

Strategic Risk Monitoring Report

Quarter Q3, 2022/23

| RISK | IMPACT / CONSEQUENCE | | | | |
|--------------------|----------------------|-----------|--------------|-----------|--------------|
| LIKELIHOOD | Insignificant (1) | Minor (2) | Moderate (3) | Major (4) | Critical (5) |
| Almost certain (5) | 5 | 10 | 15 | 20 | 25 |
| Highly likely (4) | 4 | 8 | 12 | 16 | 20 |
| Probable (3) | 3 | 6 | 9 | 12 | 15 |
| Possible (2) | 2 | 4 | 6 | 8 | 10 |
| Rare (1) | 1 | 2 | 3 | 4 | 5 |

Summary overview

| Ref | Risk Owner | Strategic Risks | Residual risk score | Direction of travel |
|---------|---------------|--|---------------------|---------------------|
| SR 10.4 | Mark Preece | Insufficient Business Continuity Management | High 20 | ↑ |
| SR 10.8 | Colin Chick | Dept for Transport's Covid Bus Recovery Subsidy (BRS) is withdrawn | High 20 | ⇒ |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 2.4b | Paul Blacker | Changes to future funding | 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 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 10.6 | Mark Preece | Capacity and capability to deliver Fire Service improvement | Medium 12 | ⇒ |
| SR 11.1 | Rob Ayliffe | Failure to protect the confidentiality, integrity and availability of information. | Medium 12 | ⇒ |
| SR 7.10 | Sarah Scott | Implementation of the 'Care Cap' cost of care exercise | Medium 10 | ↓ |

Summary overview (continued)

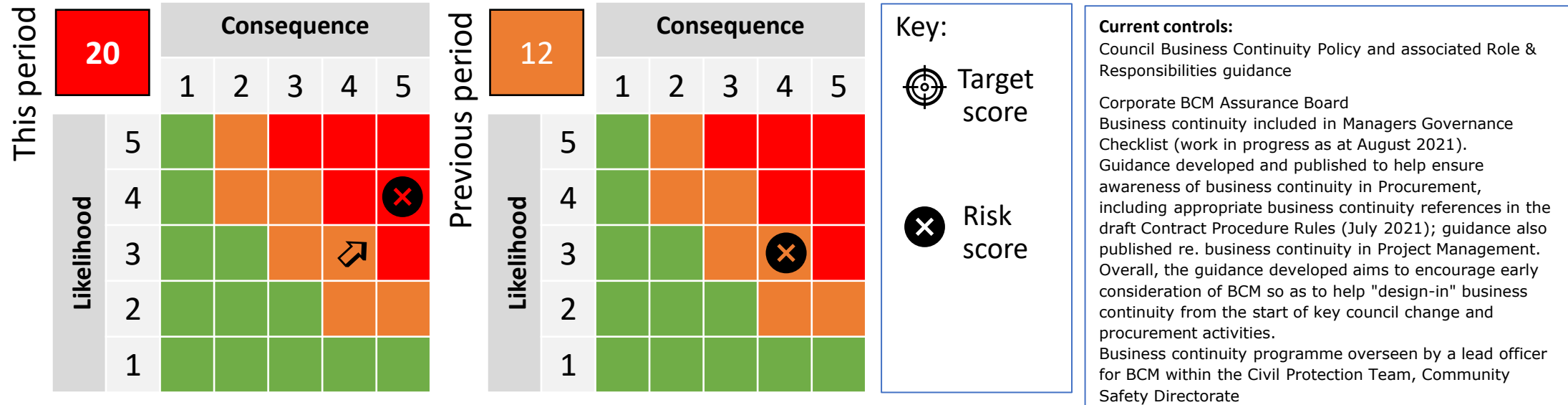
| | | | | |
|---------|------------------|--|-----------|---|
| SR 7.1 | Sarah Scott | Failure to protect vulnerable adults in Gloucestershire | Medium 10 | ↔ |
| SR 12.1 | Colin Chick | Failure of GCC/Gloucestershire to mitigate and adapt to a more volatile climate | Medium 10 | ↔ |
| SR 10.7 | Mandy Quayle | COVID19 - Inability to protect and support GCC employees and partner/contractor key workers | Medium 9 | ↓ |
| SR 8.2 | Mandy Quayle | Staff fatigue and 'burnout' | Medium 9 | ↓ |
| SR 1.2 | Rob Ayliffe | Capacity for Procurement activity | Medium 9 | ↔ |
| SR 7.4 | Kirsten Harrison | Failure to Close the gap in Educational Outcomes (SEND) | 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 | Steve Mawson | 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 10.4: 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



Period comments.

The overall assessment for the business continuity risk this quarter has **worsened** since the previous quarter – **increased impact** and **increased likelihood**. This is because:-

1. Despite the additional time allotted by CLT for completion of the BCM programme of work (an additional six months through to the end of December 2022), the work required has not been completed by many business continuity plan (BCP) owners across the council. The end Q3 position is provided below. Furthermore, because of the delays in completing BCPs, minimal BCP exercising has been undertaken meaning plans have not been validated.

| % up-to-date | BIAs | BCPs |
|--------------------------------|------|------|
| Last quarter: end Q2 2022-2023 | 71% | 55% |
| This quarter: end Q3 2022-2023 | 66% | 53% |

2. Since the Q2 report, issues have been raised with the council's ability to recover effectively from disruption. This is being addressed, but raises the risk level in the short term.

3. Also since the Q2 report, it has become clear that the council has not thoroughly considered the risk of electricity supply disruption. Generator provision across the GCC estate has gaps and has no strategic plan. Furthermore, some key premises (e.g. GCC locations which accommodate in-house care and respite services) have not been added to their energy suppliers' Priority Services Registers.

4. There is an increased likelihood of disruptive incidents taking place e.g. the threat of rota disconnection of electricity supplies in the UK given the potential for gas-fired generation capability being insufficient this winter, combined with knock-on impacts from industrial action at partner organisations and, potentially, at GFRS (subject to FBU ballot).

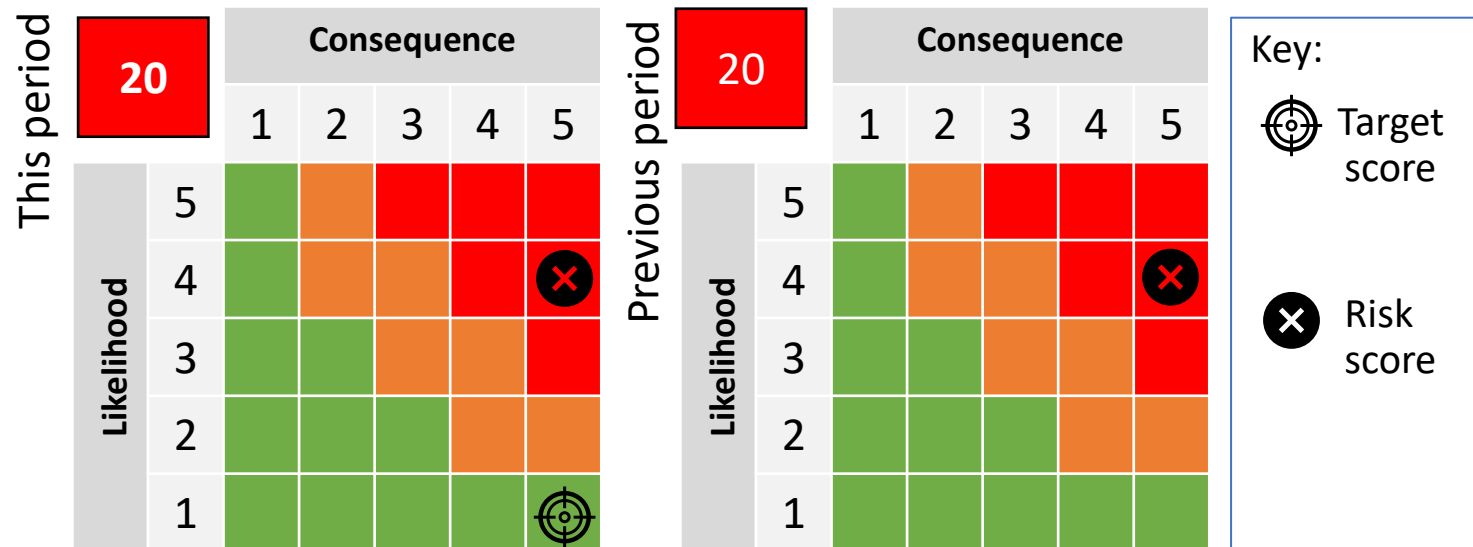
SR 10.8 - Dept for Transport's Covid Bus Recovery Subsidy (BRS) is withdrawn (new risk transferred from Gold register)

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



Key:

- Target score
- Risk score

- 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:

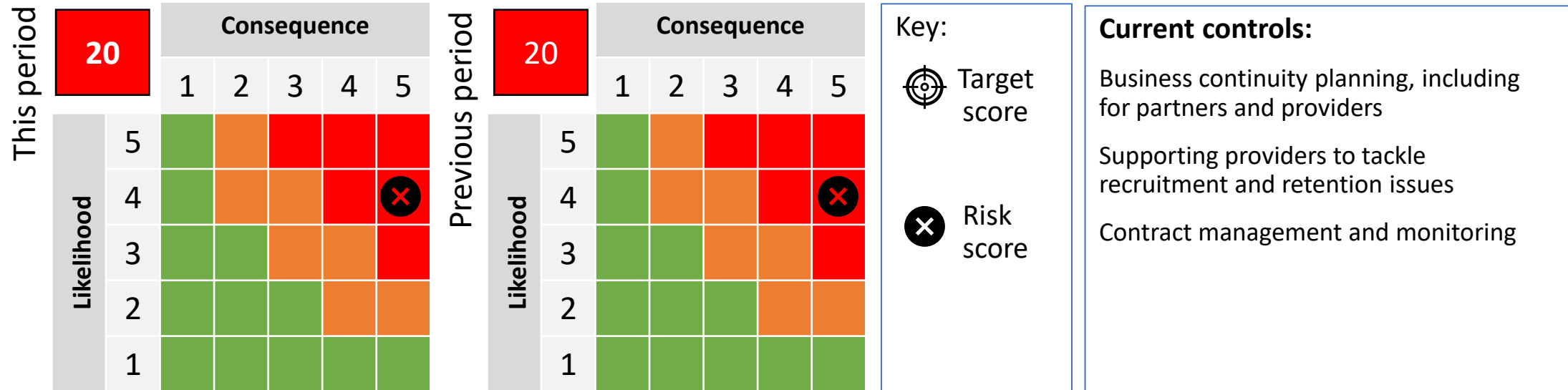
The Government support scheme has been extended and is now scheduled to end on 31 March 2023. There may be further extension to this although we have no information at this stage. If the scheme were to end there would be no immediate impact, however in the long term some bus services may no longer be viable.

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:

The independent market continues to be in a state of uncertainty due to the continuing impact of the pandemic and the current economic tensions in relation to costs for staff, utilities, food and fuel. There is some improvement in the home care sector with an overall increase of 12% in delivery of home care hours with the same number of staff, as a result of the introduction of hyper local commissioning of home care. We continue to work with the sector to improve recruitment and retention of the adult social care workforce and to try and balance supply of staff with the need for home care across the county.

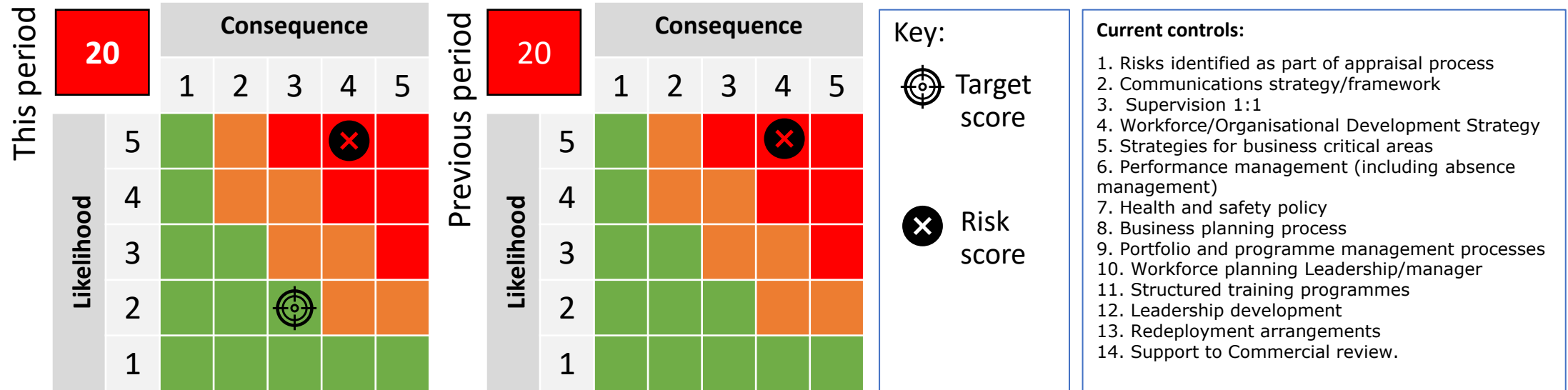
Care homes are still holding high levels of vacancies and coupled with increased costs, the risk of homes becoming unviable/unsustainable remains high. Work on changing the model for hospital discharge so more of the market can benefit from the short-term funding is underway and an update will be provided at the end of Quarter 4.

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.

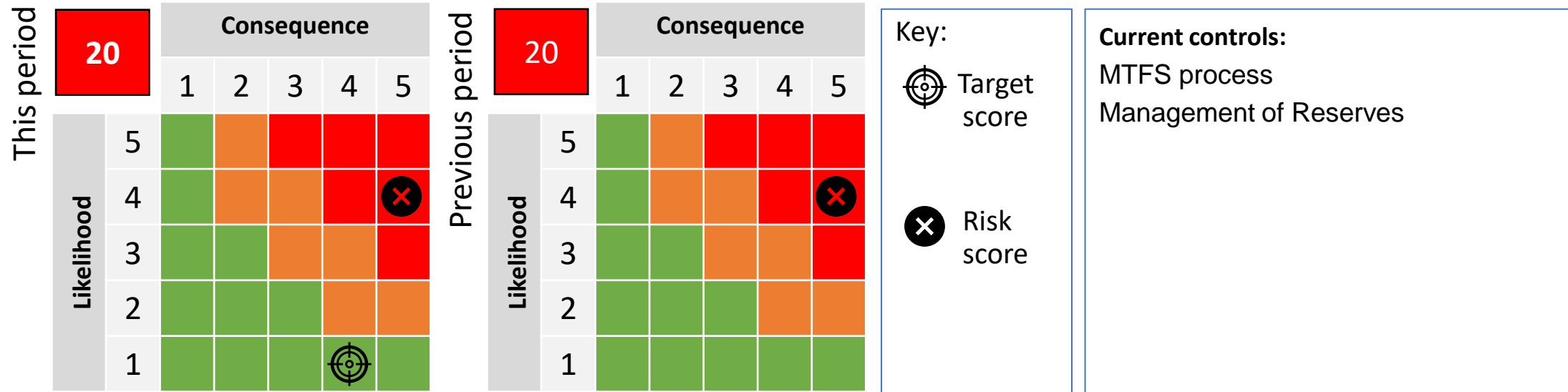
We are introducing an employer brand to promote the council in the market place in a more favourable way together with greater use of social media to target and attract candidates.

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:

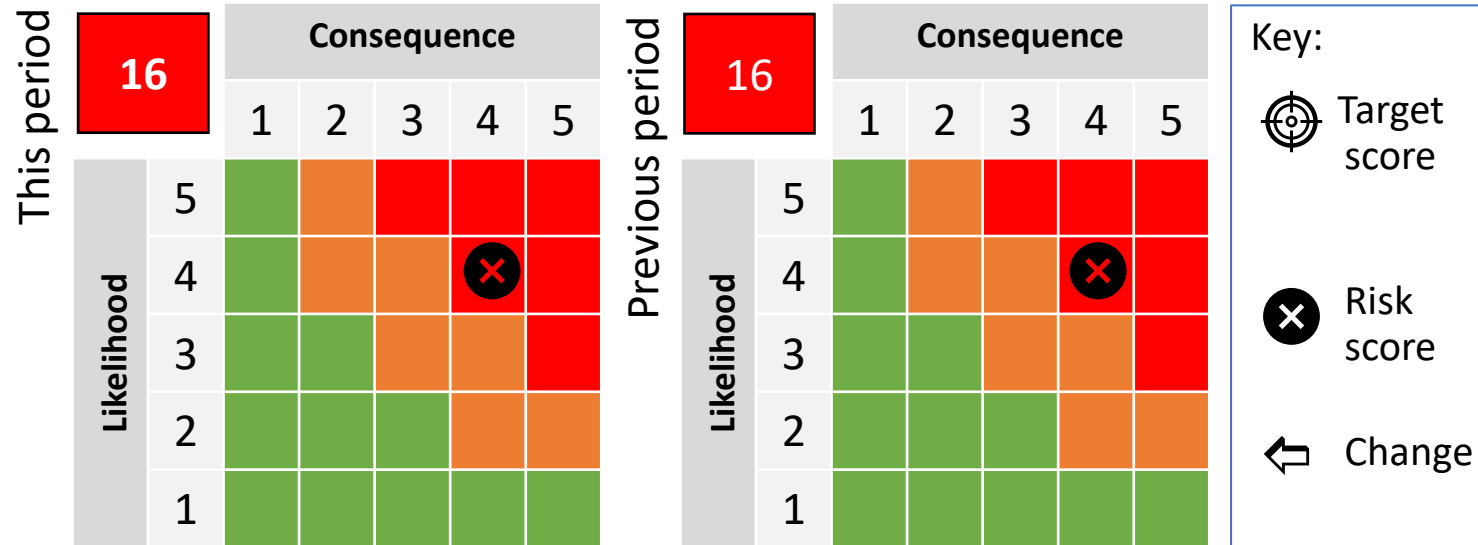
The draft 2023/24 budget has been consulted on, and will be presented to Cabinet on the 25th January, and full Council on the 15th of February. A balanced budget presented for 2023/24.

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:

The situation continues to be difficult but work on the localising of home care is increasing the available capacity. There has been a 12% increase in hours purchased since April 2022.

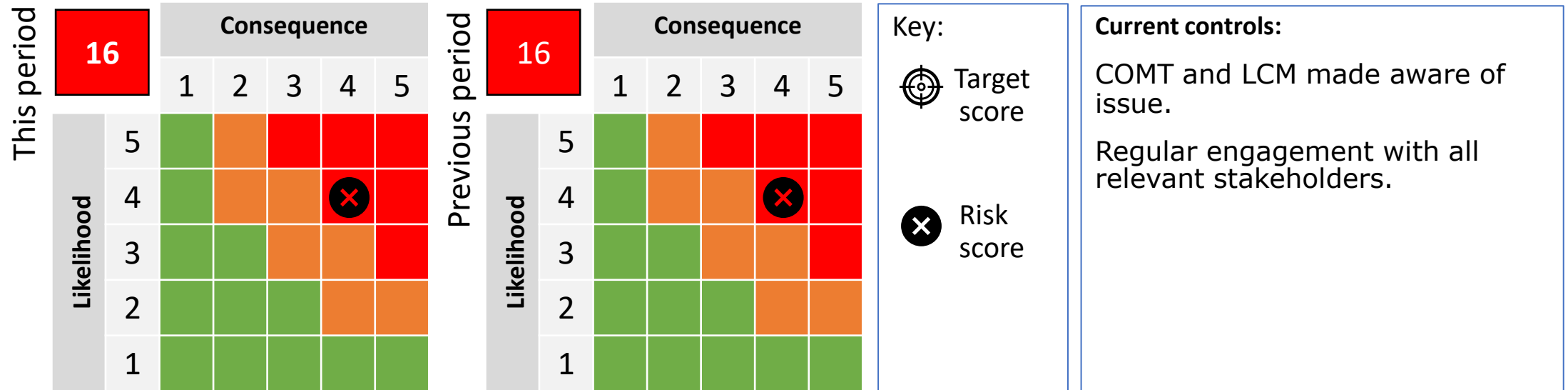
The risk is more in the ability to manage the change to localised working as the process for managing bought capacity is dependent on staff. We are working with the Performance team on ways to automate the process but are reliant on support from ICT to implement this. This at a time when there are numerous calls on their time for multiple change projects.

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:

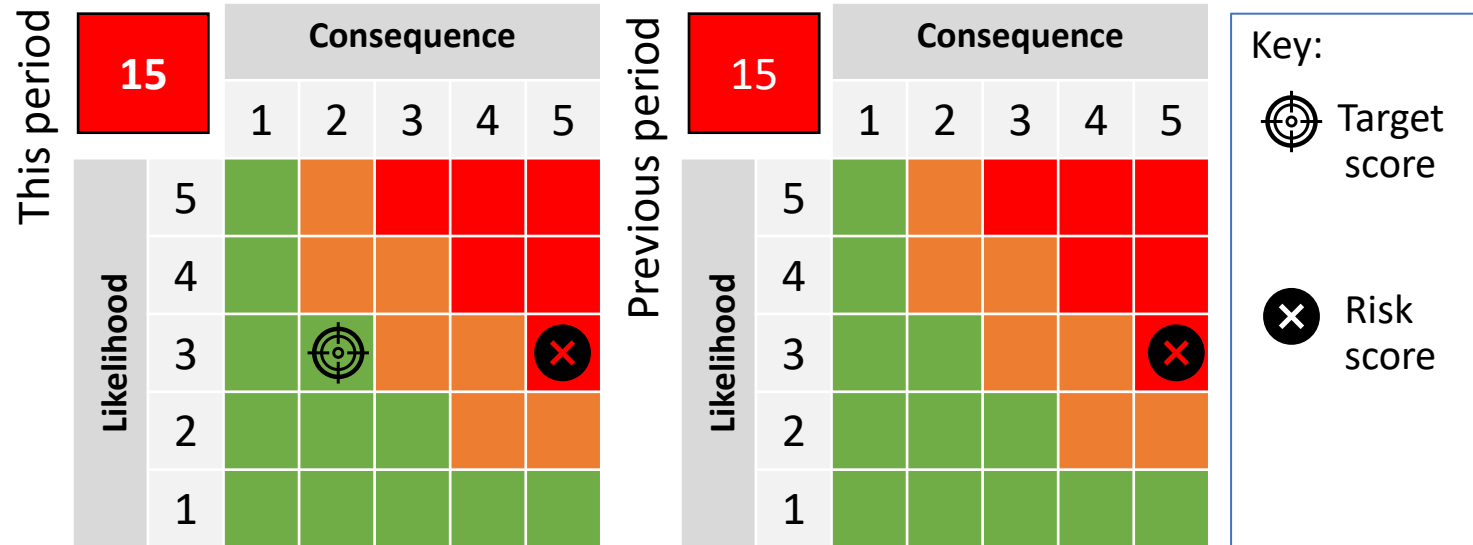
Ongoing discussions with all of the District Councils.

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:

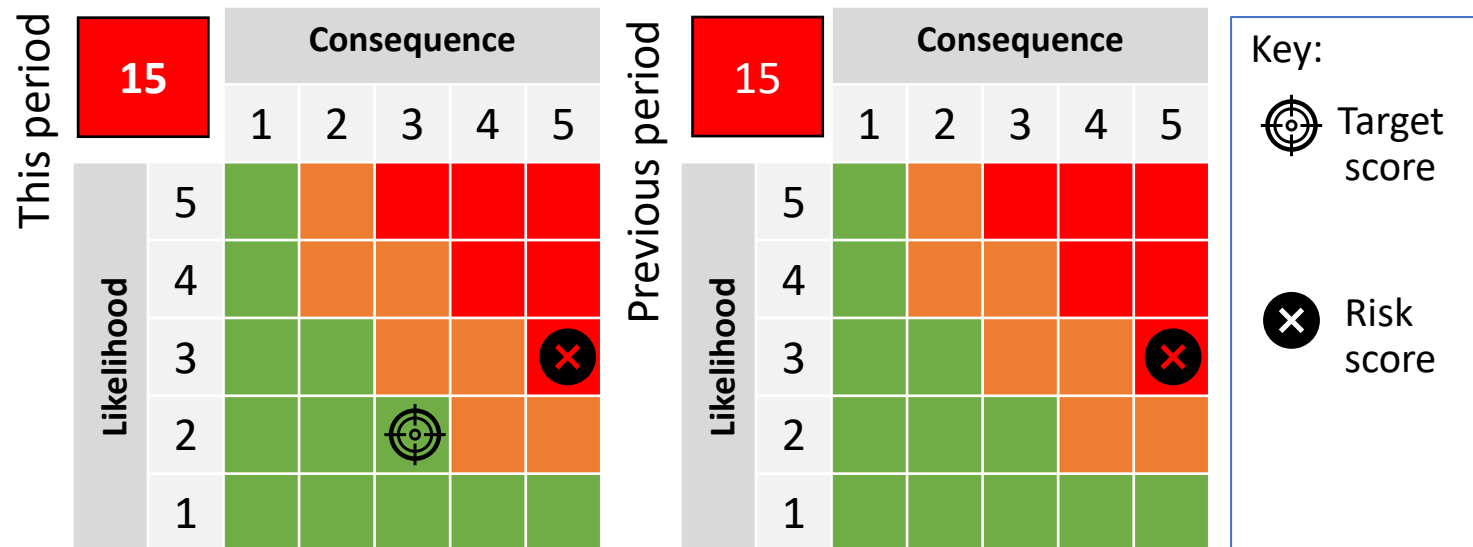
Our programme of ICT replacement and improvement continued in the last period with good progress on network infrastructure, M365 roll out and wider hosting programmes. Our contract with support partner stable with positive relationships, performance of the service desk improving. Feedback from users is also improving. The new hosting model increases resilience, however more work to do to complete programme.

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:

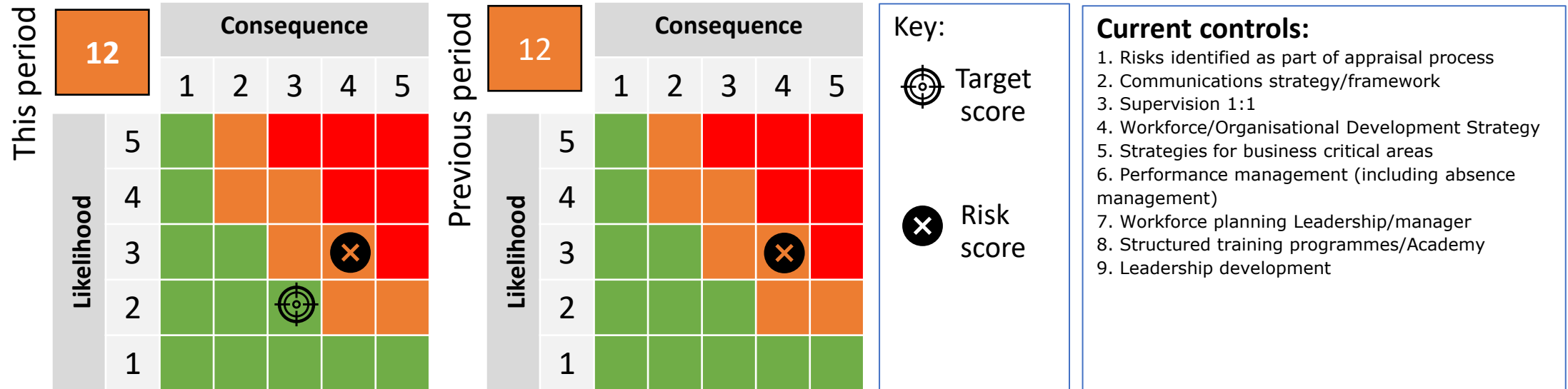
Programme of cyber improvement is progressing positively with achievement of our PSN accreditation evidencing that improvement. The current data back up solution was implemented earlier in 2022 and has recently been independently assessed as fit for purpose. Additional proactive monitoring of our estate has been implemented. Further work ongoing to achieve cyber essentials plus.

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:

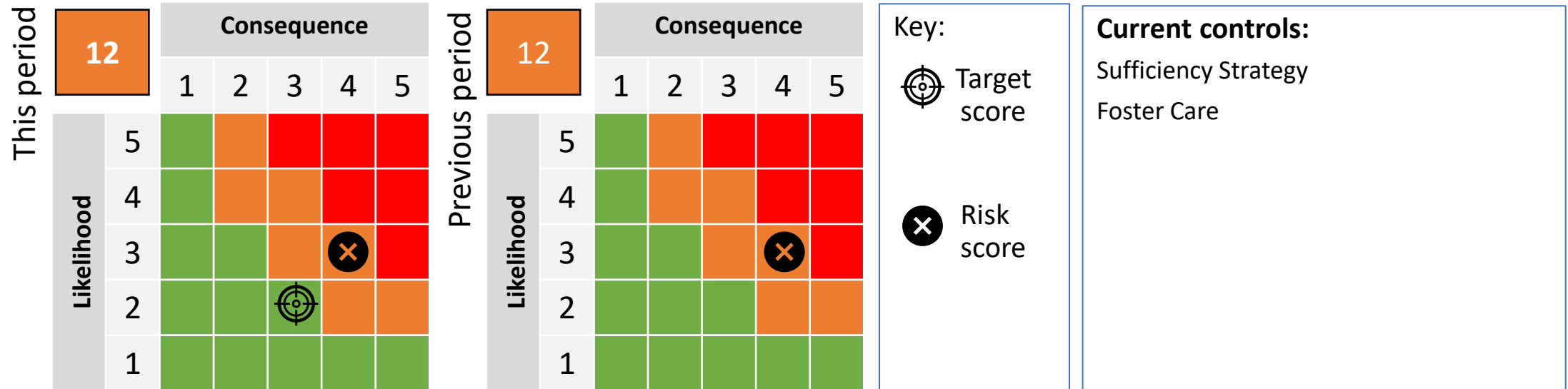
Turnover and vacancies are showing signs of improvement however the proportion of agency workers that we have continues to be a challenge. Our ASYE cohort have been assimilated in to our establishment and we continue to make use of a wide range of routes in to social work as part of our 'grow your own' strategy. We are progressing with the implementation of systemic as our model of practice.

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:

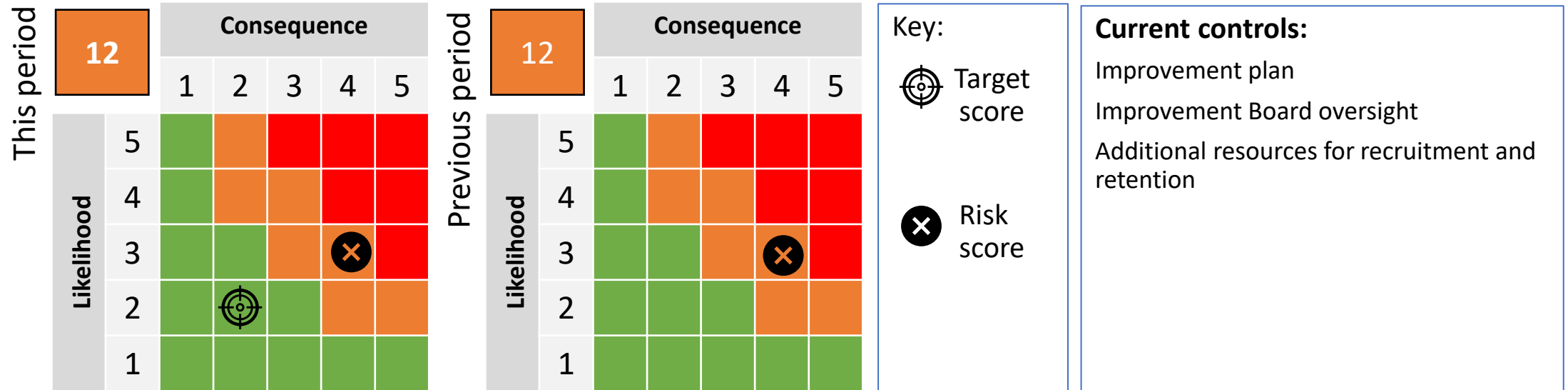
The placement provider market is fragile and lacking capacity, particularly for the most vulnerable and complex children. Our revised Sufficiency Strategy, which will be considered by Cabinet in January, sets out a programme to increase our influence in the market and develop capacity in co-operation with established, high quality providers.

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:

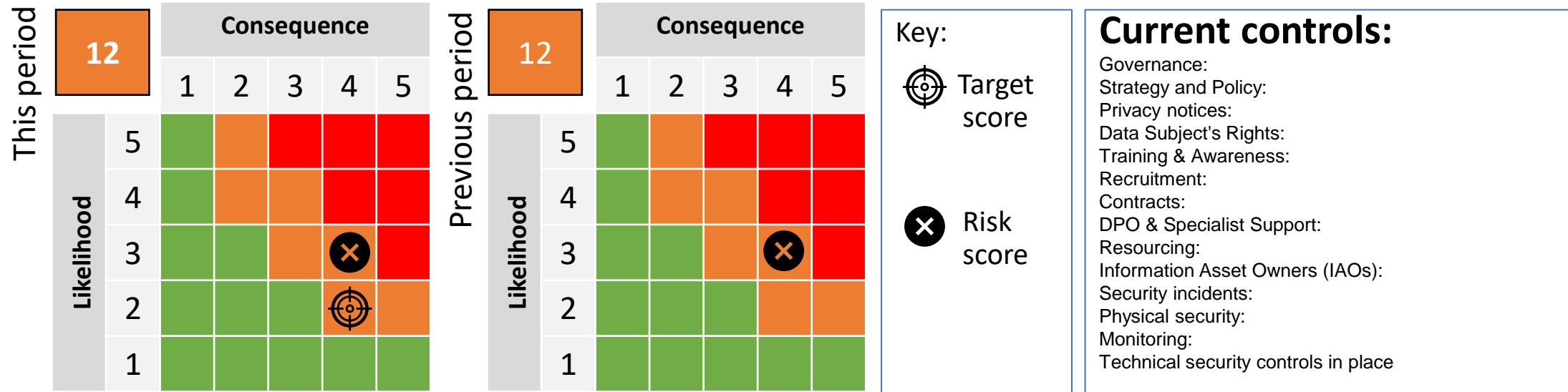
Recruitment and selection processes have taken place to fill substantive posts. Operational Staff posts have largely been filled, however we continue to struggle to fill Support Staff posts with the skills required. Additional funding will provide the finance needed for additional resource and training, but capacity will only improve if we can fill posts. It is still recognised that there are ongoing work pressures on staff and we are providing awareness training, additional wellbeing advice and are trialling an improved workplace induction.

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



Current controls:

- Governance:
- Strategy and Policy:
- Privacy notices:
- Data Subject's Rights:
- Training & Awareness:
- Recruitment:
- Contracts:
- DPO & Specialist Support:
- Resourcing:
- Information Asset Owners (IAOs):
- Security incidents:
- Physical security:
- Monitoring:
- Technical security controls in place

Period comments:

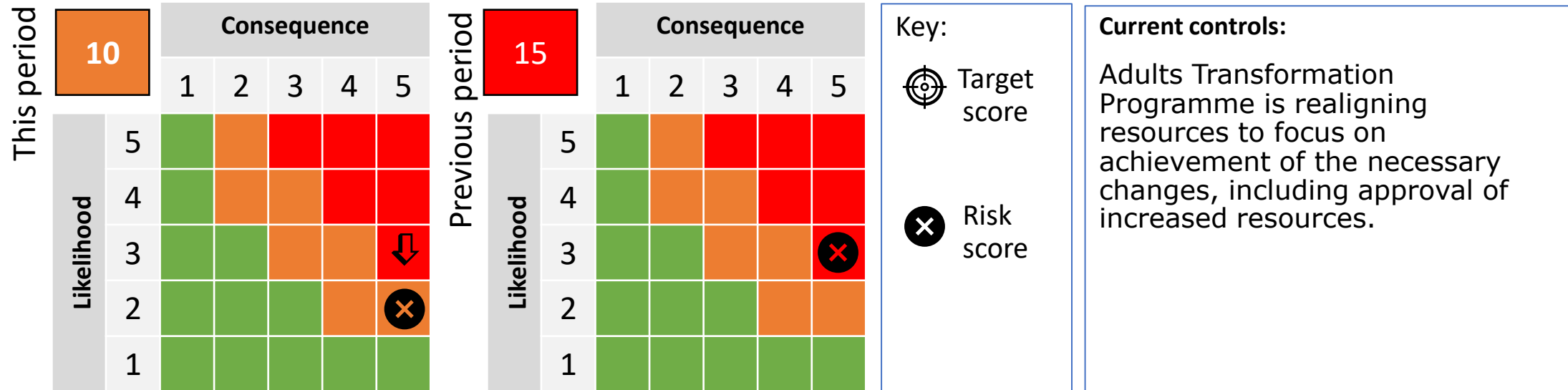
The roll out of new M365 software, tools and technology means that the risk of information security breaches remains higher than target. As the software is launched, it is being supported by policies, guidance and e-training being deployed to all users, and information breaches continue to be monitored. Despite the heightened risk environment, the number of actual breaches that are assessed as being of a significant nature (and hence reportable to the ICO) remain very low. CLT took part in a cyber resilience exercise on 17 November to reflect the fact that this remains a significant risk affecting all local authorities.

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



Current controls:

Adults Transformation Programme is realigning resources to focus on achievement of the necessary changes, including approval of increased resources.

Period comments:

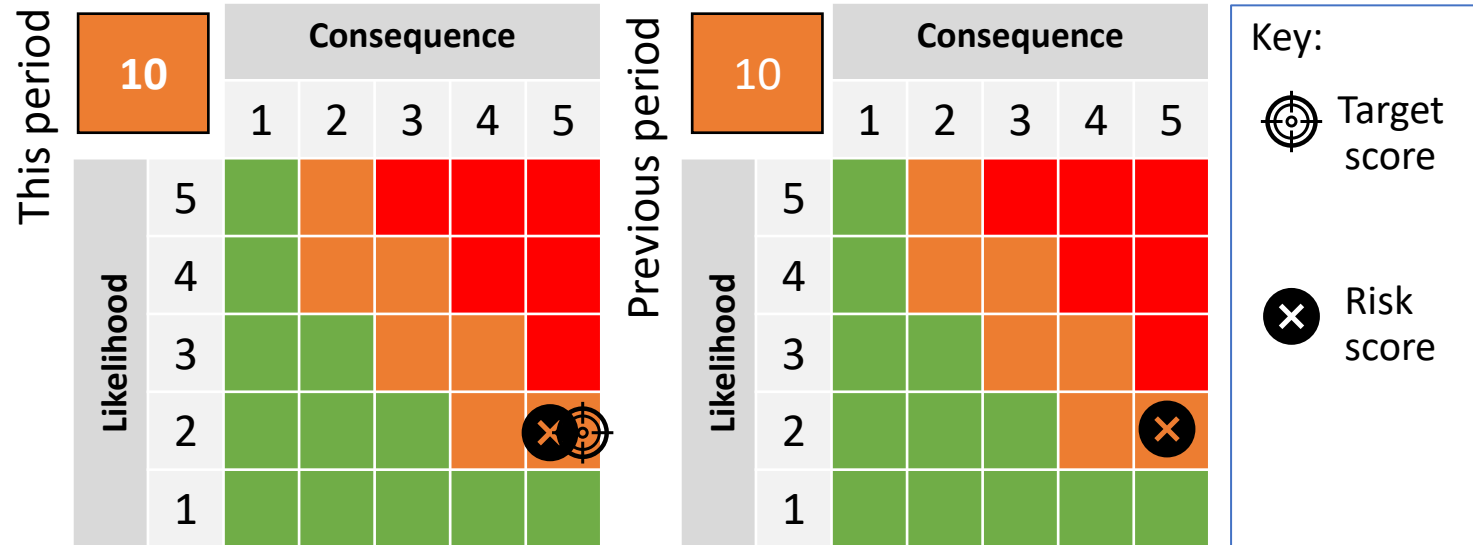
National implementation of the 'Care Cap' has been moved from October 2023 to 2025 following the Chancellors autumn statement. The extra time provided by this decision mitigates some of the resource pressures and overspend by allowing a longer timeframe for planning and delivery.

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



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. Two additional specialist practitioners have been recruited, and once in post they will contribute to ensuring decisions about safeguarding concerns are made in a timely manner. Plans are in place to launch the safeguarding single point of access team, with a proposed start date of April 2023. From this date the safeguarding team will screen all safeguarding concerns raised in Gloucestershire. The Safeguarding Adults Board is commencing a Safeguarding Adults Review into the death of MM. Any learning from the review will be disseminated across the multi agency partnership. The annual safeguarding adults roadshow will be held in April. This year, the focus is on members of the public, with the aim of raising awareness about adult safeguarding and events will be held at various locations across the county.

Current controls:

Board and governance controls:

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

Policy and partnership controls:

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

Quality Assurance, Performance and Inspection controls:

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

Communications controls:

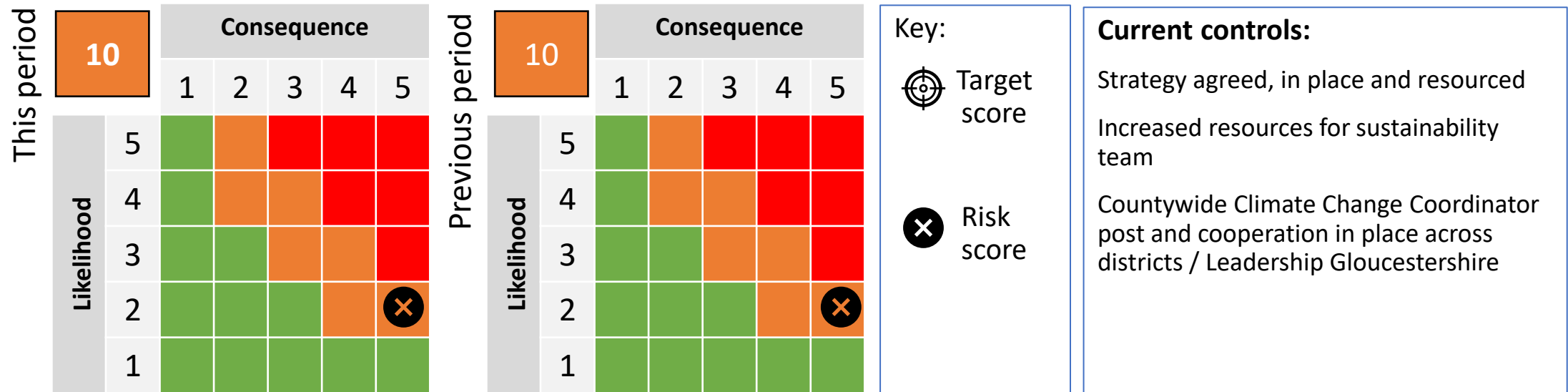
1. GSAB website in place and regularly updated
2. Learning from Safeguarding Adult reviews disseminated to all multi agency partners
3. Multi agency safeguarding adults training embedded and available to all multi agency partners.
4. Ongoing development of relevant information materials for the public

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



Current controls:

- Strategy agreed, in place and resourced
- Increased resources for sustainability team
- Countywide Climate Change Coordinator post and cooperation in place across districts / Leadership Gloucestershire

Period Comments:

Year to date carbon emissions for quarter 2 (reported a quarter in arrears) remains significantly ahead of target. The main difference continues to be a continued significant decrease in: Gas use for space heating, which is likely to be a combination of the removal of ventilation requirements under the Covid Pandemic and the hot dry summer; and Fleet fuel use, likely a result of ongoing hybrid working and the introduction of some electric vehicles. This has more than offset the continued significant increased fuel use by GFRS, due to significantly increased vehicle use as services return to more normal operation following the Covid pandemic and likely increased callouts during the summer heatwave.

Defra funding secured for 2 posts to support tree planting, 2-year fixed. Secured Forestry Commission funding, bringing planting to over 80,000 trees this season. Supply contracts awarded, planting underway.

Biodiversity Officer appointed, 2-year fixed, starts January. Youth climate survey almost 3,000 responses.

Environment Scrutiny Committee, Nov - climate change strategy progress and draft 5-year action plan, inc presentation by Glos Youth Climate Group on their assessment. Views reflected in the draft Cabinet report January.

Agreed urgent programme with Property to meet Energy Performance Certificate (EPC) requirements for 30 properties being handed back, including carbon reduction programme. Electricity & gas supply contracts awarded, and electricity selling contract for Javelin Park.

Environment & Waste restructure started, to increase capacity to manage and deliver the climate change strategy and programme. CLG Partners including allocations in draft budgets to enable Climate Leadership Gloucestershire to continue post June 2023. Funding not yet guaranteed but allocations being made on the basis of increasing the Coordination resource and establishing a fixed fund for common strategic pieces of work.

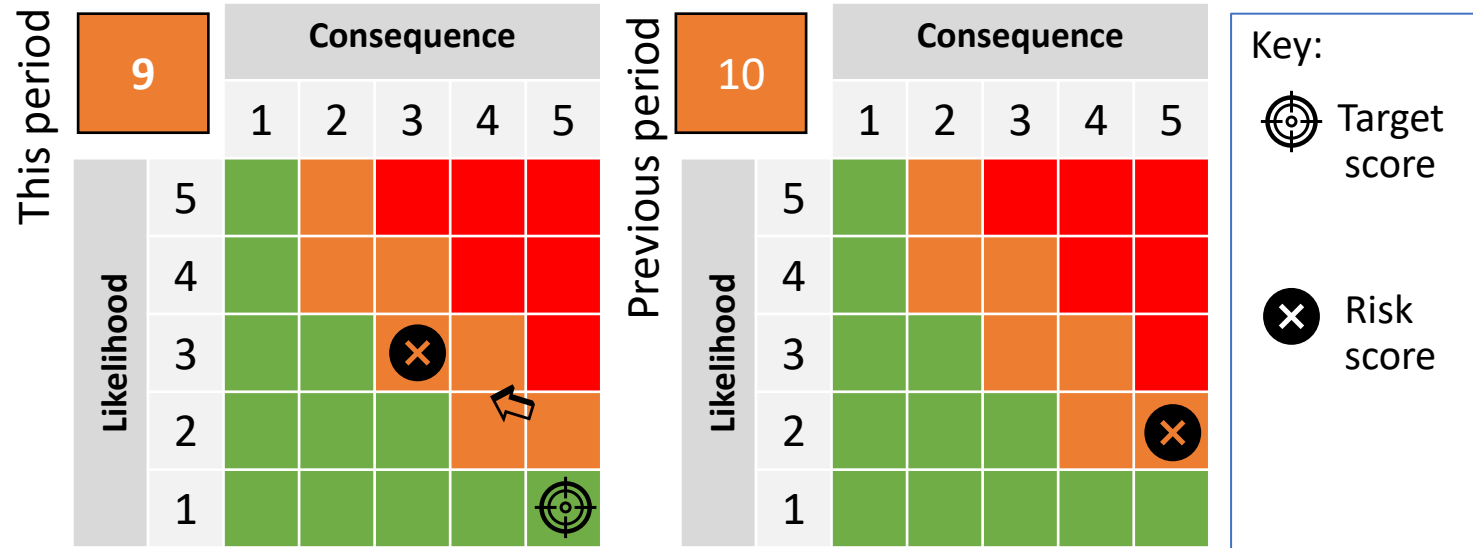
Good progress has been made on thematic activity with 6 month progress report being well received at Leadership Gloucestershire.

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



Period comments:

This risk is to be closed down and merged with 8.2 on staff welfare.

Current controls:

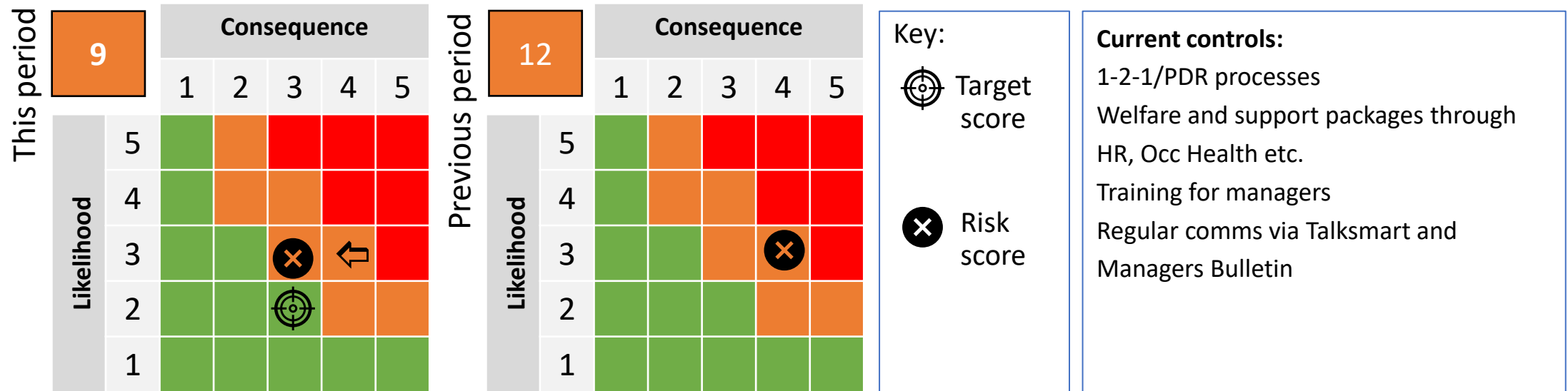
- 1) Working from home messaging in place.
 - 2) All front line staff have the correct PPE when required.
 - 3) Wellbeing and infection prevention and control messaging incorporated into comms plan.
 - 4) EAP and Occupational Health available to provide support.
 - 5) Process established for key worker 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

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



Period comments:

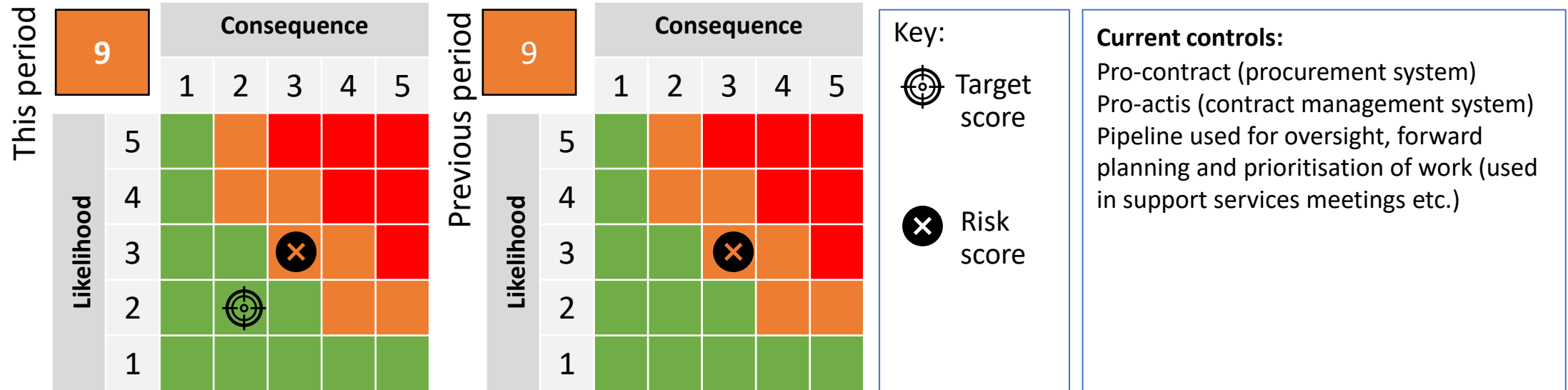
There is a significant programme of mitigations to support the wellbeing and health of individuals including advice, guidance, manager training and availability of occupational health services and counselling. The risks of physical illness are higher over winter, also many council staff and services are struggling with capacity. Colleagues are highly committed, however an extended period of pressure caused by a range of factors including the pandemic, required improvement and system pressures means that there is increased risk of impact on the health of our staff. Therefore it continues to be important that we keep up the higher level of focus on wellbeing support that was begun during the pandemic.

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



Period comments:

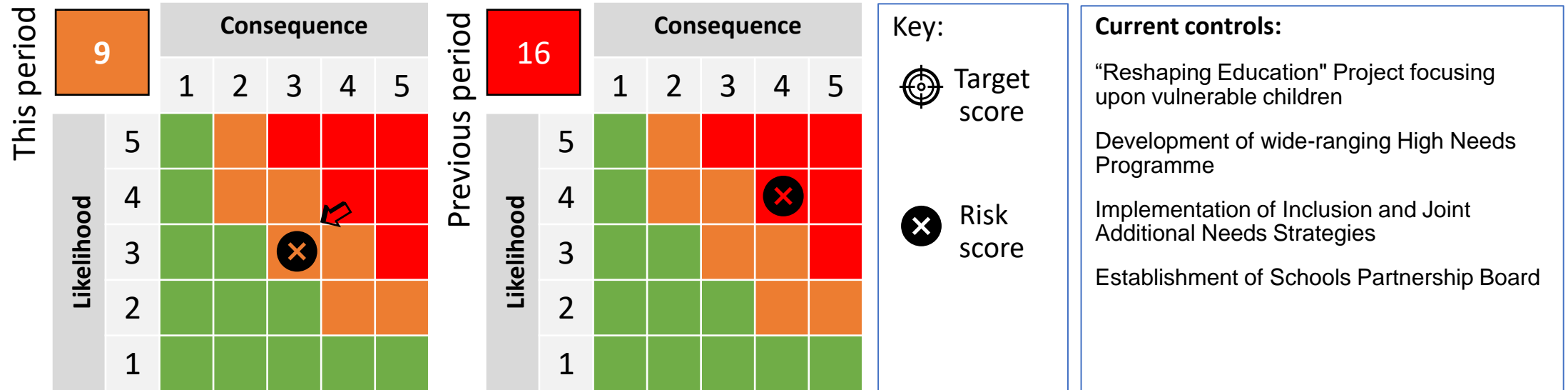
A procurement toolkit is being developed that will provide commissioners across the council with simplified guidance and a suite of templates to support them in procuring lower-value contracts for goods and services. This will help to ensure that professional procurement resources are targetted on this highest risk/highest value contracts. The Commissioning Intentions included within the MTFS set out the priorities for 23/24 and will be used to prioritise resources accordingly. Reports are also being developed which will help Directorates to plan ahead more 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:

EHCP cumulative timeliness has improved April 22 to December 22 and there has been a reduction in the number of plans outside of statutory timeframes - with no plans now going over 52 weeks and no increase to plans running over 30 weeks. Service development plans, linked to the MTFS bid, identifies how further improvements can be made through ceasing trading of the Educational Psychology Service, the roll out of the non-statutory funding model, the new Banded Funding model going live and the new EHCP pathway and digital portal going live. Focused work on retaining the current casework workforce is aimed at maintaining service capacity to maintain and further raise these improvements in timeliness. External assessment of the service's improvement journey will be assayed through a Local Government Peer Review scheduled for the end of March in anticipation of a Local Area SEND Inspection under the newly signed off inspection framework in 2023.

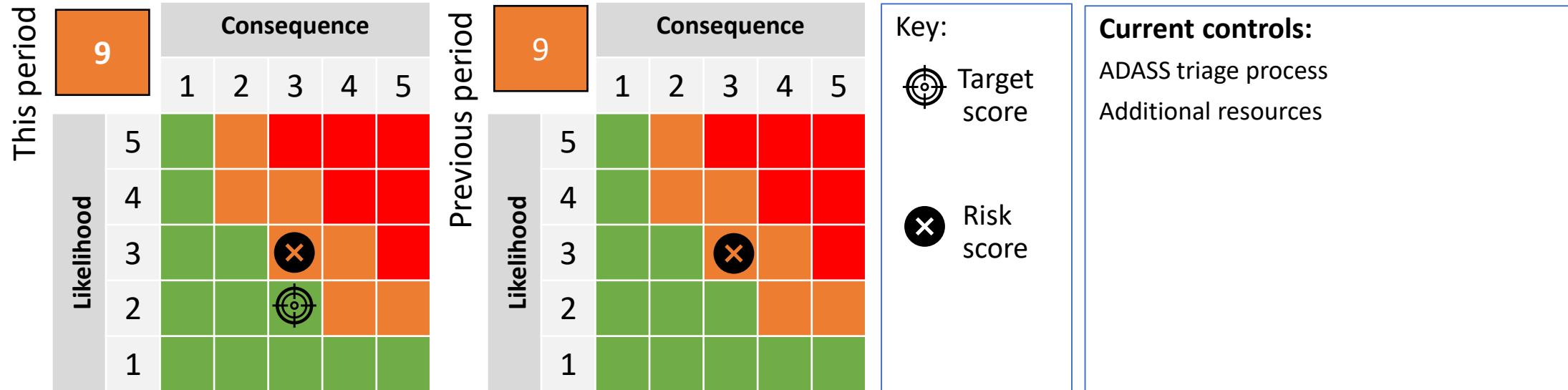
Demand for EHCP assessment remains high. Pressures on the service and workforce remain high. The trend of increased Ombudsman cases and Tribunals is sustained. The longer term work targeting increasing inclusive practices in schools is ongoing, but is a challenging culture change. This will also be dependent on work to change parental attitudes and confidence in mainstream settings to meet need.

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:

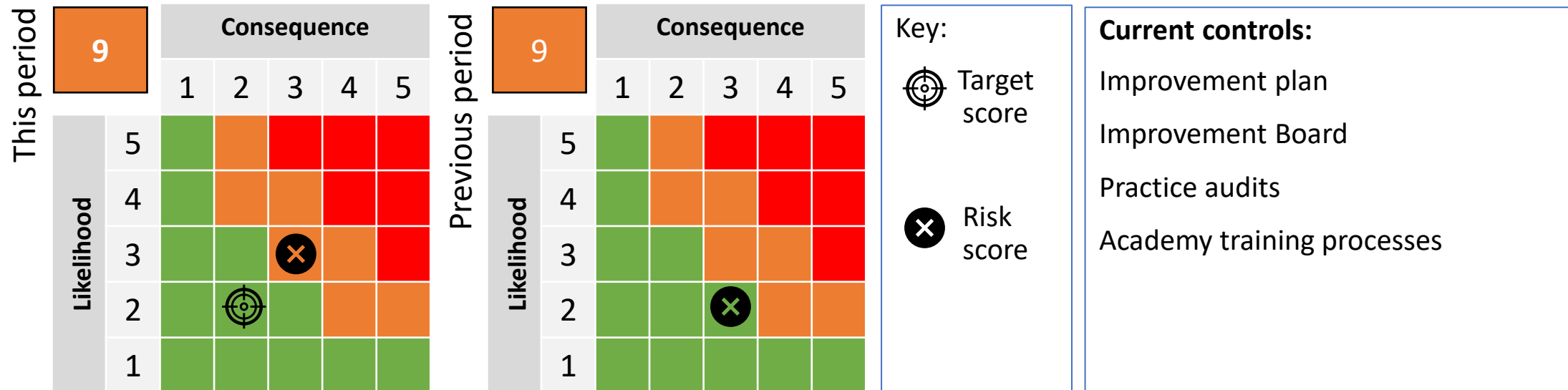
No change to mitigations this quarter, which are: the DoLS team continues to triage applications in line with the ADASS guidance to ensure the most urgent cases are assessed and those people have the appropriate authorisations in place. The project group for the DoLS replacement (Liberty Protection Safeguards) 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 and there has been no further update from the DHSC on plans to publish the final Code of Practice

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:

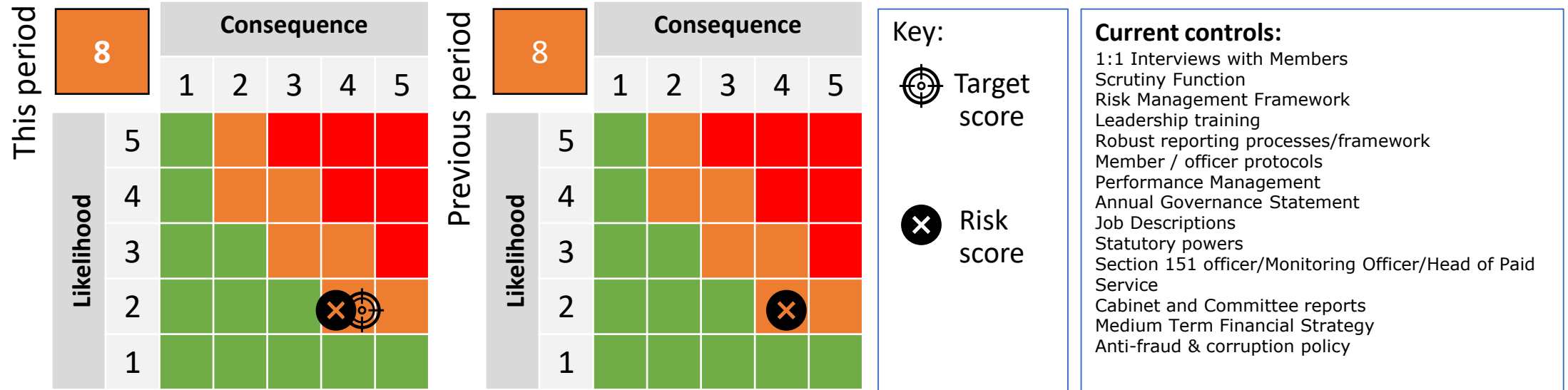
The Continuous Improvement Plan continues to provide the focal point for improvement activity. Operating conditions continue to be challenging - reflected in our performance which is a mix of stability, improvement and regression. Turnover and vacancies are marginally improved however agency % remain above target.

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:

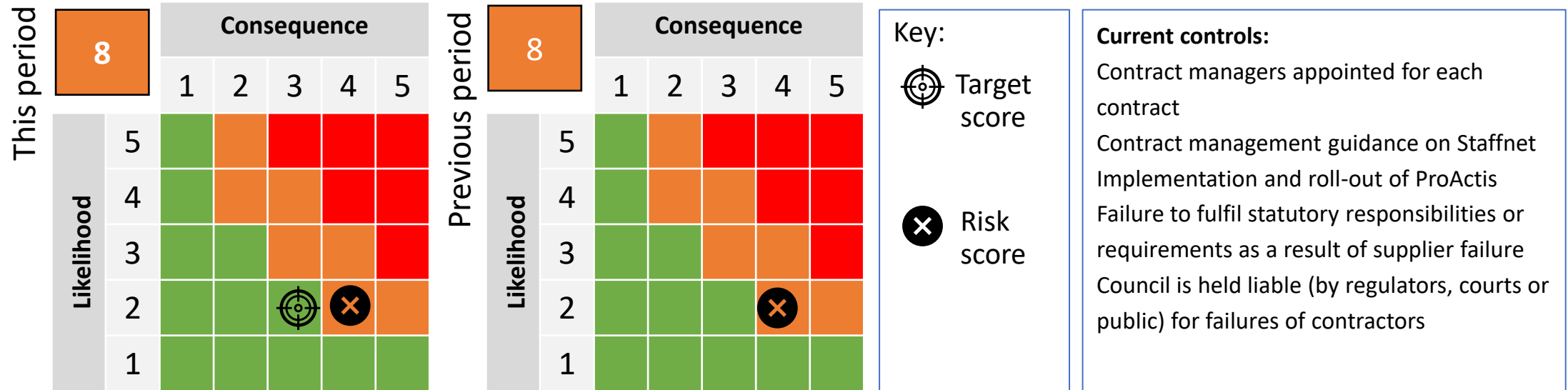
Work is commencing on next year's Annual Governance Statement. Statutory Officers continue to monitor complaints, issued referred to and by regulators, audit reports etc. There are no new issues arising this quarter which affect the status of this risk

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:

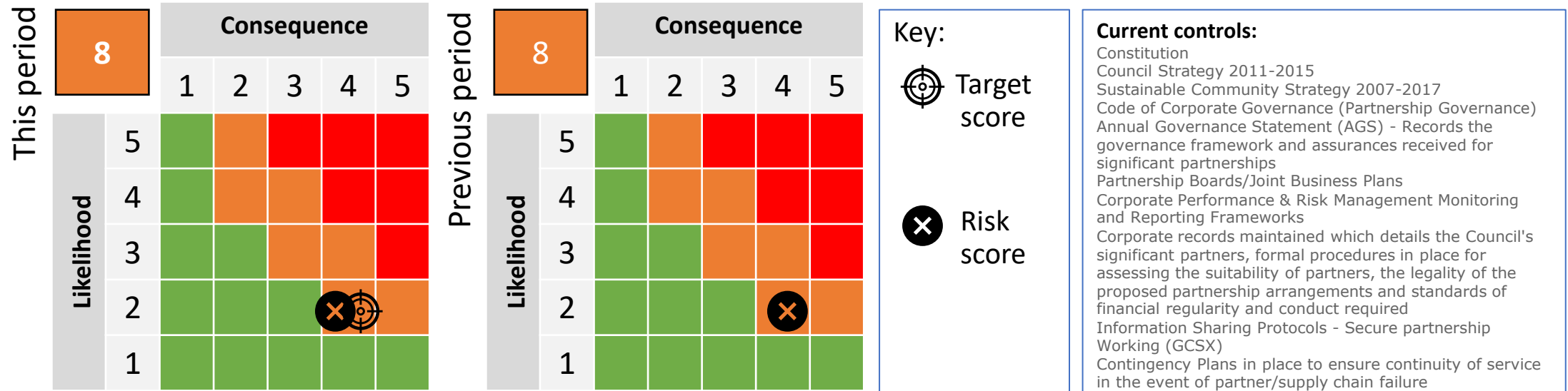
No new issues arising this quarter. The Council's contract management policy has been subject to a light-touch review/refresh. A more thorough review will be undertaken following the introduction of the Council's new ERP system, though this will not be during the current year.

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 have seen highly effective and very positive working relationships with partners and organisations to meet statutory and local requirements both in terms of living with Covid and delivering the Homes for Ukraine scheme. 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 will continue with hybrid working arrangements in the future in keeping with the needs of the business.

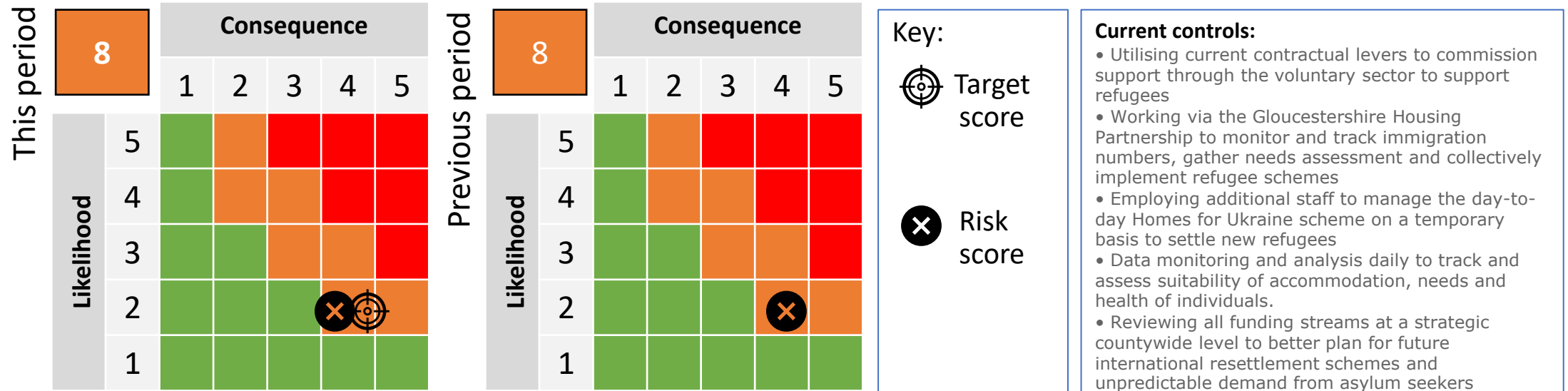
We continue with extensive external consultancy work looking at our NHS relationship, focussed on emergency and urgent care, and as the country finds itself continuing to deal with a "cost of living" crisis we will work with partners and local organisations to deliver whatever help we can to Gloucestershire residents.

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 Mark Hawthorne



Period comments:

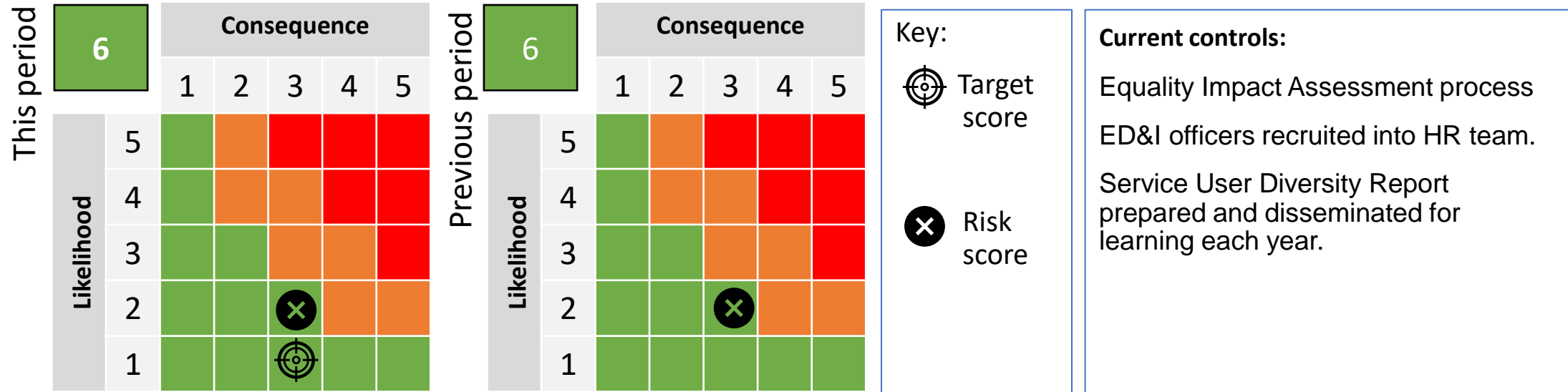
Staff in place, district and county working relationships, communication and partnerships are strong. Success so far across all schemes has been good. Better planning for overall international migration issues and partnership working across the system is being addressed through the launch of the Gloucestershire Strategic Migration Partnership which meets for the first time on 17th January. The partnership will have oversight and ensure sufficient awareness by government departments of any issues or emerging demands. Work initiated across districts and county to consider options presented by the new £500m Local Authority Housing Fund announced by DLUHC to support new housing for Ukrainian and Afghan refugees. Funding for Ukraine scheme is significant and has been extended for a further year, and reserves for other schemes are available. Current work and forward planning underway to secure accommodation and support transition for Ukrainians, although this remains 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:

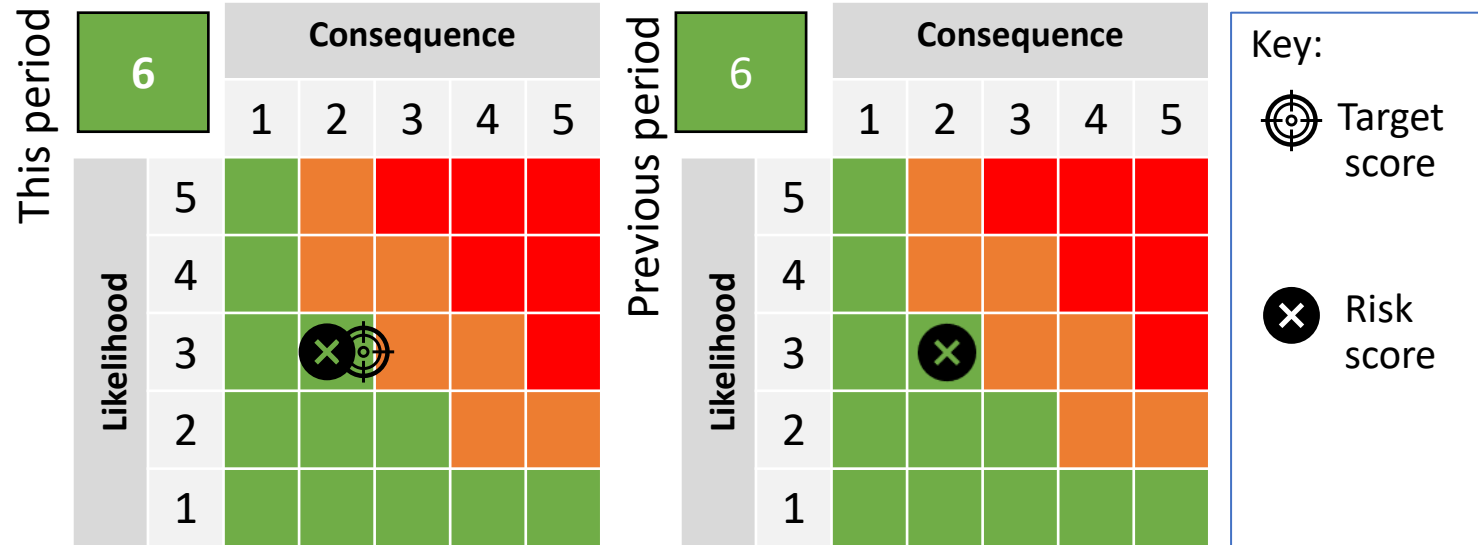
A working group, including representatives of the Council's employee networks, has undertaken a review and updated Equality Impact Assessment guidance, and training is being secured from the Consultation Institution to be rolled out to those who undertake these assessments. This work will be encompassed into the action plan arising from the recent self-assessment against the Local Government Equalities Framework.

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:

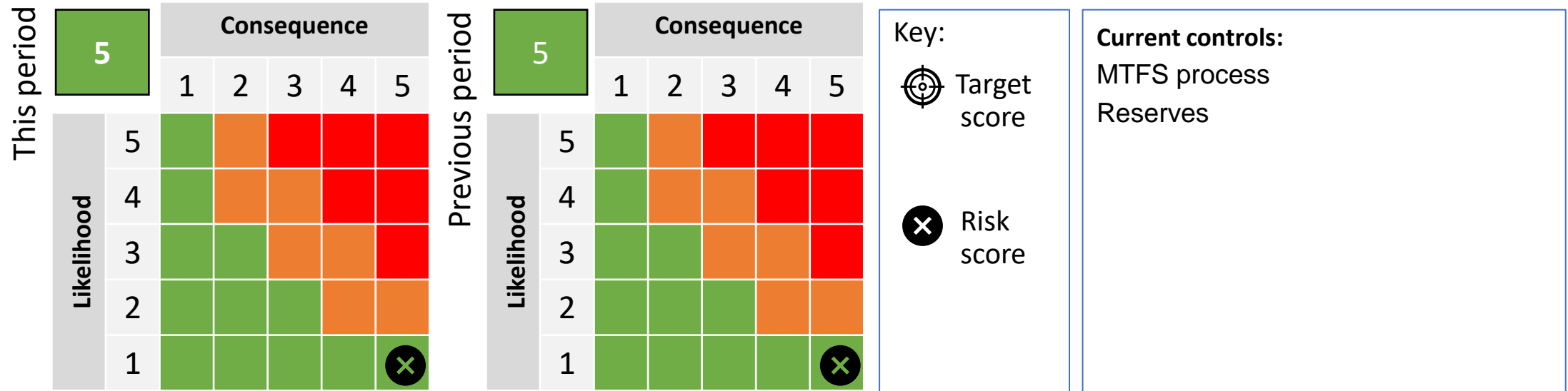
No new issues arising this quarter.

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.