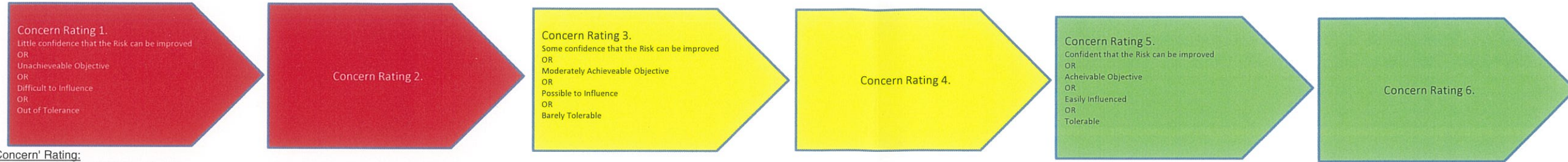


Updated BMBC Strategic Concerns Register - as at February 2014



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 Bamsley	There are some important and ambitious opportunities for Bamsley 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 Bamsley's Economy (2012-2033) - Economic Strategy Community Strategy for Bamsley (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' - AMBER 4) 'Develop a vibrant Town Centre' - GREEN 5) 'Prioritise the economic renewal of the Goldthorpe and wider Deame area' - AMBER 6) 'Significantly strengthen our visitor economy by further developing our key cultural assets and events' - GREEN	3	3	3		(1) Economic Plan (P2.net - DEC Growing the Economy Programme) - revamp of plan being undertaken and report due to SMT March 2014 which will require Cabinet approval, which will focus attention on 3 or 4 key themes (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 later in 2014 - refresh of Skills Plan performance related activity due to be reported to Cabinet Development of Destination Management Plan in partnership with BEP	ED Development, Environment & Culture ED Children, Young People & Families ED Development, Environment & Culture	25% Amber 50% Amber 0% Amber	30/09/2014 30/09/2014 30/09/2014	
		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.	Director Legal and Governance	Council Constitution; Local Code of Corporate Governance; Community Strategy for Bamsley (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					Area Council Officer Coordinating Group to unpick issues relating to Area Governance Periodic review of Area Council Arrangements by Cabinet - to be undertaken in around June 2014 to ensure evidence relating to Commissioning and Procurement is included. Area Council Commissioning Group to unpick issues relating to Procurement and Commissioning (13/14) Area Council Chairperson Group to encourage cooperation and consensus amongst Area Councils (13/14)	Director Legal and Governance Director Legal and Governance Director Legal and Governance Director Legal and Governance	75% Green 50% Green 50% Green 50% Green	30/09/2014 30/06/2014 30/09/2014 30/09/2014	Refer matter to Monitoring Officer for adjudication.
		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. Need to ensure that the 'right' opportunities for volunteers are available - broader roles and more accessible options;	Director HR, Performance and Communications	Revised Governance Arrangements regarding Area Councils and the changing role of Elected Members; Using lessons learnt and general approach from Deame 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: Deame Approach - Findings of Community Research (Cab.9.10.2013 10.3); Funding that supports Volunteering Strategy is received via Citizen Advice Bureau (CAB) - their own funding with Transforming Local Infrastructure (TLI) came to and end in November 2013 leaving a gap in funding that Area Councils may be expected to pick up; 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 Bamsley' - 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	3		(5) Volunteering Strategy: SLA in place with VAB to deliver core part of Strategy which is linked to Area and Ward plans. ESV in place internally - need to consider opportunities to expand the use of volunteers; Refresh of Carers Strategy may have impact on 'hidden' volunteering; H&WB Board approved creation of 'Engagement Hub' which is intended to align engagement opportunities across all statutory bodies (18) Customer Services Strategy / Review; Links to Customer Services Organisation Programme which includes a broader restructure to bring together Customer Services functions together. This also intends to identify opportunities for other service areas not yet included in CSO programme	ED Adults & Communities ED Adults & Communities	95% Green 25% Amber	Complete 30/09/2014

Improving peoples potential and achievement

Health Agenda and Changes (ref 5)

Corporate Plan Themes	BMBC Council Improvement	New Future and Peer Challenges	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
			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. Potential 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: CPP Policies and Strategies. Close monitoring of Government grade boundaries to ensure the Authority remains aware of changing or improving performance targets. Barnsley Challenge Plan has been refreshed, and presented to the Challenge Board and SMT. The Plan has also been approved by Cabinet. Potential pressure from DfE for closure of schools or transfer to Trust or Academy status. Negative impact on pupils and parents.	3	4	4	4	(9) Children and Younger People's Plan: The plan has been presented at Children's DfE, and now requires approval by the Children's Trust, and then Cabinet. The focus of the work after that point will be in ensuring the delivery of the plan, and its objectives. As at Feb 14, progress is almost at national average. (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. Approved and completed as at Feb 2014. (8) We will ensure high quality partners are engaged in our new relationship with schools - GREEN	ED Children, Young People & Families	80%	30/09/2014	
			3025	Failure to safeguard vulnerable service users	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 pressures 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 a 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	(3) Ensure that the Council plays a strong part in keeping the Borough safe, and work with others to improve community safety - 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 9) Target young people, families and communities who may need extra help in gaining the skills and experience they need to succeed - AMBER We will Statements: 1) Target young people, families and communities who may need extra help in gaining the skills and experience they need to succeed - AMBER 2) Ensure that the Council plays a strong part in keeping the Borough safe, and work with others to improve community safety - AMBER 3) Ensure that the Council plays a strong part in keeping the Borough safe, and work with others to improve community safety - AMBER 4) Ensure that the Council plays a strong part in keeping the Borough safe, and work with others to improve community safety - AMBER 5) Ensure that the Council plays a strong part in keeping the Borough safe, and work with others to improve community safety - AMBER 6) Ensure that the Council plays a strong part in keeping the Borough safe, and work with others to improve community safety - AMBER 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	4	4	4	4	ED Children, Young People & Families	100%	Complete		
						ED Children, Young People & Families	(1) Anti Poverty: Local Welfare Scheme established. Rationalised Anti Poverty Programmes: Extra resources being applied to CAB - ongoing activity which includes the operation of a local scheme. A review of Welfare related issues (not just Welfare Reforms) is planned (11) Stronger Barnsley Together: Programmes Board in place. Expressions of interest made. Governance arrangements in place which includes the overseeing of the Executive Group by H&WB Board but full suite of infrastructure not yet in place. 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. Implementation and management of Personal Budgets programme, including building 'risk-enablement' into services users considerations. Programme being reviewed and re-developed. Pooled in 1 locally team. Assessment and Care Management, Risk Enablement and Risk Policy being engineered as part of review of Assessment & Care Management Review has a target of 95%. 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 Deame Approach complete; Ward Alliances established. Report regarding Phase 2 of Deame Approach being prepared. Identification of opportunities to learn lessons from Safeguarding Board workshops; Joint workshops planned; Reps from SAB on BSCB and vice versa; Joint audit of Safeguarding Boards planned; Joint learning from regional DfE and S&T taken place. Analysis of national guidance issued by College of Social Work includes recommendations regarding key posts and job families which may have consequences on grading, training and wider workforce. Report prepared and awaiting confirmation that it can be released and considered. Pressing management structure which includes consideration of Social Care roles and responsibilities to ensure there are improved opportunities for management scrutiny Consideration of further Peer Review (last Peer Review took place in 2009/10) to ensure Future Council activity regarding functions is appropriate (including reviewing impacts of changing portfolios for Elected Members as a result of Future Council)	ED Adults & Communities	80%	30/09/2014						
						ED Children, Young People & Families	(1) Anti Poverty: Local Welfare Scheme established. Rationalised Anti Poverty Programmes: Extra resources being applied to CAB - ongoing activity which includes the operation of a local scheme. A review of Welfare related issues (not just Welfare Reforms) is planned (11) Stronger Barnsley Together: Programmes Board in place. Expressions of interest made. Governance arrangements in place which includes the overseeing of the Executive Group by H&WB Board but full suite of infrastructure not yet in place. 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. Implementation and management of Personal Budgets programme, including building 'risk-enablement' into services users considerations. Programme being reviewed and re-developed. Pooled in 1 locally team. Assessment and Care Management, Risk Enablement and Risk Policy being engineered as part of review of Assessment & Care Management Review has a target of 95%. 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 Deame Approach complete; Ward Alliances established. Report regarding Phase 2 of Deame Approach being prepared. Identification of opportunities to learn lessons from Safeguarding Board workshops; Joint workshops planned; Reps from SAB on BSCB and vice versa; Joint audit of Safeguarding Boards planned; Joint learning from regional DfE and S&T taken place. Analysis of national guidance issued by College of Social Work includes recommendations regarding key posts and job families which may have consequences on grading, training and wider workforce. Report prepared and awaiting confirmation that it can be released and considered. Pressing management structure which includes consideration of Social Care roles and responsibilities to ensure there are improved opportunities for management scrutiny Consideration of further Peer Review (last Peer Review took place in 2009/10) to ensure Future Council activity regarding functions is appropriate (including reviewing impacts of changing portfolios for Elected Members as a result of Future Council)	ED Children, Young People & Families	25%	30/09/2014						
						ED Adults & Communities	(1) Anti Poverty: Local Welfare Scheme established. Rationalised Anti Poverty Programmes: Extra resources being applied to CAB - ongoing activity which includes the operation of a local scheme. A review of Welfare related issues (not just Welfare Reforms) is planned (11) Stronger Barnsley Together: Programmes Board in place. Expressions of interest made. Governance arrangements in place which includes the overseeing of the Executive Group by H&WB Board but full suite of infrastructure not yet in place. 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. Implementation and management of Personal Budgets programme, including building 'risk-enablement' into services users considerations. Programme being reviewed and re-developed. Pooled in 1 locally team. Assessment and Care Management, Risk Enablement and Risk Policy being engineered as part of review of Assessment & Care Management Review has a target of 95%. 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 Deame Approach complete; Ward Alliances established. Report regarding Phase 2 of Deame Approach being prepared. Identification of opportunities to learn lessons from Safeguarding Board workshops; Joint workshops planned; Reps from SAB on BSCB and vice versa; Joint audit of Safeguarding Boards planned; Joint learning from regional DfE and S&T taken place. Analysis of national guidance issued by College of Social Work includes recommendations regarding key posts and job families which may have consequences on grading, training and wider workforce. Report prepared and awaiting confirmation that it can be released and considered. Pressing management structure which includes consideration of Social Care roles and responsibilities to ensure there are improved opportunities for management scrutiny Consideration of further Peer Review (last Peer Review took place in 2009/10) to ensure Future Council activity regarding functions is appropriate (including reviewing impacts of changing portfolios for Elected Members as a result of Future Council)	ED Adults & Communities	50%	30/09/2014						
						ED Children, Young People & Families	(1) Anti Poverty: Local Welfare Scheme established. Rationalised Anti Poverty Programmes: Extra resources being applied to CAB - ongoing activity which includes the operation of a local scheme. A review of Welfare related issues (not just Welfare Reforms) is planned (11) Stronger Barnsley Together: Programmes Board in place. Expressions of interest made. Governance arrangements in place which includes the overseeing of the Executive Group by H&WB Board but full suite of infrastructure not yet in place. 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. Implementation and management of Personal Budgets programme, including building 'risk-enablement' into services users considerations. Programme being reviewed and re-developed. Pooled in 1 locally team. Assessment and Care Management, Risk Enablement and Risk Policy being engineered as part of review of Assessment & Care Management Review has a target of 95%. 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 Deame Approach complete; Ward Alliances established. Report regarding Phase 2 of Deame Approach being prepared. Identification of opportunities to learn lessons from Safeguarding Board workshops; Joint workshops planned; Reps from SAB on BSCB and vice versa; Joint audit of Safeguarding Boards planned; Joint learning from regional DfE and S&T taken place. Analysis of national guidance issued by College of Social Work includes recommendations regarding key posts and job families which may have consequences on grading, training and wider workforce. Report prepared and awaiting confirmation that it can be released and considered. Pressing management structure which includes consideration of Social Care roles and responsibilities to ensure there are improved opportunities for management scrutiny Consideration of further Peer Review (last Peer Review took place in 2009/10) to ensure Future Council activity regarding functions is appropriate (including reviewing impacts of changing portfolios for Elected Members as a result of Future Council)	ED Children, Young People & Families	75%	30/09/2014						
						ED Children, Young People & Families	(1) Anti Poverty: Local Welfare Scheme established. Rationalised Anti Poverty Programmes: Extra resources being applied to CAB - ongoing activity which includes the operation of a local scheme. A review of Welfare related issues (not just Welfare Reforms) is planned (11) Stronger Barnsley Together: Programmes Board in place. Expressions of interest made. Governance arrangements in place which includes the overseeing of the Executive Group by H&WB Board but full suite of infrastructure not yet in place. 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. Implementation and management of Personal Budgets programme, including building 'risk-enablement' into services users considerations. Programme being reviewed and re-developed. Pooled in 1 locally team. Assessment and Care Management, Risk Enablement and Risk Policy being engineered as part of review of Assessment & Care Management Review has a target of 95%. 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 Deame Approach complete; Ward Alliances established. Report regarding Phase 2 of Deame Approach being prepared. Identification of opportunities to learn lessons from Safeguarding Board workshops; Joint workshops planned; Reps from SAB on BSCB and vice versa; Joint audit of Safeguarding Boards planned; Joint learning from regional DfE and S&T taken place. Analysis of national guidance issued by College of Social Work includes recommendations regarding key posts and job families which may have consequences on grading, training and wider workforce. Report prepared and awaiting confirmation that it can be released and considered. Pressing management structure which includes consideration of Social Care roles and responsibilities to ensure there are improved opportunities for management scrutiny Consideration of further Peer Review (last Peer Review took place in 2009/10) to ensure Future Council activity regarding functions is appropriate (including reviewing impacts of changing portfolios for Elected Members as a result of Future Council)	ED Children, Young People & Families	25%	30/09/2014						
						ED Children, Young People & Families	(1) Anti Poverty: Local Welfare Scheme established. Rationalised Anti Poverty Programmes: Extra resources being applied to CAB - ongoing activity which includes the operation of a local scheme. A review of Welfare related issues (not just Welfare Reforms) is planned (11) Stronger Barnsley Together: Programmes Board in place. Expressions of interest made. Governance arrangements in place which includes the overseeing of the Executive Group by H&WB Board but full suite of infrastructure not yet in place. 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. Implementation and management of Personal Budgets programme, including building 'risk-enablement' into services users considerations. Programme being reviewed and re-developed. Pooled in 1 locally team. Assessment and Care Management, Risk Enablement and Risk Policy being engineered as part of review of Assessment & Care Management Review has a target of 95%. 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 Deame Approach complete; Ward Alliances established. Report regarding Phase 2 of Deame Approach being prepared. Identification of opportunities to learn lessons from Safeguarding Board workshops; Joint workshops planned; Reps from SAB on BSCB and vice versa; Joint audit of Safeguarding Boards planned; Joint learning from regional DfE and S&T taken place. Analysis of national guidance issued by College of Social Work includes recommendations regarding key posts and job families which may have consequences on grading, training and wider workforce. Report prepared and awaiting confirmation that it can be released and considered. Pressing management structure which includes consideration of Social Care roles and responsibilities to ensure there are improved opportunities for management scrutiny Consideration of further Peer Review (last Peer Review took place in 2009/10) to ensure Future Council activity regarding functions is appropriate (including reviewing impacts of changing portfolios for Elected Members as a result of Future Council)	ED Children, Young People & Families	0%	30/09/2014						

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	Cultural Change for Future Council (ref 1) Promoting and Communicating BMBC and the Borough as a whole (ref 6)	3026	Failure to achieve a reduction in Health Inequalities within the Borough.	Health inequalities persist. Life expectancy in Bamsley remains well below the national average and varies between different parts of the borough. Although life expectancy has increased, the gap between Bamsley 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 Bamsley; 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 emphasis 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' - AMBER	2	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	100% Green	Complete		
											(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	90% Green	30/09/2014		
											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		
											Commissioning of external consultant to assist in developing a whole council approach to Health Inequalities and the overall Council Strategy	Acting ED Public Health	25% Green	30/09/2014		
			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	Liaison with NHS regarding large scale response; Health Protection Agency Framework in place; Maintenance of World Health Organisation targets; Currently Bamsley has above average coverage regarding public health related screening; Use of NHS England website and resources;	3	3	3		Health Protection Board to be established to provide assurances relating to preventable health issues	Acting ED Public Health	100% Green	Complete	Refer matter to HPA.
											Adapting to new ways of working / culture following transition into BMBC: Complete	Acting ED Public Health	100% Green	Complete		
Sustainable Future Council	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 - 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.	Director HR, Performance and Communications	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	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;	Director HR, Performance and Communications	90% Green	30/09/2014		
											(14) Programme and Project Management: Capacity issues being identified and upskilling opportunities being developed further investment agreed to mitigate capacity issues	Director HR, Performance and Communications	25% Amber	30/09/2014		
											(20) Communications: Revised Communications Strategy being developed and programmed for presentation to SMT;	Director HR, Performance and Communications	100% Green	Complete		
	Cultural Change for Future Council (ref 1) Promoting and Communicating BMBC and the Borough as a whole (ref 6)	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.	Director HR, Performance and Communications	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	3		(12) Organisational Development: Organisational Development being presented to Cabinet 12/03/2014 which is linked to the 10 Priorities identified via Talkabout sessions;	Director HR, Performance and Communications	95% Green	30/09/2014		
	Cultural Change for Future Council (ref 1) Promoting and Communicating BMBC and the Borough as a whole (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 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;	Director Finance, Property and 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 benefited from: • Patching • Protection. Significant restructure of Information Services partially complete;	4	3	3		(16) Use of Information Technology and Digital Opportunities (which has contributed to the identification of PSN CoCo related issues) - SAP upgrade outstanding	Director Finance, Property and Information Services	95% Green	30/09/2014	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	Director Finance, Property and Information Services	100% Green	Complete		
											Develop and implement new Information Technology / Information Security Policies - once complete will be checked by Internal Audit	Director Finance, Property and Information Services	25% Amber	30/09/2014		
											Manage and deliver the Action Plan arising from the IT Security Health Check	Director Finance, Property and Information Services	90% Amber	30/09/2014		
											Provide annual awareness to all staff relating to Information Security (13/14) - BOLD elearning package available - now 'policing' compliance	Head of Information Services	90% Green	30/09/2014		
											Review current IT architecture and re-design where necessary to meet appropriate standards - Technical Architect post vacant and currently filled by consultant	Head of Information Services	50% Green	30/09/2014		
										IT Strategy and Roadmap to be produced and presented to SMT	Head of Information Services	50% Amber	30/09/2014			

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	N/A	3034	Failure to deliver the MTFS - Failure of Future Council to achieve the required level of savings	<p>Risks relating to the MTFS fall into two main areas:</p> <ul style="list-style-type: none"> - 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. <p>Adverse effect on the Council's reserves / prudential borrowing / Treasury Management activities;</p> <p>Council's reserves falling below minimum working balance levels;</p> <p>Impact on service delivery and council policies;</p> <p>Adverse External Audit report / opinion;</p> <p>Government intervention;</p> <p>Inability to undertake robust planning in terms of Future Council activity;</p> <p>Non-achievement of KLoE savings and consequences on future years programmed or planned savings;</p> <p>Inability to develop and implement a 'Plan B' or contingency plan in the event of further savings being required;</p>	Director Finance, Property and Information Services	<p>Budget Monitoring and Reporting;</p> <p>Financial Regulations;</p> <p>Corporate Debt Strategy;</p> <p>SAP / EBP / Financial Systems Procedures;</p> <p>Treasury Management Policy;</p> <p>Forecasting of expenditure and resources;</p> <p>Service Delivery Planning and Service and Financial Planning Processes;</p> <p>Prudential Borrowing Strategy and Indicators;</p> <p>Budgetary Control / Budget Monitoring Processes;</p> <p>Annual Governance Review Framework;</p> <p>Ongoing development of SAP;</p> <p>Management of Assumptions and Constraints within MTFS;</p> <p>Horizon Scanning in terms of changing legislation and policy that may affect MTFS;</p> <p>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;</p> <p>We Will Statements:</p> <p>'Sustainable Future Council - Resources'</p>	5	5	5		<p>(25) MTFS (14/15) - set and delivered</p> <p>(25) MTFS (15/16)</p> <p>(26) Asset Management - report prepared detailing 5 year disposal strategy</p> <p>Development of a range of budget saving options (KLoEs) to enable Future Council scenarios for 13/14 to be reflected in 14/15 budget</p> <p>Enhance use of SAP desktop, and associated training (Performance Indicator CH22) (13/14)</p> <p>Financial Monitoring (13/14) to ensure delivery is in line with plan</p> <p>Financial Monitoring (14/15) to ensure delivery is in line with plan</p> <p>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)</p> <p>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 (14/15)</p> <p>Horizon Scanning with regard to general issues that may impact on LA Funding (13/14)</p> <p>Horizon Scanning with regard to general issues that may impact on LA Funding (14/15)</p> <p>Development of a range of budget saving options (KLoEs) to enable Future Council scenarios for 14/15 to be reflected in 15/16 budget</p>	<p>Director Finance, Property and Information Services</p> <p>Director Finance, Property and Information Services</p> <p>Director Finance, Property and Information Services</p> <p>Director Finance, Property and Information Services</p> <p>Director Finance, Property and Information Services</p> <p>Director Finance, Property and Information Services</p> <p>Director Finance, Property and Information Services</p> <p>Director Finance, Property and Information Services</p> <p>Director Finance, Property and Information Services</p> <p>Director Finance, Property and Information Services</p> <p>Director Finance, Property and Information Services</p> <p>Director Finance, Property and Information Services</p> <p>Director Finance, Property and Information Services</p> <p>Director Finance, Property and Information Services</p> <p>Director Finance, Property and Information Services</p> <p>Director Finance, Property and Information Services</p>	<p>100% Green</p> <p>0% Red</p> <p>75% Green</p> <p>100% Green</p> <p>58% Amber</p> <p>100% Green</p> <p>0% Green</p> <p>100% Green</p> <p>0% Green</p> <p>100% Green</p> <p>0% Green</p> <p>0% Red</p>	<p>Complete</p> <p>30/09/2014</p> <p>30/09/2014</p> <p>Complete</p> <p>30/09/2014</p> <p>Complete</p> <p>30/09/2014</p> <p>Complete</p> <p>30/09/2014</p> <p>Complete</p> <p>30/09/2014</p> <p>30/09/2014</p> <p>30/09/2014</p> <p>30/09/2014</p> <p>30/09/2014</p> <p>30/09/2014</p> <p>30/09/2014</p> <p>30/09/2014</p> <p>30/09/2014</p> <p>30/09/2014</p> <p>30/09/2014</p> <p>30/09/2014</p> <p>30/09/2014</p>	<p>Liaise with Cabinet in order to agree budget and MTFS</p>		
				3035	Loss of assets and resources as a result of a one-off incident of fraud / corruption / bribery or a sustained or widespread occurrence.	<p>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;</p> <p>Fraudulent transactions, contracts / payments and the like perpetrated by employees and / or third parties;</p> <p>External Audit public interest report;</p> <p>Loss of management time in undertaking investigations, be they 'real' incidents, or vexatious claims;</p> <p>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;</p> <p>Negative impact on employee morale either through actual incidents, or suspicions of incidents being perpetrated;</p> <p>Tensions and issues with morale within groups / teams as a result of changes within and to the organisation;</p> <p>Increased opportunities to commit fraud due to management attention being distracted by change programmes and increased workloads;</p> <p>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;</p>	Director Finance, Property and Information Services	<p>Anti Fraud, Corruption and Bribery Policy;</p> <p>Anti Money Laundering Policy;</p> <p>Whistleblowing Policy;</p> <p>Prosecutions Policy;</p> <p>Council Constitution;</p> <p>Local Code of Corporate Governance;</p> <p>Member and Officer Codes of Conduct;</p> <p>Police involvement / criminal investigations;</p> <p>Annual Fraud Self Risk Assessment;</p> <p>NFI Data Matching;</p> <p>Membership of NAFN;</p> <p>IT usage policies and procedures;</p>	5	4	4		<p>A) Develop governance arrangements around Area Councils and Ward Alliances (13/14); Raised at Member briefings and Member information sessions. Further review to be undertaken in around June 2014 to ensure evidence relating to Commissioning and Procurement is included.</p> <p>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</p> <p>C) Analysis of PDR outcomes to assist in identifying appropriate employees to undertake 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</p> <p>D) Undertake annual Governance Review to assist in identifying areas of weakness within the Council (13/14)</p> <p>E) Ensure each BLT member undertakes annual Fraud Risk Self Assessment, and undertake analysis of results (13/14)</p> <p>F) Develop and implement Fraud Awareness training for all staff via E-Learning platform (BOLD)</p> <p>FRSA to be circulated Sept/Oct 2014 due to significant change in structure/configuration of services e.g. business units.</p>	<p>Director Legal and Governance</p> <p>Director Finance, Property and Information Services</p> <p>Director Finance, Property and Information Services</p> <p>Director Finance, Property and Information Services</p> <p>Director Finance, Property and Information Services</p> <p>Director Finance, Property and Information Services</p> <p>Director Finance, Property and Information Services</p>	<p>25% Amber</p> <p>75% Green</p> <p>10% Green</p> <p>25% Green</p> <p>50% Green</p> <p>75% Green</p> <p>0% Green</p>	<p>30/06/2014</p> <p>30/09/2014</p> <p>30/09/2014</p> <p>30/09/2014</p> <p>30/09/2014</p> <p>30/09/2014</p> <p>30/09/2014</p>	<p>Escalate matter to HR, Police etc;</p> <p>Undertake full systems review of affected area(s)</p>
				1630	Failure to manage and make appropriate budgetary flexibility for Equal Pay Claims.	<p>Significant financial/budget consequences of successful claims;</p> <p>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;</p>	Director HR, Performance and Communications	<p>Payment of compensation to reduce risk of successful claims as appropriate, engagement of specialist legal advice to defend claims.</p> <p>A number of local claims relating to female to male parity have been settled, on budget;</p> <p>Settlements being negotiated on best terms;</p> <p>13/14 claims completed - no further claims emerging;</p> <p>Consideration of 'living wage' issues, and potential for further claims;</p>	2	3	3		<p>Monitor and Review 13/14</p>	<p>Director HR, Performance and Communications</p>	<p>75% Green</p>	<p>30/09/2014</p>	

