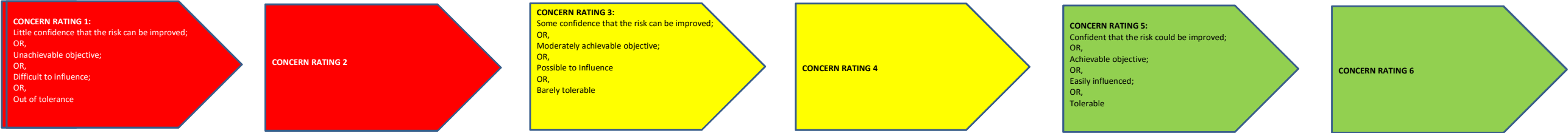


Strategic Risk Register - as at October 2016



Priority	Risk No	Risk Title	Risk Consequences	Risk Owner	Existing Control Measures	Feb-15	Oct-15	Mar-16	Oct-16	Risk Mitigation Action	Owner	% comp	Review Date	Recovery Plan
THRIVING AND VIBRANT ECONOMY	3543	Failure to ensure the adequate supply of land for housing and commercial property growth	<p>There are some important opportunities that Barnsley needs to exploit in order to ensure that it continues to meet its economic growth aspirations. These include the delivery of good quality and affordable housing and a range of commercial property. Underpinning this includes the potential offered through the delivery of superfast broadband, the use of low carbon technology and the scope to improve the area's visitor economy through better operation of its cultural assets (to attract visitors and spend) which will add to the overall viability of such housing and commercial schemes.</p> <p>In order to address the challenges and to maximise these and other opportunities, it will be essential to work in partnership with a variety of stakeholders to deliver a suite of priorities and key interventions, complete major regeneration projects, target both housing growth and business development and growth, and link new and existing jobs more effectively to local people.</p> <p>There are financial pressures making the delivery of the Local Plan difficult, but the positioning in two city regions (Leeds and Sheffield) provides opportunities to identify and maximise funding from these sources.</p>	SMT SMT	<p>Local Plan Working with Sheffield City Region regarding SCRIF funding to facilitate the development of Strategic Business Park infrastructure; Housing Strategy 2014 - 2033 outlines the Council's ambitions for regeneration and building in the region and relies on the Local Development Plan to identify and obtain land, and SCR and LCR to assist in building developments; SY Superfast Broadband programme which is intended to improve the infrastructure in the Borough, to benefit both commercial and residential stakeholders; Property Investment Fund set up to facilitate the identification of land to build speculative developments to aid commercial growth; Enterprising Barnsley schemes focusing on attracting inward investment, investing in infrastructure, growing existing businesses and encouraging higher activity start ups; Skills Plans completed; Other strategies in place include Jobs and Business, Transport and Employment and Skills that aim to make the Borough a thriving and unique place to live, work, visit and trade; Local Plan consultation extended, due to the inclusion of new development sites, and is due to be reported back to Cabinet in September 2015; Positive approach to planning applications for housing on sustainable non-Green Belt sites that are yet to be allocated; Overview and Scrutiny Task and Finish Group considered Skills and Jobs in 2016/17; Planning applications being dealt with in appropriate timescales contributing to strong relationship with Planning Board; Quarterly Developer Forums in place;</p> <p>Outcomes: Create more and better jobs and good business growth (GREEN)</p> <p>Increase skills to get more people working (AMBER)</p> <p>Develop a vibrant Town Centre (AMBER)</p> <p>Strengthen our visitor economy (AMBER)</p> <p>Create more and better housing (AMBER)</p> <p>Protecting the Borough for future generations (AMBER)</p>	3	4	4	4	<p>Progression of Devolution Deal - development of deal, consideration of impacts, strategic planning and governance issues and the duty to engage constructively, actively and on an ongoing basis in relation to planning of sustainable development - BMBC signed Devolution Agreement and was considered by Full Council in March 2016. Likely to be devolved funding opportunities and extra powers in respect of land development opportunities - also need to consider whether there are any benefits in developing a regional 'LDF' to sit above BMBC's borough-wide LDF</p> <p>Development of SCR infrastructure plan - to be signed by CA which will begin infrastructure commissioning processes</p> <p>Refresh of Local Plan and approval by Cabinet in March 2016 (this will confirm the allocation available for the Goldthorpe scheme) - Consultations complete with a further report to Cabinet in November 2016 followed by consideration by Planning Inspectorate in December 2016 which will then identify a date for public examination (likely to be March 2017)</p> <p>Delivery of 3 year SCRIF programme (2015-18) : J36 BP: Business Plan in place, funding agreement to sign, Tenders ready; J37 BP: Impact Assessment to be submitted May 16, viability work ongoing, pinchpoint scheme completed; Goldthorpe: Impact Assessment approved, awaiting on Local Plan allocation</p>	ED Place	75% Amber	31/03/17	
											ED Place	90% Green	31/03/17	
											ED Place	80% Green	31/03/17	
											ED Place	75% Green	31/03/17	
CITIZENS ACHIEVING THEIR POTENTIAL	3024	Lack of educational attainment	<p>Negative impact on pupils and parents in terms of health, economic, employment and life choices; Negative OFSTED inspection findings; Failure to meet DfE targets for educational attainment; Damage to reputation through poor performance in published league tables compared to the national average, and in poor inspection outcomes; Reputational damage from press; Potential adverse Annual Performance Assessment; Intervention by DfE;</p>	SMT SMT	<p>Performance Management Framework; CYPF Policies and Strategies; Close monitoring of Government grade boundaries to ensure the Authority remains aware of changing or improving performance targets; Barnsley Alliance established and reports to DMT and SMT; Work with the Barnsley Governors Association to ensure strong governance within schools; School Evaluation Team works to monitor, challenge and intervene in schools to improve standards and outcomes; Children and Younger People's Plan 2016 - 19 being refreshed and will be adopted by the TEG and Cabinet; As at April 2016 the gap has narrowed with national Early Years, Primary and Secondary settings; Looked-After children's attainment included as part of central OFSTED inspection; Corporate Parenting role; Overview and Scrutiny consider Educational Attainment on an annual basis; Children and Younger People's Plan 2016 - 2019 refreshed and adopted by TEG and Cabinet with aspirational targets; Revised approach to assessing performance in schools developed and embedded; GCSE results in Barnsley above national average for first time ever;</p> <p>Outcomes: Every child attends a good school and is successful in learning and work (AMBER) Reducing demand through improving access to early help (AMBER)</p>	4	3	3	4	<p>Barnsley Alliance Plan being developed prior to submission to Cabinet in November 2016</p> <p>Development of SEND strategy to meet the Council's accountability requirements - to be discussed at TEG - strategy in final stages of development</p> <p>Corporate Parenting Panel - delivery of Service Improvement Plan which is monitored by the Safeguarding Governance Board and reported to Education Steering Group chaired by Cllr Cheetham - governance structures for 'virtual school' in place - monitor and review arrangements 16/17</p>	ED People	95% Green	31/03/17	
											ED People	95% Green	31/03/17	
											ED People	75% Green	30/09/2016	
	3025	Failure to safeguard vulnerable service users	<p>The risk of not safeguarding vulnerable children, adults and families who are either known or not known to the service; The risk is greatly enhanced due to a 98% increase in referrals within the Borough in recent years which is affecting the ability to properly manage cases, which could result in a significant case being missed;</p> <p>Changes in demographics mean there are more 'older-older' people which means an increased demand for services; As increased pressure mounts to reduce budgets / spending, there will be a likely increase in demand for assistance, intervention and help from service users who are also under significant financial pressure; Better care at an young age for those with physical or other forms of disability means life expectancy increases which puts further pressure on Adult Services;</p> <p>Arrangements are not sufficient to keep children and young people safe from harm, abuse or neglect; National and local child abuse enquiries affecting public confidence and reputation of local authorities and other agencies; The risk is compounded by whether or not the children at risk are known to the service; The system that delivers to children, young people and families is increasingly complex. Complexity arises from a number of factors; the number of partners with responsibilities for commissioning and/or delivering services to vulnerable children; the changing legislative, policy and financial landscape; the different mechanisms for partnership working to align delivery and test the effectiveness of services; the potential for changes within the workforce at operational levels and strategic levels;</p>	SMT SMT	<p>Adults Safeguarding Board; Barnsley Safeguarding Children Board; Service Delivery Plans / Business Plans; Risk enablement built into Personalisation – management of Personalisation / Personal Care packages that require less regulated services, makes better use of commissioning resources and ensures people are better placed to look after themselves; Service Improvement Plan (Children's) developed to deliver OFSTED Safeguarding Recommendations; Sign-posted Universal Information and Advice; Safeguarding Scrutiny Committee formed May 2015 (was Children's Services Scrutiny Board) with workplan in place; Monitoring of Barnsley Safeguarding Children Board and Adults Safeguarding Board Risk Registers; Improved Ofsted judgement; Review of 'Front door'; Promotion of use of CAF/Early Help Assessments; Safeguarding Board includes CSE Strategic Group which reports directly to the Safeguarding Board; Opportunities to undertake Lessons Learnt reviews are fully exploited by the Safeguarding Board (including regional and joint learning); Action Plan developed using OFSTED inspection framework; Restructuring for Future Council complete; Stronger Communities Programme in place; Governance arrangements in place which includes the overseeing of the Executive Group being overseen by H&WB Board; Continuous Service Improvement Framework developed; Implementation and management of Personal Budgets programme, including building 'risk-enablement' into services users in place; Analysis of national guidance issued and full review now complete and new operating model is in place; Local Welfare Scheme established; Early Help for Adults delivery group in place; Peer review regarding Early Help completed - Early Help Action Plan monitored through Early Help Strategic Group; SY Safeguarding Procedures and production of Annual Report; Performance Quality Management Framework in place; Member briefings for Children's and Adults; Implemented JA recommendations regarding Casey improvements; Safeguarding Scrutiny Committee - annual topics; Private Member briefings in place; Refresh of Adults Safeguarding Board arrangements and sub-structures including Annual Reporting arrangements and production of Business Plan; Review of Target Operating Model (TOM); Adults Social Care Peer review - outstanding actions consolidated into Business Plan; Making Safeguarding personal programme - outstanding actions consolidated into Business Plan;</p> <p>Outcomes: Children and Adults are safe from harm (AMBER)</p>	4	3	3	3	<p>Stronger Community Partnership includes Anti Poverty sub-group which benefits from Delivery Action Plan which is reportable and accountable to the Health and Wellbeing Partnership 16/17</p> <p>Stronger Community Partnership (multi agency) established to deliver improvements in early intervention and prevention 16/17</p> <p>Adults Safeguarding - development of outcome based Performance Framework</p> <p>Second review of TOM - phase 2 action plan in development</p>	ED Communities	60% Green	31/03/17	
											ED Communities	60% Green	31/03/17	
											ED People	10% Green	31/03/17	
											ED People	10% Green	31/03/17	

Priority	Risk No	Risk Title	Risk Consequences	Risk Owner	Existing Control Measures	Feb-15	Oct-15	Mar-16	Oct-16	Risk Mitigation Action	Owner	% comp	Review Date	Recovery Plan
	3026	Failure to achieve a reduction in Health inequalities within the Borough.	Health inequalities persist. Life expectancy in Barnsley remains well below the national average and varies between different parts of the borough. Although life expectancy has increased, the gap between Barnsley and the rest of the country has continued to widen. Such health inequalities challenge not just the health and social care services but every one interested in the future prosperity and well-being of the borough. It is unacceptable that people's health and quality of life varies so much with the sort of work they do or where they live. The cost of health inequalities is borne not just by health and social care services and, of course, parents, carers and children, but by employers and the local economy. Good health is essential to the borough's economic regeneration. Healthy people are less likely to be socially excluded and more likely to be in work. Healthy children are more likely to do well at school. All the available evidence shows that health is closely associated with people's standard of living, occupation, level of education and where they live - there are significant differences in terms of average life expectancy depending on where in the Borough one resides; Reduced 'Healthy Life Expectancy' (a population health measure that combines age-specific mortality with morbidity or health status to estimate expected years of life in good health for persons at a given age in the Borough);	SMT SMT	Director of Public Health in post to provide leadership; Liaison with Clinical Commissioning Group (CCG) and GPs to ensure that the right services are being commissioned; Joint Strategic Needs Assessment (JSNA) undertaken to ensure an appropriate understanding of the requirements of the population of Barnsley; Health and Wellbeing Strategy identifies six key objectives - and within these, it is acknowledged that it is impossible to 'try and do everything' - the objectives and key deliverables identify the significant areas of concern; Oversight of Health and Wellbeing Strategy provided by partnering organisations and agencies that are best placed to deal with the issues (health - hospital, alcohol - police etc); Six-monthly reports to Health and Wellbeing Board; Structure and procedures in place - need to assess impacts / benefits to identify effectiveness; H&WB Board established JSNA undertaken and programme boards now in place; Public Health now integrated into BMBC - Public Health Development Programme established; Public Health Strategy agreed; Outcomes: People are happier, healthier, independent and active (RED)					Public Health Strategy and Implementation Plan developed to enable DPH to hold Service Directors to account regarding health outcomes that are now vested with service areas - Strategy developed and presented to SMT, H&WB Board and Cabinet - now developing action plans and key milestones in terms of delivery - 3 key action plans in draft format with developing governance arrangements - been considered by H&WB Board - now being progressed and references Sustainability Transformation Plan (STP) - Tobacco and Alcohol prevention plans link to STP and the local Barnsley Plan feeds into this also	Director Public Health	30% Green	31/03/17	Revisions to policy - liaise with Leader, PH spokesperson and Chief Executive - consideration of 'call to action'
						2	2	2	2	Delivery of Public Health 'distributed model' including the monitoring and reviewing of impacts and outcomes on Future Council - distributed model to include sector led improvement recommendations which are to be considered by SMT - needs some further refinement in 2016	Director Public Health	40% Green	31/03/17	
										Internal governance and assurance arrangements for the use of the Public Health Grant across the Council are necessary to assure PH England and the Department of Health that the grant is being used to improve public health outcomes – indicators in place and agreed across Directorates. Priority areas for PH grant being identified and developed.	Director Public Health	50% Green	31/03/17	
	3047	Failure to protect the health of the population from preventable health threats.	Failure to protect health and population against preventable disease by ensuring appropriate levels of vaccination, immunisation and screening.	SMT SMT	Liaison with NHS regarding large scale response; Health Protection Agency Framework in place; Maintenance of World Health Organisation targets; Overview and Scrutiny Task and Finish Group considered vaccination, immunisation and screening issues during 2014/15; Currently Barnsley has above average coverage regarding public health related screening; Use of NHS England website and resources; Health Protection Assurance paper to Cabinet 12/02/2014; Health Protection Board established; Transition into BMBC complete; BMBC DPH is co-chair of Local Health Resilience Partnership;					Monitoring of Health Protection Board (HPB) to ensure any system issues associated with working with CCG and partners are identified and addressed - ongoing discussions with CCG regarding Health Protection arrangements. HPB established – good engagement from partners and proportionate systems are in place. Emerging links with Emergency Planning developing.	Director Public Health	50% Green	31/03/17	
						3	3	3	3	Liaison with Public Health Communicable Disease representative - need to update key plans and report these to the Health Protection Board	Public Health	25% Amber	31/03/17	
	3023	Failure to engage with stakeholders	Non ability to explain Authority's position and / or public relations. Failure to communicate effectively with community stakeholders. Lack of proper engagement with stakeholders, at the right level, and at the right time. Loss of confidence in ability to deliver services or respond to problems. Lack of community support which prevents and / or hinders improvement or effective implementation of change. High expectation of service delivery and resource availability despite budget reductions. Poor engagement with regard to Future Council Activity could result in legal challenge; Increased community tensions as a result of Brexit decision resulting in a loss of community cohesion and increased incidents of hate crime;	SMT SMT	Revised Governance Arrangements regarding Area Councils and the changing role of Elected Members; Use of key partners and LSP to coordinate wider communication activity; Review of Community Engagement Strategy borough-wide; Resourcing agreed to support the review and development of the Community Engagement Strategy; Review of approach to engaging with CCG; Increasing use of social media to assist with engagement; Introduction of Barnsley 'Help'; Conclusion of voluntary, community and social enterprise infrastructure review; One Barnsley Consultation taking place - seeking views and aspirations as to what Barnsley should be like in 2025; Outcomes: People volunteering and contributing towards stronger communities (GREEN)					Refresh of Community Engagement Strategy that underpins Stronger Communities Partnership and Community Safety Partnership (council, not multi-agency)	ED Communities	25% Green	31/03/17	
						3	3	3	3					
	3792	Failure to be prepared to assist in the event of an emergency resilience event in the region	Recent emergencies relating to industrial actions and flooding proves there is still an inappropriate reliance on H&S&ERU to manage and lead on the management of emergency events; The emerging risk environment is increasingly making continuity or 'resilience' a significant focus for all organisations. Reduced employee numbers, service rationalisation, third party service delivery models and on-going budget cuts may challenge the Authority's ability to fulfil its Civil Contingencies Act 'Category One' responder duties to an extent expected by residents and their political representatives. In addition, the transition to Future Council will lead to established emergency response arrangements no longer reflecting the Council's operational structure. Compounding this is a lack of engagement by employees to volunteer for emergency response duties that will mean that currently expected responses in relation to flooding cannot at present be delivered. The extent of the transition to Future Council necessitates in many cases the complete review of Business Unit and Service Business Continuity Plans to reflect revised structures and resources if they are to be able to continue to deliver critical functions in the event of a business interruption. Recent emergencies relating to industrial actions and flooding proves there is still an inappropriate reliance on the increasingly limited resources of the H&S&ERS to manage and lead on the management of emergency events.	SMT SMT	Business Unit/Service Business Continuity Plans developed using the template provided; Corporate Resilience Plan and supporting specific plans; Ongoing liaison with SMT regarding aspirations and expectations during emergency events; Formal on-call arrangements by the Health, Safety and Emergency Resilience Service (bronze/operational) and BLT (strategic/gold); Multi-agency working across the Local Resilience Forum; Operational Services role as 'Lead Local Flood Authority'; Corporate emergency plans appear robust and are well delivered - concern raised regarding the management of those incidents that occur 'out-of-hours'; Business Case developed for Humanitarian Assistance role; Ward Alliances encouraged to consider and develop Community Flood plans - Dodworth, Darfield and Penistone visited; Corporate Resilience Plan reviewed following transition to Future Council; Business Unit level plans reviewed with Internal Audit; Overview and Scrutiny Task and Finish Group to look at flooding in 2016/17; Extra resource in place within Health &Safety and Emergency Resilience Unit;					Report to SMT which identifies a number of improvements to the Council's emergency resilience arrangements based on analysis undertaken against SOLACE Best Practice - Action Plan approved and now delivering against this	Director of Human Resources, Performance and Communicati ons	25% Green	31/03/17	
						N/A	N/A	2	2	Top 5 service Business Continuity Plans passed to IS to identify IT implications and requirements - met with IT managers - Head of System Management dealing with broad resilience arrangements. Head of Code Green dealing with service related resilience	Director of Human Resources, Performance and Communicati ons	25% Green	31/03/17	
										Await feedback from SD BU 6 following analysis of Community Flood Plans by Head of H&S	Director of Human Resources, Performance and Communicati ons	35% Amber	31/03/17	
	3793	Failure to ensure that appropriate disaster recovery arrangements are in place to ensure the Council is able to recover in the event of a business continuity threat or incident	In the event of a business continuity threat the Council will be unable to recover in an effective manner resulting in lost time and resources; Inability to process customer queries resulting in dissatisfaction, complaints and possible issues regarding safeguarding and vulnerable customers; Lack of support to employees such as that provided to lone workers as a result of IT and telephony systems being unavailable for significant lengths of time; Inability for customers to be able to access services; Lack of access to IT systems to enable employees to undertake their duties effectively;	SMT SMT	Working with H&S&ERU; Data Centre located at Beevor Court; Working with Business Units to understand their requirements; Informal testing programme in place; SMT report approved May 2016 to support removal of out of hours support for service desk; Power supplies tested on a weekly basis;					Analysis of top 5 service Business Continuity Plans which have been passed to Information Services to identify IT implications and requirements from H&S - initial analysis undertaken which suggests that the level of detail required is lacking - feeding back to H&S&ERU	Director of Finance Assets and IT	25% Amber	31/03/17	
						N/A	N/A	2	2	Undertake weekend (minor incident) testing, and undertake annual (major incident) testing of IT resilience - currently mapping priority disaster recovery systems against BMBC Resilience Plans - currently in progress	Director of Finance Assets and IT	10% Amber	31/03/17	
										Formalise testing plans that will focus on systems and people / behaviour	Director of Finance Assets and IT	0% Amber	31/03/17	
										Business Continuity Plan in draft format, corporate Business Continuity Plan being investigated. Disaster Recovery Plan being investigated	Director of Finance Assets and IT	10% Amber	31/03/17	

Priority	Risk No	Risk Title	Risk Consequences	Risk Owner	Existing Control Measures	Feb-15	Oct-15	Mar-16	Oct-16	Risk Mitigation Action	Owner	% comp	Review Date	Recovery Plan
	3022	Inability to direct corporate strategy	The Authority may be challenged by internal friction between Elected Members and appointed leadership, especially with regard to challenging decisions with significant political consequences or local repercussions; Increased commissioning activity in 16/17 will means there is a greater exposure to challenge and friction;	SMT SMT	Council Constitution; Local Code of Corporate Governance; Community Strategy for Barnsley (2011-2015); Corporate Plan; In the event of Constitutional dispute, role of Monitoring Officer to adjudicate as and when tensions arise; Area Council Arrangements in place, with supporting documentation in the form of 'Area Governance Handbook', 'Ward Alliance Governance Handbook', 'Ward Alliance Community Representative Handbook', 'Consulting and Engaging our Communities through Neighbourhood Networks' and 'Working with you to support your Community'; Purple Cabinet meetings used as a forum to discuss sensitive and confidential issues; SMT meetings and processes to ensure leadership is able to keep in touch with regard to pressures; Area Chairs meet each other on a regular basis to ensure cooperation and consensus; Member information session held regarding Conduct and Commissioning; Revisions to Contract Standing Orders (CSOs) to enable flexibility; Officer Working Group in place to support commissioning and procurement activity; Area Council Officer Coordinating Group to unpick issues relating to Area Governance - developing Member Protocol to deal with potential tensions within Ward Alliances in place and working effectively; Area Council Commissioning Group to unpick issues relating to procurement and commissioning in place and working effectively; Area Council Chairperson Group to encourage cooperation and consensus amongst Area Councils in place and working effectively;	3	3	3	3	Monitor and Review Area Council activity (in terms of Area Council Coordinating Group, Area Council Commissioning Group and Area Council Chairperson Group) (16/17)	Director - Legal & Governance	50% Green	31/03/17	Refer matter to Monitoring Officer for adjudication.
										Monitor and review the implementation and effectiveness of revised Contract Procedure Rules to deal with commissioning of internal services from Area Council budgets (16/17)	Director - Legal & Governance	50% Green	31/03/17	
	3027	Failure to manage organisational change - 'Risk of Destabilisation of the Organisation'	Significant budget cuts are driving the 'Future Council' programme. This change programme is dramatically transforming the organisation's business model. For example, delivering services and outcomes through mixed economy partnerships and outsourced contracts. Infrastructure transformation initiatives, process re-engineering and organisational change programme and projects may be challenged by cost over-runs and failure to meet expectations.	SMT SMT	HR Policies; Council Constitution; Service and Financial Planning Process; Service Delivery Planning Process; Partnership Governance Framework; Corporate Complaints Policy; Risk Management Policy; New Models of Business - departments and services considering and implementing new Trading Models; Changes to Employee Terms and Conditions; Employee Relations Forum with Trade Unions; Talkabouts Sessions with CX and Middle Manager Conference; BLT and SMT sessions to assist in communication; Restructure of Communications Division now with ACE HR, P&P and Comms; Investor in People accreditation; Future Council Steering Group being led by HR; Future Council Programme Board being led by CX; Programme and Project Management issues now being identified and mitigated at Directorate level; 'Excellence' achieved by Corporate Equalities Group; Communications Strategy revised in 2015; 'Tell Us What You Think' Month September 2015; All Business Plans in place prior to April 2016; Talkabout sessions delivered in May 2016; Staff Survey 2016 - 2020 (including employee preference questionnaire); Social Media policies in place;	5	5	5	5	Consideration of organisational change requirements following the development of the Council's MTFS (16/17)	Chief Executive	50% Green	31/03/17	
										Talkabout sessions being developed for November 2016 with Chief Executive and Leader	Director of Human Resources, Performance and Communications	50% Green	31/03/17	
	3028	Workforce planning issues	The Authority is currently undergoing tremendous organisational change. This will create significant workforce issues around having the right skills, people and employee capacity. The Authority will require employees to have different skill sets that underpin a transformed business model. Operationally, risks inherent in organisational down-sizing initiatives will include: - Increasing workforce productivity; - Getting the balance right between cost and benefit; - Need to reduce deficit reductions; - Balancing the impact of reducing the workforce and the economic impact on the community; and, - Maintaining morale in the remaining workforce.	SMT SMT	HR Policies; Council Constitution; Equalities and Diversity Policy; Risk Management Policy; Management and monitoring of 'Future Council' / KLoE activity; PULSE Survey to measure progress in key areas since the last full employee survey in 2011; Development of Adobe Forms to assist management processes; As at October 2013 37% of employees benefit from a current PDR; HR Reorganisation completed; As at 31/03/2015 81% of employees benefit from a current PDR; Corporate Plan 2015 - 2016; Organisational Development Strategy monitoring reports to Scrutiny; Regular progress reports against Future Council characteristics to SMT; As at 26/03/2016 65.9% of employees benefit from a current PDR; NW Employers session - workforce planning now a more important element of Business Planning processes;	3	3	3	3	Refresh of Corporate Plan to align it to 2020 outcomes - will also include a review of the Future Council Strategy which will join up the Future Council Strategy to the Workforce Development Strategy and also ensure the Future Council Improvement and Growth Strategy is more aligned to resourcing and financial influences	Director of Human Resources, Performance and Communications	0% Green	31/03/17	
	3029	Failure to safeguard information	The Council is increasingly managing, storing and maintaining personal data and information as part of the delivery of services. With data held in a vast array of places and transferring between supply chain partners, it becomes susceptible to loss, protection and privacy risks. Loss of personal and financial information held by Council employees and systems; Financial and non-financial penalties from Information Commissioners Office; Loss of public confidence in the ability of the Council to store sensitive information, possibly resulting in a reduction in the use of public self-service facilities; Failure to maintain PSN compliance leading to the suspension of the Councils connection to the government secure network; Non compliance with Data Protection Act and Freedom of Information Act; Non compliance with Payment Card Industry Data Security Standards (PCI DSS) leading to the inability to process payment card transactions; Failure to ensure that unwanted data is cleared and disposed of, leading to non-compliance with DPA requirements; Inability to gather data from other agencies to strengthen and benefit the Council's activities; Failure to have appropriate data sharing agreements with agencies and partners leading to vicarious liability in the event they lose or misplace sensitive information; Inability to ensure that partners that we share data with are in themselves compliant with appropriate guidance and legislation;	SMT SMT	Information Management and Governance Policies; iACX (Legal and Governance) has taken on the role of Senior Information Risk Officer (SIRO); Information Security and Computer Usage Policy in place; Information Governance Team in place to provide advice, guidance and training; PSN compliant; Records Management Team in place to provide advice, guidance and training; Information Governance Board refreshed and re-established and engaged in corporate risk management arrangements; Technical Architect role filled; Some initial actions have been taken as a result of IT Health Check to control, and restrict access: • Reduced permissions • Deactivated USB ports • Deactivated removable media options • Implemented temporary changes to homeworking solutions. The Council's core infrastructure has benefited from: • Patching • Protection. Caldicot guardians in place within Communities and People Directorates; Communities and Public Health have IG Steering Groups in place; Review of technical architecture completed and action plan identified; BMBC Cabinet agreed to endorse the requirement to achieve Baseline Personnel Security Standard (BPSS); IT business plan been through 'Check and Challenge' process; Information Governance Board confirmed engagement will be undertaken with DMTs to ensure actions arising from the IG Toolkit are completed; IT Business Plan produced and presented to 'check and challenge' session - analysis of other business plans to identify IT requirements and resourcing complete; Implementation of EGRESS secure email solution completed; Majority of IG Framework now in place; Proactive Phishing campaign to identify risk areas; Proactive approach to PSN compliance - addressing lower risk issues that may become bigger in future years; Sharepoint being rolled out across Council during 2016/17;					Programme of activity to assist in achieving Baseline Personnel Security Standard (BPSS) - 2015 round of BPSS compliance included 1500 employees - specification moving - full time developer in place to work on scheme for 6 months	Director of Human Resources, Performance and Communications	85% Green	31/03/17	Enable revisions to infrastructure that will allow limited communications.
										Removal of Citrix from personal computers due to PSN constraints - due July 2017	Director of Finance Assets and IT	0% Green	31/03/17	
						4	4	4	4	Review of IG Toolkit - aiming for L3 compliance in 2017/18	Director of Finance Assets and IT	0% Green	31/03/17	
										ICT systems access system access, review policy and simplify process for new starters, movers and leavers	Director of Finance Assets and IT	0% Green	31/03/17	
										Information flow mapping activities to ensure compliance with General Data Protection Regulations 2018	Director of Finance Assets and IT	0% Green	31/03/17	

Priority	Risk No	Risk Title	Risk Consequences	Risk Owner	Existing Control Measures	Feb-15	Oct-15	Mar-16	Oct-16	Risk Mitigation Action	Owner	% comp	Review Date	Recovery Plan
ONE COUNCIL	3031	Strategic Performance, governance or compliance failure	Budgetary pressures to minimise back office functions may drive the Authority to downgrade the focus on meeting proper governance standards and ultimately, remaining 'safe'. The implementation of the Area Council Arrangements has required the Council's Constitution to have been significantly reviewed to ensure Area Council governance and Ward Alliance governance issues are included.	SMT SMT	Council Constitution; Local Code of Corporate Governance; Information Management and Governance Policies; ToR for Audit Committee; ToR for Scrutiny Committees; Internal Audit; Risk Management Policy; Performance Management Arrangements including revised Corporate Plan Performance Report and 'We Will Statements'; Terms of reference for all Overview and Scrutiny Committees reviewed; Scrutiny Committee workplans are now aligned to Corporate Priorities; Briefing for Elected Members relating to Performance Management of Area Council activity; Revised AGR process for 14/15; Analysis of Casey Rotherham Safeguarding Report undertaken - report to SMT in February 2015 including recommendations for Internal Audit activity;	4	4	4	4	Monitoring and reviewing of revised governance arrangements - further review 2014/15 identified positive activity regarding commissioning but at Ward Alliance level, some Members are still doing things in the 'old' way and monitor and reviewing for 16/17 in light of increased commissioning activity at Ward Alliance level in future years and the implementation and effectiveness of revised Contract Procedure Rules to deal with commissioning of internal services from Area Council budgets (16/17)	Director - Legal & Governance	50% Green	31/03/17	Refer matter to Audit Committee / External Audit for consideration.
										Monitoring of AGS Action Plan which includes the improvement requirement regarding the recording of Officer decisions 16/17	Director - Legal & Governance	75% Green	31/03/17	
	3033	Failure to adapt the Authority into a sustainable organisation - 'Failure to maintain current services'	The need to balance the books, gain efficiencies and meet new demands could lead the Authority into drastic measures that could increase long-term risks and costs, both to the organisation as well as to the community. The Authority runs the risk of moving away from addressing problems with long-term solutions, such as capital investment projects essential to meet social and area-based economic challenges. 'Short-termism' could potentially lead to decaying infrastructure and an inability to develop long-term economic vitality. Need to ensure that the Authority has the right people to ensure sustainable opportunities are being exploited to their maximum. Development of City Region Devolution Deal which while fiscally neutral, will provide more opportunities to strengthen the sustainability of the organisation by transferring a number of powers and policy levers from central Government to local leaders, including skills, employment, business support, transport and housing.	SMT SMT	Council Constitution; Performance Management Framework; Growing Barnsley's Economy (2012-2033) - Economic Strategy; Customer Services Organisation project; Integrating areas of work and consideration of new Service Delivery models such as traded services or social enterprise; Consideration of joint commissioning opportunities; Two year Medium Term Financial Strategy approved and agreed by Full Council in February 2016; Contract for Leadership and Management training for all 4th tier and above officers agreed with IODA Training completed. Second wave of leadership training underway; Corporate Plan 2015 - 2018 developed; All Business Plans submitted prior to April 2016; Director of Public Health recruited to post – all other Service Director posts are filled, or recruitment is underway;	4	4	4	4	Development of new Corporate Plan 2017 - 2020	Chief Executive	25% Green	31/03/17	
										Refresh of Future Council Strategy and Workforce Development Plan to align them to the Corporate Plan 2017 - 2020 (will include merging FC Strategy and FC Workforce Development Plan)	Director of Human Resources, Performance and Communicati	0% Green	31/03/17	
										Development of Talkabout sessions for Chief Executive and Leader regarding MTFS, Service and Financial Planning and Business Plans - November 2016	Chief Executive	50% Green	31/03/17	
										Consideration of organisational change requirements following the development of the Council's MTFS	Chief Executive	50% Green	31/03/17	
	3034	Failure to deliver the MTFS - 'Failure of Future Council to achieve the required level of savings'	Risks relating to the MTFS fall into two main areas: - Agreeing a three year plan with Directorates and Members; and, - Ensuring delivery against the agreed plan, managing variances and areas of over / under spend to enable the budget to be balanced. Adverse effect on the Council's reserves / prudential borrowing / Treasury Management activities; Council's reserves falling below minimum working balance levels; Impact on service delivery and council policies; Adverse External Audit report / opinion; Government intervention; Inability to undertake robust planning in terms of Future Council activity; Non-achievement of KLoE savings and consequences on future years programmed or planned savings; Inability to develop and implement a 'Plan B' or contingency plan in the event of further savings being required;	SMT SMT	Budget Monitoring and Reporting; Financial Regulations; Corporate Debt Strategy; SAP / EBP / Financial Systems Procedures; Treasury Management Policy; Forecasting of expenditure and resources; Service Delivery Planning and Service and Financial Planning Processes; Prudential Borrowing Strategy and Indicators; Budgetary Control / Budget Monitoring Processes; Annual Governance Review Framework; Ongoing development of SAP; Management of Assumptions and Constraints within MTFS; Horizon Scanning in terms of changing legislation and policy that may affect MTFS; A range of budget saving options (KLoEs) have been developed and agreed to enable Future Council scenarios for 13/14 and 14/15 to be reflected in 15/16 budget; Asset Management Disposal Report approved by Cabinet; First £15 million of budget savings identified, and agreed by Cabinet (now need to monitor delivery); 2 year financial plan now set - now need to monitor delivery against this; Monitoring of political situation following Election 2015 - Comprehensive Spending Review and Autumn Statement; Current MTFS has been considered and approved by Members and included a number of savings that will not be required; Balanced Budget in place for 17/18;	5	4	3	4	Use of BPC Business Objects by Executive Directors and Service Directors (16/17)	Director of Finance Assets and IT	75% Green	31/03/17	Re-negotiate with Cabinet to seek an agreed budget.
										MTFS (17/18) - budget savings agreed, need to refer back to Members for final approval	Director of Finance Assets and IT	0% Green	31/03/17	
										Financial Monitoring (16/17) to ensure delivery is in line with plan - overspends being identified and picked up with relevant SD	Director of Finance Assets and IT	75% Green	31/03/17	
										Full review of MTFS to be undertaken - to ensure relevance, materiality and appropriateness, including assumptions regarding the Council's Financial and Capital Plan to feed into 17/18 4 year plan (16/17)	Director of Finance Assets and IT	75% Green	31/03/17	
										Monitoring of the situation regarding Business rates which links to the broader discussions regarding the regional devolution deal - BMBC well placed due to SIGOMA influence (16/17)	Director of Finance Assets and IT	75% Green	31/03/17	
3035		Loss of assets and resources as a result of a one-off incident of fraud / corruption / bribery or sustained or widespread occurrences.	Occurrence or incidents of sustained and / or widespread and / or one off / big bang occurrence of Fraud and Corruption leading to financial loss, loss of income, property and other assets; Fraudulent transactions, contracts / payments and the like perpetrated by employees and / or third parties; External Audit public interest report; Loss of management time in undertaking investigations, be they 'real' incidents, or vexatious claims; The consequences of this risk will greatly depend on the context of the individual incidents, and will be greatly influenced by both the scale of the incident, and the position of the perpetrator within the Organisation; Negative impact on employee morale either through actual incidents, or suspicions of incidents being perpetrated; Tensions and issues with morale within groups / teams as a result of changes within and to the organisation; Increased opportunities to commit fraud due to management attention being distracted by change programmes and increased workloads; Losses arising from officers not doing their jobs properly, or not expending the amount of effort that may have been normal previously, due to morale and motivation issues; Increased risk of third party IT attacks on BMBC systems such as hacking for personal data, general mischief and disruption or to facilitate the transacting or processing of false documents; Negative impact on BMBC's reputation through the actions of partners and the perception that BMBC could be guilty by association;	SMT SMT	Anti Fraud, Corruption and Bribery Policy which is developed and refined following analysis of the Annual Fraud Risk Self Assessment (FRSA); Anti Money Laundering Policy which is developed and refined following analysis of the FRSA; Whistleblowing Policy which is developed and refined following analysis of the FRSA; Prosecutions Policy in place to ensure the Authority is open regarding censure relating to inappropriate behaviour; Council Constitution; Local Code of Corporate Governance; Member and Officer Codes of Conduct; Police involvement / criminal investigations; Annual Fraud Self Risk Assessment; NFI Data Matching; Membership of NAFN; IT usage policies and procedures; IA for CA and other major organisations; Corporate Fraud Team in place; Fraud and Corruption included in AGR process; BOLD Elearning modules in place;	3	3	3	3	A) Develop governance arrangements around Area Councils and Ward Alliances - Audit delivered which covered procurement arrangements 16/17 - now delivering recommendations	Director - Legal & Governance	75% Green	31/03/17	Escalate matter to HR, Police etc. Undertake full systems review of affected area(s).
										B) Ensure there is an adequate and appropriate relationship between IA, HR, Legal and the Police to respond to any incident - to be refreshed as part of the establishment of the new BMBC Anti Fraud Team, led by the Corporate Anti-Fraud Team within IA - development of Anti-Fraud Group terms of reference	Director of Finance Assets and IT	25% Amber	31/03/17	
										C) Review corporate training programme utilising corporate PDR information and further development of BOLD training	Director of Finance Assets and IT	50% Green	31/03/17	
										D) Fundamental review of all corporate anti-fraud and corruption policies, procedures and guidance as part of the work of the Corporate Fraud Team	Director of Finance Assets and IT	50% Green	31/03/17	

Priority	Risk No	Risk Title	Risk Consequences	Risk Owner	Existing Control Measures	Feb-15	Oct-15	Mar-16	Oct-16	Risk Mitigation Action	Owner	% comp	Review Date	Recovery Plan
	3514	Failure to be able to deliver the ambitions and outcomes associated with the Customer Strategy Implementation Programme	Leading to... Failure to ensure customers are at the heart of the organisation; Lack of growth regarding our digital service which will be unable to encourage a channel shift in terms of customers interact with the Council resulting in customers not changing their behaviour and not undertaking greater levels of self-service; Unable to resource certain elements of the programme such as ICT technical development to deliver smarter and more efficient processes; Lack of efficient and effective services; Services becoming unsustainable following the Council's journey to Future Council and future financial pressures facing local government; Savings target of £450K to be delivered in 2016/17 (£400K delivered 2015/16 by BensTax service improvements); Directorates / Business Units not embracing the objectives of the agreed Customer Services Design Principles and associated objectives; No 'changing relationship' between the Council and its stakeholders; Issues regarding the capacity and time frame to deliver and concern regarding over promising and under delivering leading to 'work-around' arrangements that are unsustainable; Currently concerns raised regarding capacity with BU11 to provide required level of support to deliver programme;	SMT SMT	Responsibility for Programme delivery now aligned to SD Customer Services; BU7 - new structure and resources; Head of Customer Support and Development in place; Business design, IT technical resources agreed; Lessons Learnt from other significant change programmes such as SAP; Phase One and Two completed; Lessons learnt from previous Phases embedded; Previous CSO Strategy approved by Cabinet; Now transitioning to new stage with concept testing being undertaken with will include the consideration of dependencies and enablers, along with a period of redesign and testing; Cabinet Report detailed 'what' can be done, papers being prepared for SMT and CSO Board to detail 'how' the agreed activities will be implemented; New website in place; Overview and Scrutiny Task and Finish Group considered the Customer Services Strategy during 2015/16; New governance arrangements underpinning programme - Customer Strategy Implementation (CSI) Delivery Group reports to the Future Council Improvement and Growth Board; SMT have agreed and approved the CSI programme of work in September 2016; External Programme Manager in place; Specific work request in place with IT to ensure this activity is 'outside' of their day to day IT workstreams, and therefore should be adequately resourced; Co-produced plan with BU7 and BU11; Funding agreed and allocated - £1.1M Outcomes: Customers can contact us easily and use more services online (RED)					Delivery of Customer Strategy Implementation Programme, including the appropriate consideration of risk at project level, and the escalation of significant risks to the CSI Delivery Group and subsequently the FC Improvement and Growth Board (16/17)	Executive Director Communities	50% Green	31/03/17	
						4	4	4	4	Customer Care / Customer Contact training to be provided to employees who have a high level of contact with the public linking to organisational-wide OD training 16/17 - offer in place using elearning and face to face training - some employees booked into course - awaiting final sign off by CX	Director of Human Resources, Performance and Communications	15% Green	31/03/17	
	3699	Failure to ensure the Council's commercial / trading arm is effective in its operations, and is a well governed organisation	Reputational damage if the BMBC is not seen as a good business to trade with; Lost time and wasted resource in setting up the organisation, completing tenders, submissions and other commercial activities; Lost income which may have been used to avoid service cuts in future years resulting in lost jobs and employment opportunities; Legal / compliance failures if commercial / trading arm is not well controlled and governed;	SMT SMT	Trading organisations to date: - HR Services; - ILAHS; - Financial Services / Audit Services BMBC Legal Services providing oversight and advice regarding company constitution; In terms of the availability of commercial and trading skills, it is acknowledged the Council is working from a low starting point; Consideration of new skills in terms of commerciality, trading and innovation within the Future Council structure; Scheduled governance review to assist in determining the effectiveness of existing governance arrangements; Elements of company being wound up including Barnsley HR Services and Barnsley Financial Services;					Increase the availability of commercial skills and awareness within BMBC Workforce including the skills and organisational discipline to vet Business Cases - Leadership Programme includes consideration of Commercial skills and the development of a 'Commercial Acumen Toolkit' and some courses offered via BBIC	Director of Human Resources, Performance and Communications	25% Green	31/03/17	
						N/A	4	4	4	Development of internal control mechanisms to ensure that the correct roles are filled by appropriate employees, that good quality company governance is in place, that information is able to properly flow throughout the organisation and that commercial and financial reporting structures are in place - Director training being arranged for 2016	Board of Directors	25% Amber	31/03/17	
										Development of shareholder role (SMT and Member / Cabinet level) to ensure the appropriate oversight of the trading / commercial activities is in place	Director of Human Resources, Performance and Communications	0% Amber	31/03/17	
	3794	Failure to influence the governance arrangements underpinning and controlling the emerging City Region Deal Devolution Deal enable an appropriate blend of risk and reward for the Council	Conflict of interest for a number of Council Services that provide support to internal functions within the Council, as well as external relationships such as Legal Services who provide legal support to the Council and the CA; Increased officer time required to support both organisations; Increased risks regarding project activities, where the CA may be unwilling to underwrite risk on behalf of constituent Councils; Increased reliance of CA funding;	SMT SMT	Development of protocols for dealing with potential conflicts of interest; Escalation of issues through Chief Executives;					Ensuring that the Authority is able to learn from its experiences in terms of conflicts that may have arisen and identifying areas of potential improvement in terms of how conflict are identified, handled and addressed (16/17)	Director - Legal & Governance	75% Green	31/03/17	
						N/A	N/A	4	4	Focused de-brief following significant interaction with CA i.e. J36 development (including BLT development sessions)	Director - Legal & Governance	75% Green	31/03/17	
	3842	Failure to ensure the transfer of 0-19 services that are coming back into Council control ensure customers remain safe, there is continuous service and that during and after the transition period customers remain safe	Poor quality of services affecting customers health; Missed identification of issues and concerns by professional employees; Lack of safeguarding arrangements affecting wellbeing of customers; New activities for the Council to deliver and subsequent exposures including health related service specifications, new treatments, prescribing risks and medical activities; Litigation and clinical risk; Legacy issues regarding cost of estates - CCG are to transfer funding regarding estate liabilities to BMBC; Financial issues making transfer unfeasible; Employee issues resulting in a diminished workforce who may not have the capacity or skills to deliver the expected outcomes; Information brochures resulting in censure by ICO and possible litigation; Current general lack of engagement by SWYPFT regarding IT provision may affect ability to access necessary information; Increased likelihood of HR disputes resulting in potential strike action;	SMT SMT	Governance arrangements developing - BMBC now commissioner and provider; Liaison with Performance Improvement Officer to ensure performance and governance arrangements are being picked up; Meetings and liaison with BMBC (BU 10 and 15) and SWYPFT - SWYPFT unwilling to share risk registers regarding activities that are transferring; Likely to TUPE around 120 employees (2 managers, 118 operational employees); BMBC are intending to procure the same IT system in use by SWYPFT; Legal Services involved in TUPE discussions; Legacy issues regarding estate liabilities - CCG to transfer funding to BMBC - leases to be changed and a number of disposals to be agreed and arranged (BMBC looked at 17 SWYPFT sites - reduced to 9); Agreement regarding the transfer of contents and equipment from CCG to BMBC to be concluded - BMBC to assess whether market value is appropriate; SWYPFT will be retaining IT and BMBC will have to buy back the equipment that is necessary to support 120 agile workers; Working through the scanning of records and files - liaison with Principle Records & Information Manager (BMBC); DBS / Safeguarding checks being undertaken by HR/PH for all 130 employees going through TUPE - there are no specific Safeguarding roles within the 120 employees TUPEing (there were a number of Safeguarding roles identified earlier); BMBC Head of H&S met with SWYPFT H&S lead to ensure issues such as continuity planning, incident reporting and general safe systems of work are being picked up; The service was given responsibility and specific funding for the provision of 0-5 services from October 2015, and the single service 0-19 Years Healthy Child Programme transferred from SWYPFT to BMBC on the 1st October 2016; The transition of the service has unfortunately created a one off pressure of £0.442M which has been subsumed within the overall plan;	N/A	N/A	N/A	2	Refer to detailed risk mitigations within the Risk Register for BU 10 (Public Health) (16/17)	Director Public Health	25% Amber	31/03/17	