



AUDIT COMMITTEE – 11th June 2014

RISK MANAGEMENT ANNUAL REPORT 2013 / 14

Executive Summary

Key Issues:

1. The Risk Management Framework (including the Risk Management Policy and Strategy) have been significantly reviewed to reflect the context in which the Authority is operating within in terms of the Future Council, and the development of Business Units.
2. Regular and productive Risk Champion meetings continue to assist in focusing activity within Directorates, aimed at further embedding a culture of Risk Management within the Authority.
3. The Strategic Risk Register (SRR) has benefitted from its third full review, and is now regularly reported to Audit Committee for consideration.
4. The Authority's corporate Risk Management database, Morgan Kai Insight has now been upgraded by the developers, and the Authority is now progressing the roll-out and embedment of this system into the Authority's normal business processes.
5. A Risk Management training and awareness programme for 2014 / 15 has been prepared. This is now complemented by the provision of a Risk Management training package (and the development of others) within the Barnsley on-line development platform (BOLD).
6. The Risk Management Workplan for 2013 / 14 has been completed and, the Risk Management Section is now working towards delivery of the 2014 / 15 Workplan.

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RISK MANAGEMENT ANNUAL REPORT 2013 / 14

1. Purpose of Report

1.1 The purpose of this report is to summarise the activity in 2013 / 14 towards the achievement of the goals set out in the Authority's Risk Management Policy, and to signpost further work to be undertaken in 2014 / 15.

1.2 This report seeks to provide suitable assurances that the significant risks to the achievement of corporate objectives have been identified and are being appropriately managed within the comprehensive Risk Management Framework.

2. Recommendations

2.1 It is recommended that the Audit Committee:

i. **Considers the Risk Management Annual Report, and the assurance provided, as part of its overall consideration of the Authority's control framework for the purposes for the Annual Governance Statement;**

ii. **Considers whether any aspect of this report requires a more detailed report at a subsequent meeting; and,**

iii. **Continues to receive periodic reports during the year to monitor the progress in achieving the actions identified for 2014 / 15.**

3. Risk Management Framework

3.1 The significantly revised Risk Management Framework was presented to Audit Committee on 30th April 2014. Due to the significant nature of the changes to Risk Management Framework, this was approved by Cabinet on 4th June 2014.

3.2 Considerable progress has been made throughout the Authority in recent years in the introduction of Risk Management policies and procedures which have contributed to the development of a Risk Management culture. However, in light of unprecedented changes to Local Government (and indeed, Barnsley Council) in recent years, it is envisaged that robust and embedded Risk Management systems are needed more than ever to support change. The development of Business Units as part of the Future Council arrangements is an example of the changing environment in which services / business units will be required to be innovative, whilst ensuring there is a culture of managed risk taking.

3.3 This revised Framework also contributes to the overall Internal Control Framework, which provides assurances regarding the Authority's compliance and performance.

3.4 Risk Management Policy

- 3.5 The Risk Management Policy sets out the overall vision and purpose of Risk Management within the Authority, and defines the objectives that are necessary to deliver that vision, and detail how they will supported. The delivery of the Risk Management Policy is crucial to the successful embedding of a culture where Risk Management is considered a part of normal business processes.
- 3.6 The changes to the policy relate to the addition of a new Policy Objective, relating to the development of business units as part of the Future Council programme, and the inevitable impact these will have on the Authority's overall risk profile.
- 3.7 It is envisaged that this iteration of the Risk Management Policy will be further reviewed in 2014 / 15 to reflect the Internal Audit and Risk Management's own business planning processes, and to ensure it remains relevant and aligned to the Authority's corporate objectives.

3.8 Risk Management Strategy

- 3.9 The development of the revised Strategy has been influenced by the consideration of best practice, the outcomes of previous Benchmarking the Authority has participated in, the requirements of the national Risk Management Standard (ISO:31000) and recommendations made in the previous annual reviews of the Authority's Risk Management arrangements undertaken by Internal Audit.
- 3.10 The Strategy document sets out the essential elements for the successful delivery of the Policy and also sets out how assurance will be provided that risks are understood and are being managed appropriately.
- 3.11 This iteration of the Strategy has been significantly amended to include recommendations identified following the completion of the ALARM / CIPFA Benchmarking exercise for 2013 / 14. The outcomes of this, relevant to the Risk Management Strategy included:
- A foreword to the Strategy, produced and endorsed by a member of the Authority's Senior Management Team;
 - Amendments to the language contained within the Strategy which is intended to encourage the consideration of 'up-side' or opportunity risk management;
 - Details of how any tensions or conflicts would be resolved, within the Roles and Responsibilities section of the Strategy;
 - More quantifiable performance indicators;
 - A three year strategic plan, detailing broad objectives for future years; and,
 - Further development of the Authority's Risk Acceptance Model.

4. Roles and Responsibilities

4.1 Risk Champions

4.1.1 The role of Risk Management Champions is essential to the development of a Risk Management culture within the Authority. In essence, the Risk Champions promote and support Risk Management within their own Directorates. Regular quarterly meetings are facilitated by the Risk Management Section (RMS) in which Champions are able to report on the effectiveness of the Risk Management activities within their own Directorates, report on progress and activities taken to further promote Risk Management and share experience and best practice in relation to Risk Management.

4.1.2 The Risk Champion role was revised as part of the overall refresh of the Risk Management Framework. Furthermore, during 2013 / 14 all Risk Champions have been asked to complete a pro forma prior to each meeting, detailing activity relating to:

- Operational Risk Register (ORR) Reviews;
- Project and Partnership Risk Register Reviews;
- Involvement in risk based decision making, such as Cabinet Reports;
- Application of the Risk Tolerance and Escalation Model;
- Implementations and application of Morgan Kai Insight (MKI);
- Risk Communications – use of Risk Management Intranet site or dissemination of Risk Management Bulletins;
- Involvement in Minimum Council risk activity; and,
- Any other activity of relevance.

4.1.3 It is envisaged that the Risk Champion Group will continue to meet during 2014 / 15. It is accepted however that the membership of the group may be affected by Future Council changes.

4.2 Risk Management Section (RMS)

4.2.1 The RMS benefits from an annual workplan, detailing the key tasks and activities for the year. A copy of the completed 2013 / 14 Workplan is attached as Appendix One, and the current Workplan for 2014 / 15 is attached as Appendix Two. The RMS Workplan is subject to monthly, programmed reviews.

4.2.2 A member of the RMS is currently part way through the completion of the IIA Internal Audit and Business Risk Certificate.

5. Risk Management Process

5.1 Strategic Risk Register (SRR)

5.1.1 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.

5.1.2 As part of previous SRR reviews, it was agreed that a full, 'zero-based' review of the SRR would be undertaken. This 'zero-based' review of the SRR commenced in early 2013, and the Authority has now reviewed the revised SRR three times. The outcomes of these reviews have been previously reported in detail to the Audit Committee, and Cabinet.

5.1.3 The next review of the SRR is programmed for September 2014. As per previous reviews of the SRR, the outcomes of this review will be reported, and considered by Audit Committee.

5.2 Operational Risk Registers (ORRs)

5.2.1 These registers relate to the key risks to the provision of Council services. During 2013/14, these registers were formally reviewed on a half yearly basis, to ensure risks are still relevant and identified mitigation actions are being implemented. The risks contained with the ORR's are aligned to corporate processes, and in particular, Service Delivery Planning.

5.2.2 Following the completion of each review, there is a requirement to ensure 'red' risks are reported to Directorate Management Teams, in accordance with the Risk Tolerance and Escalation Model.

5.2.3 The RMS will continue with a rolling programme of detailed risk register reviews to ensure the approaches to risk identification and mitigation are consistent. In addition, these reviews will 'challenge' whether the registers do contain those risks which directly influence the achievement of service and corporate objectives.

5.3 Projects and Partnerships

5.3.1 The Authority continues to utilise the P2.net system to enable the recording and management of a significant number of risks.

5.3.2 Direct liaison with a number of significant projects by the RMS continues, and includes:

- Marketplace Barnsley;
- Library Relocation Project;
- Tour De France;
- Enterprising Barnsley.

5.3.3 Assurance continues to be sought from the Authority's key partners, relating to their own Risk Management arrangements. The precise details of these partners are contained within the RMS Workplan for 2014 / 15, which is attached as Appendix Two.

6. Risk Profile / Statistics

6.1 The corporate Risk Management software system, Morgan Kai Insight (MKI) allocates a category score to each risk, based upon a combination of likelihood and highest scoring impact; Category One (red) being the most severe, and Category Six (green) being the least.

6.2 SRR and ORR Statistics

6.2.1 A breakdown of the SRR and ORR risks by Category, as at the 30th May 2014 is shown below:

Risk Category	May 2014		May 2013		May 2012		Feb 2012	
	No.	%	No.	%	No.	%	No.	%
1	67	18	85	17	119	18	133	18
2	71	19	139	27	168	26	184	25
3	55	15	61	12	72	11	84	11
4	81	22	100	19	129	20	140	19
5	99	26	126	24	151	23	189	26
6	3	1	2	1	5	1	6	1
Total	373	100	513	100	644	100	736	100
Average Risk Category Score	3.24		3.09		-		-	

6.2.2 The latest statistics (May 2014) are a continuation of the trend evident from previous years, showing a continuing year on year reduction in the number of active risks, which is mainly attributable to the impact of Directorate restructures leading to the realignment of risks by Services.

The activities undertaken by the RMS in respect of service risk register challenges has also influenced the resulting decrease in active risk numbers, as a number of risks and risk registers have been archived following completion of service challenges. However, the proportional split between categories of risk remains virtually unchanged, with the exception of Category Two risks (down 8%).

The average risk category score metric details the average risk score for all risks logged in MKI within the defined period. The principle behind this metric is to identify and manage any trend in terms of the overall risk category score becoming more 'acceptable'. The closer this metric aligns to Category Six (being the most acceptable risk category score possible in MKI) the more assured the Authority can be in ensuring risks are being managed to acceptable levels.

6.3 Projects and Partnerships

6.3.1 A breakdown of Project and Partnership risks by Category, as at the 30th May 2014 is shown below:

Risk Category	May 2014		May 2013		May 2012		Feb 2012	
	No.	%	No.	%	No.	%	No.	%
1	6	5	18	17	15	11	63	16
2	22	18	17	16	35	26	103	26
3	23	19	22	20	20	15	44	11

Risk Category	May 2014		May 2013		May 2012		Feb 2012	
	No.	%	No.	%	No.	%	No.	%
4	36	29	21	19	34	25	61	15
5	35	28	28	26	25	18	77	19
6	1	1	2	2	8	6	50	13
Total	123	100	108	100	137	100	398	100

6.3.2 The overall number of partnership and project risks has seen a slight increase compared to May 2013, mainly attributable to several new projects such as the Tour de France which is being managed in MKI.

However, the majority of new projects continue to be managed via P2.net rather than MKI, in line with the Project and Programme Risk Management Protocol. The ongoing impact of these changes has seen the profile between May 2013 and May 2014 change somewhat; specifically a net reduction in Category One risks (down 12%), and a net increase in Category Four risks (up 10%). All other categories are virtually unchanged.

7. Risk Acceptance, Escalation and Reporting

7.1 The Authority's Risk Acceptance Model was revised as part of the overall refresh of the Risk Management Framework, as detailed in Section 3.1. In light of 'Future Council' efficiencies and the overall acknowledgement that during periods of austerity and fiscal pressure, the Authority must be more willing to exploit opportunities (and therefore accept a higher degree of risk), the Model was amended in order that both the *Current* and *Target* scores are considered as part of any escalation.

8. Risk Recording / Morgan Kai Insight (MKI)

8.1 The maintenance and development of risk registers is an essential element in the implementation of the Risk Management Framework and the development of a Risk Management culture. Additionally, the ability to produce meaningful reports and statistics in relation to risks is a key element in the provision of assurance. A robust and accessible software system is essential for the satisfactory provision of these outputs.

8.2 The corporate Risk Management system, MKI has now been upgraded by the developers. Work is currently underway to align language with the Internal Audit function, and ensure the overall configuration of the system is maximised. A series of awareness session for key officer involved in the management of risk have been planned for June 2014. Following these road-shows, a detailed user-guide will be developed by the RMS, which will complement a programme of user training.

9. Guidance, Training and Facilitation

9.1 A series of Risk Management training and awareness sessions have been planned for June and July 2014. These session focus on a broad reminder of the Risk Management process and helps identify opportunities where Risk Management can be used to exploit 'up-side' risk, or assist in the consideration of innovative solutions to effective service delivery.

9.2 It is envisaged that once these officer focused sessions have been delivered, there will be an opportunity to ensure Elected members benefit from this training and awareness session.

9.4 Specific training / workshops events have been delivered including:

- Area Councils risk identification workshop;
- Community Asset Transfer workshop;
- Police and Crime Commissioner workshop;
- Event Safety workshops;
- Elsecar Heritage Centre development risk workshop; and,
- Town Centre Delivery Board risk workshop.

9.5 Over 200 employees have now been trained to use MKI, and the programme of training officers to benefit from upgrades to the system will continue. This training will be greatly assisted by the BMBC produced MKI User Guide (see section 8.2).

9.6 The Risk Management intranet site continues to be updated on no less than a quarterly basis, which ensures the content, navigation and style is appropriate.

9.7 It is envisaged that further e-learning offers will be developed in 2014 / 15 to complement the existing 'Introduction to Risk Management' training module.

10. Assurance and Performance Management

10.1 Integration with other Processes

10.1.1 Representatives from the RMS attended a series of Directorate Management Team meetings, with colleagues from the Internal Audit Section. The purpose of these meetings was to identify opportunities to link Audit Planning with risk issues, and to also reinforce existing messages regarding the linkages that can and should be made between Service Delivery Planning and Risk Management.

10.2 Annual Governance Statement (AGS)

10.2.1 The Risk Management questions within the AGS were revised in 2013 / 14 to reflect the growing maturity within the Authority relating to Risk Management activity.

10.2.2 Analysis of the AGS returns will be undertaken throughout 2014 / 15 to ensure that the activities that the RMS are undertaking are directed by this intelligence.

10.3 Risk Management Section Evaluation

10.3.1 The annual Risk Management evaluation exercise was undertaken in April and May 2014. All members of Barnsley Leadership Team (BLT), as well as officers involved in the Risk Management processes within the Authority were invited to provide an opinion on the effectiveness of the services provided, or facilitated by the RMS.

- 10.3.2 Twenty two respondents completed the evaluation questionnaire, and a summary of the results are attached as Appendix Three. The results for the Five themes within the evaluation are summarised below, with corresponding results from previous evaluations also noted:

Theme	% Very Good / Very Satisfied and Good / Satisfied		
	2013/14	2012/13	2011/12
A: Access to Risk Management Services	95	97	99
B: General advice and support	95	100	99
C: Strategic Risk Register	-	-	100
D: Projects, Developments & new systems	89	98	100
E: Support for the Risk Management Framework and Processes	97	99	100
F: Overall Value and contribution of the RMS to deliver effective Risk Mgt.	94	98	100

- 10.3.3 The overall results demonstrate a reasonably high level of satisfaction with the RMS. Four of the five themes recorded combined ratings of very good / very satisfied or good / satisfied of no less than 94%.
- 10.3.4 A significant point to note is that support for the Risk Management Framework and Processes achieved the highest rating, suggesting that respondents recognise that the framework and associated processes are 'fit for purpose'.
- 10.3.5 Specific comments made in the evaluation are detailed in Appendix Three. These have been analysed, and identified corrective actions will be incorporated into the 2014 / 15 RMS workplan.

10.4 Performance Management

- 10.4.1 It is important that the success of the Risk Management Strategy can be measured, and in order to do so, revised performance indicators have been developed as part of the significant review of the Policy and Strategy in 2014. It is proposed to provide updates against these revised indicators in future update and Annual reports. Details of these revised indicators are attached as Appendix Four.
- 10.4.2 The annual independent review of Risk Management by Internal Audit, regarding activities undertaken in 2013 / 14 is currently underway. The initial results of this audit indicate that the RMS will benefit from a positive audit opinion.

11. Risk Improvement Fund

- 11.1 The main objective of the Risk Improvement Fund is to provide financial assistance where appropriate for the development and implementation of risk improvement measures across all Council activities. The Fund was allocated a budget of £17,150 in 2013 / 14.
- 11.2 Bids to the Fund are initially examined by the RMS to ensure they address significant corporate or service risks, and propose effective treatment. Those bids that are approved by the Head of Internal Audit and Risk Management are monitored and reviewed to ensure agreed risk improvement outcomes

have been met. The table below summarises the spending against this fund during 2013 / 14:

Group:	Amount (£):
Smartwater – Corporate Schemes	6,178
Children, Young People and Families – Service Schemes	4,773

11.3 As part of ongoing budget saving processes, the fund has been reduced slightly to £17,000 in total for 2014/15. This is due to budget pressures arising from the Future Council programme.

12. Culture

12.1 The prime objective of the Authority's Risk Management Policy is to facilitate the management of risks (and benefits or opportunities arising) in accordance with best practice, through a culture where responsible, informed and controlled risk taking is encouraged. In order to achieve this objective, the activities detailed in the RMS Workplan for 2014 / 15 specifically identify activities that will assist in building and improving the Authority's own Risk Management culture.

13. Risk Management Considerations

13.1 Clearly the most significant and obvious risk to the Authority is failing to embrace Risk Management as a vehicle to help process and help deliver objectives in a cost effective and efficient manner. Adopting and constantly improving the Risk Management arrangements for the Authority is a clear mitigation against this key corporate risk.

13.2 The Division itself has its own risk register that helps to ensure the successful delivery of the RMS Workplan.

14. Financial Implications

14.1 Whilst there are no direct implications from this report, the impact of Risk Management should be recognised as a major contributor to overall value for money and the effective use of resources.

15. Employee Implications

15.1 Again, whilst there are no direct implications from this report, the Risk Management process relies entirely on all employees having a good awareness of their responsibilities for Risk Management and for those specifically tasked with Risk Management functions, it is essential they are trained and supported to fulfil that role.

16. Appendices

Appendix One: RMS Workplan 2013 / 14

Appendix Two: RMS Workplan 2014 / 15

Appendix Three: RMS Evaluation Results 2013 / 14

Appendix Four: Revised Performance Indicators

17. Background Information

Previous Audit Committee Reports
Risk Management Framework
MKInsight – Risk Registers
Training Records and Feedback

Contact Officer: **Head of Internal Audit and Risk Management**
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Date: **02/06/2014**

Risk Management Workplan 2013 / 14

Description	Action	End Date	Comment
<p>Lead in the development, implementation and continuous improvement of a Risk Management Framework which encourages the embedding of a culture of effective and efficient management of significant risk and in doing so provides assurance in relation to the corporate governance and internal control responsibilities of the Council.</p> <p>The integration of Risk Management into the corporate business processes of the Authority and its Partners, including the regular review of risk registers including the escalation of risks falling outside agreed tolerance levels.</p>	<p>Review of Risk Management Framework</p>	<p>Completed</p>	<p>The Risk Management Framework was reviewed in 2012 / 13. Full review and re-branding required for 2013 / 14 Note: Schools Risk Management framework reviewed October 2013. Revised draft framework with Ho IA and RM as at 04/03/2014.</p>
	<p>Provision of reports to SMT as appropriate, including publishing 'top ten' risks</p>	<p>Completed</p>	<p>SMT briefing 26/11/2013 to update SMT regarding Oct 2013 review of SRR; February 2014 SRR review being undertaken - SMT report approved 11/03/2014.</p>
	<p>Provision of reports to Cabinet as appropriate, including publishing 'top ten' risks</p>	<p>Completed</p>	<p>SRR report approved by Cabinet 14/08/2013; SRR report approved by Cabinet 18/12/2013; SRR report to Cabinet 23/04/2014;</p>
	<p>Provision of reports to Audit Committee, as per Audit Committee Workplan, including publishing 'top ten' risks and the identification of a 'lead' Member for Risk Management</p>	<p>Completed</p>	<p>12/06/2013 – RM Annual Report & ZBAR SRR Report accepted; 11/12/2013 – RM Update Report, SRR Report and SRR Awareness Training accepted; 26/03/2014 – SRR Review 30/04/2014 – RM Policy and Strategy</p>
	<p>Provision of RMS Satisfaction survey, and analysis of results</p>	<p>Completed</p>	<p>RMS Survey undertaken April / May 2013 and included in Annual Report 2012 / 13.</p>
	<p>Review of Operational Risk Registers in accordance with published review cycles</p>	<p>Completed</p>	<p>Quarters one (as at 30/06) and three (as at 31/12): Children, Young People and Families, Development, Environment and Culture and Corporate – former Borough Secretary (Legal and Governance); Quarter two (as at 30/09) and four (as at 31/03): Adults and Communities; Corporate - former Finance and Property, Chief Executives; and Public Health. As above.</p>
	<p>Quality Assurance sampling of ORR's following service review</p>	<p>Completed</p>	<p>CYP&F – small amount of chasing to be undertaken by CYPF Champions – CYPF need to finalise SCSH register (AD</p>
	<p>Detailed Risk Register review 'Challenges' and review of processes</p>	<p>Completed</p>	<p></p>

Description	Action	End Date	Comment
	<p>themselves:</p> <ul style="list-style-type: none"> ▪ Full Challenge; ▪ Self Challenge. 		<p>Safeguarding left BMBC in September 2013) - LLEA and SSPC signed off;</p> <p>DEC – all services / divisions; Final reports in draft for Culture and Reg and Development ;</p> <p>Financial Services – risk workshop 08/05/2013 – FSM's to consider mitigations and assessments. Report issued to AD – Financial & Business Support Services 11/10/2013.</p> <p>Internal Audit and Risk Management - trial of 'mini-challenge' - completed & reviewed 05/02/2014</p> <p>Communications - email to Head of Communications 07/01/2014 - risks drafted for Communications; need to draft risks for HR etc</p> <p>Strategic Property and Procurement - SDP received 06/01/2014 - risks drafted and awaiting meeting with Shared Services Manager;</p> <p>SY Pensions - drafted risks for liaison with SAM SYJS;</p> <p>Revised Challenge Options paper drafted following review of first draft 29/10/2013; agreed by AED Finance (IA & RM) - Full Challenge and Self Challenge options.</p>
	<p>Bi-annual review of the Strategic Risk Register and subsequent reports to SMT, Audit Committee and Cabinet</p> <ul style="list-style-type: none"> ▪ Review May 2013; ▪ Review October 2013; and, ▪ Review March 2014. 	<p>Completed</p>	<p>Self challenge trialled with the IA & RM risk register February 2014. IA & RM Risk Register in process of being merged.</p> <p>Meetings booked with SMT members for October 2013.</p> <p>Introductory email drafted and passed to AED Finance (IA&RM) 29/08/2013 for comment / approval. Emails to ED/AD's 24/09/2013 and extract of SRR to EDs/ADs 25/09/2013. SMT briefing delivered 26/11/2013 to update SMT regarding October review of SRR. Audit Committee report accepted 11/12/2013. Cabinet Report approved 18/12/2013.</p> <p>Email for February 2014 review sent. Meetings booked with ED's for February 2014.</p> <p>Proposed to attend SMT 11/03/2014, Audit Committee</p>

Description	Action	End Date	Comment
	<p>Analysis of Cabinet Reports and feedback to Directorates and review of Cabinet Report Writing Guidance.</p> <p>Review of AGS question set, and responses</p> <p>Provision of Risk information to assist in Audit Planning</p> <p>Analysis of Internal Audit reports to include linkages to recommendations as appropriate and review of Internal Audit template wording to strengthen linkages between recommendations and risks / mitigations.</p> <p>Analysis of Fraud and Corruption related issues for consideration in ORRs</p>	<p>Completed</p> <p>Completed</p> <p>Completed</p> <p>Completed</p> <p>Completed</p> <p>Completed</p>	<p>26/03/2014 and Cabinet 23/04/2014.</p> <p>Analysis of reports presented to Cabinet / Full Council regarding Future Council activity; feedback to Directorates via Risk Champions 02/07/2013.</p> <p>Report writing guidance to be reviewed September 2013; revised guidance issued to the AD – Council Governance 15/10/2013.</p> <p>Guidance disseminated via Directorate Risk Champions 15/10/2013.</p> <p>AGS returns examined – no significant issues identified. Will be used to direct future challenges and facilitated risk register reviews.</p> <p>Meetings booked as follows:</p> <ul style="list-style-type: none"> ▪ A&C – 28/08/2013 (no RMS attendance – JWh produced minute); ▪ FDMT – 02/09/2013 (AH attended – main issue re training); ▪ CYPF – 11/09/2013 (no RMS attendance – no issues raised); ▪ Public Health – 16/09/2013 (no RMS attendance – no issues raised); ▪ HR, P&P and H&S – 19/09/2013 (no RMS attendance – no issues raised); ▪ Legal & Governance – 10/10/2013; <p>All 13/14 Audit Reports dealt with.</p> <p>PA (Fraud) to circulate Fraud Action Plan – received 26/06/2013 – no actions identified.</p> <p>25/09/2013 – email to PA (Fraud) re action 2c: '2c - Complete fraud risk action plan following analysis of data and liaise with Risk Management'</p>

Description	Action	End Date	Comment
	Provision of support to Project and Programme managers (including workshops etc)	Completed	PRIP risk register 'refresh' workshop 09/01/2014; risk register 'signed off' at the PRIP Core Group meeting 21/01/2014. Meetings planned re Barnsley 6 th Form College; Attendance at TdF meetings; Corporate Review of Commissioning; BEP liaison undertaken with DEC Group Leader / Risk Champion; H&WB liaison undertaken with A&C H&WB Coordinator (email 23/01/2014 refers). Town Centre Delivery Group - workshop approved;
	Provision of assurance as to the Risk Management arrangements of key partners, including: <ul style="list-style-type: none"> ▪ Berneslai Homes (Claire Musson); ▪ BPL (Adrian Bailey); ▪ Bull (via Information Services); ▪ NPS / Barnsley Norse (via Strategic Property and Procurement). 	Completed	Berneslai Homes risk register obtained 10/06/2013 to assist in Audit of Absence Management in Berneslai Homes; Assurance of RM arrangements of BPL; Bull; and NPS / Barnsley Norse requested 05/08/2013; BPL risk register obtained August 2013; BPL (29/08/2013) – emails to SP&P and Principal Officer Sports 29/08/2013; Norse (03/09/2013) – emails to SP&P 11/09/2013; Bull risk policy received; review arranged 24/10/2013; Bull risk register received; review arranged 15/01/2014 - email to Head of IS and Head of P&P re issues for them to consider. Full review of Risk Champion Role undertaken – need to consider revised Risk Champions in light of structural changes etc.
	Review of Risk Champion Activity and review of roles and responsibilities	Completed	Full review of Risk Champion Role undertaken – need to consider revised Risk Champions in light of structural changes etc.
	Provision of Risk Management support to SYJS	Completed	SYJS Deputy Clerk (Policy) will contact RMS when further input is required.
	Provision of Risk Management support to SY Police, SY Fire etc	Completed	Meeting with PCC 09/07/2013 – Risk Identification. Meeting with PCC 23/07/2013 – follow up to Risk Identification. Papers passed to PCC for approval prior to further session being planned.
	Provision of Risk Management support to Academy Schools	Completed	Meeting with PCC 07/08/2013 – risk assessment and controls / mitigations. Papers passed to PCC for approval. Oakhill completed – attendance at GB 17/06/2013; update meeting scheduled 08/08/2013 (PA & SAM).

Description	Action	End Date	Comment
<p>Provision of an effective platform for the uniform and consistent recording and management of risks.</p>	Development of 'Think Risk 4' - Officers	Completed	Draft passed to AED Finance (IA&RM) 01/10/2013; Comments received and new iteration presented to Ho IA and RM. Dates to avoid requested.
	Delivery of 'Think Risk 4' - Officers	Completed	With the ACX - Finance & Property & AED Finance (IA&RM) - agreed 25/02/2014 to progress delivery during 2014/15. Dates for delivery to be agreed and included in the 2014/15 Workplan . Dates to avoid requested.
	Development of 'Think Risk 4' - Elected Members	Completed	Think Risk 4 completed.
	Delivery of 'Think Risk 4' - Elected Members	Completed	Discussed member training opportunities with Principal Scrutiny & Member Development Officer - copy of draft officer presentation sent for consideration of a session in March / April 2014. Email to Scrutiny and Development officer.;
	Development of E-Learning packages and consideration of providing 'mandatory' training for new starters	Completed	"RM process" to be completed; Fraud and Corruption Package completed by PCRMO.
	Review of Risk Management intranet site	Completed	Intranet updates completed.
	Provision of communications material to include in appropriate 'bulletins'	Completed	Material for bulletins made available.
	Implementation of new versions of MKI as they become available	Completed	Version 8.1 due for release mid 2013. Implementation included on the 2014/15 Workplan.
	Provision of user guides and support to MKI users	Completed	Included on the 2014/15 Workplan.
	Provision of MKI Satisfaction survey, and analysis of results	Completed	Email to AED Finance (IA&RM) requesting that the survey be parked for 2013 due to MKI issues relating to the implementation of v8.1 (16/10/2013); Email received confirming this activity can be parked until v8.1 is embedded.
	Provision of assurance regarding the risk information contained in other	Completed	Full Risk Report and Red Risk Report prepared as part of SFP Guidance 2014 – 2017.

Description	Action	End Date	Comment
	systems, such as P2.net		Email to Performance and Improvement Officer detailing concerns relating to P2.net 25/11/2013; Chased ACE P&P and AED Finance (IA&RM) 11/11/2013. Meeting with Performance and Improvement Officer 06/01/2014 - new PO planned for 10/01/2014. PCRMO attended KLoE implementation Group 10/01/2014 - email to AED Finance (IA&RM) regarding use of MKI / P2 02/02/2014;
Effective sectional management to ensure a productive well governed and quality service is delivered.	Administration of the Risk Management Fund and review of guidance note and application form	Completed	2014/15 Budget confirmed by Neil Copley 17/01/2014. Met with Financial Services 12./03/2014 to agree outstanding bids; bids approved by AED Finance (IA & RM) & settlement processed by Accountancy.
	Equality and Diversity actions / tasks	Completed	PCRMO updated E&D Action Plan 20/06/2013. Review of all EIA's commenced 07/04/2014.
	Annual PDR process	Completed	Completed.
	Bi-annual review of PDRs	Completed	PDR between AED Finance (IA&RM) and PCRMO undertaken on the 26/11/2013; PDR between PCRMO and RMO undertaken on the 03/12/2013.
	Bi-annual review of Racking / Shortwood filing	Completed	Reviewed 01/08/2013.
	Delivery of Internal Audit recommendations following CRM Audit 2012/13	Completed	Refer to CRM IA Report August 2013 and associated Improvement Plan – now built into RMS Workplan.
	Delivery of Benchmarking Improvements following CIPFA / ALARM benchmarking August 2013	Completed	Refer to Benchmarking 2013 outputs and associated Action Plan – now built into RMS Workplan. Executive Summary passed to AED Finance (IA&RM) 03/09/2013 and ACE (FP&IS) 26/09/2013.

Risk Management Workplan 2014 / 15

Objective	Action	Date for Completion	Lead Officer	Comment / Update
Develop, implement and improve the Risk Management Framework	Review of Risk Management Strategy	31/03/2015	AH	Risk Management Framework reviewed; Considered and approved by AC on 30/04/2014; Programmed for consideration and approval by Cabinet on 04/06/2014;
	Review of Risk Management Policy Statement	31/03/2015	AH	
	Review of Risk Acceptance Model	31/03/2015	AH	
	Review of Risk Champion Role	31/03/2015	AH	
	Review of Risk Challenge Process	31/03/2015	AH	
	Review of Project Risk Protocol	31/03/2015	AH	
	Review of Cabinet Report Writing Guidelines	31/03/2015	AH	
	Review of Risk Management Training Strategy	31/03/2015	AH	
	Policy and Strategy to AC - 30/04/2014	30/04/2014	AH	
	Risk Management Annual Report to AC - 11/06/2014	23/07/2014	AH	
Provision of assurance in relation to corporate governance and internal control responsibilities	SRR Report to SMT	<05/11/2014	AH	
	SRR Report to AC - 05/11/2014	05/11/2014	AH	
	SRR Report to Cabinet	>05/11/2014	AH	
	Risk Management Update Report to AC - 10/12/2014	10/12/2014	IW	
	SRR Report to SMT	<25/03/2015	AH	
	SRR Report to AC - 25/03/2015	25/03/2015	AH	
	SRR Report to Cabinet	>25/03/2015	AH	
Culture of effective and efficient management of risk	Policy and Strategy to AC - 22/05/2015	22/05/2015	AH	
	Provision of RMS Satisfaction Survey and analysis of results to feed Annual Report	01/05/2014	IW	
Integration Risk Management into Corporate business process	Q1 - ORR (30/06/2014: CYPF, DEC, Corporate Services (Legal & Governance) Quality Assurance of Q1 ORR	31/07/2014	IW	
	Q2 - ORR (30/09/2014: A&C, Public Health,	31/08/2014	IW	
		31/10/2014	IW	

Objective	Action	Date for Completion	Lead Officer	Comment / Update
	Corporate Services (Finance & Property and HR & Comms)			
	Quality Assurance of Q2 ORR	30/11/2014	IW	
	Q3 - ORR (31/12/2014: CYPF, DEC, Corporate Services (Legal & Governance)	31/01/2015	IW	
	Quality Assurance of Q3 ORR	28/02/2015	IW	
	Q4 - ORR (31/03/2015: A&C, Public Health, Corporate Services (Finance & Property and HR & Comms)	30/04/2015	IW	
	Quality Assurance of Q4 ORR	31/05/2014	IW	
	Risk Register Challenges (Full)	31/03/2015	AH	IA & RM Integration - Awaiting IA&RM DMT to progress; HR, Communications, P&P - SDP with PCRMO for analysis; SYJS Pensions - AM (JS) to facilitate further meeting re 'Operational' Risk Register; Strategic Property & Procurement - Meeting with Shared Services Manager and PCRMO booked for June 2014;
	Risk Register Challenges (Mini)	31/03/2015	IW	
	Review of SRR (Sept / Oct 2014)	31/10/2014	AH	
	Review of SRR (Jan / Feb 2015)	28/02/2015	AH	
	Review of AGR Questions Set	30/11/2014	AH	
	Provision of risk information to feed Audit Planning	31/12/2014	IW	
	Analysis of Internal Audit Reports	31/03/2015	AH	
	Analysis of FRSA outcomes and F&C workplan for consideration in ORRs	30/04/2014	AH	
Support and encourage Risk Management activity throughout	Provision of support to Project and Programme Managers	31/03/2015	AH / IW	S106 Workshop delivered 15/05/2014 - output drafted and sent; Town Centre Delivery Board Workshop delivered 22/05/2014 - output drafted and sent;

Objective	Action	Date for Completion	Lead Officer	Comment / Update
the Authority and its partners	Provision of assurance regarding key partners: Berneslai Home	30/09/2014	IW	
	Provision of assurance regard key partners: BPL	30/09/2014	IW	
	Provision of assurance regard key partners: Bull / TCL	30/09/2014	IW	
	Provision of assurance regard key partners: NPS / Norse	30/09/2014	IW	
Development and delivery of training schemes to improve core competencies in Risk Management	Review of Risk Champion activity / Risk Champion Meetings	31/07/2014	IW / AH	
		31/10/2014	IW / AH	
		31/01/2015	IW / AH	
		30/04/2015	IW / AH	
		31/03/2015	AH	
		31/07/2014	AH	Several dates in June and July booked;
		30/09/2014	AH	
		31/03/2015	AH	
		30/09/2014	AH	
		31/03/2015	AH	RM Process to be completed
Provision of an effective platform for the consistent recording and management of Risk	Review of Intranet Site	31/03/2014	IW	First review undertaken;
		30/06/2014	IW	
		30/09/2014	IW	
		31/12/2014	IW	
		31/03/2015	AH	Self hosting order placed with Morgan Kai March 2014; date to move to a self hosting arrangement agreed - 10/04/2014 (Email from IT via Audit Manger 07/04/2014 confirms);
		31/03/2015	AH	Dates agreed with IT/Morgan Kai for data migration - 10th - 11th April 2014. Delays in our ability to be able to

Objective	Action	Date for Completion	Lead Officer	Comment / Update
Effective sectional management to ensure a well governed and quality service				allow users access due to work required by corporate IT/Bull on our network i.e. working URL etc; URL's supplied by Morgan Kai 17/04/2014 - not working; replacement URL's supplied by Morgan Kai 22/04/2014, 'Live' v7.1 & 'Training' v8.1 links work ok; Language changes to be applied by MK 04/06/2014;
	Provision of user guides and support to MKI users	31/03/2015	AH	
	Provision of MKI Satisfaction Survey and analysis of results	31/03/2015	IW	
	Provision of assurance regarding risk information contained in other systems	31/03/2015	AH	
	Alignment of other systems that have the ability record risk to MKI processes	31/03/2015	AH / IW	
	Regular review and delivery of RMS Workplan 2014 / 15	31/03/2015	AH	
	Delivery of Internal Audit recommendations following CRM Audit 2013 / 14	30/09/2014	AH	
	Delivery of Benchmarking recommendations following participation in CIPFA / ALARM Benchmarking 2014 / 15	31/03/2015	AH	
	Annual PDR Process and bi-annual review	30/08/2014 28/02/2015	AH AH	
	Administration of Risk Management Fund including review of Application Form and Guidance Note	31/03/2015	IW	Update for schools circulated via Bulletin Board 11/04/2014; Fund for 2014/15 confirmed at £17k; Forms updated on Intranet;
	Review of Filing / Racking / Shortwood	30/06/2014 31/12/2014	IW IW	
	Review of E&D Action Plan	30/06/2014 31/12/2014	AH AH	

Very Good / Very Satisfied	Good / Satisfied	Acceptable / Fairly Satisfied	Poor / Not Satisfied
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A. Access to Risk Management Services

1. How satisfied are you with regards the range of and access to the services of the Risk Management Section?
2. How satisfied are you with the information provided within the Risk Management Intranet site?
3. How satisfied are you with the content / information provided in the Risk Management Bulletins?

52%	48%	0%	0%
43%	52%	5%	0%
50%	41%	2%	0%

B. General Advice and Support

1. Timeliness of advice and support
2. Quality and usefulness of advice and support
3. Helpfulness / co-operation of the officer(s)
4. Professionalism of officer(s)
5. Appropriate appreciation of equality and diversity issues

77%	18%	5%	0%
77%	18%	5%	0%
82%	14%	4%	0%
77%	18%	5%	0%
65%	30%	5%	0%

C. Projects, Partnerships, Developments and New Systems

1. Level of support and advice regarding risk input to projects, developments or new systems.
2. Quality of input from the Risk Management Section at 'steering' or 'project' groups.
3. Professionalism of the officer(s) advising on projects, partnerships, developments or new systems.

63%	26%	11%	0%
72%	12%	12%	0%
74%	21%	0%	5%

D. Support for the Risk Management Framework and process

- 1 Overall risk management process (identification, assessment, control and review).
2. Risk register review process in addressing significant risks.

64%	32%	4%	0%
64%	32%	4%	0%

F1. Overall Value and Contribution of the Risk Management Section to delivering effective risk management.

68%	23%	9%	0%
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F2. The Risk Management process enables effective decision making and ensures accountability for risks and mitigations identified

64%	32%	4%	0%
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<p>Future Direction – Are there any actions or outcomes currently not delivered by the Section that you would like us to consider for the future?</p>	<p>I'm very happy with the level of support we get as a service – we appreciate and value it both on a day to day and project basis.</p> <p>Happy with the service - concerned on the complexity of tools for risk management and with the future council</p> <p>Generally very supportive of initiatives that prompts increased due diligence and planning of initiatives and activities of BMBC</p> <p>I have been grateful of the support offered and given by officers particularly with regard to extra training on MK1 and support work done re the multi - agency safeguarding board</p>
<p>Given the need to ensure the minimum administration, is there anything you feel we do deliver, that is perhaps unnecessary?</p>	<p>Given our reducing resources I think that a review of our essential governance processes is inevitable.</p>
<p>What more would you like from the Section?</p>	<p>The only aspect that I think lets the risk team down is the software management tool. I think we could cut down on resources required in all aspects of risk management if a fit for purpose tool was sought or developed in house. It needs to be user friendly with fewer clicks and only contain what's required. It needs a good reporting functionality with an alert system to risk managers when action deadlines are approaching etc</p>

Appendix Four – Revised Performance Indicators

Indicator	Quarter One: 01/04/2014 - 30/06/2014	Quarter Two: 01/07/2014 - 30/09/2014	Quarter Three: 01/10/2014 - 31/12/2014	Quarter Four: 01/01/2015 - 31/03/2015
Process:				
% of Services completing Operational Risk Register Review on time	100%	100%	100%	-
Maintenance / improvement of ALARM / CIPFA Benchmarking scores relating to Leadership and Management	Assessed Level: '4: Embedded and Integrated' (Actual score 77: +0.6% deviance on national average)			
Maintenance / improvement of ALARM / CIPFA Benchmarking scores relating to Policy and Strategy	Assessed Level: '5: Driving' (Actual Score 85: +6.9% deviance on national average)			
Maintenance / improvement of ALARM / CIPFA Benchmarking scores relating to People	Assessed Level: '5: Driving' (Actual Score 85: +8.7% deviance on national average)			
Maintenance / improvement of ALARM / CIPFA Benchmarking scores relating to Partnerships and Resources	Assessed Level: '3: Working' (Actual Score 65: -5.1% deviance on national average)			
Maintenance / improvement of ALARM / CIPFA Benchmarking scores relating to Processes	Assessed Level: '4: Embedded and Integrated' (Actual Score 72: -5.5% deviance on national average)			
Changes to Risk Profile:				
Deviance from previous Average Risk Category Score	3.09	-	3.23	-
Outcomes:				
Maintenance / improvement of ALARM/CIPFA Benchmarking scores relating to Risk Handling	Assessed Level: '3: Working' (Actual Score 49: -21.3% deviance on national average)			
Maintenance / improvement of ALARM/CIPFA Benchmarking scores relating to Outcomes and Delivery	Assessed Level '3: Working' (Actual Score 50: -17.7% deviance on national average)			