

Strategic Risk Monitoring Report

Quarter Q2, 2022/23

Summary overview

Ref	Risk Owner	Strategic Risks	Residual risk score	Direction of travel
SR 10.8	Colin Chick	Dept for Transport's Covid Bus Recovery Subsidy (BRS) is withdrawn	High 20	⇨
SR 5.3	Sarah Scott	Adult Social Care provider failure	High 20	⇨
SR 8.1	Mandy Quayle	Difficulties in recruiting and retaining experienced workers	High 20	⇨
SR 7.6	Sarah Scott	Unable to support all those who can, to live independently at home	High 16	⇨
SR 14.1	Colin Chick	Implementation of the Community Infrastructure Levy	High 16	⇨
SR 7.10	Sarah Scott	Implementation of the 'Care Cap' cost of care exercise	High 15	⇩
SR 2.4b	Paul Blacker	Changes to future funding	High 15	⇨
SR 3.1	Mandy Quayle	Failure to ensure ICT remains fit for purpose.	High 15	⇨
SR 3.2	Mandy Quayle	Failure to protect the council's key information and data from Cyber Attack.	High 15	⇨
SR 7.5	Chris Spencer	Insufficient workforce capacity in Children's services	Medium 12	⇨
SR 7.7	Chris Spencer	Failure to develop sufficient placement capacity	Medium 12	⇨
SR 8.2	Mandy Quayle	Staff fatigue and 'burnout'	Medium 12	⇨
SR 10.4	Mark Preece	Insufficient Business Continuity Management	Medium 12	⇨
SR 10.6	Mark Preece	Capacity and capability to deliver Fire Service improvement	Medium 12	⇨

Summary overview (continued)

SR 11.1	Rob Ayliffe	Failure to protect the confidentiality, integrity and availability of information.	Medium 12	↔
SR 7.1	Sarah Scott	Failure to protect vulnerable adults in Gloucestershire	Medium 10	↔
SR 12.1	Colin Chick	Failure of GCC/Gloucestershire to mitigate and adapt to a more volatile climate	Medium 10	↔
SR 10.7	Mandy Quayle	COVID19 - Inability to protect and support GCC employees and partner/contractor key workers	Medium 10	↔
SR 1.2	Rob Ayliffe	Capacity for Procurement activity	Medium 9	↔
SR 7.4	Kirsten Harrison	Failure to Close the gap in Educational Outcomes	Medium 9	↔
SR 7.8	Sarah Scott	Risk of legal action being taken due to failures in completing Deprivation of Liberty assessments.	Medium 9	↔
SR 7.2	Chris Spencer	Ineffective Social Care Practice	Medium 9	↑
SR 1.1	Rob Ayliffe	Failure in corporate governance	Medium 8	↔
SR 1.4	Rob Ayliffe	Contract management capacity	Medium 8	↔
SR 6.1	Pete Bungard	Relationships with key partners	Medium 8	↔
SR 7.9	Siobhan Farmer	Insufficient planning and oversight of international resettlement and asylum immigration	Medium 8	↔
SR 1.5	Rob Ayliffe	Compliance with Public Sector Equalities Duty	Low 6	↓
SR 1.3	Rob Ayliffe	Failure to ensure the effective management of Health and Safety	Low 6	↔
SR 2.4a	Paul Blacker	Reductions and changes to funding (current year)	Low 5	↔

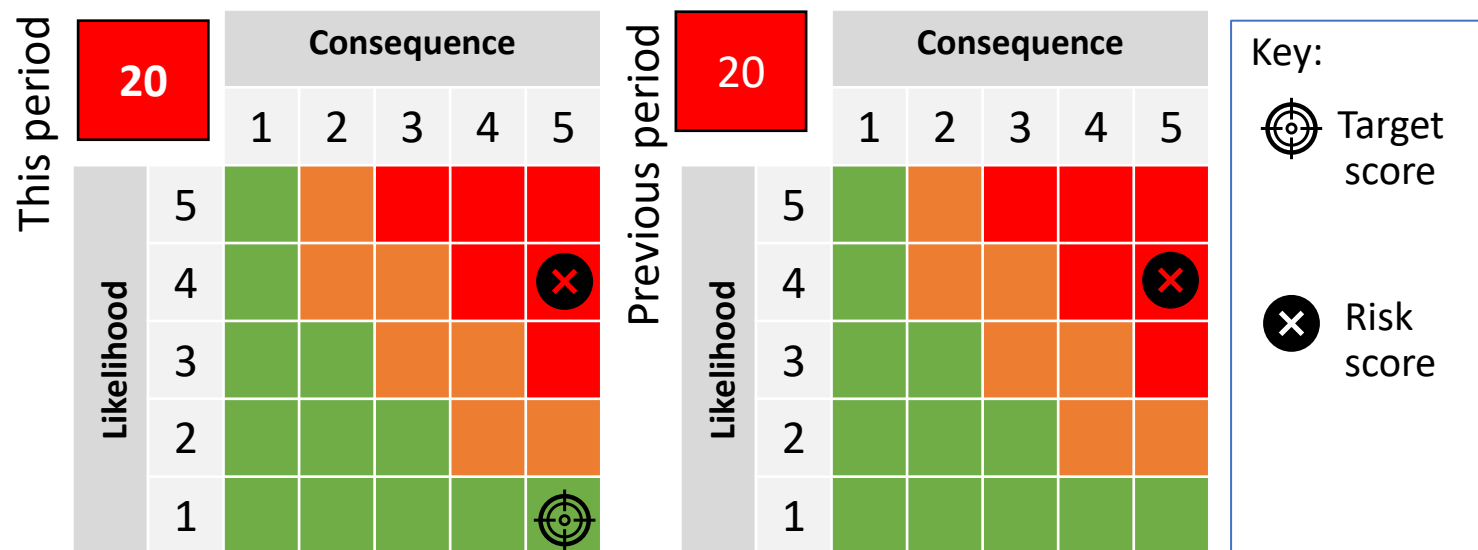
SR 10.8 - Dept for Transport's Covid Bus Recovery Subsidy (BRS) is withdrawn (new risk transferred from Gold register)

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.

Additional GCC financial support has been provided to protect passenger routes in response to the sharp fall in revenue caused by Government advice initially to avoid passenger transport & subsequent customer confidence of using the services during the pandemic.

Risk Owner: Colin Chick, Exec. Director of Economy, Environment and Infrastructure

Cabinet Member: Cllr Phillip Robinson



Current controls:

- 1) Integrated Transport Unit will develop a post-pandemic 'bus service strategy' to outline what actions will be required should the DfT's Covid bus service revenue support grant be withdrawn
- 2) Work with bus operators to explore the formation of 'recovery partnerships' to stabilise the bus network after the DfT's Covid Bus Service Support Grant ends and new networks emerge in response to changes in passenger demand
- 3) Lead Cabinet Members informed on status of existing contracts
- 4) Delay re-procurement of high value bus service contracts until second half of 2021
- 5) Bus Service improvement plan in progress.
- 6) The county council has joined other local authorities in asking central government to not withdraw the grant - awaiting government response.
- 7) Support grant will be in place until October 2022.
- 8) Underspend on concessionary fares is being redirected to provide a package of interim support until April 2023.
- 9) Support grant has been extended until March 2023, but funding beyond this will be directed to areas of the country that need it most.
- 10) Significant risk raised with Cabinet Members and MPs.
- 11) Savings have been reinvested to provide an 8% inflationary uplift to contracted providers.

Period comments:

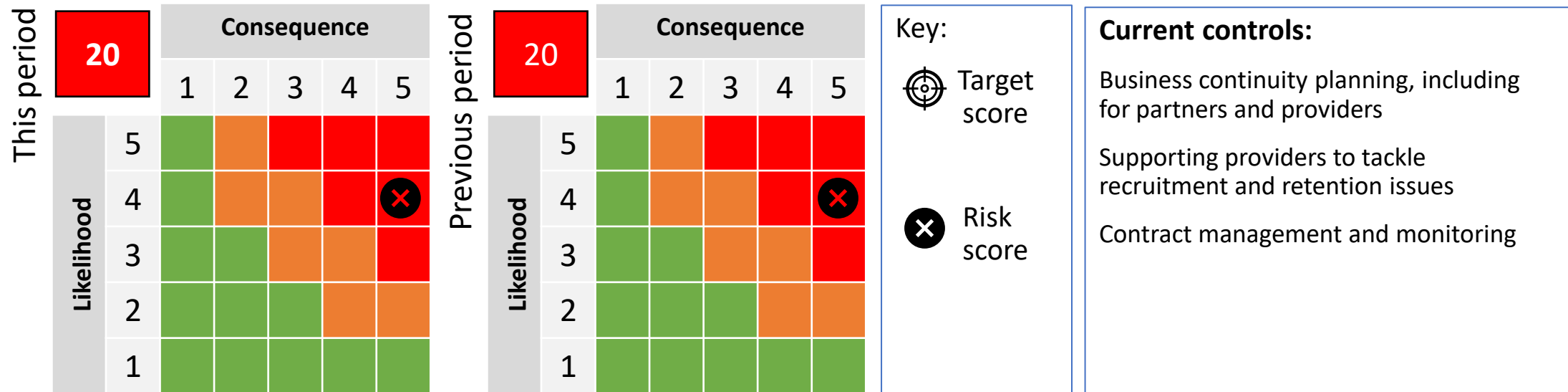
Stagecoach (the largest operator of bus services in Gloucestershire) has confirmed plans to reduce and withdraw several urban and rural bus services in the county in November 2022 and again in February 2023. This is mainly due to bus driver recruitment/retention issues. The council is seeking to procure replacement services however the driver shortage is also hindering other operators' ability to tender for work and there is limited local competition in the market. Several communities are expected to face a reduction in access to essential services. The risk of community isolation and passenger levels not returning to pre-Covid levels (rated High 20) is unlikely to abate in 2023 as bus services are also dependent upon the Government's Bus Recovery Subsidy (BRS), which is likely to be withdrawn at the end of December 2022.

SR 5.3: Adult Social Care provider failure

Provider failures in the Adult Social Care market result in the council being unable to achieve its strategic objectives.

Risk Owner: Sarah Scott, Exec. Director of Adult Social Care

Cabinet Member: Cllr Carole Allaway-Martin



Period comments:

Pressures within the sector continue to increase in relation to staffing issues. Recruitment and retention continue to be a challenge as well as ongoing concerns in relation to infection, prevention and control and the impact this has on staff absence.

Providers are also reporting that cost of living pressures are impacting negatively on their businesses so they are having to be more selective of the types of clients they will accept:

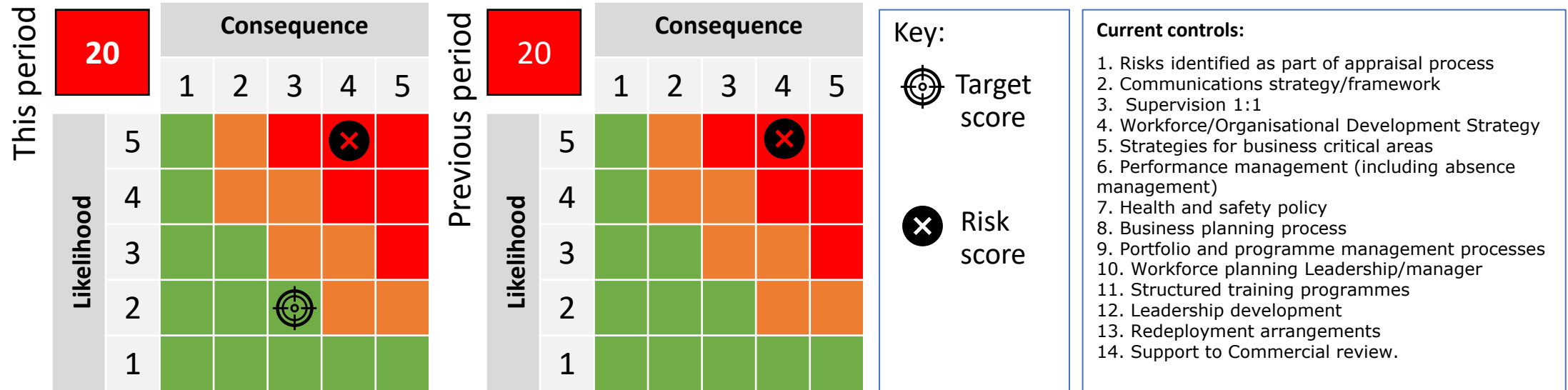
- For home care this has seen providers restricting their footprint in relation to which areas of the county there are willing to work in as they limit the distance between calls. Though this in line with the commissioning aims the unplanned nature of current changes is making it difficult to accurately map gaps in provision and plan available capacity.
- For residential provision this means that there is an increase in requests for additional staff when accepting new residents with Dementia and behaviours that challenge. There has also been a decrease in the number of homes willing and able to take over the weekend as homes move to skeleton staffing over the weekends.

SR 8.1 Difficulties in Recruiting and Retaining Experienced workers

Difficulties in recruiting and retaining experienced workers in hard to fill roles leading to vacancies and/or high numbers of agency staff in some areas. This is particularly prevalent for social workers but is also increasingly a factor for other professional roles.

Risk Owner: Mandy Quayle, Director of People and Digital Services

Cabinet Member: Cllr Lynden Stowe



Period comments:

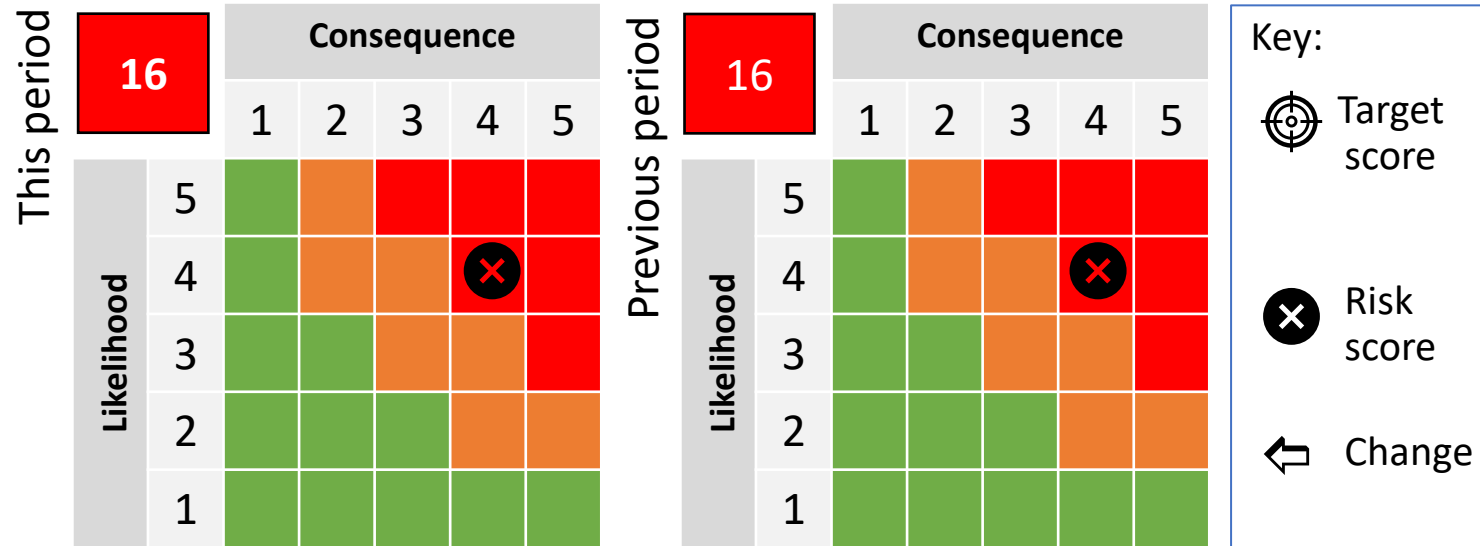
National and regional labour markets remain extremely tight with full employment reported against all or most salary levels. Competition for highly qualified and specialist staff is particularly fierce and the Council continues to make available a range of market related additional reward payments. The removal of the bottom point of the national pay spine should help at the lowest pay levels but recruitment and retention will remain high priority areas for the foreseeable future. The use of consultancy and agency staff remains at a high level in some areas, such as social care and legal services.

SR 7.6: Unable to support all those who can, to live independently at home

Unable to support all those who can, to live independently at home, because demand for home care services outstrips available capacity. Resulting in the reliance on temporary respite/alternative bed based care in lieu of home care

Risk Owner: Sarah Scott, Exec. Director of Adult Social Care

Cabinet Member: Cllr Kathy Williams



Current controls:

Integrated Brokerage: Last September we centralised the brokerage of respite/bed based care (into our enhanced brokerage team) provision for people who are waiting for a care package to enable them to stay in their own home. This has enabled us to respond quicker, with less people being unnecessarily delayed in leaving hospital.

Shift in commissioning approach : One of the impacts of a shortage in the supply of Home Care Services has been the use of out of county providers, which brings disadvantages such as higher costs & care workers travelling greater distances to see clients. We introduced 'guaranteed hours' to support local providers, and are focussed on encouraging more care workers to work in the Gloucestershire Home Care sector. Alongside this we have enabled Hospices (who provide end of life care) to work with Home Care providers, for example offering a 'hospice at home' package and upskilling home care workers in end of life care

Period comments:

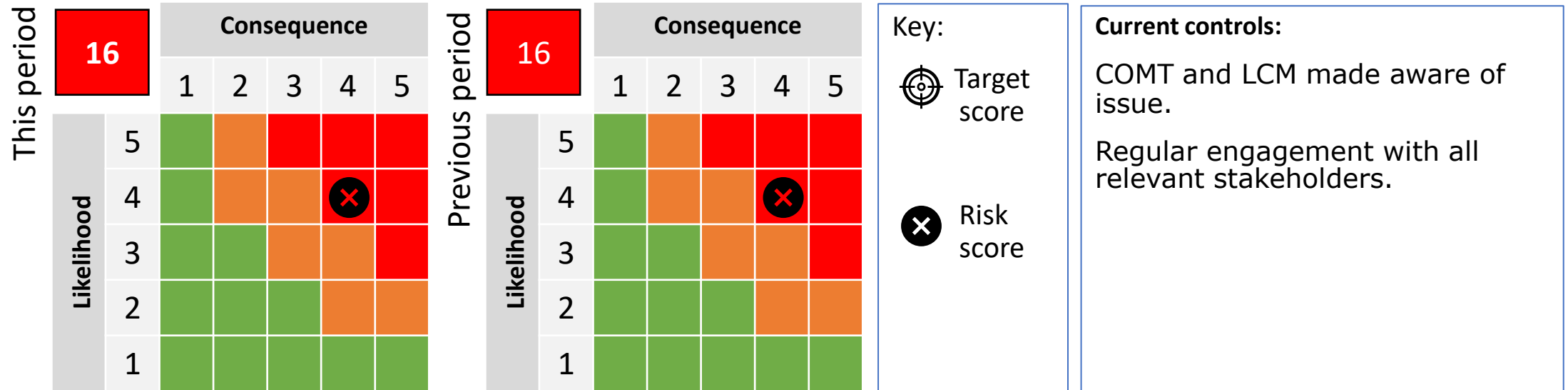
Work is underway to move the Domiciliary Care market to a more sustainable and localised model. The process of developing our local domiciliary market be more efficient and effective at a hyper-local level has begun. This approach is based on a significant amount of detailed analysis of need and demand across the County and is cross-referenced with our current provider market profiling. The aim of this programme of work is to build the sustainability of the model of provision and to increase the access to a flexible workforce across the sector. This in turn will provide the system and the County Council with a viable and robust alternative to an over reliance on a bed-based approach. There are early indications that this hyper-local approach is effective. The level of provision has increased via this methodology and the service provided is able to flex to vulnerable citizens as and when needed. It should be noted that the above is being undertaken whilst maintaining traditional contracting model and purchasing methodologies. The issue of risk to the sustainability of the social care market in general is well rehearsed at a National, Regional and local level. However, this hyper-local approach and the increased use of cost/volume funding methods with the local Domiciliary Care sector form part of a plan of actions to mitigate this matter.

SR 14.1 Implementation of the Community Infrastructure Levy

The implementation of Community Infrastructure Levy (CIL) in Gloucestershire has resulted in a decrease in the County Council’s developer contributions receipts. This has placed significant additional pressures on the relevant County Council’s budgets, such as education, transport and highways.

Risk Owner: Colin Chick, Exec. Director of Economy, Environment and Infrastructure

Cabinet Member: Cllr David Gray



Period comments:

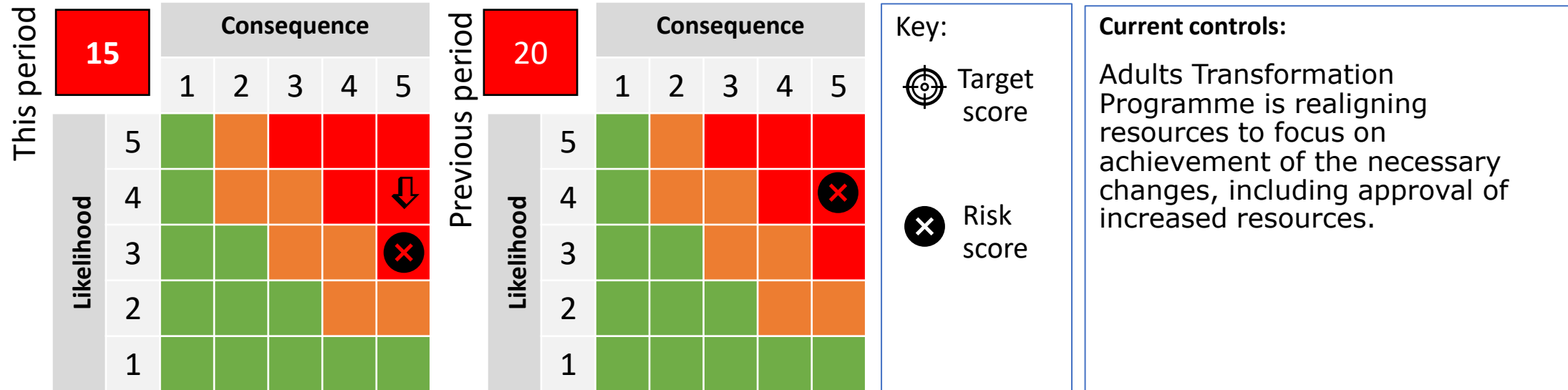
Ongoing liaisons with all of the relevant District Councils.

SR 7.10: Implementation of the 'Care Cap' cost of care exercise

Implementation of the 'Care Cap' cost of care exercise (section 18.3 of the Care Act) leads to significant resource pressures and overspend

Risk Owner: Sarah Scott, Exec. Director of Adult Social Care

Cabinet Member: Cllr Carole Allaway-Martin



Period comments:

This area of work remains a critical risk.

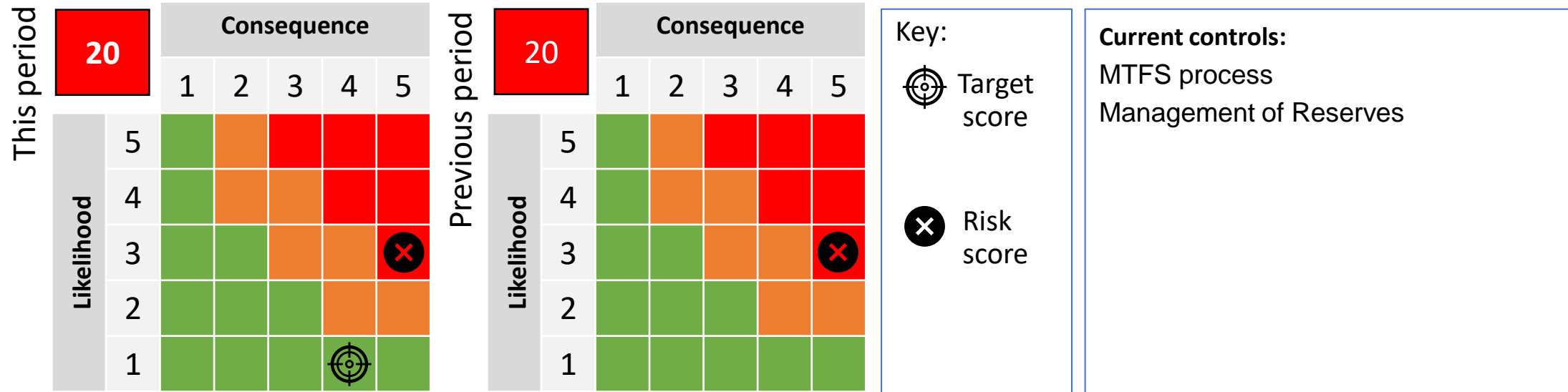
The Cost of Care exercise has been completed with both the domiciliary and residential care markets and suggests a significant funding shortfall as well as sustainability risks to the care market in Gloucestershire.

SR 2.4b Changes to *Future Funding*

Reductions and changes to funding for future financial years, potentially impacting, in particular, Core Services

Risk Owner: Paul Blacker, Director of Finance

Cabinet Member: Cllr Lynden Stowe



Period comments:

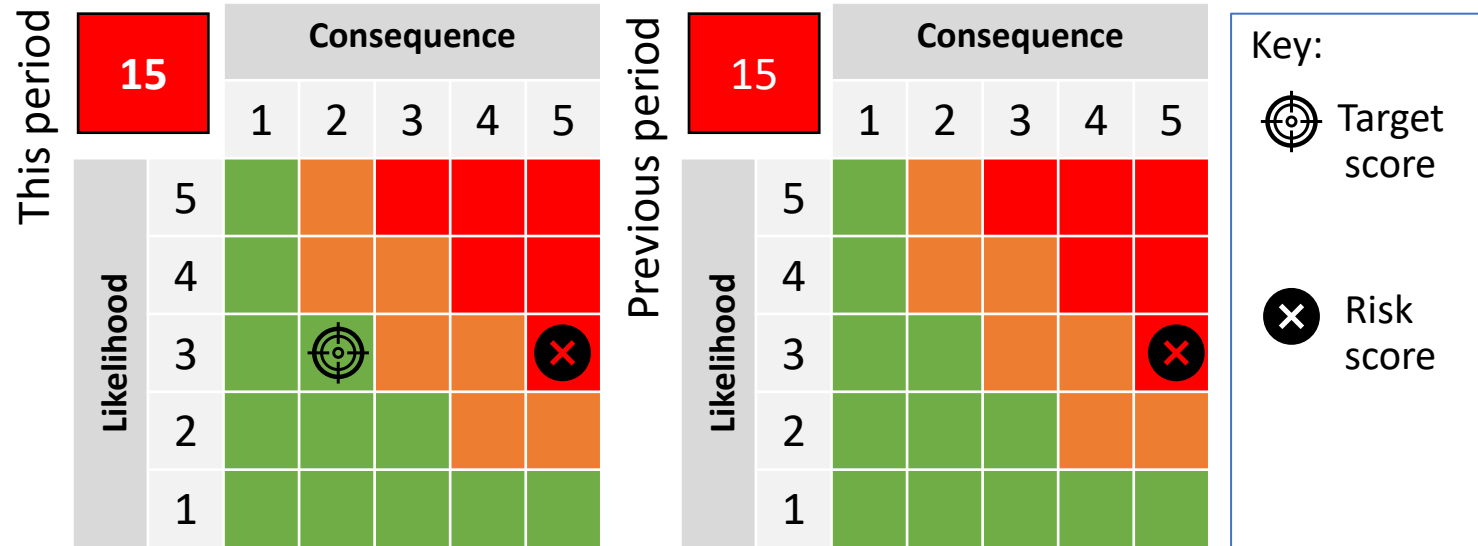
The final finance settlement announced was in line with expectations allowing the Council to set a balanced budget for 2022/23, and the outturn position for 2021/22 was an underspend, so the level of General fund balances has increased by £1.053m to £23.052 million at 31/3/22.

SR 3.1. Failure to ensure that ICT remains fit for purpose

Failure to ensure technology managed by ICT (including communications abilities) remains fit for purpose

Risk Owner: Mandy Quayle, Director of People and Digital Services

Cabinet Member: Cllr Lynden Stowe



Current controls:

Director level ownership of the ICT Managed Service contract with Cantium (Service Review Underway)
 ICT client team staffing structure re-developed - e.g. greater engagement with all Directorates via ICT Business Relationship team, underpinned by an internal Strategy & Architecture function.
 Governance in place to ensure any ICT operational risks and issues are appropriately managed
 ICT Strategy, Service Plan and strategic roadmap in place to address ageing and legacy technological products and solutions
 Comprehensive MTFs/capital expenditure activity to address a legacy of under-investment in technology and digital solutions
 Significant project activities have been undertaken to modernise/stabilise critical infrastructure, focused on a journey to cloud technologies via improved WAN / LAN / telephony / Wi-Fi services.
 The new Digital and ICT operating model is governed through a robust set of meetings including a structured Digital and ICT Senior Management Team meeting that reviews all aspects of the service delivery.

NOTE: not all council systems and/or data is hosted and supported within the technological environment managed by the ICT Service. This should be the focus of a separate corporate risk register.

Period comments:

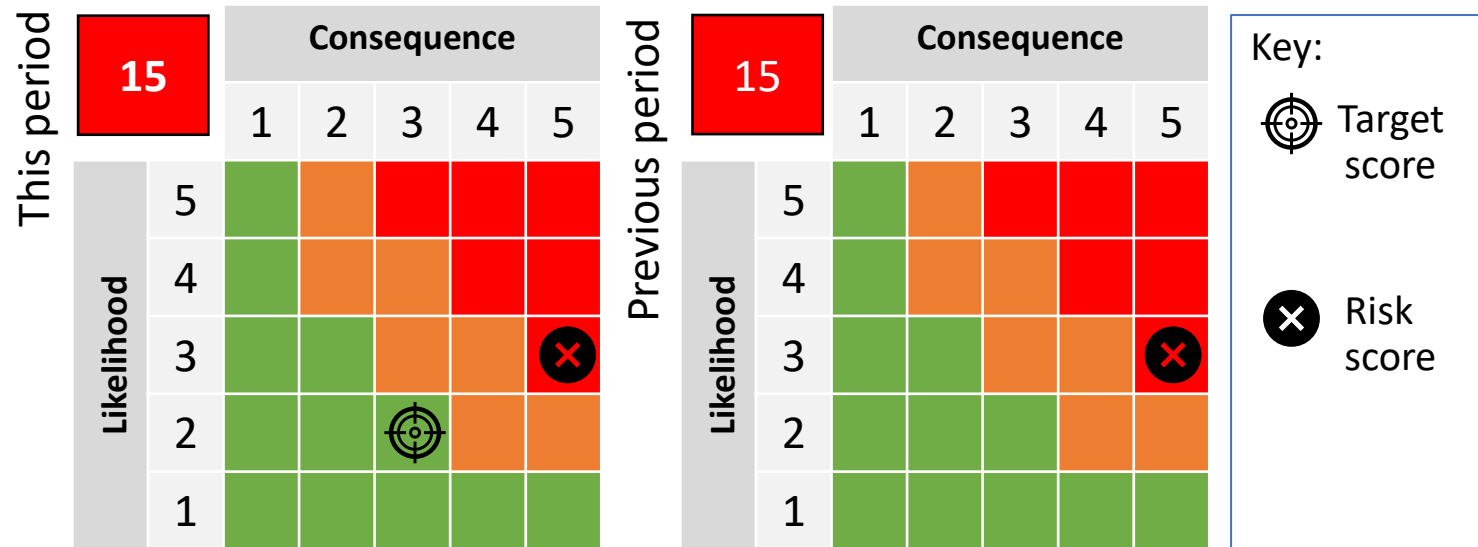
Reviews are being undertaken for each element of the service and an audit plan is in place we expect these measures to reduce the risk level during 2022

SR 3.2 Failure to protect the council's key information and data from Cyber Attack.

Failure to protect the council's key information and data from Cyber Attack.

Risk Owner: Mandy Quayle, Director of People and Digital Services

Cabinet Member: Cllr Lynden Stowe



Current controls:

ICT Managed Service contract with Cantium in place to provide technological controls and measures against cyber attack (and service review underway)

ICT client team staffing structure has been re-developed to give closer working with the Information Management Service.

Governance in place via the Information Board to ensure any technical and non-technical operational risks and issues are appropriately managed

Cyber & Information Management (Procurement) Policy in place

Comprehensive MTFS/capital expenditure activity to address a legacy of under-investment in technology and digital solutions

The annual Independent IT health check has been completed and remediating any issues found in partnership with suppliers.

Significant change activities have been undertaken to modernise/stabilise critical infrastructure, e.g. telephony, Wi-Fi, video-conferencing, etc.

Regular communications are circulated and training provided to ensure that staff are fully aware of their responsibilities to help in the fight against cyber-crime.

The Digital Governance Board is now established to control and manage data and information across the council

Internal audit has a programme of cyber audits for 2021/22 - the first 2 completed

NOTE: Not all council systems and/or data is hosted & supported within the technological environment managed by the ICT Service. This should be the focus of a separate corporate risk register.

Period comments:

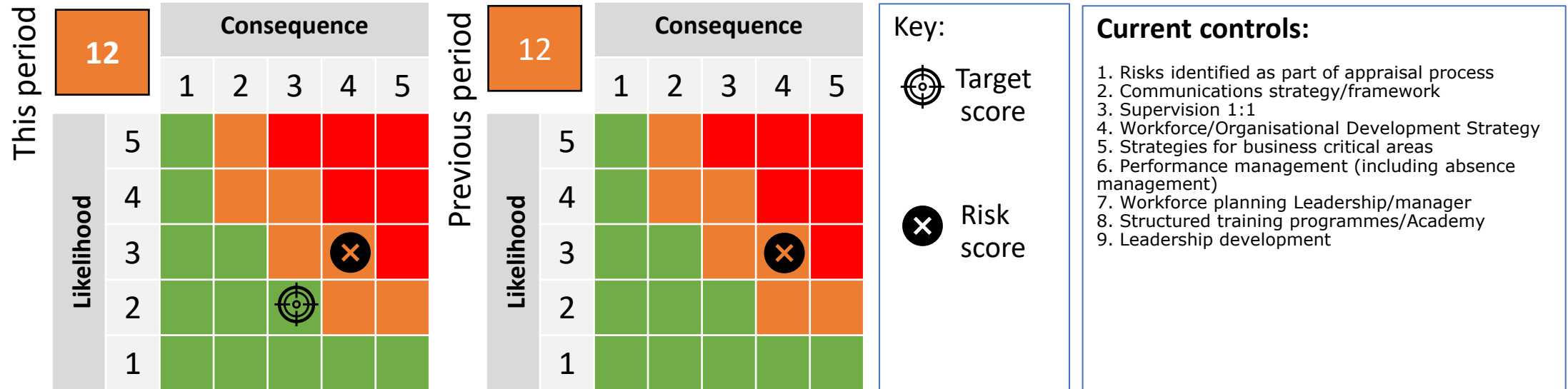
There is an increased prevalence of cyber attacks within both council and major suppliers. As an organisation we continue to be extra vigilant. Although this quarter we are not changing the risk rating we are mindful this situation can change quickly and are therefore keeping this under review.

SR 7.5: Insufficient workforce capacity in Children's Services

Insufficient workforce capacity and/or instability adversely impacting on pace and sustainability of improvement and contributing to discontinuity in social engagement with children and families

Risk Owner: Chris Spencer, Exec.
Director of Children's Services

Cabinet Member: Cllr Stephen Davies



Period comments:

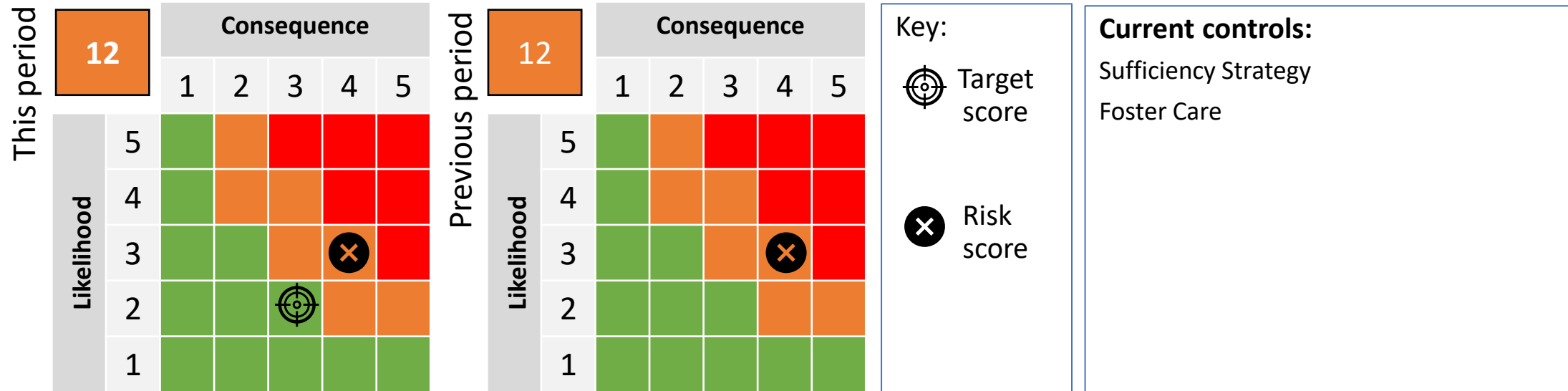
Workforce capacity, stability and capability are integral to our improvement journey. The situation remains challenging however Q2 has evidenced some positives - Agency % has marginally reduced, our vacancy rate has reduced and turnover has stabilised. We anticipate the situation to further improve over Q3 however the changes are not yet of a magnitude or consistency to enable us to revise our risk profile.

SR 7.7: Failure to develop sufficient placement capacity

Failure to develop sufficient placement capacity to meet the needs of children looked after

Risk Owner: Chris Spencer, Exec. Director of Children's Services

Cabinet Member: Cllr Stephen Davies



Period comments:

The provider market in a very fragile and risk averse posture creating particular challenges when seeking to place the most vulnerable and complex children and young people. The sector is likely to be further affected by the 'cost of living' crisis impacting on energy, food and staffing costs with the potential to undermine the viability of some providers. The sustained growth in our Children in Care population is a further compounding factor for GCC.

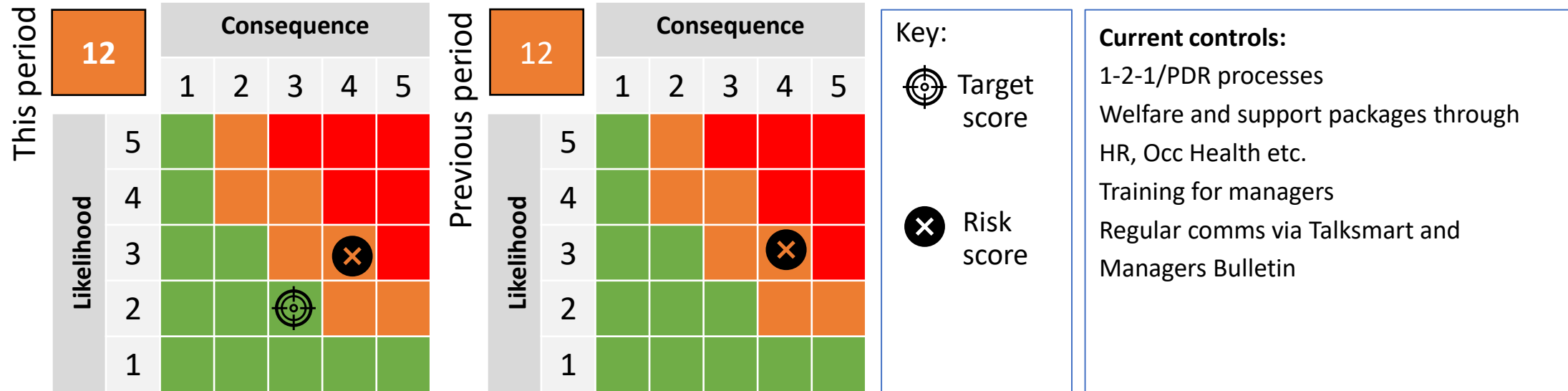
The revised Sufficiency Strategy will set out our longer-term vision and initiatives to enhance capacity, such as Southfield, are now progressing, alongside enhancing our Edge of Care offer through transformation. These actions will take some time to impact on our current position, as such the Q2 risk profile is unchanged.

SR 8.2 - Staff fatigue and burnout

Failure to ensure identification and understanding of staff fatigue and 'burnout' issues, resulting in impact on staff morale and well-being, service delivery, and staff retention.

Risk Owner: Mandy Quayle, Director of People and Digital Services

Cabinet Member: Cllr Lynden Stowe



Current controls:

- 1-2-1/PDR processes
- Welfare and support packages through HR, Occ Health etc.
- Training for managers
- Regular comms via Talksmart and Managers Bulletin

Period comments:

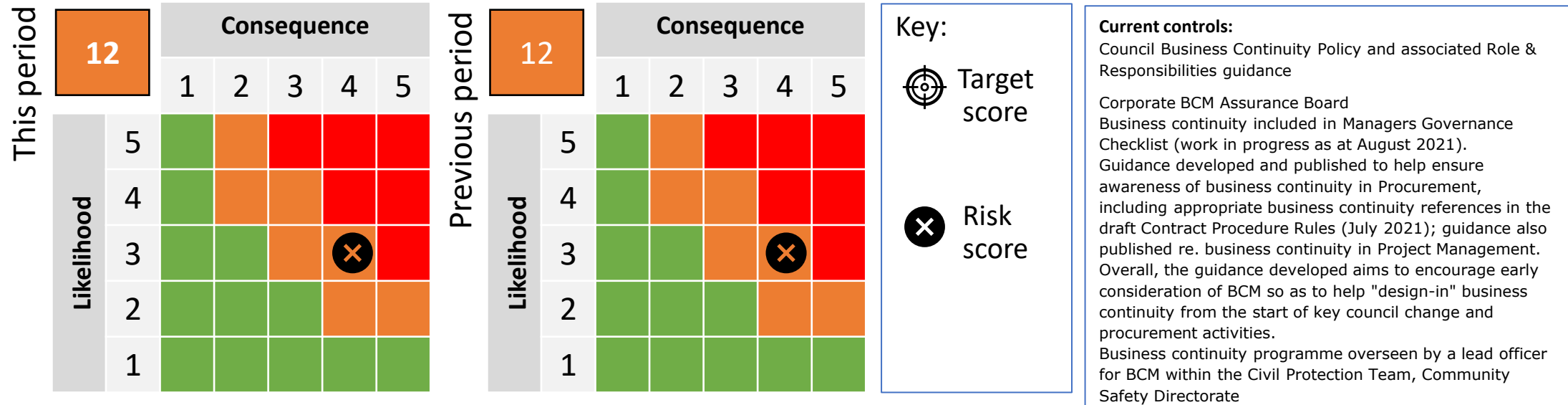
The workload for many services had increased during the pandemic and continues to increase. The current financial pressures mean that there is little opportunity to increase staffing so we must deliver our priority services with the resources and people available. The recent staff survey results confirm that engagement remains positive and the majority of staff are committed to the council and enjoy working here. However there are indicators on increasing pressure and workloads, particularly in senior staff. The staff health and wellbeing plan has been refreshed and there is a programme of promoting support such as the employee assistance programme, ways to manage your own wellbeing, counselling as well as reflective supervision for those most under pressure.

SR 10.4: Insufficient Business Continuity Management

Due to insufficient business continuity management arrangements failure of the Council or a key partner to effectively deliver their statutory services, resulting in community disruption and failure of corporate objectives.

Risk Owner: Mark Preece, Chief Fire Officer

Cabinet Member: Cllr Dave Norman



Current controls:
 Council Business Continuity Policy and associated Role & Responsibilities guidance
 Corporate BCM Assurance Board
 Business continuity included in Managers Governance Checklist (work in progress as at August 2021).
 Guidance developed and published to help ensure awareness of business continuity in Procurement, including appropriate business continuity references in the draft Contract Procedure Rules (July 2021); guidance also published re. business continuity in Project Management.
 Overall, the guidance developed aims to encourage early consideration of BCM so as to help "design-in" business continuity from the start of key council change and procurement activities.
 Business continuity programme overseen by a lead officer for BCM within the Civil Protection Team, Community Safety Directorate

Period comments:

Work continues to take place to ensure that all service areas have an up-to-date business continuity plan in place. In line with best practice, business impact analyses (BIAs) need to be conducted before business continuity plans (BCPs) are developed/updated. BIA sessions therefore continue to be rolled out to plan owners. While outstanding BIAs are now overdue, reasonable progress has been made this quarter. Just under three-quarters of BIAs and over half of BCPs (due December 2022) have been completed (71% and 55% up from 65% and 46% respectively). The corporate BCM Assurance Board continues to maintain oversight of progress. Work to update the Critical Incident Plan which is the final strand of planned activity, has commenced but will require BIAs to be materially completed.

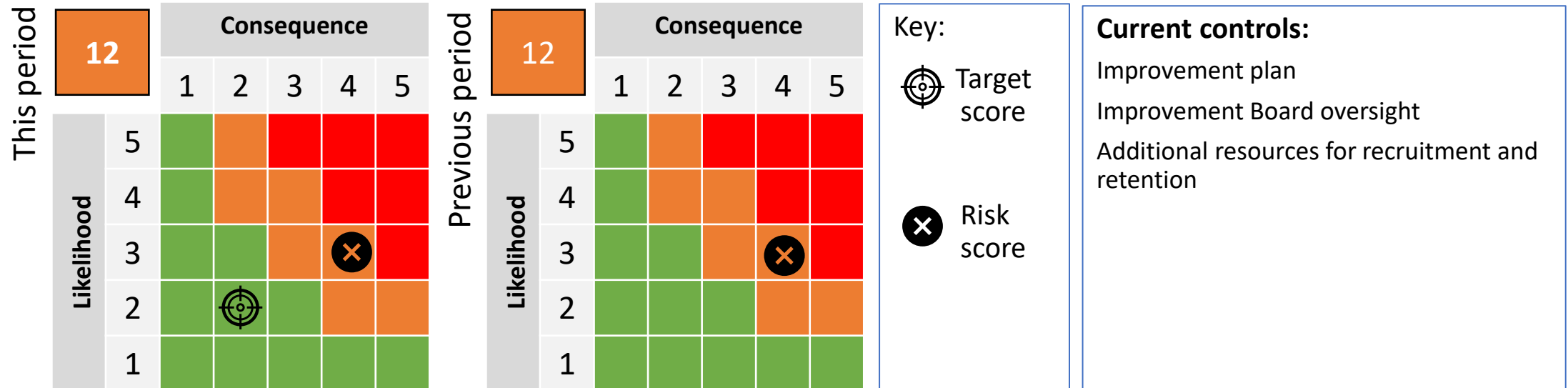
Consideration was given to increasing the risk likelihood rating this quarter to reflect rising concerns around energy security and the potential for rota disconnections/electricity supply blackouts in the UK this winter. Consensus from a group of business continuity practitioners across the County who discussed this risk early in October 2022 was that, although concerns are clearly escalating in the media, and also from National Grid and the energy regulator Ofgem, it is still difficult to establish the likelihood of disruption actually occurring. We are also seeking to understand some practical aspects relating to the GCC estate e.g. the extent to which it is covered by back-up generators in order to inform an assessment of the Council's likely resilience to this issue.

SR 10.6: Capacity and capability to deliver Fire Service improvement

Insufficient workforce capacity and capability adversely impacting the pace and sustainability of improvement that will potentially contribute to an increased risk to firefighter safety, failure to meet our statutory obligations and/ or capability to deliver emergency services to the community.

Risk Owner: Mark Preece, Chief Fire Officer

Cabinet Member: Cllr Dave Norman



Period comments:

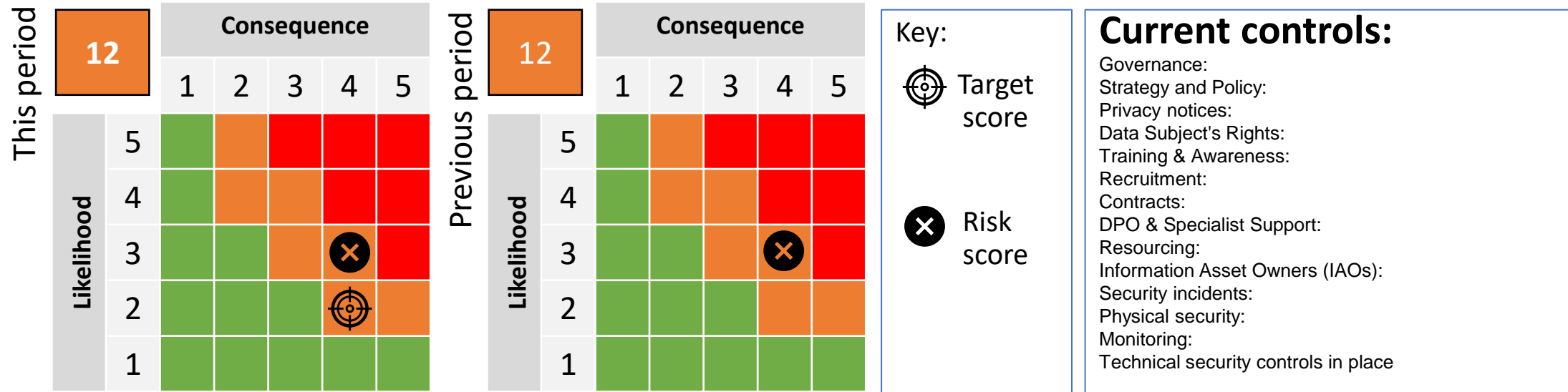
Recruitment and selection process have happened to fill substantive posts, grey book posts have largely been filled however we continue to struggle to fill green book posts with the skills required. Additional funding will provide the finance needed for additional resource and training but only if we can fill posts. It is still recognised that there are continued work pressures on staff and we continue to work to improve this in order to reduce the risk of burnout.

SR 11.1 Failure to protect the confidentiality, integrity and availability of information.

Failure to comply with data protection and to protect the confidentiality, integrity and availability of information.

Risk Owner: Rob Ayliffe, Director of Policy, Performance & Governance

Cabinet Member: Cllr Lynden Stowe



Period comments:

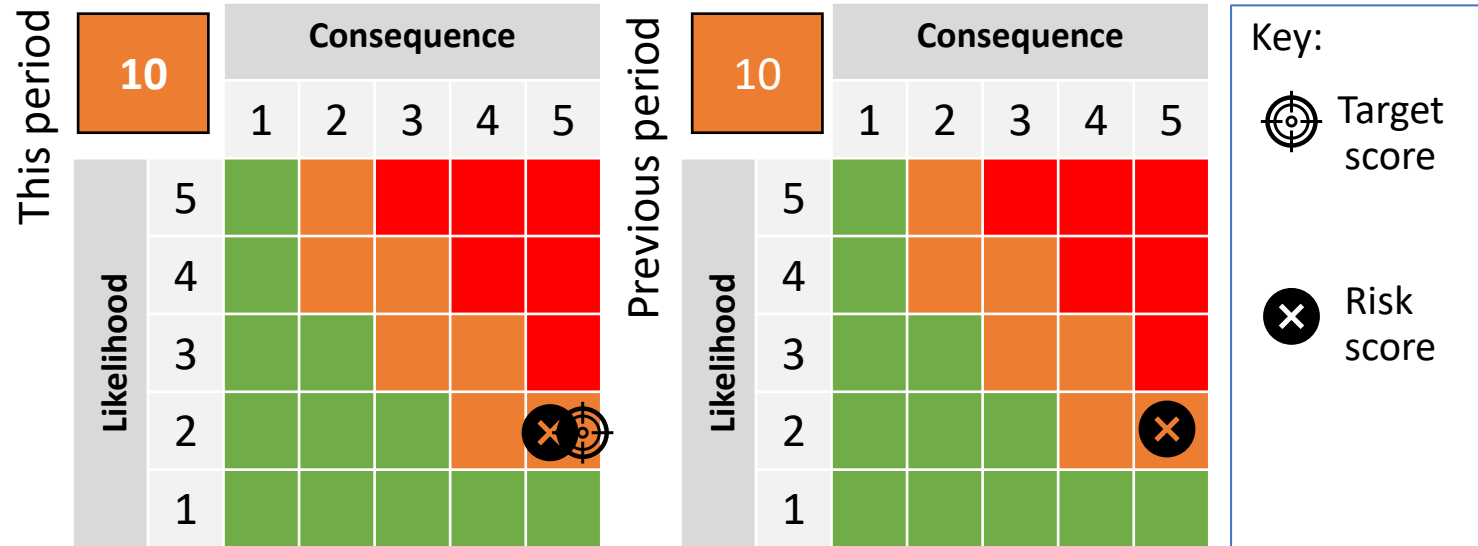
All data breaches continue to be monitoring, assessed and reported to the ICO as required. No significant issues have arisen this quarter. The Council has now achieved N3 accreditation, providing additional assurance that we are taking steps to protect our data against cyber threats. Information governance arrangements are being put in place to support the roll out of M365 in a managed way, and training is being provided to relevant staff to support this.

SR 7.1: Failure to protect vulnerable adults in Gloucestershire

Failure to protect vulnerable adults in Gloucestershire from abuse neglect in situations that potentially could have been predicted and prevented.

Risk Owner: Sarah Scott, Exec. Director of Adult Social Care

Cabinet Member: Cllr Kathy Williams



Current controls:

Board and governance controls:

- GSAB in place since 2009 with an Independent Chair and membership of 29 including statutory partners, District Councils and voluntary sector organisations
- GSAB reports to Health & Wellbeing Board and the Adult Social Care and Communities Scrutiny Committee
- GSAB risk register and strategic plan in place and updated quarterly

Policy and partnership controls:

- Countywide Multi Agency Adult Safeguarding Policy and Procedures in place and implemented across all partner agencies
- GSAB sub groups chaired by representatives from partner agencies. Learning from audit and SAR subgroups disseminated
- Constitution, Memorandum of Understanding & Register of GSAB Member Interests in place
- GSAB partners undertake an annual self-assessment which is peer-reviewed

Quality Assurance, Performance and Inspection controls:

- Statutory Safeguarding Adults and deprivation of Liberty Safeguards returns completed and returned annually to NHS Digital
- CQC, Commissioning and Safeguarding Adults GSAB group is well-established and updates quarterly.
- The multi agency Audit sub group of GSAB meets quarterly to audit Section 42 enquiry work.
- Escalation policy in place to challenge decisions

Communications controls:

- GSAB website in place and regularly updated
- Learning from Safeguarding Adult reviews disseminated to all multi agency partners
- Multi agency safeguarding adults training embedded and available to all multi agency partners.
- Ongoing development of relevant information materials for the public

Period comments:

The safeguarding adults team continues to manage the numbers of referrals by periodically carrying out focused work to reduce the numbers of cases awaiting a decision; this is maintaining the numbers of cases on the referral centre at an acceptable level. Recruitment is underway to staff the safeguarding single point of access team, which is due to be launched early next year. This will provide a screening function, which will help to drive up the quality of the safeguarding referrals received by other agencies and ensure that people who are experiencing abuse and neglect receive an appropriate and timely response.

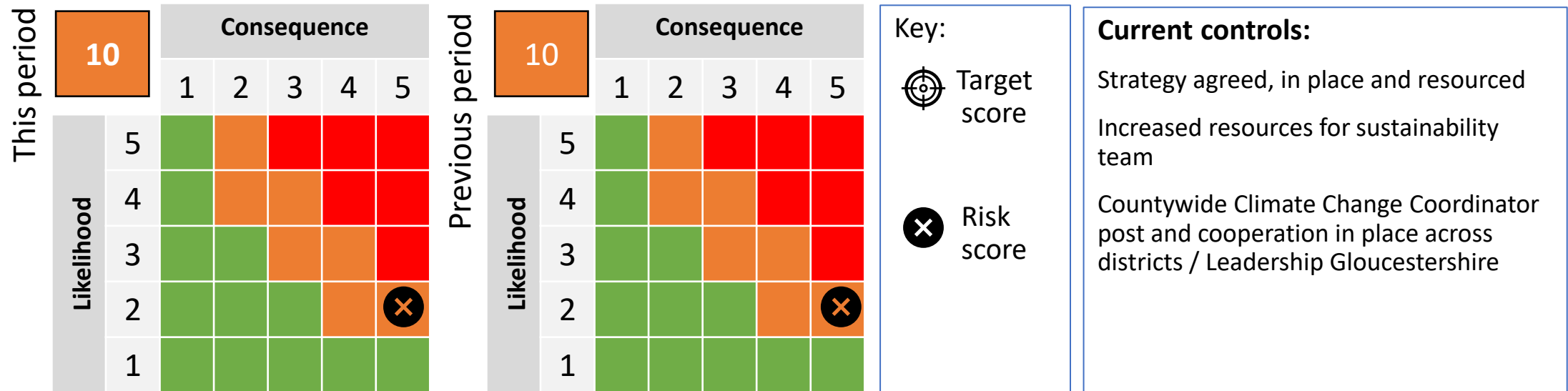
The Safeguarding Adults Board is making improvements to its public web pages, enhancing the information available to members of the public and adults with care and support needs about what to do if there is concern that someone is experiencing abuse and neglect.

SR 12.1: Failure of GCC/Gloucestershire to mitigate and adapt to a more volatile climate

Failure to deliver the county council’s climate change strategy, impacting our ability to deliver our organisation, partnership, and community activities, and to secure Government funding, and therefore limiting our ability to mitigate the impacts of a changing climate on Gloucestershire’s natural environment, communities, business and visitors.

Risk Owner: Colin Chick, Exec. Director of Economy, Environment and Infrastructure

Cabinet Member: Cllr David Gray



Period Comments:

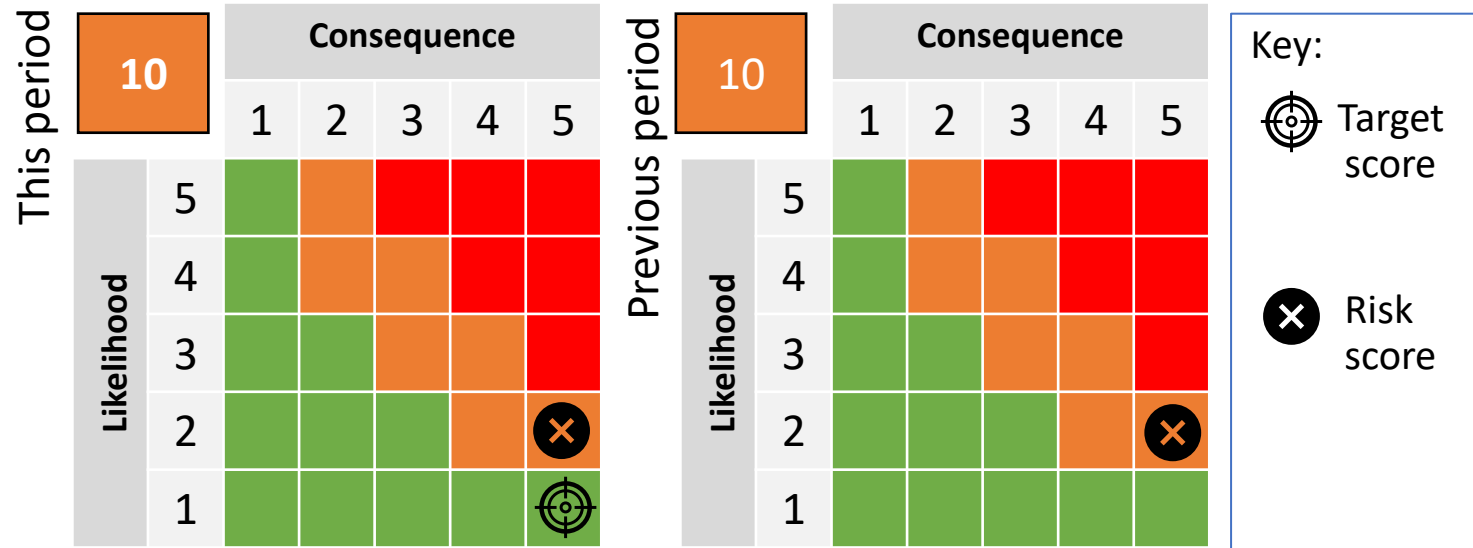
Implementation of the Climate Change Strategy Action Plan remains on target, including annual report and refreshed plan to Dec Cabinet, via Environment Scrutiny Committee. Ongoing engagement campaigns inc recruiting GCC staff climate champions. Annual report submitted to Carbon Disclosure Project for evaluation. Q1 GCC emissions show a decrease on the same period 2021/22. Too early to be significant, but decrease in gas use for space heating and fleet fuel use, which has more than offset the increase in office electricity use, post covid. Tree planting on target to plant 60,000 trees this season. Funding bids submitted to the Forestry Commission for planting and maintenance which, if successful, would increase this to 80,000 trees this season, and to ADEPT to increase project team capacity. Secured approval of 'Trees for Streets' partnership project for urban planting, to launch later this year. GCC buildings heat decarbonisation programme delayed due to high demand nationally and 4-fold rise in capital costs. Working with AMPS to find a way forward. Funding bid for improving Traveller sites linked to this, which is a priority to address. Biodiversity Officer post approved to start mid-November. Successful Transport 'Journey to Net Zero' conference held with key stakeholders on developing the transport decarbonisation pathway. Climate Leadership Gloucestershire - ongoing coordination support, and developing a countywide approach to adaptation and the retrofit of domestic housing.

SR 10.7 - COVID19 - Inability to protect and support GCC employees and partner/contractor key workers (new risk transferred from Gold)

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.

Risk Owner: Mandy Quayle, Director of People and Digital Services

Cabinet Member: Cllr Lynden Stowe



Current controls:

- 1) Working from home messaging in place.
 - 2) All front line staff have the correct PPE when required.
 - 3) Wellbeing and infection prevention and control messaging incorporated into comms plan.
 - 4) EAP and Occupational Health available to provide support.
 - 5) Process established for key worker testing.
 - 6) work nearing completion in making all buildings C19 secure
 - 7) Ongoing mental health and wellbeing support package for staff developed
 - 8) Team level risk assessments and identification of potentially vulnerable staff for further individual risk assessment
 - 9) Liaison with BAME staff groups
 - 10) Regular communications with managers on importance of risk assessments
 - 11) GCC CLT to consider longer-term staff wellbeing, including workload / pressure and personal safety on 28th August - roll out of resilience training and 1:1 support now commenced
- List continues – see inphase for complete details

Period comments:

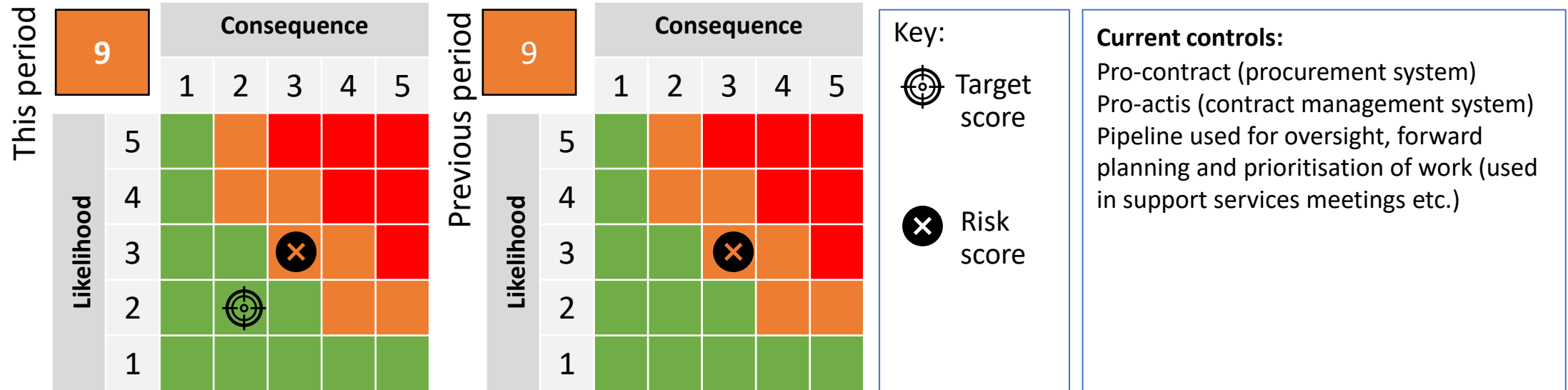
Messages reiterated as part of winter communication campaign.

SR 1.2 Capacity for Procurement activity

Resources are insufficient to deliver the volume of procurement and re-procurement activity, leading to failure to secure the intended outcomes and/or best value through contracts

Risk Owner: Rob Ayliffe, Director of Policy, Performance & Governance

Cabinet Member: Cllr Lynden Stowe



Current controls:

Pro-contract (procurement system)
 Pro-actis (contract management system)
 Pipeline used for oversight, forward planning and prioritisation of work (used in support services meetings etc.)

Period comments:

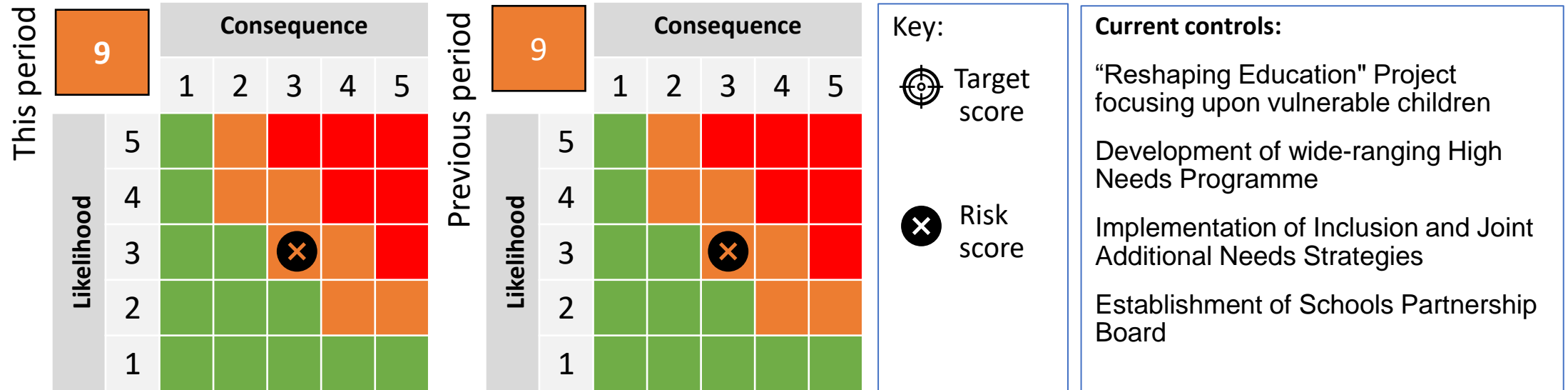
A new Interim Head of Procurement has been appointed. Work is underway to improve forward planning and prioritisation of procurement activity in order to ensure the team's resources and those of commissioning staff are used effectively

SR 7.4: Failure to Close the gap in Educational Outcomes

The ability to meet statutory timelines for EHCP assessments, plan issue and annual amendments and the associated budgetary commitments, affecting the educational outcomes of vulnerable children, is at risk: financially, legally and reputationally through ever-increasing EHCP requests, workforce capacity to process these requests and the implications for the outcomes of future local area SEND inspections.

Risk Owner: Kirsten Harrison, Director of Education

Cabinet Member: Cllr Philip Robinson



Current controls:

- “Reshaping Education” Project focusing upon vulnerable children
- Development of wide-ranging High Needs Programme
- Implementation of Inclusion and Joint Additional Needs Strategies
- Establishment of Schools Partnership Board

Period comments:

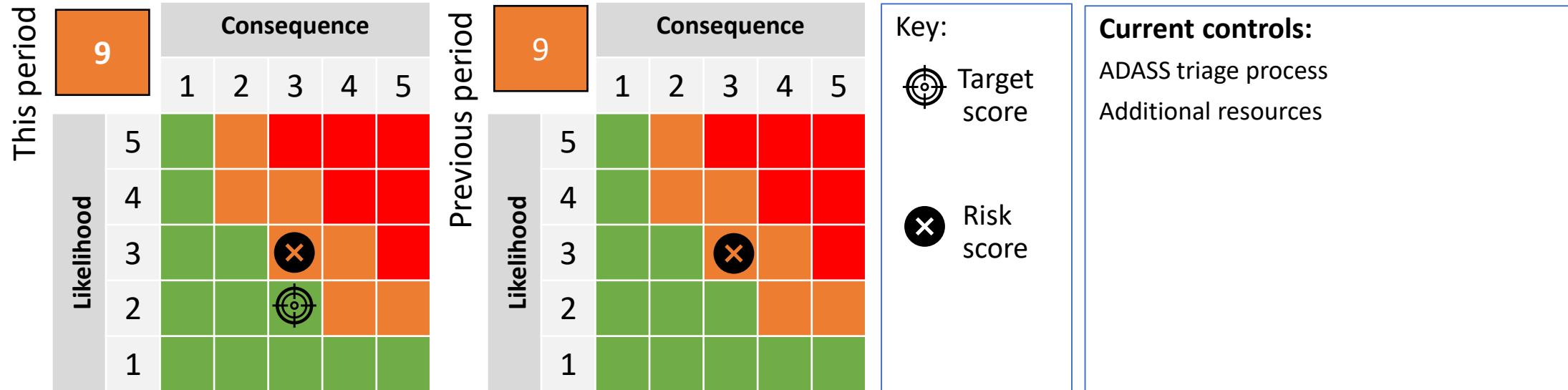
The SEND Service remains challenged by continued high volumes of requests to assess from schools and parents. A number of initiatives are at pilot or early implementation phase aimed at reducing demand through early intervention work, building an inclusion culture within schools and reducing demand. The timeline for impact will be determined by available investment to re-shape key services and practices to increase the rate of change in current parental and school behaviours.

SR 7.8: Risk of legal action being taken due to failures in completing Deprivation of Liberty assessments.

Risk of legal action being taken against the Local Authority due to failure to complete a Deprivation of Liberty assessment within the stated time lines. Since a significant and sudden change in the law due to a Supreme Court Judgement in March 2014 there is an excessively high demand for best interest assessments to be carried out for Deprivation of Liberty (DoLS) authorisations.

Risk Owner: Sarah Scott, Exec. Director of Adult Social Care

Cabinet Member: Cllr Kathy Williams



Period comments:

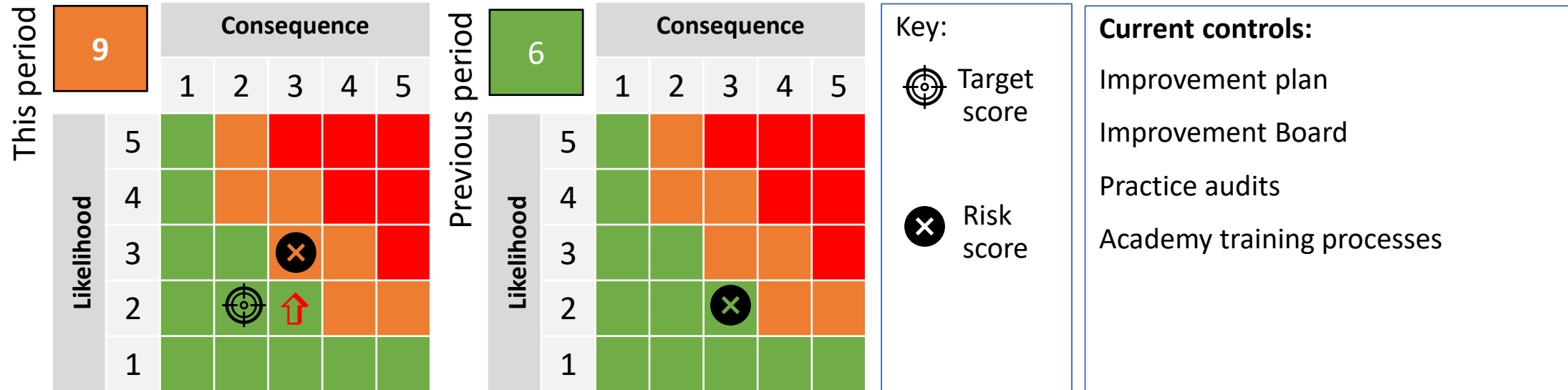
The DoLS team continues to triage applications in line with the ADASS guidance to ensure the most urgent cases are assessed and those people have the appropriate authorisations in place. The project group for the DoLS replacement (Liberty Protection Safeguards) is meeting again and plans are being made for the changes to the legislation which will mean that the authorisation process will move from the central DoLS team to frontline ASC teams. Implementation of this change is not anticipated until 2024

SR 7.2 Ineffective Social Care Practice

Ineffective social care practice, management oversight and review processes resulting in drift and delay for children and young people in situations of harm.

Risk Owner: Chris Spencer, Exec.
Director of Children's Services

Cabinet Member: Cllr Stephen Davies



Period comments:

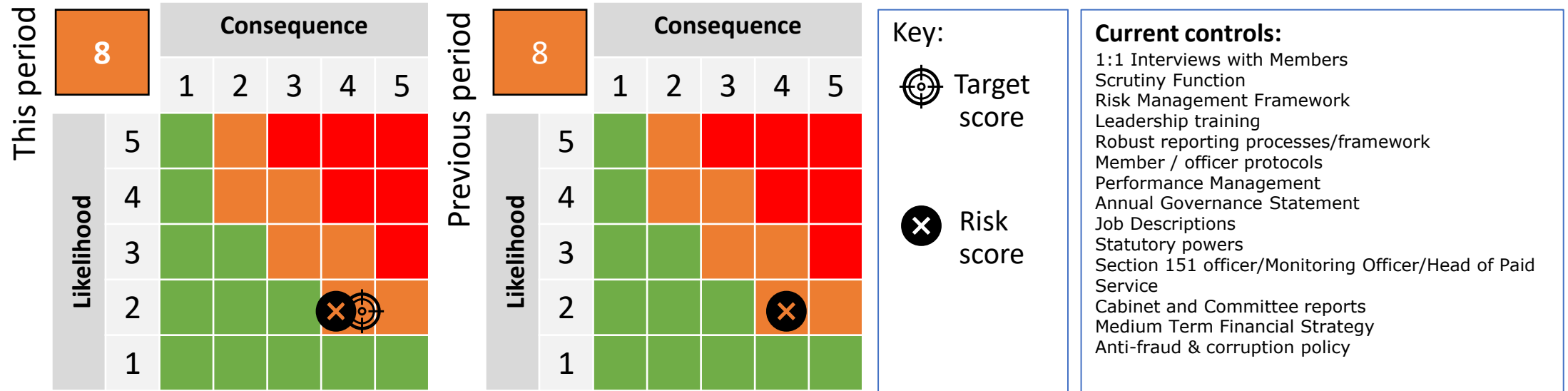
We have now completed the transition from our AIP to the CIP. The revised Childrens Improvement Board is now in place and has met on two occasions. Operating conditions through Q2 continue to be challenging as evidenced by our QA and performance data which evidences a picture of variability. We have areas of improvement, consolidation and decline. SLT continue to monitor and intervene as necessary. The revised risk score reflects a more accurate assessment of the situation rather than decline per se.

SR 1.1 – Failure in Corporate Governance

Failure in corporate governance which leads to service, financial, legal or reputational damage or failure.

Risk Owner: Rob Ayliffe, Director of Policy, Performance & Governance

Cabinet Member: Cllr Lynden Stowe



Period comments:

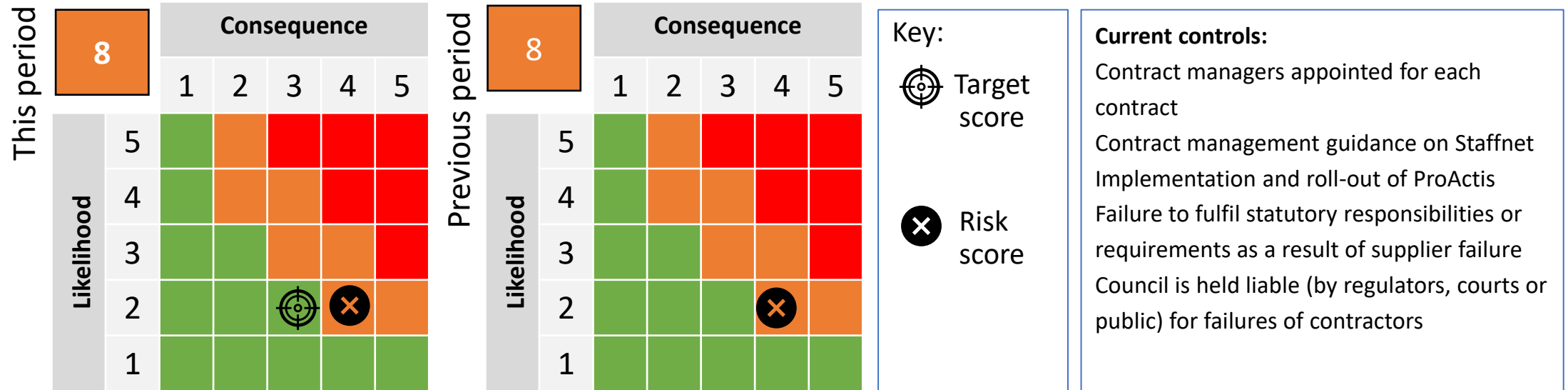
Sign-off of the Annual Governance Statement continues to be delayed pending completion of the external audit of the Council's accounts by Grant Thornton. Statutory officers continue to monitor fraud, ombudsman complaints and legal challenges. No new significant new issues arose during Q2.

SR 1.4 Contract management capacity

Inadequate contract management or quality assurance arrangements result in GCC being unable to identify, control or manage risks (including health and safety risks) associated with a provider's actions or failure to act.

Risk Owner: Rob Ayliffe, Director of Policy, Performance & Governance

Cabinet Member: Cllr Lynden Stowe



Period comments:

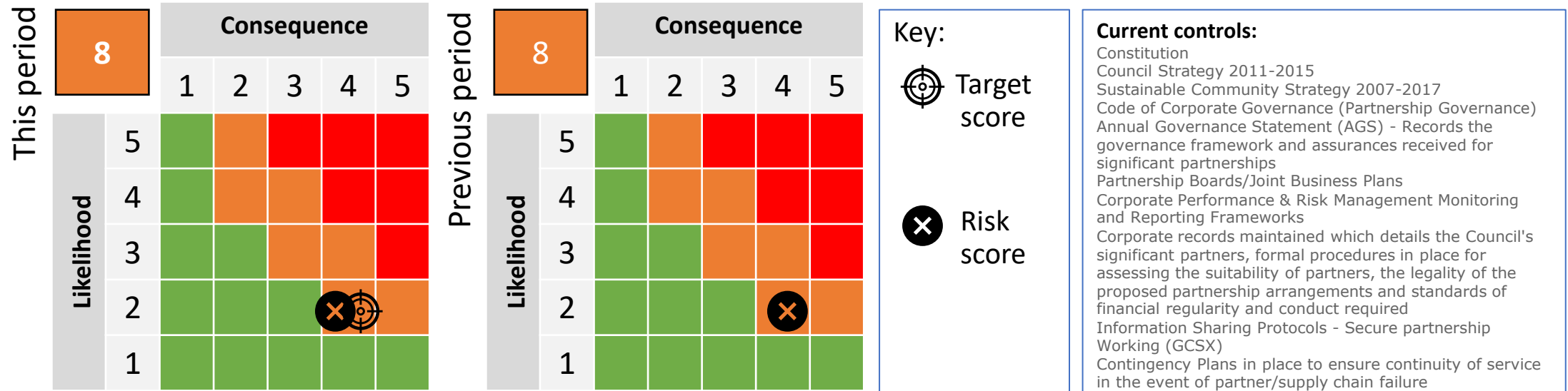
All significant council contracts are assigned to a contract manager. As part of the wider Procurement Transformation Programme, work will be undertaken to review these arrangements to ensure they are fit for purpose.

SR 6.1 – Relationships with key partners

Failure to maintain effective relationships with key partners and organisations and shared funding arrangements, impacting on our ability to meet statutory and local requirements.

Risk Owner: Pete Bungard, Chief Executive

Cabinet Member: Cllr Lynden Stowe



Period comments:

We are still seeing highly effective and very positive working relationships with partners and organisations to meet statutory and local requirements now we have moved into "living with Covid". The LRF, other emergency management functions and business continuity arrangements remain as good foundations across the partner scene.

Leadership Gloucestershire meetings, Leader's Stocktake meetings and regular MP briefings with Health, continue at appropriate frequency.

Statutory meetings are face-to-face for both Members and Officers and hybrid meeting arrangements are working well for those meetings which have no statutory decision-making responsibility. We hope to continue with hybrid working arrangements in the future in keeping with the needs of the business.

We are working closely with partners and organisations to deliver the Homes for Ukraine scheme.

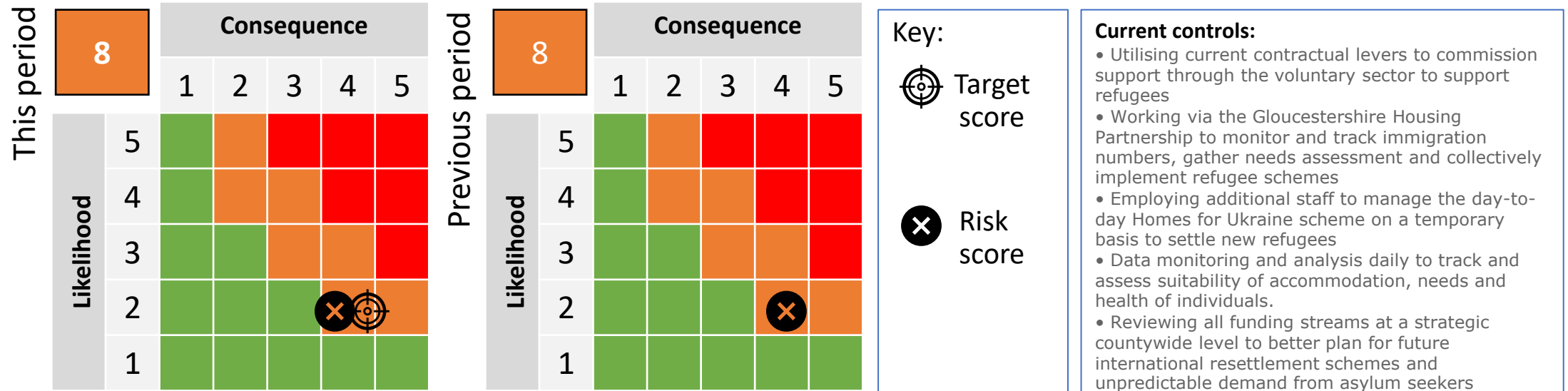
The next few months will see extensive external consultancy work looking at our NHS relationship, focussed on emergency and urgent care.

SR 7.9 – Insufficient planning and oversight of international resettlement and asylum immigration

Insufficient planning and oversight of international resettlement and asylum immigration including current Ukraine, Afghan, Syrian and Hong Kong programmes, alongside other asylum seeker routes including hotel accommodation, could lead to unpredictable and unsupportable demand on county council services.

Risk Owner: Siobhan Farmer, Director of Public Health

Cabinet Member: Cllr Nick Housden



Period comments:

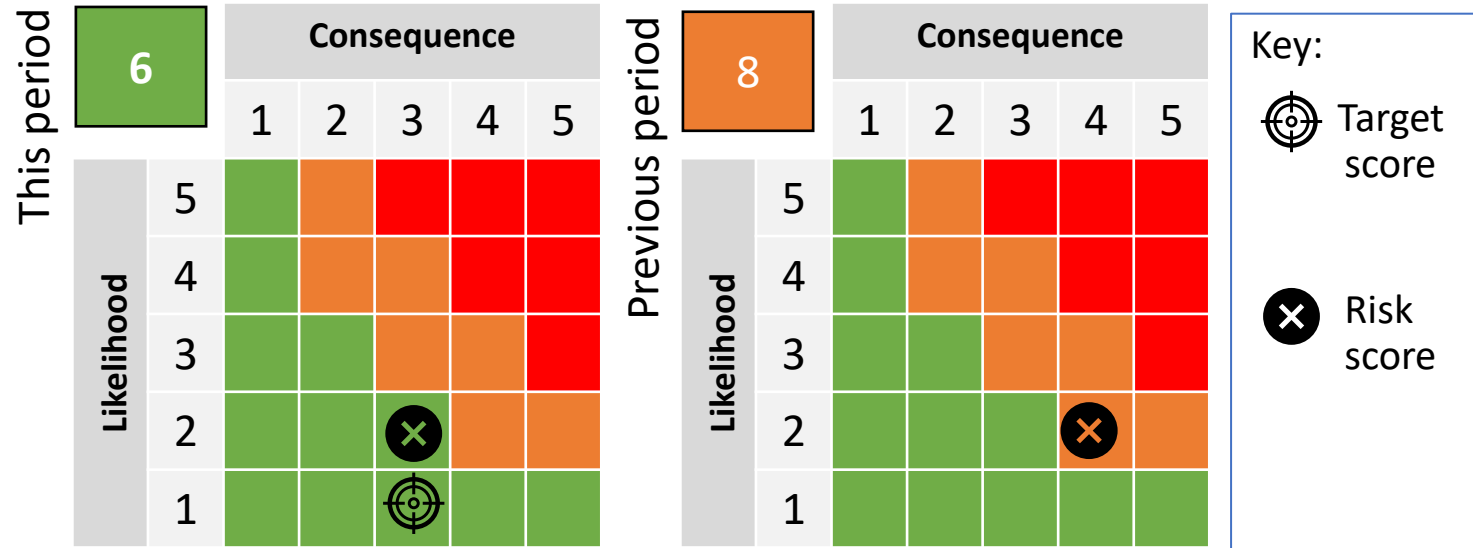
Staff in place, district and county working relationships and partnership are good, success so far in schemes has been good, work is underway to better plan for overall international migration issues and partnership working across the system with proposal for new model of managing this across county due in Autumn for consideration by leaders, sufficient awareness by government departments of the issues we have slowing each of the programmes down, considerable work to obtain reserve accommodation for current Ukraine scheme underway, significant department funding for Ukraine scheme and reserves for other schemes available, plan to supplement community support through additional local resource. Forward planning underway re move on accommodation, although likely the biggest residual risk.

SR 1.5 - Compliance with Public Sector Equalities Duty

Failure to be able to demonstrate due regard to the Equalities Act 2010, within council decision making.

Risk Owner: Rob Ayliffe, Director of Policy, Performance & Governance

Cabinet Member: Cllr Lynden Stowe



Current controls:

Equality Impact Assessment process
 ED&I officers recruited into HR team.
 Service User Diversity Report prepared and disseminated for learning each year.

Period comments:

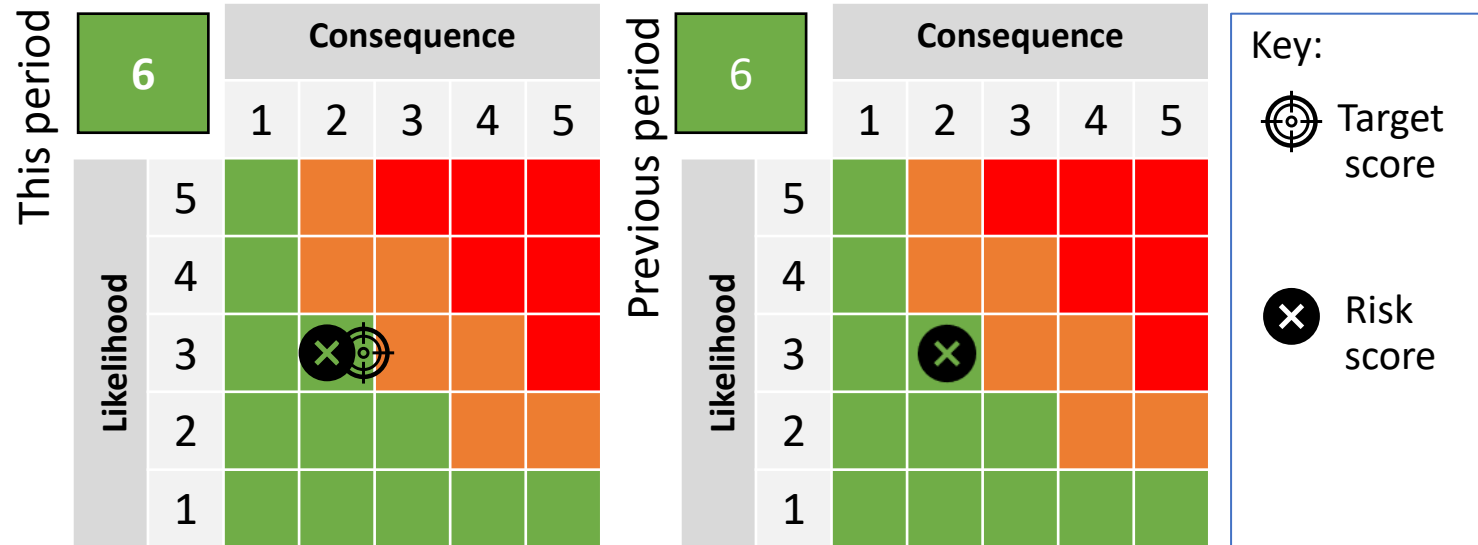
A self-assessment is being undertaken against the Local Government Equalities Framework. In the specific area of Equality Impact Assessment, an officer working group is reviewing processes and improving the supporting paperwork. Training is also being procured for those involved in preparing decision reports.

SR 1.3 Failure to ensure the effective management of Health and Safety (new risk)

Failure to ensure the effective management of Health and Safety, resulting in death or serious injury to employees/ public and legal action against the Council

Risk Owner: Rob Ayliffe, Director of Policy, Performance & Governance

Cabinet Member: Cllr Lynden Stowe



Current controls:

Reviewed Corporate Health and Safety Policy. SHE system procured for accident reporting, risk assessments, audits and inspections. Training for managers responsible for conducting regular risk assessments. Managers and staff induction. Member and Director SHE Champions. Access to competent health and safety advice and guidance from the SHE service. An Employee Engagement and Consultation Group is being set up

Period comments:

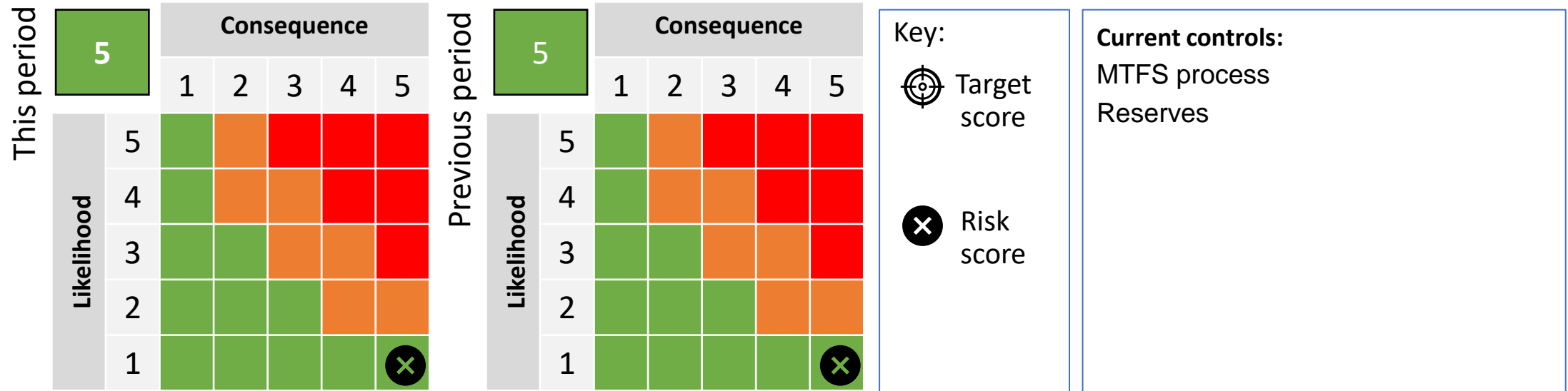
The Annual Health & Safety report was recently reported to Audit & Governance Committee. No significant issues arising.

SR 2.4a - Reductions and changes to Funding (current year)

Reductions and changes to funding in current financial year and any additional unplanned overspend from previous financial year, with the potential to impact Core Services.

Risk Owner: Paul Blacker, Director of Finance

Cabinet Member: Cllr Lynden Stowe



Period comments:

The final finance settlement announced was in line with expectations allowing the Council to set a balanced budget for 2022/23, and the outturn position for 2021/22 was an underspend, so the level of General fund balances has increased by £1.053m to £23.052 million at 31/3/22.