**Report of the Assistant Executive Director
of Finance (Audit and Risk Management)**

AUDIT COMMITTEE – 11th December 2013

STRATEGIC RISK REGISTER – Full Review October 2013

1.   Purpose of the Report

1.1   This brief covering note presents the draft Cabinet report covering the latest review of the Strategic Risk Register (SRR), which has been programmed for consideration by Cabinet on the 18th December 2013. Rather than prepare another report, the Cabinet report follows this covering note.

1.2   This report forms part of the Audit Committee's assurance process where it was agreed that following the completion of each review of the SRR, the Audit committee considers the latest iteration of the SRR, and where appropriate, provides comments.

2.   Recommendation

2.1   **It is recommended that the Audit Committee considers, and comments accordingly upon the outcomes of the recent review of the SRR, in relation to the management, challenge and development of the SRR, and continue to receive periodic updates as to the progress of the actions taken and their impact on the SRR.**

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Date: 29th November 2013

CABINET – 18th December 2013

STRATEGIC RISK REGISTER – Full Review October 2013

1.   Purpose of the Report

1.1   The Strategic Risk Register (SRR) contains those high level risks which are considered to be significant potential obstacles to the overall achievement of corporate objectives.

1.2   Like all risk registers, it is important that the SRR remains up to date and reviewed regularly in order to accurately reflect the most significant risks to the achievement of objectives and facilitate timely and effective mitigations of those risks.

1.3   Following a zero-based review of the SRR in the early part of 2013, a full review of the revised SRR was undertaken in October 2013, and the outcomes of the review are detailed within the body of this report.

2.   Recommendations

2.1   It is recommended that :-

   i.   Cabinet confirms that the high level strategic risks articulated within the revised SRR fully reflect the current position of the Authority; and,

   ii. Cabinet considers the content of this report and continues to commit to support the Corporate Risk Management process and the embedding of a Risk Management Culture

3.   Introduction

3.1   The embedding of a culture where Risk Management is considered a part of normal business processes is crucial to the successful delivery of the Risk Management Policy and Strategy and the implementation of good governance arrangements.

3.2   A robust and dynamic SRR sets the culture and tone for Risk Management across and throughout the Authority. The engagement of the Senior Management Team (SMT) in the Risk Management process through the ownership and review of the SRR demonstrates a strong commitment to lead and champion Risk Management 'from the top' and to further reinforce the continuing development of a Risk Management culture.

3.3   The risks in the SRR are owned by the Senior Management Team, with the management of individual risks being allocated to a Risk Manager (a member of SMT) and measures to mitigate risks allocated to Mitigation Action Managers (being those senior managers best placed to take responsibility to drive the implementation of those actions).

3.4   SMT is also responsible for ensuring that the SRR continues to clearly express those high level risks which have a significant bearing upon the overall achievement of corporate objectives and that they are being appropriately managed.

3.5   In order to provide assurance that the SRR is being appropriately managed reviews of the register are facilitated by the Risk Management Section (RMS) on a six monthly cycle. The results of these reviews are discussed by the Authority's Risk Champions, and reported to SMT for further consideration and action. The outcome of this process is then reported to the Cabinet and the Audit Committee.

3.6   This report provides a summary to Cabinet of the recent review, and highlights specific issues and actions for consideration. This ensures senior Elected Members are aware of the SRR and can contribute to its development. The consideration of the SRR by Cabinet contributes to the role of Elected Members in assisting in the development of strategy and contributing to the identification of high level strategic risks, rather than simply monitoring the management of the Risk Management process.

4.   **Background and Context to the October 2013 Review**

4.1   The review that has been recently completed forms the first review of the recently revised 'zero-based' SRR. The outcomes of the initial 'zero-based' review were reported to Cabinet under report reference Cab.14.8.2013.6.1.

4.2   The October 2013 review included:

- **Consideration of the correct expression of the risk;**
  Risk Owners are encouraged to consider risks in terms of Event > Consequences > Impact, and these are logged within the risk title and risk consequences fields.

  Consideration is given to the allocation of 'We Will Statements' (sourced from recent reports in respect of Corporate Plan Performance updates) which provide assurances that the identified risks are linked to performance management metrics, which in turn are linked to Corporate Plan outcomes.

- **Consideration of the level of 'concern' for each risk;**
  Clearly, all risks logged in the SRR are significant. A 'traditional' quantative Risk Management risk assessment of all SRR risks has been undertaken, and all of the risks logged in the SRR have been assessed as 'red', due to their high rating in terms of overall probability, or impact.

  Whilst risk mitigations are in place, and efforts are being made to ensure the intended benefits of such risk mitigation actions are realised, the actual positive impact of these mitigations can often be hard to express in terms of the risk assessment itself, and ultimately, what are contextually small positive impacts on such significant risks may simply result in the maintenance of the assessment, rather than any attempts to improve it.

  As part of the 'zero-based' review of the SRR in March 2013, the use of 'Concern' level was implemented. This qualitative assessment gives the risk

owner (or SMT collectively) the opportunity to consider the following dynamic elements of each risk, rather than focus on the traditional probability and impact assessments:

Concern Rating 1 (Red)	Concern Rating 2 (Red)	Concern Rating 3 (Amber)	Concern Rating 4 (Amber)	Concern Rating 5 (Green)	Concern Rating 6 (Green)
- Little confidence the risk can be improved; - Unachievable Objective; - Difficult to influence; or, - Out of tolerance.	Concern is between rating 1 and rating 3	- Some confidence the risk can be improved; - Moderately achievable Objective; - Possible to influence; or, - Barely tolerable	Concern is between rating 3 and rating 5	- Confident the risk can be improved; - Achievable Objective; - Easily influenced; or, - Tolerable.	Concern is less than rating 5

- **Consideration regarding *existing* risk mitigation actions, as well as consideration of any *new* risk mitigation actions;**
  Each risk mitigation action is allocated a red, amber or green rating, in a similar way to the 'concern rating' (detailed above). Risk mitigation owners are also asked to consider a further assessment as to the overall progress and achievement of each of the actions. Of note is the fact that some risks may be logged as being 'amber' (or in some circumstances 'red') in terms of the overall Concern rating, but mitigation actions may be logged as 'Green'. The implication of this suggests that the actions being taken are on track, but due to factors such as the 'long-tail' nature of some risks, the action may be something that is aimed at *maintaining* the risk, rather than *improving* the risk.

  Similarly, some risks may be logged as having a concern rating of 'green' with actions logged as 'amber'. This suggests that whilst the risk itself may be acceptable, the actions themselves may be less so. In these circumstances, attention should be given to ensuring the action is resourced to ensure it is able to deliver the intended outcomes.

  This is in addition to the '% complete' field within the register.

  Furthermore, it is envisaged that the 'Programmes for Delivering BMBC Priorities and Organisational Change' will eventually be managed via the P2.net Programme and Project Management system, which will allow for a deeper analysis of the progress against the action to be undertaken as appropriate. For example, Risk 3021 (Failure to build the economy of Barnsley) benefits from a risk mitigation relating to the successful delivery of the Economic Strategy, which is logged in the P2.net systems as a Programme of activity, with a number of sub-projects attached relating to Visitor Economy, Housing and MarketPlace Barnsley.

- **Consideration of fallback plans, should the risk occur;**
  Where possible, consideration was also given to fallback planning, should the risk manifest. It is acknowledged that some risks require further recognition of the need to consider this element of the risk in later iterations of the register.

4.3   Cognisance was also given during each meeting between the Risk Owner and the RMS regarding any new or emerging risks that should be considered.

4.4   Following each individual meeting with SMT members, a revised iteration of relevant risks was drafted, and presented back to the Risk Owner for comment and / or approval.

5.   The Zero-Based Review – Outcomes

5.1   The following risks have worsened since the last review:

3023 – Failure to engage with Stakeholders
The main mitigation ((18) Customer Services Strategy / review) is slipping due to recent issues relating to the overall robustness of the Authority's technical architecture. This directly relates to risk 3029 – Failure to safeguard Information.

3028 – Workforce Planning issues
Recent metrics identified only 37% of employees benefit from a current Performance and Development Review (PDR). The main mitigation to this risk ((12) Organisation Development report to Cabinet) is 50% complete, and marked as 'green'.

3029 – Failure to safeguard Information
A mitigation logged against this risk ((16) Use of information technology and digital opportunities) has assisted in identifying significant issues with the Authority's technical architecture, which has justified the level of concern for this risk to be upgraded. New mitigation actions are now in place relating to the management and delivery of the Action Plan arsing from the IT Health Check and a full review, and where appropriate, redesign of the Authority's technical architecture.

3030 – Failure to be prepared for an emergency response or a business continuity threat
Recent downtime in respect of IT and telephony has meant the level of concern for this risk has been upgraded. Linkages between this risk and risk 3029 have been made, and further work is required in terms of Strategic Property and Procurement and Information Services working together to develop a plan to either give employees access to premises or facilities to be able to work.

3033 – Failure to adapt the Authority into a sustainable organisation
This level of concern for this risk has been upgraded due to the significant impacts on the Authority due to existing austerity measures. The main mitigation logged against this risk relates to the requirement to develop further budget saving options for 2015 / 16 that will be built into the medium term financial strategy (MTFS), and delivered via the key lines of enquiry (KLoE) process.

3035 – Loss of assets and resources as a result of a one off incident of fraud / corruption / bribery, or a sustained or widespread occurrence
Despite the mitigations to this risk being progressed satisfactorily, the increased opportunity to commit such acts and the reducing ability of management to

detect these incidents taking place merits the level of concern for this risk being upgraded.

5.2 The following risks have improved since the last review:

3024 – Lack of educational attainment
Due to positive activity in respect of the Children's and Young People's Plan and a refresh of the Barnsley Challenge Plan, it was felt this risk had been improved.

1630 – Equal Pay Claims
The financial impact of this risk has improved, due to the robust budgetary processes that are in place that has allowed for flexibility relating to these matters to be included within the MTFS. The main mitigation to this risk is based on monitoring the propensity for further claims to be made. It is likely that with no further negative move to this risk, it will be managed at an operational level at the next iteration.

5.3 The ED Corporate Services requested a further meeting to look more closely at risk 3032 (Failure of Partnership Working). It is envisaged that this refresh of risk 3032 will take place prior to the next formal review of SRR, programmed for February – March 2014.

5.4 All other risks currently logged in the Authority's SRR have remained static in terms of the level of concern for each risk. Despite the level of concern for these risks remaining static, the majority of risk mitigation actions have progressed to a satisfactory level.

5.5 Two risk mitigation actions are now complete:

3047 – Failure to protect the health of the population from preventable health threats
- Adapting to new ways of working / culture following transition to BMBC - complete

3029 – Failure to safeguard information
- Undertake annual IT Security Health check to ensure compliance with Government Code of Connection requirements (2013) and ensure the associated Action Plan is managed and completed.

A new mitigation action has been allotted to this risk as follows:

- Manage and deliver the Action plan arising from the IT Security health check.

5.6 No risk mitigation actions are currently logged as being 'red'.

5.7 It is proposed to continue to log 'completed' mitigations on the SRR, until the next programmed review and subsequent iteration of the SRR is produced. At that time, it is likely 'completed' mitigations will then be logged in the 'Existing Control Measures' field within the SRR.

6. **Key Risks**

6.1   The table below sets out the distribution of the SRR risks across the six 'concern rating' classifications:

Concern Rating	Number of Risks	Percentage
1	0	0%
2	1	6%
3	9	53%
4	5	29%
5	2	12%
6	0	0%
Total	17	100%

6.2   The risk that has been allocated a red 'concern rating' relates to:

3026 – Failure to achieve a reduction in Health inequalities within the Borough.

It is important to note that despite this risk having been allocated a red concern rating, it does benefit from mitigation actions that are logged as either green or amber. The implication of this, is that despite the initial concern regarding the risk, the actions that are being taken to mitigate these risks are for the most part, on track and achievable.

Furthermore, it is also acknowledged that whilst structures and processes are in place to control this risk, time is required to gauge the overall effect and impact of these new controls on the overall level of concern for this risk.

7.   **Assurance**

7.1   This report and the SRR was be submitted to the Audit Committee at their meeting of 11th December 2013, in order to provide assurance that these significant risks are being managed appropriately.

7.2   The Audit Committee have expressed a clear interest in receiving assurance from Cabinet that appropriate challenge and scrutiny of corporate risk management arrangements take place and engagement with significant risks through reports on the SRR will be a key source of assurance.

8.   **Future Review of the SRR**

8.1   It is proposed that the next review of the SRR takes place during February to March 2014. This will allow for consideration of the SRR and associated risks to be fully considered as part of Service and Delivery Planning in 2014, as well as being able to provide a further update to the Audit Committee, at their meeting of 26th March 2014.

9.   **Delivering Corporate Plan Ambitions**

9.1   The SRR lists those significant risks which could impact upon the delivery of the Authority's objectives as set out in the Authority's Corporate Plan. Risks within the SRR are linked to both the Corporate Plan, and the Peer Challenge Improvement Plan, in order ensure that the register is focused upon those risks

which are considered to be significant potential obstacles to the achievement of corporate objectives.

10.   Risk Management Issues

10.1   The report focuses upon the further development of the SRR and the contribution this will make to the embedding of a risk management culture throughout the Authority.

10.2   Failure to fully develop the SRR will present a significant risk to the successful implementation of the required Risk Management culture.

11.   Financial Implications

11.1   There are no specific financial implications arising directly from this report although there is often a cost in taking (or not taking) specific action identified through the risk management process. Most individual Cabinet reports have financial implications and so the application of good risk management is vital to ensure the most effective use of resources.

12.   Appendices

12.1   Appendix One – Strategic Risk Register (full version)
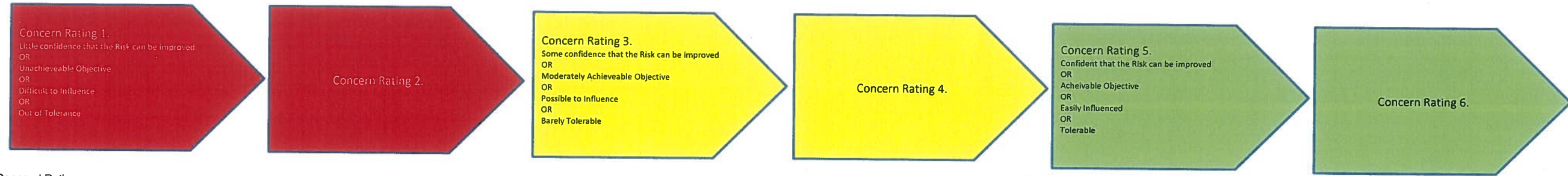
13.   Background Papers

13.1   Various paper and electronic files and risk registers which are available for inspection at the Westgate Plaza One offices of the Authority.

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Date: 2nd December 2013

Updated BMBC Strategic Concerns Register - as at 24th October 2013

Concern Rating 1.
Little confidence that the Risk can be improved
OR
Unachieveable Objective
OR
Difficult to Influence
OR
Out of Tolerance

Concern Rating 2.

Concern Rating 3.
Some confidence that the Risk can be improved
OR
Moderately Achieveable Objective
OR
Possible to Influence
OR
Barely Tolerable

Concern Rating 4.

Concern Rating 5.
Confident that the Risk can be improved
OR
Acheivable Objective
OR
Easily Influenced
OR
Tolerable

Concern Rating 6.

Risk 'Concern' Rating:
The 'assessment' of the risk is based on:
- The confidence the Authority has that the Risk can be improved;
- The ability of the Authority to be able to achieve the objectives that are linked or implicit within the Risk ;
- The ability of the Authority to be able to influence or affect the Risk;
- The speed in which the organisation can change its direction and therefore control the velocity of the Risk; and,
- The willingness of the Authority to accept or tolerate the Risk

BMBC Corporate Plan Priorities and New Future Council Themes	BMBC Corporate Peer Challenge Improvement Plan Themes	Risk No	Risk Title	Risk Consequences	Risk Manager	Existing Control Measures	May-13	Oct-13	Mar-14	Oct-14	Risk Mitigation Action	Owner	% comp	Review Date	Recovery Plan
Growing the Economy	Delivering the Economic Strategy (ref 2)	3021	Failure to build the Economy of Barnsley	There are some important and ambitious opportunities for Barnsley to exploit. These include its sense of place and community, its position in two City Regions, and its good connectivity within the region and beyond. Other opportunities include the potential of the digital and knowledge based economy, looking to low carbon futures, the scope to improve the area's visitor economy through better operation of its cultural assets (to attract visitors and spend) and the increasing diversification of the economy as a whole, via the development of small and medium enterprises (SME's). In order to address the challenges and to maximise these and other opportunities, it will be essential to work in partnership to deliver a suite of priorities and key interventions, complete major regeneration projects, target business development and growth, and link new and existing jobs more effectively to local people.	ED Development, Environment & Culture	Council Constitution Local Code of Corporate Governance Growing Barnsley's Economy (2012-2033) - Economic Strategy Community Strategy for Barnsley (2011 -2015) Corporate Plan Full year targets not met due to initial issues regarding delays in obtaining funding - however, part year statistics indicate promise for next year, and the direction of travel is positive; **We Will Statements:** 1) 'Create the conditions for economic growth and greater prosperity' - GREEN 2) 'Create more jobs and businesses through an appropriate provision of business enterprise and employment programmes' - GREEN 3) 'Reduce worklessness amongst those currently unemployed and increase skill levels of current and future workforce' - RED 4) 'Develop a vibrant Town Centre' - AMBER 4) 'Prioritise the economic renewal of the Goldthorpe and wider Dearne area' - AMBER 6) 'Significantly strengthen our visitor economy by further developing our key cultural assets and events' - GREEN	3	3			(1) Economic Plan (P2.net - DEC Growing the Economy Programme)	ED Development, Environment & Culture	24% Green	31/03/2014	
											(2) Skills Plan: A number of actions have been completed on behalf of BMBC, including consultations, identifying synergies with the Worklessness Agenda and the refresh of the Economic Strategy. The Skills Plan is to be refreshed, in partnership with DEC, and a cabinet report will be prepared for submission in January 2014.	ED Children, Young People & Families	50% Amber	31/03/2014	
											Development of Visitor Economy Strategy	ED Development, Environment & Culture	0% Green	31/03/2014	
...between the Council and the ...mmunity	N/A	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.	ACE Legal & Governance	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; **We Will Statements:** 17) 'Engage local communities in helping them shape the decisions and services in their neighbourhood' - AMBER 18) 'Ensure the Council operates fairly and demonstrates total commitment to equalities in policy and practice' - AMBER	3	3			Area Council Officer Coordinating Group to unpick issues relating to Area Governance	ACE Legal & Governance	50% Green	31/03/2014	Refer matter to Monitoring Officer for adjudicatio n.
											Periodic review of Area Council Arrangements by Cabinet	ACE Legal & Governance	50% Green	31/03/2014	
											Area Council Commissioning Group to unpick issues relating to Procurement and Commissioning (13/14)	ACE Legal & Governance	50% Green	31/03/2014	
											Area Council Chairperson Group to encourage cooperation and consensus amongst Area Councils (13/14)	ACE Legal & Governance	0% Green	31/03/2014	

BMBC Corporate Plan Priorities and New Future Council Themes	BMBC Corporate Peer Challenge Improvement Plan Themes	Risk No	Risk Title	Risk Consequences	Risk Manager	Existing Control Measures	May-13	Oct-13	Mar-14	Oct-14	Risk Mitigation Action	Owner	% comp	Review Date	Recovery Plan
Changing the relationship Cor		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.	ED Corporate Services	Revised Goverance Arrangements regarding Area Councils and the changing role of Elected Members; Using lessons learnt and general approach from Dearne LIS project as the basis for the implementation of Area Council Arrangements; Use of key partners and LSP to coordinate wider communication activity; Engagement of Clinical Commissioning Groups to assist in ensuring stakeholders receive the services that they require and need; Employer Supported Volunteering (ESV) Scheme in place - work is required to identify take of ESV scheme and also to identify impact of the scheme; Cabinet Report dated 09/10/2013 : Dearne Approach - Findings of Community Research (Cab.9.10.2013 10.3); Funding that supports Volunteering Strategy is received via Citizaen Advice Bureau (CAB) - their own funding with Transforming Local Infrastructure (TLI) comes to and end in November 2013; **We Will Statements:** 14) 'Ensure people of all ages have a much greater involvement in designing services and actively participating in improving their lives and Barnsley - AMBER 15) 'Support the many benefits of volunteering and foster our many and diverse opportunities for residents to gain new skills and experiences through volunteering' - AMBER	4	3			(5) Volunteering Strategy	ED Adults & Communities	10% Amber	31/03/2014	Deal with complaints / legal action / censure
											(18) Customer Services Strategy / Review	ED Adults & Communities	0% Amber	31/03/2014	
Improving peoples potential and achievement	Health Agenda and Changes (ref 5)	3024	Lack of educational attainment	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; Potential pressure from DfE for closure of schools or transfer to Trust or Academy status; Negative impact on pupils and parents;	ED Children, Young People & Families	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; As at April 2013 Primary School results are above average, and increasing; As at April 2013 Secondary School results are improving, and expected to continue improving throughout 2013; **We Will Statements:** 7) 'Improve the quality of learning and leadership in schools to support better educational attainment levels' - AMBER 8) 'We will ensure high quality partners are engaged in our new relationship with schools' - GREEN	3	4			(9) Children and Younger People's Plan: The plan has been presented at Childrens DMT, and now requires approval by the Childrens Trust, and then Cabinet. The focus of the work after that point will be in ensuring the delivery of the plan, and its objectives	ED Children, Young People & Families	80% Green	31/03/2014	
											(10) Barnsley Challenge: The Barnsley Challenge Plan has been refreshed and presented to the Challenge Board, and SMT. The refreshed Plan now requires approval by cabinet, programmed for November 2013	ED Children, Young People & Families	80% Green	31/03/2014	
		3025	Failure to safeguard vulnerable service users	The risk of not safeguarding vulnerable adults 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; 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; Arrangements are not sufficient to keep children and young people safe from harm, abuse or neglect; The risk is compounded by whether or not the children at risk are known to the service;	ED Adults & Communities	Council Constitution; Equalities and Diversity Policy; Adults Safeguarding Board; Childrens Safeguarding Board; Service Delivery Plans; Management of Personalisation / Personal Care packages that require less regulated services, makes better use of commissioning resources and ensures peopel are better placed to look after themselves; Safeguarding Improvement Board set up to manage and drive OFSTED Safeguarding Recommendations; Signposted Universal Information and Advice; Analysis of Ward Alliance activity suggests positive progress is being made - most safeguarding related factors are being achieved; **We Will Statements:** 9) 'Target young people, families and communities who may need extra help in gaining the skills and experience they need to succeed' - AMBER 10) 'Prioritise the safeguarding of vulnerable children and adults, and ensure the risk of them getting harmed is kept to an absolute minimum' - AMBER 13) 'Ensure that the Council plays a strong part in keeping the Borough safe, and work with others to improve community safety' - AMBER	4	4			(6) OFSTED Action Plan and Improvement Board: Satisfactory progress made following June 2013. Further review programmed for December 2013. Issues arising relating to data quality and performance information	ED Children, Young People & Families	50% Amber	31/03/2014	
											(11) Anti Poverty: Local Welfare Scheme established. Rationalised Anti Poverty Programmes; Extra resources being apllied to CAB;	ED Adults & Communities	25% Amber	31/03/2014	
											Childrens Services Scrutiny Board (sub-committee of Overview and Scrutiny Committee) 13/14; ED Childrens Services met Scrutiny Board to undertake review of their workplan for 13/14 and to ensure some contingency remains within their plan	ED Children, Young People & Families	50% Green	31/03/2014	
											(8) Inverting the Triangle: Programme Board in place; Expressions of interest made;	ED Adults & Communities	50% Amber	31/03/2014	
											Promotion of Adults Safeguarding Champions to assist in the proactive consideration of safeguarding: Linked to Volunteering Scheme and Rotary Club; Training being considered, alongside impact on officer time to support volunteers;	ED Adults & Communities	10% Amber	31/03/2014	
											Implementation and management of Personal Budgets programme, including building 'risk-enablement' into services users considerations; Programme being reviewed and re-engineered as part of review of Assessment & Care Management; Risk Enablement and Risk Policy being developed; Piloted in 1 locality team;	ED Adults & Communities	80% Green	31/03/2014	
											Implementation of Area Council Arrangements which includes the principle of facilitating community engagement to assist in supporting vulnerable people; Area Councils established; Phase 1 of Dearne Approach complete; Establishing Ward Alliances;	ED Adults & Communities	75% Amber	31/03/2014	
											Identification of opportunities to learn lessons from Safeguarding Board workload; Joint workshops planned; Reps from SAB on BSCB and vice versa; Joint Safeguarding Boards workshops planned; Joint audit of safer recruitment planned; Joint learning from regional DHR and SCR taken place;	ED Adults & Communities	75% Green	31/03/2014	

BMBC Corporate Plan Priorities and New Future Council Themes	BMBC Corporate Peer Challenge Improvement Plan Themes	Risk No	Risk Title	Risk Consequences	Risk Manager	Existing Control Measures	May-13	Oct-13	Mar-14	Oct-14	Risk Mitigation Action	Owner	% comp	Review Date	Recovery Plan
Sustainable Future Council		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.	Acting ED Public Health	Acting 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; We will statements: 11) 'Make the improvement of people's health and wellbeing everybody's business, with an emphasisv on prevention and the contribution that all services can make' - AMBER 12) 'Prioritise the reduction of health inequalities between different parts of the Borough, and the Borough and the rest of the country' - RED	2	2			(7) Health and Well-Being Strategy and Board (13/14): Board established; JSNA undertaken, and inequalities identified; H&WB Programme Boards now established	Acting ED Public Health	50% Green	31/03/2014	
											(24) Integrating Public health roles and responsibilities and functions: Hub and Spoke model being developed; review of outsourced provision / contracts being undertaken; Public Health Development Programme established	Acting ED Public Health	70% Amber	31/03/2014	
											Undertake recruitment process to identify and recruit Director of Public Health: JD approved by faculty of Public Health: Advert due November 2013	Chief Executive	30% Green	31/03/2014	
		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.	Acting ED Public Health	Liasion with NHS regarding large scale response; Health Protection Agency Framework in place; Maintenance of World Health Organisation targets; Currently Barnsley has above average coverage regarding public health related screening; Use of NHS England website and resources;	3	3			Health Protection Board to be established to provide assurances relating to preventable health issues	Acting ED Public Health	50% Green	31/03/2014	Refer matter to HPA.
											Adapting to new ways of working / culture following transition into BMBC: Complete	Acting ED Public Health	100% Green	31/12/2013	
	Cultural Change for Future Council (ref 1) Promoting and Communicating BMBC and the Borough as a whole (ref 6)	3027	Failure to manage organisational change	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.	ACX HR, Performance & Partnerships and Communication	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; We Will Statements: 'Sustainable Future Council - Customers'	5	5			(13) Employee Engagement: Summer 2013 Talkabouts complete and further Talkabout sessions planned for January 2014; 2nd Middle Managers Conference October 2013; Employee Survey completed and action plan being developed;	ACX HR, Performance & Partnerships and Communication	50% Green	31/03/2014	
											(14) Programme and Project Management: Capacity issues being identified and upskilling opportunities being developed;	ACX HR, Performance & Partnerships and Communication	10% Amber	31/03/2014	
											(20) Communications: Revised Communications Strategy being developed and programmed for presentation to SMT;	ACX HR, Performance & Partnerships and Communication	25% Green	31/03/2014	
											(19) Equality Priorities / Groups (including oversight by Corporate Equalities group): SMT to look at the strategic needs of the Corporate Equalities group in order to support and drive progress	ACE Legal & Governance	50% Amber	31/03/2014	
		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.	ACX HR, Performance & Partnerships and Communication	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; We Will Statements: 'Sustainable Future Council - People'	4	3			(12) Organisational Development: Organisational Development being presented to Cabinet which is linked to the 10 Priorities identified via Talkabout sessions; HR Reorganistion completed;	ACX HR, Performance & Partnerships and Communication	50% Green	31/03/2014	
	ng BMBC and the Borough as a e (ref 6)	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 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 Government Connects 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;	ACE Finance, Property & Information Services	Information Management and Governance Policies; ACX (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; Government Connects Code of Connection compliant; Records Management Team in place to provide advice, guidance and training; Information Governance Group refreshed and re-established; Technical Architect role to be 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 Authority's core infrastructure has benefitted from: • Patching • Protection.	4	3			(16) Use of Information Technology and Digital Opportunities (which has contributed to the identification of PSN CoCo related issues)	ACE Finance, Property & Information Services	50% Amber	31/03/2014	Enable revision to infrastructure that will allow limited comms.
											Undertake annual IT Security Health Check to ensure compliance with Government Code Of Connection requirements (2013) and ensure the associated Action Plan is managed and completed	ACE Finance, Property & Information Services	100% Green	31/12/2013	
											Develop and implement new Information Technology / Information Security Polices	ACE Finance, Property & Information Services	0% Amber	31/03/2014	
											Manage and deliver the Action Plan arising from the IT Security Health Check	ACE Finance, Property & Information Services	25% Amber	31/03/2014	
											Provide annual awareness to all staff relating to Information Security (13/14)	Head of Information Services	0% Green	31/03/2014	
											Review current IT architecture and re-design where neccesary to meet appropriate standards	Head of Information Services	0% Green	31/03/2014	

Sustainable Future Council

BMBC Corporate Plan Priorities and New Future Council Themes	BMBC Corporate Peer Challenge Improvement Plan Themes	Risk No	Risk Title	Risk Consequences	Risk Manager	Existing Control Measures	May-13	Oct-13	Mar-14	Oct-14	Risk Mitigation Action	Owner	% comp	Review Date	Recovery Plan
Promoting and Communicati whol.		3030	Failure to be prepared for an emergency response or business continuity threat	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 Authorities ability to fulfil its 'Category One' responder duties. Failing to be able to provide support to lone workers as a result of IT and telephony systems being unavailable for significant lengths of time, leaving over 200 HART support workers and Supported Living workers unable to contact the out of hours office. Without appropriate support mechanisms in place, these lone workers are at serious risk of being unable to escalate serious and significant safety and safeguarding concerns to management. Issues relating to the accessibility of IT and telephony for employees working more traditional, regular patterns mean that there is a significant amount of productive time lost as a result of sporadic outages of the IT and telephony within the Authority's main administration bases in WPO and GP. Issues relating to the accessibility of telephony for the public will mean that Central call will be unable to take calls relating to: • Highways; • Schools; • School Trips / Emergencies; • Dangerous Structures; • Adults Emergency Duty Team; • NPS Repairs and Maintenance; • Berneslai Homes Repairs and Maintenance; and, • Major Incident line.	ACX HR, Performance & Partnerships and Communication	Service Continuity plans; Corporate Resilience plans; Ongoing liaison with SMT regarding aspirations and expectations during emergency events; Analysis of AGS and sampling of returns; Introduction of an SMT Rota and subsequent roll out to BLT; Analysis of 'leavers' programmed to identify who is left to be able to step up in the event of an emergency event; This risk will also need to acknowledge the residual risk that remains regarding the Authority's own BCP, as expressed in correspondence with External Audit in 2011: • BCPs for Information Systems should be regularly tested; • The Council should perform an annual full test restore for critical systems; and, • The Council should undertake a review of its disaster recovery requirements in conjunction with BULL	4	3			Analysis of 12/13 AGS returns and sampling / challenge of returns (13/14)	Head of H&S	50% Green	31/03/2014	
											Further development of Corporate Resilience Plan in liasion with Services and SMT	Head of H&S	20% Amber	31/03/2014	
											Ad-hoc audits of schools Resilience Plans via standard school H&S Audits (13/14)	Head of H&S	50% Green	31/03/2014	
											Incorporation of Public Health into existing Council resilience and continuity plans and full refresh of Directorate resilience and continuity plans to be undertaken	Acting ED Public Health	50% Green	31/03/2014	
	More Corporate Approaches in Key Areas (ref 3) Partnership Working (ref 4) Health Agenda and Changes (ref 6)	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.	ACE Legal & Governance	Council Constitution; Local Code of Corporate Governance; Information Management and Governance Policies; ToR for Audit Committee; ToR for Scrutiny Committee; 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;	4	4			(4) Revised Governance / Neighbourhood Working (including the increased resources available within the Governance team)	ACE Legal & Governance	0% Green	31/12/2013	Refer matter to Audit Committee / External Audit for considerati on.
											(22) Performance Management	Head of Performance & Partnerships	25% Green	31/03/2014	
											SMT to review processes relating to approvals and decision making to improve efficiencies	ACE Legal & Governance	0% Amber	31/03/2014	
		3032	Failure of partnership working / supply chains	As a result of 'Future Council' activity, and the potential withdrawal of typical and traditional public services, the Authority has begun to form complex supply chains with both the public and private sector, across back office and front office operations, in order to meet the requirements of the austerity agenda. 'Knee-jerk' outsourcing arrangements without due consideration of the potential risks can fundamentally compromise the long-term success of outsourcing and partnership strategies. In a prolonged recession and slow-recovery, supplier instability in particular, is certain to increase. The Authority may also be challenged by a failure of the supplier to meet expectations. Private sector arrangements may be challenged by a tension between the profit motive and the public service ethos.	ED Corporate Services	Council Constitution; Local Code of Corporate Governance; Information Management & Governance Policies; ToR's Audit Committee; ToR's Scrutiny Committee; Internal Audit - as an internal control in its own right; Risk Management Policy; Performance Management Arrangements; Exploration of opportunities to share service delivery;	4	4			(21) Partnership Working (including focus on LSP): One Barnsley Partnership Governance Framework strengthened and streamlined.	Head of Performance & Partnerships	50% Green	31/03/2014	
											(23) Contracting / Procurement: P2.net CorpS L&G P&C Contracting / Procurement	ED Corporate Services	0% Green	31/03/2014	
											(17) Shared Commissioning across the Council / across the Borough: Feedback provided to SMT and Officer Group to feed into Future Council considerations	Acting ED Public Health	50% Green	31/03/2014	
		3033	Failure to adapt the Authority into a sustainable organisation	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.	Chief Executive	Council Constitution Performance Management Framework Community Strategy for Barnsley (2011 -2015) 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; We Will Statement: 16) 'Ensure customer services and the citizen experience of access is improved - we are a successful customer service organisation and our plans facilitate greater self-help' - AMBER	4	3			(27) Services as Business Units / Different Businnss Models	ED Corporate Services	0% Amber	31/12/2013	
											Development of budget saving options for 15/16 budget and beyond that attempts to minimises disruption on servicer users and partners	Chief Executive	0% Green	31/03/2014	
	N/A	3034	Failure to deliver the MTFS	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 balanace 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;	ACE Finance, Property & Information Services	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 detvelopment 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 to be reflected in 14/15 budget; We Will Statements: 'Sustainable Future Council - Resources'	5	5			(25) MTFS	ACE Finance, Property & Information Services	50% Green	31/03/2014	Liase with Cabinet in order to agree budget and MTFS
											(26) Asset Management	ACE Finance, Property & Information Services	50% Green	31/03/2014	
											Development of a range of budget saving options (KLoEs) to enable Future Council scenarios for 13/14 to be reflected in 14/15 budget	ACE Finance, Property & Information Services	100% Green	31/12/2013	
											Enhance use of SAP desktop, and associated training (13/14)	ACE Finance, Property & Information Services	50% Green	31/03/2014	
											Financial Monitoring (13/14) to ensure delivery is in line with plan	ACE Finance, Property & Information Services	50% Green	31/03/2014	
											Monitoring of Assumptions and Constraints within MTFS to ensure relevance, materiality and appropriateness, such as the provision for Equal Pay claims (see Risk 1630), and the impact of the Digital Region Project (13/14)	ACE Finance, Property & Information Services	50% Green	31/03/2014	
											Horizon Scanning with regard to general issues that may impact on LA Funding (13/14)	ACE Finance, Property & Information Services	50% Green	31/03/2014	
											Development of a range of budget saving options (KLoEs) to enable Future Council scenarios for 14/15to be reflected in 15/16 budget	ACE Finance, Property & Information Services	0% Green	31/03/2014	

BMBC Corporate Plan Priorities and New Future Council Themes	BMBC Corporate Peer Challenge Improvement Plan Themes	Risk No	Risk Title	Risk Consequences	Risk Manager	Existing Control Measures	May-13	Oct-13	Mar-14	Oct-14	Risk Mitigation Action	Owner	% comp	Review Date	Recovery Plan
Sustainable Future Council		3035	Loss of assets and resources as a result of a one-off incident of fraud / corruption / bribery or a sustained or widespread occurence.	Occurence or incidents of sustained and / or widespread and / or one off / big bang occurence of Fraud and Corruption leading to financial loss, loss of income, property and other assets; Fraudulent transactions, contracts / payments and the like perpetrated iby employees and / or third parties; 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 duer 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;	ACE Finance, Property & Information Services	Anti Fraud, Corruption and Bribery Policy; Anti Money Laundering Policy; Whistleblowing Policy; Prosecutions Policy; 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;	5	4			A) Develop governance arrangements around Area Councils and Ward Alliances (13/14): Raised at Member briefings and Member information sessions	ACE Legal & Governance	25% Amber	31/03/2014	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 (13/14): Formal protocol with Police in place	ACE Finance, Property & Information Services	75% Green	31/03/2014	
											C) Analysis of PDR outcomes to assist in identifying appropriate employees to undertaken Fraud Awareness training: Analysis of annual fraud self risk assessment to identify employees who should have extra training due to proximity to high risk areas	ACE Finance, Property & Information Services	10% Green	31/03/2014	
											D) Undertake annual Governance Review to assist in identifying areas of weakness within the Council (13/14)	ACE Finance, Property & Information Services	25% Green	31/03/2014	
											E) Ensure each BLT member undertakes annual Fraud Risk Self Assessment, and undertake analysis of results (13/14)	ACE Finance, Property & Information Services	10% Green	31/03/2014	
											F) Develop and implement Fraud Awareness training for all staff via E-Learning platform (BOLD)	ACE Finance, Property & Information Services	50% Green	31/03/2014	
		1630	Failure to manage and make appropriate budgetary flexibility for Equal Pay Claims.	Significant financial/budget consequences of successful claims; Changing working practices in one service, such as moving to traded services may result in employees within other services feeling that they may be due compensation;	ACX HR, Performance & Partnerships and Communication	Payment of compensation to reduce risk of successful claims as appropriate, engagement of specialist legal advice to defend claims. A number of local claims relating to 'female to male' parity have been settled, on budget; Settlements being negotiated on best terms;	2	3			Monitor and Review 13/14	ACX HR, Performance & Partnerships and Communication	50% Green	31/12/2013	