SRR 7.10</u></p> <p>Implementation of the 'Care Cap' cost of care exercise (section 18.3 of the Care Act) leads to significant resource pressures and overspend.</p>	Sarah Scott	<p><i>Quarter 2 2023/24:</i> As changes to the Care Act, in relation to this exercise, are not set to be considered for implementation until 2025, it was agreed that this should now be held on the Directorate risk register.</p>
<p><u>SRR 8.2</u></p> <p>Failure to ensure identification and understanding of staff fatigue and 'burnout' issues, resulting in impact on staff morale and wellbeing, and service delivery.</p>	Mandy Quayle	<p><i>Quarter 1 2022/23:</i> Added to the SRR.</p> <p><i>Quarter 4 2022/23:</i> Amended on the SRR to amalgamate the wording of both SRR 8.2 and SRR 10.7.</p>
<p><u>SRR 10.4</u></p> <p>Risk of an inability to protect and support GCC employees and partner/contractor key workers through the promotion of wellbeing and guidance on infection prevention and control, personal safety, resilience and mental wellbeing.</p>	Mandy Quayle	<p><i>Quarter 1 2022/23:</i> Added to the SRR (from the risk register of GCC Gold).</p> <p><i>Quarter 4 2022/23:</i> Archived and wording amalgamated with SRR 8.2.</p>
<p><u>SRR 10.8</u></p> <p>Community isolation, operational and financial impacts through the withdrawal of the Government's Bus Recovery Subsidy (BRS) prior to passenger levels returning to pre-Covid levels; and the reduction/withdrawal of specific bus services by the existing contractor and difficulties in the market with attracting alternative contractors</p>	Colin Chick	<p><i>Quarter 2 2023/24:</i> As the Department of Transport has now awarded GCC BSIP+ funding until April 2025, the risk is reduced, and it was agreed that this should now be held on the Directorate risk register.</p>

<p><u>SRR 2.6</u></p> <p>Failure to ensure that expenditure on the High Needs block of the DSG is contained within available funding by the time the Statutory Override comes to an end (scheduled to end at the end of March 2026).</p>	<p>Nina Philippidis</p>	<p><i>Quarter 4 23/24 - New Risk added</i></p>
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Risk Management Group (RMG): 2023/24 Reports and Discussion Items

Items Discussed	Outcomes
<p><u>Quarter 1: June 2023</u></p> <p><i>Senior Risk Management Advisor (SRMA) summary report</i></p> <p><i>2023/24 Directorate priorities</i></p> <p><i>Annual Governance Statement (AGS) 2022/23 feedback</i></p> <p><i>Summary updates from Risk Champions and Specialist Areas (and emerging risks)</i></p>	<ul style="list-style-type: none"> • Confirmation of the introduction of Target Risk scoring on the SRR, being reviewed and updated each quarter; and • Annual comparison exercise undertaken, of GCC risk management arrangements against: <ul style="list-style-type: none"> ▪ Expectations of ISO 31000 (2018); ▪ The Institute of Risk Management (IRM) Professional Standards; and ▪ Strategic risks of similar local authorities. <p>Discussion around priority areas raised at the recent Leadership Conference.</p> <p>Discussion around feedback from the recent AGS completion, in particular, how we continue to provide a relevant and sensible risk maturity score, and the plan to begin discussions for the AGS 2023/24 from Sept 2023.</p> <p>General discussion around current and/or emerging specific areas of concern.</p>

Items Discussed	Outcomes
<p><u>Quarter 2: September 2023</u></p> <p><i>RMG Terms of Reference (ToR)</i></p> <p><i>Fraud Risk update from Internal Audit's (ARA) counter-fraud specialists</i></p> <p><i>Summary updates from Risk Champions and Specialist Areas (and emerging risks)</i></p>	<p>Discussion and agreement of amendments for the 2024-2027 version.</p> <p>Discussion points:</p> <ul style="list-style-type: none"> • Being part of the RMG; • Use of the fraud risk register (FRR) for greater degree control monitoring; • Scrutiny of the FRR by CLT and Members (via ARA reporting); • Introduction of fraud risk assessments; • Need for 'pilot' areas for fraud risk assessments; • General fraud risk training required; and • Specific mention of fraud risk on the SRR. <p>General discussion around current and/or emerging specific areas of concern.</p>

Items Discussed	Outcomes
<p><u>Quarter 3: December 2023</u></p> <p><i>SRMA summary report</i></p> <p><i>AGS 2023/24</i></p> <p><i>Directorate Risk Registers</i></p>	<ul style="list-style-type: none"> • Changes to strategic risks held on the SRR; and • Updates on the SharePoint migration and the setting up of the new RM Hub. <p>Initial discussions about the AGS process and early indications of emerging risks and issues likely to be included on Directors' returns.</p> <p>Discussion of progress with the registers in each directorate, and any issues arising and assistance which may be required.</p> <p>General discussion around current and/or emerging specific areas of concern.</p>

Summary updates from Risk Champions and Specialist Areas (and emerging risks)

Items Discussed	Outcomes
<p>Quarter 4: March 2024</p> <p><i>Discussion on the Peer Challenge 2023 Report and risk management implications.</i></p> <p><i>Discussion on the draft 2024/25 Risk Management report on activity during 2023/24. Discussion around the annual review of the SRR.</i></p> <p><i>Requests for forward planned agenda items from RMG members.</i></p> <p><i>Summary updates from Risk Champions and Specialist Areas (and emerging risks).</i></p>	<p>General discussion around current and/or emerging specific areas of concern.</p>