



Audit and Governance Committee

Date:	30 November 2021
Reference number:	N/A
Title:	Risk Management Group Update
Cabinet Member(s):	N/A
Contact officer:	Maggie Gibb, Head of Business Assurance (& Chief Internal Auditor)
Ward(s) affected:	N/A
Recommendations:	Members are recommended to note the report.
Reason for decision:	summarise why the recommended option is preferred

1. Executive summary

- 1.1 The purpose of the report is to provide an update on the Risk Management Group (RMG) meeting held on 8 November 2021.
- 1.2 The Council's Risk Management Framework including the Terms of Reference for the Risk Management Group was approved by the Audit and Governance Committee in June 2021.

2. Content of report

- 2.1 The RMG considered a report from the Deputy Chief Executive (Monitoring Officer) on the Secondary School Transfer Results Systems Failure.
- 2.2 A summary of findings relating to risk management, business continuity planning, systems governance, major incident response and communications was produced, along with recommendations for next steps.

- 2.3 The following officers attended the meeting to provide members with an explanation as to the events on the results day:
- Deputy Chief Executive;
 - Corporate Director for Resources;
 - Service Director for Education; and
 - Service Director for Business Operations.
- 2.4 The action plan will be reviewed at a future meeting of the RMG.
- 2.5 The Corporate Director for Adults and Health attended the meeting along with the Service Director for Adult Social Care, the Strategic Business and Governance Manager and the Head of Finance to present the Adults and Health Directorate Risk Register.
- 2.6 Adults and Health have a well-established Risk Escalation Framework, with risk being a standing item at the management team meetings.
- 2.7 The Risk Champion works closely with the Corporate Risk Lead to improve the quality of the risk information, and following feedback from RMG, this will be improved further going forward.
- 2.8 The key risk themes were as follows:
- **Safeguarding:** Capacity to meet increased demand, particularly resulting from Covid lockdown.
 - **Impact of national policy changes:** Delivery of social care reforms set out in the Government's Build Back Better Plan for Health and Social Care; Covid and health inequalities.
 - **Care Market Stability:** Maintaining diverse and sustainable care provider provision, particularly given the challenges posed from Covid and the response to the pandemic.
 - **Transformation:** Continued embedding of the strengths-based approach to practise and the recent case management system replacement; impact of demand pressures on delivery Phase 2 of the Transformation programme and other change.
 - **Service Quality/Delivery:** National challenges to workforce recruitment & retention.
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- **Finances:** Reducing resources and managing demand; rising costs of care; financial impact of social care reforms.
- 2.9 The risks were discussed in detail, as well as the mitigating actions being challenged by the RMG.
- 2.10 Risks which had been de-escalated or closed were included in the report from the Adults and Health directorate.
- 2.11 The Service Director for IT and the Head of Customer Delivery and Governance attended the meeting to present the IT Risk Register.
- 2.12 The most significant IT risk being faced by the authority is cyber security, and there is a detailed Cyber Security Action Plan, overseen by the Corporate Management Team (CMT), to mitigate this risk.
- 2.13 The Service Director for IT gave a detailed update on the status of the actions and the work being delivered to protect the authority from the impact of a cyber-attack.
- 2.14 The other key risks highlighted in the IT Risk Register related to Disaster Recovery, the Updata Contract Transition, BT Hardware and System Outage at one of the legacy district sites. All of these risks have detailed mitigating actions which are reviewed and updated as part of the embedded risk management process within the IT Management Team.
- 2.15 The Strategic Risk Register is a standing item on the RMG agenda, and the latest version was reviewed following updates from CMT in October 2021. There had been little change in the strategic risk profile, however members of RMG scrutinised the progress of mitigating actions.

3. Other options considered

- 3.1 This should include information on the pros and cons of each option.

4. Legal and financial implications

- 4.1 None.

5. Corporate implications

None

6. Local councillors & community boards consultation & views

- 6.1 N/A.

7. Communication, engagement & further consultation

7.1 N/A.

8. Next steps and review

8.1 The next meeting of the Risk Management Group is on 10 January 2022.

9. Background papers

None

