



Social Security Scotland
Tèarainteachd Shòisealta Alba

Social Security Scotland Risk Review Group

Terms of Reference



Version History

| Version | Produced by | Reviewed by | Approved by | Publication date |
|---------|-------------|--|---------------------------|------------------|
| 1.0 | Secretariat | Risk Review Group Chair and Corporate Assurance and Risk Manager | Risk Review Group Chair | - |
| 1.1 | Secretariat | Risk Review Group members, Chair and Deputy Chair | Risk Review Group members | 28/04/23 |
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Change History

| Version | Detail of Changes Made |
|-------------------------|---|
| Changes for version 1.0 | First pass of all sections- membership confirmed except Health and Social Care. |
| Changes for version 1.0 | LS comments. |
| Changes for version 1.0 | SM updating from meeting with JW |
| Changes for Version 1.0 | SM and LS amendments |
| Changes for Version 1.1 | Amendments from members (QR). |
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Purpose/ Remit

Social Security Scotland's Risk Review Group has delegated responsibility from the Chief Executive and Accountable Officer of Social Security Scotland to oversee and ensure the effective management of Social Security Scotland's risk and issue and the implementation of Social Security Scotland's risk and issue management approach.

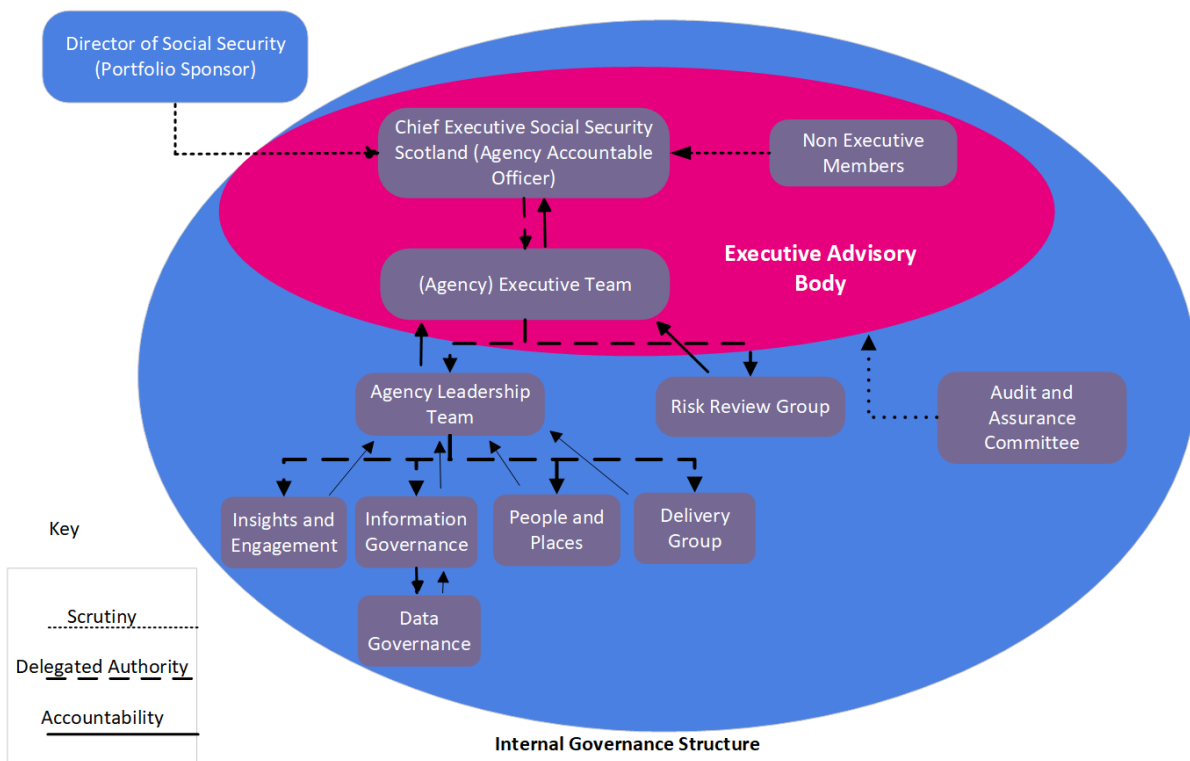
The Risk Review Group is a decision making and permanent forum with the following purpose:

- To aggregate Divisional level risk and, where appropriate, frame those aggregations as strategic level risks recorded on the strategic risk register;
- To scrutinise Divisional controls and mitigations for Divisional risks and issues that contribute to Social Security Scotland's strategic level risks;
- To recommend to appropriate Social Security Scotland Governance groups where additional control or mitigation is required for strategic risks and issues that are insufficiently controlled or mitigated by the aggregate actions of Divisions;
- To escalate strategic risk and issues to the Accountable Officer, where appropriate, for onward escalation to the Director General Communities;
- To provide Social Security Scotland's Accountable Officer with assurance that Social Security Scotland's framework for the Operational and Strategic management of risk and issues is robust and effective.



Reporting Lines

The internal governance structures show where the Risk Review Group sits within the hierarchy of Social Security Scotland ;



Social Security Scotland’s Risk Review Group will report to the following bodies on the established timelines:

- Social Security Scotland’s Audit and Assurance Committee- Quarterly – written report and dashboard.
- Social Security Scotland’s Executive Team – Quarterly - written report and dashboard.
- Social Security Scotland Agency Leadership Team – monthly- dashboard.



Business Conducted by Social Security Scotland Risk Review Group

Give detail on regular business the group considers.

| Item | Frequency |
|---|-----------------------------------|
| Recommendation of Deep Dive to Audit and Assurance Committee. | Quarterly (timing to be decided). |
| Horizon Scan | Regular monthly item |
| Strategic Risk and Issues Discussion | Regular monthly item |
| Divisional Top Risks | Regular monthly item |
| Agree previous minutes | Regular monthly item |
| Actions and decisions log update | Regular monthly item |

Membership/ Attendance

| Name | Job Title | Division |
|---------------------------|---|-------------------------------------|
| James Wallace (Chair) | Deputy Director Finance and Corporate Services | Finance and Corporate Services |
| [Redacted] (Deputy Chair) | Risk and Assurance Team Leader | Strategy Change Data and Engagement |
| [Redacted] | Platform Delivery Manager | Chief Digital Office |
| [Redacted] | Planning and Risk Manager | Chief Digital Office |
| [Redacted] | Data Protection and Information Governance Lead | Chief Digital Office |
| [Redacted] | Corporate Finance Lead | Finance and Corporate Services |
| [Redacted] | Head of Place Services | Finance and Corporate Services |
| [Redacted] | Head of Organisational Design & Development and HR Business Partner | Finance and Corporate Services |
| [Redacted] | Head of Fraud and Error Resolution | Finance and Corporate Services |
| [Redacted] | National Engagement and Partnership Lead | Client Service Delivery |
| [Redacted] | Operations Support Lead | Client Service Delivery |



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|------------|--|---------------------------------------|
| [Redacted] | Business Resilience Lead | Client Service Delivery |
| [Redacted] | Business Support Team Lead | Strategy, Change, Data and Engagement |
| [Redacted] | Strategic Communications and Marketing Lead | Strategy, Change, Data and Engagement |
| [Redacted] | External Communications Senior Manager (Corporate) | Strategy, Change, Data and Engagement |
| [Redacted] | Project Manager | Strategy, Change, Data and Engagement |
| [Redacted] | Head of Operations (Health and Social Care) | Health and Social Care |
| [Redacted] | Professional Advisor & Governance Lead | Health and Social Care |
| [Redacted] | Risk, Issue & Measurable Improvements Lead | Social Security Programme |
| [Redacted] | PMO Risk, Issue & Measurable Improvements Manager | Social Security Programme |

Chair and Deputy Chair Responsibilities

The chair will be responsible for:

- Working with the Secretariat team, who will sight the chair on upcoming business/ agendas, provide a short brief ahead of meetings and seek approval from the chair on Key Messages/Notes/Actions following a meeting.
- Attending a pre-meet a week before Risk Review Group with the secretariat so that they will have sight of the agenda in advance. This will allow the chair the opportunity to discuss the agenda and any specific areas to note in advance.
- Deciding to extend or shorten meetings as necessary.
- Introducing speakers to the group during meetings and ensure the item runs to time, while allowing time for valuable discussion.
- For upholding communications inclusive values on calls and [provide guidance on hybrid meeting etiquette](#).
- Continuously improving and streamlining processes around the Risk Review Group meetings, with support from the Secretariat (and other relevant stakeholders), and drive up quality in business/ papers that are brought to the group.
- Escalating any corporate risks above the most senior risk register to the Accountable Officer and progress this to the Director General's community if necessary.

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Member Responsibilities

Membership has been decided by Social Security Scotland's Executive Team. Members are either single divisional representatives, or multiple functional representatives as decided by the Deputy Director for that division:

- Members will be expected to come to meetings prepared, having considered papers issued in advance.
- Where permanent members are unavailable they will provide a deputy with the appropriate authority to make strategic decisions.
- The Chair will also have the authority to decide whether to proceed with the business of a meeting or adjourn the meeting in exceptional circumstances.
- Members may occasionally be asked to make decisions via correspondence.

A minimum of 9 permanent members must be present for meetings to be deemed quorate.

Frequency and Format of meeting

Social Security Scotland's Risk Review Group will meet monthly on the last Thursday of every month. Permanent members are expected to attend as often as possible.

The meetings will be held using hybrid technology with space being made available in both Dundee and Glasgow should members wish to attend in person.

Meetings can be observed and will be arranged through the risk management function inbox: risk@gov.scot

Commitments and Expectations

Members will commit to:

- Openly discuss risk and issues in their area and the impact it will have on strategic objectives
- Attend Audit and Assurance Committee when called upon to support a deep-dive in their area.
- Where necessary will assume risk or issue ownership and support action owners to develop suitable action plans in order to manage corporate threats. They will support

Dignity, fairness, respect.



the assignment of a suitable risk owner and arrange this (with support from the secretariat)

- Accountability when acting as an item sponsor, ensuring a high level of quality assurance in relation to the material being presented.

Strategic Issue Management- Exceptions Process

In order to reflect the urgency with which issues can arise within Social Security Scotland an exceptions process will be set out and members will be expected to support this in the following way:

- When an issue is identified and is deemed not appropriate for business continuity or incident management response, Risk Review Group members will be invited to a meeting on the same day to discuss the issue.
- One representative per division is required to attend.
- Members will determine:
 - If the issue is strategic?
 - If it is not which Division(s) are best placed to resolve?
 - Impact on their division and any response that may be offered
 - Appropriate escalation route
 - Assign temporary issue owner to open communication and begin action plan.
- The temporary issue owner will then provide an update at next Risk Review Group.

The risk exceptions process can be found below in Administration.

Escalation and Review

- Risk Review Group business will be agreed following discussion and with a quorate vote of no less than 9 permanent members.
- Risk and issues will be escalated to the following areas for communication or when an urgent response is required:
 - Executive Team in instances where there is a need to escalate to the Director General's Community.
 - Relevant governance group in instances where action needs to be taken immediately.
- In the event of a disagreement or dispute, the Chair and Deputy Chair will arrange a separate meeting with the individuals in disagreement or dispute to attempt to resolve

the matter. If that is unsuccessful the Chair will raise at the next Executive Team meeting for resolution with the Accountable Officer.

- The group will be assessed to ensure it is delivering what it has set out to do by the Audit and Assurance Committee and Executive Team quarterly.
- An Annual Summary of Progress will be completed to review effectiveness which would include reflection on risks that have materialised and what could be done to ensure similar risks do not (lessons learned).

Administration

The secretariat support will be provided by the risk management team, who will prepare the following documents prior to each meeting and maintain them throughout the year:

- The agenda
- Sponsored items for presentation
- The chair's brief
- The dashboard and update slides
- Decision and action log
- Meeting minutes
- Set up and provide secretariate for any exceptions process meetings (see Strategic Issues Management above).

All Risk Review Group administration documents will be held within eRDM (Social Security Scotland: Risk: 2019-2024).

A request for new items will be issued the week following the last meeting of the Risk Review Group and any papers must be available no later than one week before the next meeting.

A risk to be presented at Risk Review Group will have to have been agreed by Deputy Director Minimum and relevant governance cover sheet and paper will need to be provided (see links below).

Exceptions process for risk:

In the event of an urgent risk to be presented to Risk Review Group the Divisional representative(s) for the area identifying the risk must attend a short meeting to assess the risk, with support from the Risk Review Group secretariate. A decision will then be made to

bring the risk to the next meeting and the Risk Review Group representative(s) will present the risk for approval.

In instances of a risk materialising or an urgent (non Business Continuity) issue appearing, the exception process for issues (above) will be followed.

Minutes and updated decision/actions log will be issued no later than one week following the meeting

To present an item at Risk Review Group members may request an item for the agenda through the secretariat.

Non-members will be asked to provide a governance template, sponsored by their divisional Risk Review Group representative(s).

Links to documents referred to in these Terms of Reference are provided in the table below:

| Section | Document (e.g. website/ eRDM link) |
|---------|------------------------------------|
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