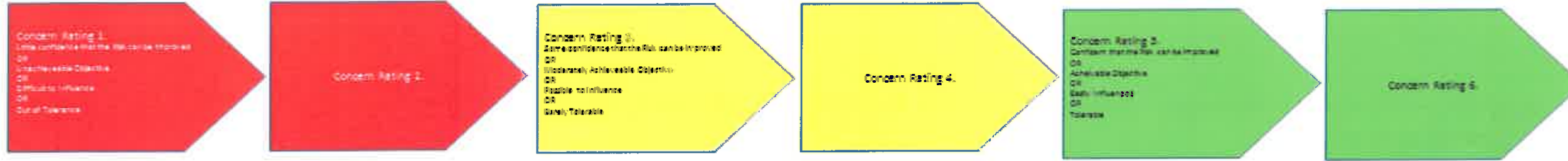


BMBC STRATEGIC RISK REGISTER - AS AT FEBRUARY 2015



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

FC Priority	Risk No	Risk Title	Risk Consequences	Risk Owner	Existing Control Measures	Oct-13	Mar-14	Sep-14	Feb-15	Risk Mitigation Action	Owner	% comp	Review Date	Recovery Plan
Thriving and vibrant Economy	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.	SMT SMT	Council Constitution Local Code of Corporate Governance Growing Bamsley's Economy (2012-2033) - Economic Strategy Community Strategy for Bamsley (2011 -2015) Corporate Plan Four planned council strategies which include jobs and businesses, housing, transport and employment and skills, that aim to make the borough a thriving and unique place to live, work, visit and trade; providing imaginative public space, arts, culture and urban living. Together they set out an integrated plan for the economic regeneration of Bamsley. The plan states that for Bamsley to close the economic performance gap it need more new businesses, more job opportunities, more productive businesses and better skills and training for Bamsley people. Five key steps are identified for achieving the councils' business aims, focusing on increasing the quantity of businesses and jobs: Invest in infrastructure; Attract inward investment; Improve the town centre; Grow existing businesses; and, Encourage higher activity start-ups. Skills Plan completed; We Will Statements: 'Create the conditions for economic growth and greater prosperity' - GREEN 'Create more jobs and businesses through an appropriate provision of business enterprise and employment programmes' - GREEN 'Reduce worklessness amongst those currently unemployed and increase skill levels of current and future workforce' - AMBER 'Develop a vibrant Town Centre' - GREEN 'Prioritise the economic renewal of the Goldthorpe and wider Deame area' - AMBER 'Significantly strengthen our visitor economy by further developing our key cultural assets and events' - GREEN	3	3	3		(1) Jobs and Business Growth Plan - approved by Cabinet April 2014	ED Place	50% Amber	31/03/2015	
										Development of visitor economy approach, including the development of the Visit Bamsley website in partnership with BEP	ED Place	50% Amber	31/03/2015	
										Skills Plan and Worklessness Plan to be amalgamated into the 'More and Better Jobs' plan - resources from People transferred into Place. Plan now being drafted, and will be submitted to Cabinet in June 2015.	ED Place	25% Amber	30/09/2015	
	3024	Lack of educational attainment	Negative impact on pupils and parents in terms of health, economic, employment and life choices; Failure to meet DfE targets for educational attainment; Damage to reputation through poor performance in published league tables compared to the national average, and in poor inspection outcomes; Reputational damage from press; Potential adverse Annual Performance Assessment; Intervention by DfE; Potential pressure from DfE for closure of schools or transfer to Trust or Academy status;	SMT SMT	Performance Management Framework; CYPF Policies and Strategies; Close monitoring of Government grade boundaries to ensure the Authority remains aware of changing or improving performance targets; As at April 2013 Primary School results are above average, and increasing; As at April 2013 Secondary School results are improving, and expected to continue improving throughout 2013; As at February 2015, the main risk area relates to secondary educational outcomes; Bamsley Challenge Plan has been refreshed, and presented to the Challenge Board and SMT. The Plan has also been approved by Cabinet. The Challenge Plan is currently feeding into sector-led improvement, which is being led by the Alliance Board; Primary and secondary school attendance and persistent absence has improved in 2013/14. Work with the Bamsley Governors Association to ensure strong governance within schools. Focused recruitment has secured the appointment of suitably qualified head teachers to all maintained schools in the borough, ready to start in September 2014. School Evaluation Team works to monitor, challenge and intervene in schools to improve standards and outcomes The Children, Young People and Families Integrated Inclusion Service, which supports families of children with Special Educational Needs & Disabilities; Children and Younger People's Plan 2013/16 was approved and adopted by TEG and Council Cabinet as the overall vision for improving outcomes for Children, Young People & Families. As at Feb 14, progress is almost at national average. 2014 KS1 and KS2 results at or above national average. KS4 initial results show 2% increase in 5A*- C in English and Maths; We Will Statements: 'Improve the quality of learning and leadership in schools to support better educational attainment levels' - AMBER 'We will ensure high quality partners are engaged in our new relationship with schools' - GREEN	4	4	4	4	(9) Children and Younger People's Plan: The plan has been presented at Childrens DMT, and was approved and adopted by TEG and Council Cabinet as the overall vision for improving outcomes for Children, Young People & Families. Validated National data due Dec/Jan	ED People	25% Green	31/03/2015	

Citizens achieving their Potential

FC Priority	Risk No	Risk Title	Risk Consequences	Risk Owner	Existing Control Measures	Oct-13	Mar-14	Sep-14	Feb-15	Risk Mitigation Action	Owner	% comp	Review Date	Recovery Plan					
	3025	Failure to safeguard vulnerable service users	The risk of not safeguarding vulnerable adults who are either known or not known to the service: The risk is greatly enhanced due to a 88% increase in referrals within the Borough in recent years: Changes in demographics mean there are more 'older-older' people which means an increased demand for services: As increased pressure mounts to reduce budgets / spending, there will be a likely increase in demand for assistance, intervention and help from service users who are also under significant financial pressure. Better care at an young age for those with physical or other forms of disability means life expectancy increases which puts further pressure on Adult Services: Arrangements are not sufficient to keep children and young people safe from harm, abuse or neglect: The risk is compounded by whether or not the children at risk are known to the service: Inability to manage and deliver the requirements and impact of the 'Cheshire West' Judicial decision for Adult Social Care in Bamsley: Inability to manage and deliver the requirements and impacts of the Care Bill - additional resources required to meet increasing workloads within Assessment & Care Management Teams and Financial Assessment Teams;		The system that delivers to children, young people and families is increasingly complex. Complexity arises from a number of factors; the number of partners with responsibilities for commissioning and/or delivering services to vulnerable children; the changing legislative, policy and financial landscapes; the different mechanisms for partnership working to align delivery and test the effectiveness of services; the potential for changes within the workforce at operational levels and strategic levels;					Financial Assessment Teams; workloads within Assessment & Care Management Teams and Financial Assessment Teams; The system that delivers to children, young people and families is increasingly complex. Complexity arises from a number of factors; the number of partners with responsibilities for commissioning and/or delivering services to vulnerable children; the changing legislative, policy and financial landscapes; the different mechanisms for partnership working to align delivery and test the effectiveness of services; the potential for changes within the workforce at operational levels and strategic levels;									
				SMT SMT	Council Constitution;					Equalities and Diversity Policy; Adults Safeguarding Board; Childrens Safeguarding Board; Service Delivery Plans; Management of Personallisation / Personal Care packages that require less regulated services, makes better use of commissioning resources and ensures people are better placed to look after themselves; Safeguarding Improvement Board set up to manage and drive OFSTED Safeguarding Recommendations; Signposted Universal Information and Advice; Analysts of Ward Alliance activity suggests positive progress is being made - most safeguarding related factors are being achieved; Childrens Services Scrutiny Board up and running as at Feb 2014 with workshop in place; National guidance available regarding Cheshire West Judicial review, regional forum attended, DMT briefed and additional resources requested and approved in principle, assessors and support staff prioritising the additional assessment requirements, Action Plan in place, liaison with BMBC Legal Section; National Programme Board in place, implementation plan developed, Cabinet briefed, cost implications of Care Bill (estimated to exceed £17 million for Bamsley) included in MTFs as an assumption; The 'Think Family' approach, including the help and support provided to turn around the lives of troubled families, will continue to identify children, young people and families in need of help. The service will intervene early to provide targeted support that will improve outcomes later in their lives. Monitoring of Bamsley Safeguarding Children Board Risk Register Improved Osted Judgement Review of 'Front door' Work being undertaken by Multi Agency Thresholds Group, Stronger Families Teams, MACs and Family Panels Promotion of use of CAF/Early Help Assessments Safeguarding Board includes CSC Strategic Group which reports directly to the Safeguarding Board; (including regional and joint learning); Action Plan developed using OFSTED inspection framework; Area Council arrangements include the principle of community engagement to assist in supporting vulnerable people in the community; Restruing for Future Council complete;									
										4									
										4									
										4									
										4									
										Implementation and management of Personal Budgets programme, including building risk-enablement into services users considerations; Programme being reviewed and re-engineered as part of review of Assessment & Care Management, Risk Enablement and Risk Policy being developed; Piloted in 1 locally being developed; Assessment and Care Management Review has a target of 05%.	ED Community Green 95%	31/03/2015							
										Analysts 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 - full review now complete and new operating model is being developed;	ED Community Amber 60%	31/03/2015							
										Consideration of further Peer Review to ensure Future Council activity regarding the potential to join up Adults and Childrens Safeguarding Functions is appropriate - rather than a Peer review, a report is being prepared to implement 'good practice' in terms of an independent Safeguard Board chairperson, and, undertaking a sector-led improvement approach, with partners and agencies;	ED People Green 10%	30/09/2015							
										Consideration of IA report regarding Casey improvements	ED People Green 10%	30/09/2015							

FC Priority	Risk No	Risk Title	Risk Consequences	Risk Owner	Existing Control Measures	Oct-13	Mar-14	Sep-14	Feb-15	Risk Mitigation Action	Owner	% comp	Review Date	Recovery Plan
	3026	Failure to achieve a reduction in Health Inequalities within the Borough.	Health inequalities persist. Life expectancy in Barnsley remains well below the national average and varies between different parts of the borough. Although life expectancy has increased, the gap between Barnsley and the rest of the country has continued to widen. Such health inequalities challenge not just the health and social care services but every one interested in the future prosperity and well-being of the borough. It is unacceptable that people's health and quality of life varies so much with the sort of work they do or where they live. The cost of health inequalities is borne not just by health and social care services and, of course, parents, carers and children, but by employers and the local economy. Good health is essential to the borough's economic regeneration. Healthy people are less likely to be socially excluded and more likely to be in work. Healthy children are more likely to do well at school. All the available evidence shows that health is closely associated with people's standard of living, occupation, level of education and where they live - there are significant differences in terms of average life expectancy depending on where in the Borough one resides;	SMT SMT	Acting Director of Public Health in post to provide leadership; Liaison with Clinical Commissioning Group (CCG) and GPs to ensure that the right services are being commissioned; Joint Strategic Needs Assessment (JSNA) undertaken to ensure an appropriate understanding of the requirements of the population of Barnsley; Health and Wellbeing Strategy identifies six key objectives - and within these, it is acknowledged that it is impossible to 'try and do everything' - the objectives and key deliverables identify the significant areas of concern; Oversight of Health and Wellbeing Strategy provided by partnering organisations and agencies that are best placed to deal with the issues (health - hospital, alcohol - police etc); Six-monthly reports to Health and Wellbeing Board; Structure and procedures in place - need to assess impacts / benefits to identify effectiveness; H&WB Board established JSNA undertaken and programme boards now in place; Public Health now integrated into BMBC - Public Health Development Programme established; We will statements: '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 '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	2	Development of PH Strategy and Implementation Plan to enable DPH to hold Service Directors to account regarding health outcomes that are now vested with service areas - building leadership team in Core PH, development of sustainable PH Strategy and development of governance arrangements in terms of accountability and assurance Delivery of Public Health 'distributed model' including the monitoring and reviewing of impacts and outcomes on Future Council - provision of effective leadership within Core PH to ensure the effective delivery of the distributed model Internal governance and assurance arrangements for the use of the public health grant across the council (Action 1 above) are necessary to assure PH England and the Department of Health that the grant is being used to improve public health outcomes	ED Public Health ED Public Health ED Public Health	50% Green 30% Green 0% Amber	30/09/2015 30/09/2015 30/09/2015	Revisions to policy - liaise with Leader, PH spokesperson and Chief Executive - consideration of 'call to action'
	3047	Failure to protect the health of the population from preventable health threats.	Failure to protect health and population against preventable disease by ensuring appropriate levels of vaccination, immunisation and screening.	SMT SMT	Liaison with NHS regarding large scale response; Health Protection Agency Framework in place; Maintenance of World Health Organisation targets; Currently Barnsley has above average coverage regarding public health related screening; Use of NHS England website and resources; Health Protection Assurance paper to Cabinet 12/02/2014; Health Protection Board established; Transition into BMBC complete;	3	3	3	3	Monitoring of Health Protection Board to ensure any system issues associated with working with CCG and partners are identified and addressed - ongoing discussions with CCG regarding Health Protection arrangements	ED Public Health	25% Amber	30/09/2015	
	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;	SMT SMT	Revised Governance Arrangements regarding Area Councils and the changing role of Elected Members; Using lessons learnt and general approach from Dearne LIS project as the basis for the implementation of Area Council Arrangements; Use of key partners and LSP to coordinate wider communication activity; Engagement of Clinical Commissioning Groups to assist in ensuring stakeholders receive the services that they require and need; Employer Supported Volunteering (ESV) Scheme in place - work is required to identify take of ESV scheme and also to identify impact of the scheme; Cabinet Report dated 09/10/2013: Dearne Approach - Findings of Community Research (Cab.9.10.2013 10.3); Funding that supports Volunteering Strategy is received via Citizen Advice Bureau (CAB) - their own funding with Transforming Local Infrastructure (TLI) came to an end in November 2013 leaving a gap in funding that Area Councils may be expected to pick up; Volunteering Strategy now in place, including SLA with VAB to deliver core part of Strategy; ESV in place; H&WB Board approved creation of 'Engagement Hub' which is intended to align engagement opportunities across all statutory bodies; We Will Statements: 'Ensure people of all ages have a much greater involvement in designing services and actively participating in improving their lives and Barnsley' - AMBER 'Support the many benefits of volunteering and foster our many and diverse opportunities for residents to gain new skills and experiences through volunteering' - AMBER	3	3	2	3	Review of the developing community offer to include consideration of how we tell our story, local welfare assistance, third sector provision and how we use our buildings and assets Building Community Capacity event in February 2015 - intended to provide support to fledgling companies and assisting in supporting communities to develop Nesta Programme - development of volunteering capacity and capability in Barnsley Formal review of third sector in Barnsley	ED Communities ED Communities ED Communities ED Communities	0% Green 0% Green 0% Green 0% Green	30/09/2015 30/09/2015 30/09/2015 30/09/2015	

Risk No	Risk Title	Risk Consequences	Risk Owner	Existing Control Measures	Feb-15	Sep-14	Mar-14	Oct-13	Feb-15	Owner	% comp	Review Date	Recovery Plan
3030	Failure to be prepared for an emergency response or business continuity threat	Recent emergencies relating to industrial actions and flooding prove there is still an inappropriate reliance on HaSE&RU to manage and lead on the management of emergency events; The emerging risk environment is increasingly making continuity or resilience a significant focus for all organisations. Reduced delivery models and on-going budget cuts may challenge the Authority's ability to fulfil its Civil Contingencies Act Category One duties to an extent expected by residents and their political representatives.	SMT SMT	Business Unit/Service Business Continuity Plans developed using the template provided; Ongoing liaison with SMT regarding aspirations and expectations during emergency events; Analysts of AGS and sampling of returns; Formal on-call arrangements by the Health, Safety and Emergency Resilience Service (Bronze/operational) and BLT (strategic/gold); Analysts of 'heavers' programmed to identify who is left to be able to step up in the event of an emergency event; Public Health now incorporated into Corporate Resilience Plan; Multi-agency working across the Local Resilience Forum; Operational Services role as 'Lead Local Flood Authority'.	3	3	3	3	2	ED HR, Comms and Performance	0%	31/03/2015	
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. The Authority's main administration bases in WPO and GP, issues relating to the accessibility of telephony for the public will mean that Central call will be unable to take calls relating to: - Highways; - Schools; - School Trips / Emergencies; - Dangerous Structures; - Adults Emergency Duty Team.	SMT SMT	This review will also roadmap issues for resolution following changes to the relationship between the Council and Bull. - BCPs for Information Systems should be regularly tested; - BCP for Information Systems should be regularly tested; Residual risk areas, as expressed in correspondence with External Audit in 2011 will be reviewed in 2015, including: - BCPs for Information Systems should be regularly tested; - The Council should undertake a review of its disaster recovery systems; and, - The Council should undertake a review of its disaster recovery systems in conjunction with BULL. In addition, the transition to Future Council will lead to established emergency responses arrangements no longer reflecting the Council's operational structure. Compounding this is a lack of engagement by employees to volunteer for emergency response duties that will mean that currently expected response in relation to flooding cannot be delivered. The extent of the transition to Future Council necessitates in many cases the complete review of Business Unit and Service Business Continuity Plans to reflect revised structures and resources if they are to be able to continue to deliver critical functions in the event of a business interruption. This risk also acknowledges the residual risk that remains regarding the Authority's own BCP, as expressed in correspondence with External Audit in 2011: - BCPs for Information Systems should be regularly tested; - The Council should perform an annual full test restore for critical systems; and, - The Council should undertake a review of its disaster recovery requirements in conjunction with BULL. Recent emergencies relating to industrial actions and flooding proves there is still an inappropriate reliance on the increasingly limited resources of the HSE&RS to manage and lead on the management of emergency events. Failing to be able to provide support to lone workers as a result of IT and telephony systems being unavailable for significant lengths of time, leaving over 200 HART support workers and Supported Living workers unable to contact the out of hours office. Without appropriate support mechanisms in place, lone workers are at serious risk of being unable to escalate serious and significant safety and safeguarding concerns to management. Issues relating to the accessibility of IT and telephony for employees working more traditional, regular patterns mean that there is a significant amount of productive time lost as a result of sporadic outages of the IT and telephony within the Authority's main administration bases in WPO and GP. Issues relating to the accessibility of telephony for the public will mean that Central call will be unable to take calls relating to: - Highways; - Schools; - School Trips / Emergencies; - Dangerous Structures; - Adults Emergency Duty Team.	3	3	3	3	3	ED Legal and Governance	90%	30/09/2015	
				Area Council Arrangements in place, with supporting documentation in the form of 'Area Governance Handbook', 'Ward Alliance Governance 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 regards to 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: 'Engage local communities in helping them shape the decisions and services in their neighbourhood' - AMBER 'Ensure the Council operates fairly and demonstrates total commitment to equalities in policy and practice' - AMBER	3	3	3	3	3	ED Legal and Governance	90%	30/09/2015	
				Area Council Officer Coordinating Group to develop a 'Protocol to deal with potential tensions within Ward Alliances' to unpick issues relating to Area Governance - developing Member Governance and to monitor and refer matter to Monitoring Officer for adjudication.	3	3	3	3	3	ED Legal and Governance	90%	30/09/2015	
				Area Council Commissioning Group to unpick issues relating to procurement and commissioning (14/15)	3	3	3	3	3	ED Legal and Governance	90%	30/09/2015	
				Area Council Chairperson Group to encourage cooperation and consensus amongst Area Councils (14/15)	3	3	3	3	3	ED Legal and Governance	90%	30/09/2015	
				Area Council Officer Coordinating Group to develop a 'Protocol to deal with potential tensions within Ward Alliances' to unpick issues relating to Area Governance - developing Member Governance and to monitor and refer matter to Monitoring Officer for adjudication.	3	3	3	3	3	ED Legal and Governance	90%	30/09/2015	

FC Priority	Risk No	Risk Title	Risk Consequences	Risk Owner	Existing Control Measures	Oct-13	Mar-14	Sep-14	Feb-15	Risk Mitigation Action	Owner	% comp	Review Date	Recovery Plan
	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 programmes and projects may be challenged by cost over-runs and failure to meet expectations.	SMT SMT	HR Policies; Council Constitution; Service and Financial Planning Process; Service Delivery Planning Process; Partnership Governance Framework; Corporate Complaints Policy; Risk Management Policy; New Models of Business - departments and services considering and implementing new Trading Models; Changes to Employee Terms and Conditions; Employee Relations Forum with Trade Unions; Talkabouts Sessions with CX and Middle Manager Conference; BLT and SMT sessions to assist in communication; Restructure of Communications Division now with ACE HR, P&P and Comms; Investor in People accreditation; Future Council Steering Group being led by HR; Future Council Programme Board being led by CX; Programme and Project Management Issues now being identified and mitigated at Directorate level; We Will Statements: 'Sustainable Future Council - Customers'	5	5	5	5	(13) Employee Engagement: Summer 2013 and early 2014 Talkabouts complete and further Talkabout sessions planned for later in 2014; Middle Managers Conferences October 2013 and May 2014; Employee Survey completed and action plan being developed;	ED HR, Performance and Comms	90% Green	30/09/2015	
										(19) Equality Priorities / Groups (including oversight by Corporate Equalities group): SMT to look at the strategic needs of the Corporate Equalities group in order to support and drive progress - looking for greater overall consistency between Directorates; 'Excellence' now achieved	ED HR, Performance and Comms	30% Amber	30/09/2015	
										(20) Communications: Revised Communications Strategy to be reviewed	ED HR, Performance and Comms	0% Green	30/09/2015	
	3028	Workforce planning issues	The Authority is currently undergoing tremendous organisational change. This will create significant workforce issues around having the right skills, people and employee capacity. The Authority will require employees to have different skill sets that underpin a transformed business model. Operationally, risks inherent in organisational down-sizing initiatives will include: - Increasing workforce productivity; - Getting the balance right between cost and benefit; - Need to reduce deficit reductions; - Balancing the impact of reducing the workforce and the economic impact on the community; and, - Maintaining morale in the remaining workforce.	SMT SMT	HR Policies; Council Constitution; Equalities and Diversity Policy; Risk Management Policy; Management and monitoring of 'Future Council' / KLoE activity; PULSE Survey to measure progress in key areas since the last full employee survey in 2011; Development of Adobe Forms to assist management processes; As at October 2013 37% of employees benefit from a current PDR; HR Reorganisation completed; We Will Statements: 'Sustainable Future Council - People'	3	3	3	3	(12) Organisational Development: Monitoring OD Strategy via Corporate Plan with subsequent reports to Scrutiny and FC Board to ensure managers are promoting the correct message regarding FC to employees	ED HR, Performance and Comms	0% Red	30/09/2015	
	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 Council's connection to the government secure network; Non compliance with Data Protection Act and Freedom of Information Act; Non compliance with Payment Card Industry Data Security Standards (PCI DSS) leading to the inability to process payment card transactions; Failure to ensure that unwanted data is cleared and disposed of, leading to non-compliance with DPA requirements; Inability to gather data from other agencies to strengthen and benefit the Authority's activities; Failure to have appropriate data sharing agreements with agencies and partners leading to vicarious liability in the event they lose or misplace sensitive information; Inability to ensure that partners that we share data with are in themselves compliant with appropriate guidance and legislation;	SMT SMT	Information Management and Governance Policies; 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 Board refreshed and re-established and engaged in corporate risk management arrangements; Technical Architect role filled by consultant; Some initial actions have been taken as a result of IT Health Check to control, and restrict access: • Reduced permissions • Deactivated USB ports • Deactivated removable media options • Implemented temporary changes to homeworking solutions. The Authority's core infrastructure has benefitted from: • Patching • Protection. Significant restructure of Information Services complete; Caldicott guardians in place within A&C and CYPF; A&C and Public Health have IG Steering Groups in place; IT Action Plan (2013) completed and delivered; Phase 1 of IG awareness training (via BOLD) completed; Review of technical architecture completed and action plan identified; BMBC Cabinet agreed to endorse the requirement to achieve Baseline Personnel Security Standard (BPSS); IT business plan been through 'Check and Challenge' process; Technical refresh for those officers using third party equipment to enable them to use BMBC apparatus to connect with BMBC network; Information Governance Board confirmed engagement will be undertaken with DMTs to ensure actions arising from the IG Toolkit are completed; IT Business Plan produced and presented to 'check and challenge' session - analysis of other business plans to identify IT requirements and resourcing complete; Passed first phase of PSN compliance; Implementation of EGRESS secure email solution completed;					Develop, update and implement new Information Technology / Information Security Policies - once complete will be checked by Information Governance Board and SMT and then will be reviewed as part of AGR process (high level elements complete, low level elements outstanding)	ED Finance Assets and IS	60% Green	30/09/2015	Enable revisions to infrastructure that will allow limited communications.
										Phase 2 of Information Security Programme - roll out of guidance and training to partners such as BH, Bull, NPS etc	ED Finance Assets and IS	0% Green	30/09/2015	
										Programme of activity to assist in achieving Baseline Personnel Security Standard (BPSS) - focus of activity currently on third party access issues	ED Finance Assets and IS	20% Green	30/09/2015	
										Risk based Action Plan developed (following review of IT architecture) being delivered (all 'red' actions complete)	ED Finance Assets and IS	30% Amber	30/09/2015	

A Sustainable Future Council

FC Priority	Risk No	Risk Title	Risk Consequences	Risk Owner	Existing Control Measures	Oct-13	Mar-14	Sep-14	Feb-15	Risk Mitigation Action	Owner	% comp	Review Date	Recovery Plan
3031		Strategic Performance, governance or compliance failure	Budgetary pressures to minimise back office functions may drive the Authority to downgrade the focus on meeting proper governance standards and ultimately, remaining 'safe'. The Authority to downgrade the focus on meeting proper governance standards and ultimately, remaining 'safe'. The Council's Constitution to have been significantly reviewed to ensure Area Council Arrangements has required the Council's Constitution to have been significantly reviewed to ensure Area Council governance and Ward Alliance governance issues are included.	SMT SMT	Local Code of Corporate Governance; Information Management and Governance Policies; TOR for Audit Committee; TOR for Scrutiny Committee; Internal Audit; Risk Management Policy; Performance Management Arrangements including revised Corporate Plan Performance Report and 'We Will' Statements;	4	4	4	4	Terms of reference for all Overview and Scrutiny Committees reviewed; Scrutiny Committee workplans are now aligned to Corporate Priorities; Briefing for Elected Members relating to Performance Management of Area Council activity; Revised AGR process for 14/15; Including recommendations for internal Audit activity; Analysts of Casey Rotherham Safeguarding Report undertaken - report to SMT in February 2015	ED Legal Governance	50% Amber	30/09/2015	Refer matter to Audit Committee / External Audit for consideration
3032		Failure of partnership working / supply chains	A core purpose of One Barnsley is also to maximise collective contribution from individual partners, otherwise issues would be addressed individually and not collectively, and with limited resources. This is supported by the three sub groups currently in place: - Communities; - EU Funding; and, - Shared Assets. In addition to this, the One Barnsley Partnership has the following five key themes at any one time: - Alcohol Fledge; - Volunteering; - Apprenticeships; - Work placements; and, - Local Spend. The purpose, objectives and themes relating to One Barnsley and its sub-groups can be easily linked to the Authority's Corporate Objectives.	SMT SMT	Local Code of Corporate Governance; Information Management & Governance Policies; TORs for One Barnsley and sub-groups; Internal Audit - as an internal control in its own right; Potential significant impact on BMBBC reputation should BEP fail (Partners become disassociated and walk away); Economic Partnership (BEP). This would lead to either group not meeting performance targets which are designed to measure improvements and outcomes within the Borough; EU Funding; and, - Shared Assets. This is supported by the three sub groups currently in place: - Communities; - EU Funding; and, - Shared Assets. In addition to this, the One Barnsley Partnership has the following five key themes at any one time: - Alcohol Fledge; - Volunteering; - Apprenticeships; - Work placements; and, - Local Spend. The purpose, objectives and themes relating to One Barnsley and its sub-groups can be easily linked to the Authority's Corporate Objectives.	4	4	4	4	Failure of One Barnsley to identify and manage performance issues relating to Health and Well Being (H&WB) and the Barnsley Economic Partnership (BEP). This would lead to either group not meeting performance targets which are designed to measure improvements and outcomes within the Borough; EU Funding; and, - Shared Assets. This is supported by the three sub groups currently in place: - Communities; - EU Funding; and, - Shared Assets. In addition to this, the One Barnsley Partnership has the following five key themes at any one time: - Alcohol Fledge; - Volunteering; - Apprenticeships; - Work placements; and, - Local Spend. The purpose, objectives and themes relating to One Barnsley and its sub-groups can be easily linked to the Authority's Corporate Objectives.	ED Legal Governance	25% Amber	30/09/2015	
3033		Authority into a sustainable organisation - current services	The need to balance the books, gain efficiencies and meet new demands could lead the Authority into drastic measures that could increase long-term risks and costs, both to the organisation as well as to the community. The Authority runs the risk of moving away from addressing problems with long-term solutions, such as capital investment projects essential to meet social and area-based economic challenges. 'Short-termism' could potentially lead to decaying infrastructure and an inability to develop long-term economic vitality. Need to ensure that the Authority has the right people to ensure sustainable opportunities are being exploited to their maximum. Development of City Region Devolution Deal which while fiscally neutral, will provide more opportunities to strengthen the sustainability of the organisation by transferring a number of powers and policy levers from central Government to local leaders, including skills, employment, business support, transport and housing;	SMT SMT	Performance Management Framework Community Strategy for Barnsley (2011 -2015) Growing Barnsley's Economy (2012-2033) - Economic Strategy Customer Services Organisation project; Integrating areas of work and consideration of new Service Delivery models such as traded services or social enterprises; Consideration of joint commissioning opportunities; First £15 million savings identified, and approved by Cabinet (need to monitor delivery); As at September 2014, all Service Director are in post (other than DPH and Education, Early Start and Prevention); Characteristics of Business Units have been included in 15/16 budget consideration; Savings of £28m identified and agreed by Cabinet - awaiting approval from Full Council in February 2015; Contract for Leadership and Management training for all 4th tier and above officers agreed with IODA Training - other employees training offers currently outstanding; New Corporate Plan being developed which will not identify any new priorities, but will reflect Business Units, and provide milestones for delivery; We Will Statement: Ensure customer services and the citizen experience of access is improved - we are a successful customer service organisation and our plans facilitate greater self-help' - AMBER	3	3	3	4	Development of new Corporate Plan ED Face	30/09/2015			

FC Priority	Risk No	Risk Title	Risk Consequences	Risk Owner	Existing Control Measures	Oct-13	Mar-14	Sep-14	Feb-15	Risk Mitigation Action	Owner	% comp	Review Date	Recovery Plan
	3034	Failure to deliver the MTFS - 'Failure of Future Council to achieve the required level of savings'	Risks relating to the MTFS fall into two main areas: - Agreeing a three year plan with Directorates and Members; and, - Ensuring delivery against the agreed plan, managing variances and areas of over / under spend to enable the budget to be balanced. Adverse effect on the Council's reserves / prudential borrowing / Treasury Management activities; Council's reserves falling below minimum working balance levels; Impact on service delivery and council policies; Adverse External Audit report / opinion; Government intervention; Inability to undertake robust planning in terms of Future Council activity; Non-achievement of KLoE savings and consequences on future years programmed or planned savings; Inability to develop and implement a 'Plan B' or contingency plan in the event of further savings being required;	SMT SMT	Budget Monitoring and Reporting; Financial Regulations; Corporate Debt Strategy; SAP / EBP / Financial Systems Procedures; Treasury Management Policy; Forecasting of expenditure and resources; Service Delivery Planning and Service and Financial Planning Processes; Prudential Borrowing Strategy and Indicators; Budgetary Control / Budget Monitoring Processes; Annual Governance Review Framework; Ongoing development of SAP; Management of Assumptions and Constraints within MTFS; Horizon Scanning in terms of changing legislation and policy that may affect MTFS; A range of budget saving options (KLoEs) have been developed and agreed to enable Future Council scenarios for 13/14 and 14/15 to be reflected in 15/16 budget; Asset Management Disposal Report approved by Cabinet; First £15 million of budget savings identified, and agreed by Cabinet (now need to monitor delivery); 2 year financial plan now set - now need to monitor delivery against this; Monitoring of political situation in run up to Election 2015 - likely to be a new Comprehensive Spending Review or emergency budget following election; We Will Statements: 'Sustainable Future Council - Resources'	5	5	5	5	Enhance use of SAP desktop, and associated training (Performance Indicator CH22) (25) MTFS (16/17) - set and to be delivered Financial Monitoring (14/15) to ensure delivery is in line with plan Financial Monitoring (15/16) to ensure delivery is in line with plan Monitoring of Assumptions and Constraints within MTFS to ensure relevance, materiality and appropriateness, such as the provision for Care Bill Implementation, Equal Pay claims (see Risk 1630), and the impact of the Digital Region Project (14/15) Horizon Scanning with regard to general issues that may impact on LA Funding (14/15)	ED Finance Assets and IS ED Finance Assets and IS ED Finance Assets and IS ED Finance Assets and IS	0% 0% 80% 80%	30/09/2015 30/09/2015 30/09/2015 30/09/2015	Re-negotiate with Cabinet to seek an agreed budget.
	3035	Loss of assets and resources as a result of a one-off incident of fraud / corruption / bribery or sustained or widespread occurrences.	Occurrence or incidents of sustained and / or widespread and / or one off / big bang occurrence of Fraud and Corruption leading to financial loss, loss of income, property and other assets; Fraudulent transactions, contracts / payments and the like perpetrated by employees and / or third parties; External Audit public interest report; Loss of management time in undertaking investigations, be they 'real' incidents, or vexatious claims; The consequences of this risk will greatly depend on the context of the individual incidents, and will be greatly influenced by both the scale of the incident, and the position of the perpetrator within the Organisation; Negative impact on employee morale either through actual incidents, or suspicions of incidents being perpetrated; Tensions and issues with morale within groups / teams as a result of changes within and to the organisation; Increased opportunities to commit fraud due to management attention being distracted by change programmes and increased workloads; Losses arising from officer not doing their jobs properly, or not expending the amount of effort that may have been normal previously, due to morale and motivation issues;	SMT SMT	Anti Fraud, Corruption and Bribery Policy which is developed and refined following analysis of the Annual Fraud Risk Self Assessment (FRSA); Anti Money Laundering Policy which is developed and refined following analysis of the FRSA; Whistleblowing Policy which is developed and refined following analysis of the FRSA; Prosecutions Policy in place to ensure the Authority is open regarding censure relating to inappropriate behaviour; Council Constitution; Local Code of Corporate Governance; Member and Officer Codes of Conduct; Police Involvement / criminal investigations; Annual Fraud Self Risk Assessment; NFI Data Matching; Membership of NAFN; IT usage policies and procedures.	4	4	3	3	A) Develop governance arrangements around Area Councils and Ward Alliances (13/14); Raised at Member briefings and Member information sessions. Further review undertaken in June 2014 - appropriate controls are in place - need to monitor their application B) Ensure there is an adequate and appropriate relationship between IA, HR, Legal and the Police to respond to any incident - to be refreshed as part of the establishment of the Corporate Fraud Team C) Review corporate training programme utilising corporate PDR information and further development of BOLD training D) Contribute towards the development of a revised Annual Governance Review to assist in identifying areas of weakness within the Council (15/16) in relation to fraud, corruption and bribery E) BLT awareness of increased risks F) Creation of Corporate Fraud Team within Internal Audit from April 2015. Undertake mid-year review of progress / success G) Fundamental review of all corporate anti-fraud and corruption policies, procedures and guidance as part of the work of the Corporate Fraud Team	ED Legal and Governance ED Finance Assets and IS ED Finance Assets and IS ED Finance Assets and IS ED Finance Assets and IS	50% 80% 80% 80% 80%	30/09/2015 30/09/2015 30/09/2015 30/09/2015	Escalate matter to HR, Police etc. Undertake full systems review of affected area(s).
	1630	Failure to manage and make appropriate budgetary flexibility for Equal Pay Claims.	Significant financial/budget consequences of successful claims; Changing working practices in one service, such as moving to traded services may result in employees within other services feeling that they may be due compensation;	SMT SMT	Payment of compensation to reduce risk of successful claims as appropriate, engagement of specialist legal advice to defend claims. A number of local claims relating to 'female to male' parity have been settled, on budget; Settlements being negotiated on best terms; 13/14 claims completed - no further claims emerging; Consideration of 'living wage' issues, and potential for further claims; No further claims currently outstanding; No further claims on horizon relating to legislation; Claims under minimum wage may emerge;	3	3	3	3	Monitor and review 15/16	ED HR, Performance and Comms	0%	30/09/2015	

FC Priority	Risk No	Risk Title	Risk Consequences	Risk Owner	Existing Control Measures	Mar-14	Sep-14	Feb-15	Owner	% comp	Review Date	Recovery Plan	
	3514	Failure to be able to deliver the ambitions and outcomes associated with the Customer Services Organisation Programme (CSO)	Failure to ensure the delivery of the Customer Services Organisation Programme (CSO) outcomes associated with the ambitions and Lack of growth regarding our digital services which will be unable to encourage a channel shift in terms of customers interact with the Council resulting in customers not changing their behaviour and not undertaking greater levels of self-service. Unable to resource certain elements of the programme such as employee training to deliver new operational delivery models; Lack of efficient and effective services; Services becoming unsustainable following the Council's journey to Future Council; Directors / Business Units not embracing the objectives of the agreed Customer Services Design Principles and associated objectives; No changing relationship between the Council and its stakeholders; Issues regarding the capacity and time frame to deliver and work-around' arrangements that are unsustainable;	Community SMT	Responsibility for Programme delivery now aligned to SD Customer Services; BU7 - new structure and resources; Head of Customer Support and Development in place; Business design, IT technical resources agreed; Lessons Learnt from other significant change programmes such as SAP; Phase One: Overdue to issues regarding Kana (see SMT report 17/02/2015); Phase Two: no plan in place as yet; Assessment of capacity within Council (particularly IT) to deliver CSD outcomes undertaken (in light of changes to relationship with Bull) - all priorities have been considered and a revised IT strategy had been developed - paper to SMT for consideration;	N/A	N/A	N/A	Community Green	30/09/2015	30/09/2015	Changes to governance and resourcing arrangements to include consideration of extra resource in CSO team and IS to enable delivery, and CSO board revisions to reflect Business Units	
	3543	Failure to ensure the adequate supply of land for housing and growth	exploit in order to ensure that it continues to meet its economic growth aspirations. These include the delivery of good quality and affordable housing and a range of commercial property; Underpinning this includes the potential offered through the delivery of superfast broadband, the use of low carbon technology and the scope to improve the areas' visitor economy through better operation of its cultural assets (to attract visitors and spend) which will add to the overall viability of such housing and commercial schemes. In order to address the challenges and to maximise these and other opportunities, it will be essential to work in partnership with a variety of stakeholders to deliver a suite of priorities and key interventions, complete major regeneration projects, target both housing growth and business development and growth, and link new and existing jobs more effectively to local people.	Community SMT	Working with Sheffield City Region regarding SCRF funding to facilitate the development of Strategic Business Park infrastructure; Property Investment Fund Housing Strategy 2014 - 2033 outlines the Council's ambitions for regeneration and building in the region and relies on the Local Development Plan to identify and obtain land, and SCR and LCR to assist in building developments; SY Superfast Broadband programme which is intended to improve the infrastructure in the Borough, to benefit both commercial and residential stakeholders; We Will Statements: Create the conditions for economic growth and greater prosperity - AMBER 'Reduce worklessness amongst those currently unemployed and increase skill levels of current and future workforce' - AMBER 'Develop a vibrant Town Centre' - AMBER 'Prioritise the economic renewal of the Goldthorpe and wider Deane area' - AMBER 'Significantly strengthen our visitor economy by further developing our key cultural assets and events' - GREEN	N/A	N/A	N/A	ED Finance Green	30/09/2015	30/09/2015	30/09/2015	Workshop to assist in mapping phase 2 of programme, and to identify further added value opportunities before request resourcing Customer Care / Customer Contact training to be provided to employees who have a high level of contact with the public linking to organisational-wide OD training
									ED Finance Green	30/09/2015	30/09/2015	Submission of paper to SMT identifying what can be done within current resource envelope, and what cannot be done	