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MEETING:	Cabinet
DATE:	Wednesday, 3 May 2017
TIME:	10.00 am
VENUE:	Reception Room, Barnsley Town Hall

AGENDA

1.   Declaration of pecuniary and non-pecuniary interests

2.   Leader - Call-in of Cabinet decisions

Minutes

3.   Minutes of the previous meeting held on 19th April, 2017 (Cab.3.5.2017/3)
   (Pages 3 - 6)

Items for Noting

4.   Decisions of Cabinet Spokespersons (Cab.3.5.2017/4) *(Pages 7 - 10)*

Petitions

5.   Petitions received under Standing Order 44 (Cab.3.5.2017/5)

Items for Decision/Recommendation to Council

Corporate Services Spokesperson

6.   Corporate Anti-Fraud and Corruption Policies (Cab.3.5.2017/6) *(Pages 11 - 36)*

7.   Strategic Risk Register - Full Review March 2017 (Cab.3.5.2017/7)
   (Pages 37 - 58)

8.   Risk Management Framework Review (Cab.3.5.2017/8) *(Pages 59 - 90)*

9.   Community Asset Transfer: Blacker Hill Community Hub, Wentworth Road,
   Barnsley (Cab.3.5.3017/9) *(Pages 91 - 122)*

10.   Community Asset Transfer: Worsbrough Common Community Centre, Warren
    Quarry Lane, Worsbrough, Barnsley (Cab.3.5.2017/10) *(Pages 123 - 146)*

Place Spokesperson

11.   Travel Assistance Policy - Consultation Findings (Cab.3.5.2017/11)
    (Pages 147 - 172)
    RECOMMENDATION TO FULL COUNCIL ON 25TH MAY, 2017

12.   Implementation of the Apprenticeship Reforms (Cab.3.5.2017/12)
    (Pages 173 - 186)

13.   Traffic Regulation Order - Blythe Street, Wombwell Objection Report
    (Cab.3.5.2017/13) *(Pages 187 - 196)*

14. Acceptance of Funding for Great Place Scheme: Transforming Communities through Culture (Cab.3.5.2017/14) *(Pages 197 - 204)*

People (Safeguarding) Spokesperson

15. Review of the Overview and Scrutiny Committee Safeguarding Workstream (Cab.3.5.2017/15) *(Pages 205 - 210)*

To: Chair and Members of Cabinet:-

Councillors Houghton CBE (Chair), Andrews BEM, Bruff, Cheetham, Gardiner, Howard, Miller and Platts

Cabinet Support Members:

Councillors Cherryholme, Franklin, Frost, David Griffin, Lamb and Saunders

Chair of Overview and Scrutiny Committee
Chair of Audit Committee

Diana Terris, Chief Executive
Rachel Dickinson, Executive Director People
Matt Gladstone, Executive Director Place
Wendy Lowder, Executive Director Communities
Julia Burrows, Director Public Health
Andrew Frosdick, Executive Director Core Services
Alison Brown, Service Director Human Resources
Neil Copley, Service Director Finance
Katie Rogers, Communications and Marketing Business Partner
Anna Marshall, Scrutiny Officer
Ian Turner, Service Director, Council Governance

Corporate Communications and Marketing
Labour Group Room – 1 copy

Please contact Ian Turner on 01226 773421 or email governance@barnsley.gov.uk

Monday, 24 April 2017

BARNSLEY
Metropolitan Borough Council

MEETING:	Cabinet
DATE:	Wednesday, 19 April 2017
TIME:	10.00 am
VENUE:	Reception Room, Barnsley Town Hall

MINUTES

Present	Councillors Andrews BEM (Chair), Bruff, Cheetham, Gardiner, Howard, Miller and Platts
Members in Attendance:	Councillors Cherryholme, Franklin, David Griffin, Lamb and Saunders

242. Declaration of pecuniary and non-pecuniary interests

There were no declarations of pecuniary or non-pecuniary interests.

243. Deputy Leader - Call-in of Cabinet decisions

The Deputy Leader reported that no decisions from the previous meeting held on 5th April, 2017 had been called in.

244. Minutes of the previous meeting held on 5th April, 2017 (Cab.19.4.2017/3)

The minutes of the meeting held on 5th April, 2017 were taken as read and signed by the Chair as a correct record.

245. Decisions of Cabinet Spokespersons (Cab.19.4.2017/4)

The Record of Decisions taken by Cabinet Spokespersons under delegated powers during the weeks ending 31st March and 7th April, 2017 were noted.

246. Petitions received under Standing Order 44 (Cab.19.4.2017/5)

It was reported that no petitions had been received under Standing Order 44.

Deputy Leader

247. Smoke Free Town Centre Zones (Cab.19.4.2017/6)

RESOLVED:-

(i)   that support be given to the student-led social norms public consultation method, as described in the report now submitted, in order to gather data on public opinion about smokefree zones in the town centre; and

(ii)   that given an appropriate level of public support, the phased implementation of smokefree zones in the town centre, be approved, starting with the Pals Memorial Centenary Square.

Corporate Services Spokesperson

248. **Asset Management Plan - Planned Maintenance Programme 2017-2018 (Cab.19.4.2017/7)**

RESOLVED:-

(i)   that the list of schemes identified as priorities for each service in the Asset Management Plan - Planned Maintenance Programme 2017-18, as detailed in the report now submitted, be agreed and that NPS Barnsley Ltd, in conjunction with the Service Director Assets, be authorised to place orders for the work;

(ii)   that the Service Director Assets be authorised, in conjunction with the relevant service and the Cabinet Spokespersons for Corporate Services, to vary the programme within the overall financial approval;

(iii)   that Contract Procedure Rule 5.3 be invoked to allow an exception to the competition requirements and single tenders to be received from the NPS Works Planning and Delivery, subject to these being checked for value for money against previously tendered works, such an exception being justified on the grounds set out in Section 4 of the report; and

(iv)   that, in the event that the planned maintenance budget for 2017-18 is not fully expended, the value of any committed works be rolled forward in addition to next year's planned maintenance allocations.

249. **Equal Pay Review 2015/16 (Cab.19.4.2017/8)**

RESOLVED:-

(i)   that the findings of the Equal Pay Review for 2015/16, as set out in the report submitted, be noted including that there are no significant equal pay gaps identified within any individual grade in relation to gender, age, disability, ethnicity and religion across the Council;

(ii)   that the key findings at Section 5 be noted;

(iii)   that the action plan at Appendix B be noted; and

(iv)   that it be noted that the current Equal Pay Policy and Code of Practice was being reviewed to reflect mandatory gender pay gap reporting for public sector employers and any amendments would be presented to Cabinet alongside the 2016/17 Equal Pay Review findings.

Communities Spokesperson

250. Core Infrastructure (Server Estate) - Replacement (Cab.19.4.2017/9)

RESOLVED that approval be given to undertake the Core Infrastructure (Server Estate) Replacement Scheme, to replace the Council's virtual server estate as detailed in the report now submitted, at an estimated cost of £650,000 and funding be released from the Capital Programme in accordance with Financial Regulation 5.2(c).

251. Private Sector Housing Enforcement Policy (Cab.19.4.2017/10)

RESOLVED that the implementation of the Private Sector Housing Enforcement Policy with effect from 26th April, 2017, as detailed in the appendix to the report submitted, be approved.

Place Spokesperson

252. OFSTED Report Adult Learning (Cab.19.4.2017/11)

RESOLVED:-

(i) that the outcome of the Ofsted inspection of the Adult Skills and Community Learning Service, as detailed in the report now submitted, be noted; and

(ii) that the planned improvements identified be approved and the creation of a Member-supported Improvement and Governing Board to oversee the improvement journey and ensure existing strengths are maintained be endorsed.

253. Appreciation - Craig Rogerson

The Chair commented that Craig Rogerson was leaving the Council after almost 18 years. He referred to Craig's hard work and commitment in supporting Cabinet and other meetings, but also in helping Members more generally, and wished him well in his new job with Modern Mindsets.

RESOLVED that the Chair's comments be endorsed.

…………………………….
Chair

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BARNSLEY METROPOLITAN BOROUGH COUNCIL

CABINET SPOKESPERSONS' DECISIONS

Schedule of Decisions taken for week ending 14th April, 2017

Cabinet Spokesperson	Item	Decisions	Contact Officer
1. Leader	Charter for Sustainable British Steel	(i) that the Council register its support for the Charter for Sustainable British Steel; and (ii) that the Service Director Assets examine the opportunities to adopt the objectives of the Charter in the procurement of all steel for major projects and make appropriate recommendations to the Senior Management Team.	J. Sykes Tel. 774607
2. Place	Section 106 Allocations – Darfield Cricket Club	that £15,000 of Section 106 monies be allocated as a contribution to the creation of an outdoor two lane training area.	A. Shorthouse Tel. 773419
3. Place	Section 106 Allocations – Wombwell Main Recreation Ground Pavilion	that £10,000 of Section 106 monies be allocated as a contribution to the replacement of the pavilion at Wombwell Main Recreation Ground.	A. Shorthouse Tel. 773419
4. Place	Section 106 Allocations – Wortley RUFC Car Park	that £65,000 of Section 106 monies be allocated as a contribution to the provision of parking facilities which is part of the wider scheme to provide superior playing pitches and facilities for playing rugby union.	A. Shorthouse Tel. 773419

Cab.3.5.2017/4

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BARNSLEY METROPOLITAN BOROUGH COUNCIL

CABINET SPOKESPERSONS' DECISIONS

Schedule of Decisions taken for week ending 21st April, 2017

Cabinet Spokesperson	Item	Decisions	Contact Officer
1. People (Achieving Potential)	Review of Arrangements for Recruitment of the Independent School Appeal Panel Members	(i) that the proposed revision to the remuneration package for Independent Schools Appeal Panel members to increase the attendance allowance from £84 to £100 per full day and £42 to £50 per half day, but remove the £350 retainer, be approved; and (ii) that the recruitment of a panel of at least 15 members, on the profile at Appendix B, on a 3 year contract to run from January 2018 be approved, the names of the panel members to be the subject of a further report.	I. Turner Tel. 773421

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BARNSLEY METROPOLITAN BOROUGH COUNCIL

This matter is not a key decision within the Council's definition and has not been included in the relevant Forward Plan.

Report of the Executive Director – Core Services

Corporate Anti-Fraud and Corruption Policies

1.   **Purpose of the Report**

1.1   This report presents the recently revised Corporate Anti-Fraud and Corruption Policy, the Corporate Anti-Fraud and Corruption Strategy and the Corporate Anti-Bribery Policy. These have been revised as part of the periodic process to ensure such policies are up to date, reflect best practice and any changes in legislation.

2.   **Recommendations**

2.1   **It is recommended that Cabinet approve the Corporate Anti-Fraud and Corruption Policy, the Corporate Anti-Fraud and Corruption Strategy and the Corporate Anti-Bribery Policy and continue to endorse the Council's overall 'zero tolerance' approach.**

2.2   **It is further recommended that through the Council's Audit Committee, the effectiveness of these policies and strategy are monitored via the work of the Corporate Anti-Fraud Team in the Internal Audit Service.**

3.   **Introduction**

3.1   It is well documented and publicised nationally that fraud against the public sector is significant and increasing. The statistics that highlight the potential extent of this fraud are alarming and it is therefore important that the Council takes all reasonable steps to create the environment where fraud and wrongdoing against it is difficult, where awareness of the signs of fraud are high and that if suspected, fraud will be investigated and takes the appropriate action if proven.

3.2   A key part of this anti-fraud environment is to establish and maintain a framework of policies, strategies and procedures that support the Council's ambition to minimise the risk and occurrence of fraud and wrongdoing against it.

3.3   The Council has a suite of policies, strategies and procedures and as part of the rolling cycle of governance reviews, periodically these are refreshed to reflect the current context of the Council, national trends, best practice and any changes to legislation.

3.4   A programme of policy reviews is being undertaken by the Corporate Anti-Fraud Team (CAFT) within the Internal Audit Service and as these are completed the revised documents will be brought for Cabinet's consideration and approval to further embed and demonstrate the Council's zero tolerance approach.

3.5   Following Cabinet approval, the documents will be placed on the intranet and website and form part of a refreshed publicity campaign to remind all employees and others outside of the Council of the organisation's commitment to minimising the risk and occurrence of fraud and wrongdoing against it.

3.6   The Audit Committee receives periodic progress reports and an annual fraud report regarding the work of the CAFT to support the preparation of the Annual Governance Statement. In their role of overseeing the work of Internal Audit, the Audit Committee is well placed to provide Cabinet and Council with assurances regarding this work and the effectiveness of the framework of policies and strategies.

4.   Proposal and Justification

4.1   The proposal is to consider and approve the attached revised documents as a demonstration of the Council's zero-tolerance approach to fraud, corruption, bribery and general wrongdoing against it.

5.   Consideration of Alternative Approaches

5.1   There are no practical alternative approaches that would support and demonstrate the Council's approach.

6.   Implications for Local People / Service Users

6.1   There is a high expectation from the public that Councils and the wider public sector take their core responsibilities for the safe and effective stewardship of public funds seriously and devote reasonable resources to do so.

6.2   Equally, it is not realistic to expect that any organisation can guarantee that it will not be the victim of attempted wrongdoing against it or indeed that on occasion those attempts will be successful. In those terms the public expectation is that an organisation takes positive and reasonable action to

prevent, deter and importantly deal robustly with anyone found to have committed fraud against it. Key to that expectation is to have an effective framework of anti-fraud policies etc.

7.   Financial Implications

7.1   There are no specific financial implications arising directly from these policies etc. The costs of the CAFT within Internal Audit have been protected in the Future Council Strategy and save for modest publicity costs which are included in the CAFT budget, the direct cost of having this anti-fraud framework are minimal.

7.2   There are however clearly potentially significant costs and implications that can arise should a fraud or wrongdoing occur and go undiscovered. Although estimates are made of the cost of fraud against the public sector nationally it is not possible to put a 'Barnsley' figure to this. It is however safe to assume that regrettably, fraud and wrongdoing is occurring against the Council in some shape or form and extent and therefore the allocation of resources to minimise this is important.

7.3   The work of the wider work of the CAFT over the last two years since it was created has resulted in well over £500,000 of benefit to the Council. This has taken various forms from increasing council tax income through a very successful exercise to identify fraudulent and errant single person discounts, the identification of duplicate payments through the National Fraud Initiative and preventing potential right to buy and tenancy fraud; and as such some of the 'savings' from the work of the CAFT are reflected in avoiding loss, redirecting resources to legitimately entitled individuals as well as real cashable savings.

8.   Employee Implications

8.1   Again there are no direct employee implications arising from these documents. However, employees are often the source of information that leads to the identification of fraud or wrongdoing and therefore it is essential that all employees have a good awareness of anti-fraud activities to support the Council's approach.

8.2   Unfortunately fraud is occasionally committed against the Council from within and therefore all employees should be acutely aware that a robust approach will be taken to investigate and appropriate action will be taken. The vast majority of employees are of course honest, trustworthy and any fraud committed by their colleagues is upsetting to them, de-motivating and threatens the sustainability of services.

8.3   A programme of awareness activities will be undertaken by the CAFT over the course of the financial year to ensure a high awareness and understanding of the Council's approach and attitude.

9.   Communication Implications

9.1   In itself, Cabinet considering these revised documents today (and others in due course) serves to publicise the Council's zero-tolerance approach. CAFT will liaise with the Corporate Communications to develop an appropriate and effective communications strategy to support these reviews.

10.   Consultations

10.1   In the process of review, the Council's Senior Management Team were consulted as were the Trade Unions. The Audit Committee have also considered the documents twice to be assured they align with the Code of Conduct for employees and other procedures like the declaration of interests, gifts and hospitality. The Audit Committee approved the attached policies for Cabinet consideration and approval at its March meeting.

11.   Reduction of Crime and Disorder

11.1   Somewhat obviously these documents and the wider suite of anti-fraud, corruption and bribery policies and procedures aim to reduce the likelihood and incidence of crime being committed against the Council.

12.   Risk Management Issues

12.1   The risk of fraud being committed against the Council is captured in the Strategic Risk Register. A key mitigation against this risk is the Council's anti-fraud approach supported by the suite of policies and procedures. An update of the mitigation actions for this strategic risk is included in each risk register review which is reported to Cabinet and considered by the Audit Committee.

13.   List of Appendices

13.1   Appendix A - Corporate Anti-Fraud and Corruption Policy
        Appendix B - Corporate Anti-Fraud and Corruption Strategy
        Appendix C - Corporate Anti-Bribery Policy

Officer Contact: Head of Internal Audit and Corporate Anti-Fraud
Telephone: 01226 773241
Date: 13th April 2017

Barnsley Metropolitan Borough Council

CORPORATE ANTI-FRAUD AND CORRUPTION POLICY

1. POLICY STATEMENT

1.1 Barnsley Metropolitan Borough Council is committed to protecting the public funds that it administers, and consequently the Council will not tolerate any abuse of its services. The Council is determined to prevent, deter and detect all forms of fraud, bribery and corruption committed against it, whether that be internal or from outside the Council.

1.2 The Council is determined that the culture and tone of the organisation is one of honesty and rigorous opposition to fraud, bribery and corruption. Thus, the Council is committed to ensuring all of its business is conducted in an open, honest, equitable and fair manner, and is accountable to all the people within the borough of Barnsley.

1.3 The Council will not tolerate fraud or corruption committed, or attempted, by its councillors, employees, suppliers, contractors or service users and will take all necessary steps to investigate allegations of fraud or corruption and pursue sanctions available in each case, including removal from office, dismissal and/or prosecution and the recovery of Council assets and funds.

1.4 The measures adopted by the Council in its commitment to the prevention, deterrence and detection of fraud, bribery and corruption are set out in detail in the Council's:

- Corporate Anti-Bribery Policy;
- Corporate Anti-Fraud and Corruption Strategy;
- Corporate Prosecutions Policy;
- Benefits and Taxation Sanction and Penalty Policy;

2. FRAUD

2.1 The **Fraud Act 2006** is used for the criminal prosecution of fraud offences. The Council also deals with fraud in non-criminal disciplinary matters.

2.2 The Fraud Act created a general offence of fraud which might be committed in three ways:

- Fraud by false representation,
- Fraud by failing to disclose information, and
- Fraud by abuse of position.

2.3 For the purposes of this document fraud is defined as; the dishonest action designed to facilitate gain (personally or for another) at the expense of the Council, the residents of the Borough or the wider national community.

2.4 'Fraud' has moved away from the concept of the deceit of another to the dishonest intent of the fraudster to make a gain or cause a loss or risk of a loss. Thus, the arena of fraud is far more reaching than the simple crime of theft.

3. THEFT

3.1 Theft is the act of stealing any property belonging to the Council or which has been entrusted to it (i.e. client funds), including cash, equipment, vehicles, data.

3.2 Theft does not necessarily require fraud to be committed. Theft can also include the stealing of property belonging to another whilst on Council property.

4. BRIBERY AND CORRUPTION

4.1 The Bribery Act 2010 came into force on 1st July 2011 and creates offences of:

- Accepting a bribe,
- Bribery of another person,
- Bribing a foreign official, and
- Failure to prevent bribery

4.2 The Council defines corruption as:

The offering, giving, soliciting or acceptance of an inducement or reward for performing an act, or failing to perform an act, designed to influence official action or decision making.

These inducements can take many forms including for examples cash, holidays, event tickets, meals.

4.3 The Council's **Corporate Anti-Bribery Policy** provides guidance to staff on action to be taken to prevent bribery and how to report concerns of alleged bribery or corruption.

5. REPORTING FRAUD, BRIBERY AND CORRUPTION

5.1 The Council encourages and expects its employees and Elected Members to report incidents of suspected fraud, bribery and corruption. A **Whistleblowing Policy** is in place to facilitate the reporting of concerns by employees and Elected Members where the normal reporting to a line manager is not appropriate. The public are able to utilise the corporate complaints procedure to raise a concern about wrongdoing.

6. INVESTIGATING ALLEGATIONS OF FRAUD, BRIBERY AND CORRUPTION

6.1 A **Fraud Response Plan** has been prepared to guide managers on action to be taken should they receive an allegation of fraud or corruption.

6.2 In normal cases it will be the Council's Internal Audit Services Corporate Anti-Fraud Team that will undertake or direct the investigation. Matters of a criminal nature will be referred to the Police. A reporting and liaison protocol is in place with South Yorkshire Police.

7.   MONITORING FRAUD, BRIBERY AND CORRUPTION

7.1   The Audit Committee will have responsibility for monitoring the performance and effectiveness of the Corporate Anti-Fraud and Corruption Policy and Strategy through the annual Internal Control Framework review process.

7.2   The Audit Committee will make recommendations to the Council to make any necessary changes to the Anti-Fraud and Corruption Policy or Strategy.

8.   OTHER RELEVANT POLICIES

8.1   Further information on relevant Council policy and practice can be found in the following internal documents:

- Members Code of Conduct;
- Employee Code of Conduct (including gifts and hospitality);
- Anti-Money Laundering Policy;
- Whistleblowing Policy;
- Information Security and Computer Usage Policy

CORPORATE ANTI-FRAUD AND CORRUPTION STRATEGY

CONTENTS

CORPORATE ANTI-FRAUD & CORRUPTION STRATEGY

1.   INTRODUCTION

1.1   Fraud against Local Government nationally is estimated to cost £2.1 billion per year. This is a significant loss to the public purse. To reduce these losses Barnsley Metropolitan Borough Council (the Council) is committed to:

- The highest standards of probity in the delivery of its services, ensuring proper stewardship of its funds and assets;
- The prevention of fraud and the promotion of an anti-fraud culture;
- A zero-tolerance attitude to fraud requiring staff and Members to act honestly and with integrity at all times, and to report all suspicions of fraud;
- The investigation of all instances of actual, attempted or suspected fraud. The Council will seek to recover any losses and pursue appropriate sanctions against the perpetrators. This may include criminal prosecution, disciplinary action, legal proceedings and professional sanctions;
- The Fighting Fraud and Corruption Locally Strategy 2016-2019. This national counter fraud and corruption strategy for local government provides a blueprint for a tougher response to fraud and corruption perpetrated against local authorities including:
  - Acknowledging the threat of fraud and the opportunities for savings that exist.
  - Preventing and detecting all forms of fraud.
  - Pursuing appropriate sanctions and recovery of any losses.

2.   DEFINITION OF FRAUD

2.1   The Fraud Act 2006 came into force on 15th January 2007. The Act repeals the deception offences enshrined in the 1968 and 1978 Theft Acts and replaces them with a single offence of fraud which can be committed in three separate ways:

- Fraud by false representation;
- Fraud by failing to disclose information;
- Fraud by abuse of position

2.2   Fraud by false representation: - Examples include providing false information on a grant or Blue Badge application, staff claiming to be sick when they are in fact fit and well, or submitting time sheets or expenses with exaggerated or entirely false hours and/or expenses.

2.3   Fraud by failing to disclose information:- Examples include failing to disclose a financial interest in a company BMBC is trading with, or failing to disclose a personal relationship with someone who is applying for a job at the council.

2.4   Fraud by abuse of position:- Examples include a carer who steals money from the person they are caring for, or staff who order goods and services through the Council's accounts for their own use.

2.5   The Council defines fraud as "any 'irregularity or illegal act characterised by intentional deception with the intent to make a personal gain or to cause a loss, or to expose another to a risk of loss".

2.6   While fraud is often seen as a complex financial crime, in its simplest form, fraud is lying. Some people will lie, or withhold information, or generally abuse their position to try to trick someone else into believing something that isn't true.

3.   STANDARDS

3.1   The Council wishes to promote a culture of honesty and opposition to fraud and corruption based on the seven principles of public life. The Council will ensure probity in local administration and governance and expects the following from all employees, agency workers, volunteers, suppliers and those providing services under a contract with BMBC.

- Selflessness - Holders of public office should take decisions solely in terms of the public interest. They should not do so in order to gain financial or other material benefits for themselves, their families, or their friends.
- Integrity - Holders of public office should not place themselves under any financial or other obligation to outside individuals or organisations that might influence them in the performance of their official duties.
- Objectivity – Holders of public office must act and take decisions impartially, fairly and on merit, using the best evidence and without discrimination or bias.
- Accountability - Holders of public office are accountable for their decisions and actions to the public and must submit themselves to whatever scrutiny is appropriate to their office.
- Openness - Holders of public office should be as open as possible about all the decisions and actions that they take. They should give reasons for their decisions and restrict information only when the wider public interest clearly demands. Openness requires an inclusive approach, an outward focus and a commitment to partnership working.
- Honesty - Holders of public office have a duty to declare any private interests relating to their public duties and to take steps to resolve any conflicts arising in a way that protects the public interest.
- Leadership - Holders of public office should exhibit these principles in their own behaviour. They should actively promote and robustly support the principles and be willing to challenge poor behaviour wherever it occurs.

4.   CORPORATE FRAMEWORK AND CULTURE

4.1   The Council's endorsement of this strategy sends a clear message that fraud against the Council will not be tolerated and where reported or identified will be dealt with in a professional and timely manner using all the sanctions available. Through the creation and enhancement of a strong Anti-Fraud Culture the Council aims to deter potential perpetrators from targeting its finances, assets and services.

4.2   In addition to this strategy there are a range of policies and procedures that help reduce the Council's fraud risks. These have been formulated in line with appropriate legislative requirements and professional best practice, and include:

- An Anti-Fraud and Corruption Policy;
- Anti-Bribery Policy;
- Anti-Money Laundering Policy;
- Whistleblowing Policy and Procedure;

- Disciplinary Policy and Procedures;
- Fraud Response Plan;
- Financial Regulations and Standing Orders;
- Code of Member Conduct;
- Employee Code of Conduct;
- Declaration of interest and gifts and hospitality procedures for Members and Officers;
- An established Audit Committee;
- An online Fraud Awareness training tool available for staff through BOLD;
- Relevant documents, including invoices over £500, being made available to the public, partners, staff and members;
- Participation in the Audit Commission's National Fraud Initiative and membership to the National Anti-Fraud Network.

4.3   The expectation is that elected Members and employees of all levels will adopt the highest standards of propriety and accountability and demonstrate that the Council is acting in a transparent and honest manner. Consequently, any Member / co-opted Member of the Council who commits a fraudulent act against the Council or is involved with bribery in the performance of their duties will be subjected to the Council's procedures for dealing with complaints of misconduct against Members operated via the Council's Monitoring Officer / Standards Committee and may be reported to the Police.

4.4   Any Council employee committing a fraudulent act against the Authority or found to be involved with bribery in the performance of their duties will be subjected to the Council's disciplinary procedures and may be reported to the Police (whether or not the act is outside of their direct employee role). For instance benefit fraud, the misuse of a blue badge, submitting a false insurance claim against the Council, Council Tax evasion, Council Tax Support fraud or falsely claiming single person's discount are all offences against the Council that can be committed by employees outside of their direct role and which are likely to be subject to investigation under the Council's Disciplinary Procedure. Whilst the internal action in relation to both Members and employees will be entirely separate to any criminal sanction and the intrinsic link to the employment relationship can be considered by the Council.

4.5   When fraud and / or bribery has occurred due to lack of internal control or an identified breakdown in controls, the relevant Executive Director will be responsible for ensuring appropriate improvements in systems of control are implemented in order to minimise the risk of recurrence. Where investigations are undertaken by CAFT, an audit report will be produced on any control weaknesses and follow up action undertaken as appropriate to ensure the implementation of improvements.

5.   ROLES AND RESPONSIBILITIES

The Role of Elected Members

5.1   As elected representatives, all Members of the Council have a duty to act in the public interest and to do whatever they can to ensure that the Council uses its resources in accordance with statute.

5.2   This is achieved through Members operating within the Constitution which includes the Code of Member Conduct and Financial Regulations.

The Role of Employees

5.3   The Council expects its employees to be alert to the possibility of fraud and corruption and to report any suspected fraud or other irregularities to the Head of Internal Audit.

5.4   Employees are expected to comply with the Employee Code of Conduct and the Council's policies and procedures.

5.5   Employees are responsible for complying with the Council's policies and procedures and it is their responsibility to ensure that they are aware of them. Where employees are also members of professional bodies they should also follow the standards of conduct laid down by them.

5.6   Employees should follow instructions given to them by management. They are under a duty to properly account for and safeguard the money and assets under their control/charge.

5.7   Employees are required to provide a written declaration of any financial and nonfinancial interests or commitments, which may conflict with BMBC's interests. Section 117 of the Local Government Act 1972 requires any officer with an interest in a contract which has been, or proposed to be, entered into by the Council to declare that interest. The legislation also prohibits the acceptance of fees or rewards other than by means of proper remuneration.

5.8   Failure to disclose an interest or the acceptance of an inappropriate reward may result in disciplinary action or criminal liability. Staff must also ensure that they make appropriate disclosures of gifts and hospitality.

5.9   Managers at all levels are responsible for familiarising themselves with the types of fraud that might occur within their directorates and the communication and implementation of this strategy.

5.10   Managers are expected to create an environment in which their staff feel able to approach them with any concerns that they may have about suspected fraud or any other financial irregularities.

The Public and external organisations

5.11   Members of the public receive financial assistance and benefits from the Council through a variety of services. These include Council Tenancies, Temporary Accommodation, Renovation and other housing related grants, Housing and Council Tax Support, Council Tax discounts, Right to Buy discounts, Direct care payments and Parking concessions. At some time or another these areas have been subject to attack by those intent on committing fraud which means that there is less money and resources available for those in genuine need.

5.12   The same principles of investigations will apply across all areas where fraud and corruption is alleged.

5.13   All applications for financial or other assistance will be verified to the highest standard, and all data available to the Council will be used to corroborate information provided by applicants for the purposes of preventing and detecting fraud. All staff involved in assessing applications for assistance and/or verifying identification documentation

submitted in support of applications will be provided with ongoing fraud awareness training through an e-learning package hosted by Learning Pool.

5.14 Information exchange will be conducted where allegations are received within the framework of the Data Protection Act 1998 for the purposes of preventing and detecting crime or under statutory legislation where it exists.

5.15 We will apply appropriate sanctions in all cases where it is felt that fraud or attempted fraud has been perpetrated against the authority. These will range from official warnings to Crown Court prosecution. We will also seek to recover any monies obtained fraudulently, including freezing assets, utilising the Proceeds of Crime Act 2002, confiscation orders, civil recovery and general debt recovery.

5.16 We will use the Council's Legal Services Department and the Crown Prosecution Service to bring offenders to justice. Prosecutions will not be limited to Council Tax Reduction Scheme cases but will include any area within the Council where there is evidence to indicate a fraud related offence has been committed and the case meets the standards required in the Corporate Prosecutions Policy and The Code for Crown Prosecutors.

5.17 As a deterrent, we will publicise our successful sanctions through the Council's Communications Team and in the local and national media where the law allows us to do so and periodically run targeted anti-fraud campaigns within the borough to raise fraud awareness.

Barnsley Metropolitan Borough Council's Commitment

5.18 Fraud and corruption are serious offences and employees and Members will face disciplinary action if there is evidence that they have been involved in these activities. Where criminal offences are suspected consideration will be given to pursuing criminal sanctions which may involve referring the matter to the police.

5.19 In all cases where the Council has suffered a financial loss, appropriate action will be taken to recover the loss.

5.20 In order to make employees, Members, the public and other organisations aware of the Council's continued commitment for taking action on fraud and corruption, details of completed investigations, including sanctions applied, will be publicised where it is deemed appropriate.

6. PREVENTION

Responsibilities of management

6.1 The primary responsibility for the prevention and detection of fraud is with management. They must ensure that they have the appropriate internal controls in place, that they are operating as expected and being complied with. They must ensure that adequate levels of internal checks are included in working practices, particularly financial. It is important that duties are organised in such a way that no one person can carry out a complete transaction without some form of checking or intervention process being built into the system.

Corporate Anti-Fraud Team and Internal Audit

6.2 The CAFT and IA provide the Council's Anti-Fraud function. IA will ensure that an effective audit is undertaken of the Council systems and processes. CAFT will utilise all methods to detect, prevent, investigate and pursue fraud. This includes data-matching, data mining, open source research, surveillance and intelligence led investigations. The two branches of the operation will work to assist management to implement appropriate controls and provide solutions to control failures.

6.3 CAFT and IA are empowered to:

- Enter any Council premises or land;
- Have access to all records, documentation and correspondence relating to any financial and other transactions as considered necessary;
- Require and receive information or explanation of council employees as are regarded necessary concerning any matter under examination;
- Require any employee of the Council to account for cash, stores or any other Council property under their control or possession.

6.4 The Council actively encourages employees to whistleblow on colleagues who are suspected of committing fraud. The Whistleblowing Policy provides further details on how employees can utilise the protection offered by the Public Interest Disclosure Act 1998. All employees, the public and members are encouraged to contact the CAFT or IA with any suspicion of fraud, corruption, financial malpractice or the abuse of official position.

6.5 CAFT is responsible for assessing the authority's counter fraud arrangements and performance against professional guidance and findings of internal reviews and investigations.

6.6 The CAFT is authorised to investigate allegations of fraud and corruption under Section 222 of the Local Government Act 1972.

Working with others and sharing information

6.7 The Council is committed to working and co-operating with other organisations to prevent fraud and corruption and protect public funds. The Council may use personal information and data-matching techniques to detect and prevent fraud, and ensure public money is targeted and spent in the most appropriate and cost-effective way. In order to achieve this, information may be shared with other bodies responsible for auditing or administering public funds including the Cabinet Office, the Department for Work and Pensions, other local authorities, HM Revenue and Customs, and the Police.

National Fraud Initiative

6.8 The Council participates in the National Fraud Initiative (NFI). The Serious Crime Act 2007 gave the Audit Commission new statutory powers to conduct data matching exercises by inserting a new Part 2A into the Audit Commission Act 1998. The Authority provides data from its computer systems, which is matched with that of other authorities and agencies, to identify possible fraud. Details of matches are returned to the Authority where further internal investigations are undertaken to identify and pursue cases of fraud and irregularity. CAFT act as key contact for the authority in co-ordinating this exercise and ensuring that data subjects are informed in a timely manner when the exercise is

undertaken as per best practice guidance from the Audit Commission and Information Commissioner.

6.9   Responsibility for the NFI exercise transferred to the Cabinet Office on 1st April 2015 following the closure of the Audit Commission. The data matching exercise is now completed in accordance with Part 6 of the Local Audit and Accountability Act 2014.

Training and awareness

6.10   The successful prevention of fraud is dependent on risk awareness, the effectiveness of training (including induction) and the responsiveness of staff throughout the Council.

6.11   Management will provide induction and ongoing training to staff, particularly those involved in financial processes and systems to ensure that their duties and responsibilities are regularly highlighted and reinforced.

6.12   Internal Audit will provide fraud awareness training on request and will publish its successes to raise awareness.

7.   DETECTION AND INVESTIGATION

7.1   The Council is committed to the investigation of all instances of actual, attempted and suspected fraud committed by staff, Members, consultants, suppliers and other third parties and the recovery of funds and assets lost through fraud.

7.2   Any suspected fraud, corruption or other irregularity should be reported to the Head of Internal Audit. The Head of Internal Audit will decide on the appropriate course of action to ensure that any investigation is carried out in accordance with Council policy and procedures, key investigation legislation and best practice. This will ensure that investigations do not jeopardise any potential disciplinary action or criminal sanctions.

7.3   Action could include:

- Investigation carried out by the CAFT;
- Joint investigation with Internal Audit, CAFT and relevant directorate management;
- Directorate staff carry out investigation and CAFT provide advice and guidance;
- Referral to the Police.

7.4   The responsibility for investigating potential fraud, corruption and other financial irregularities within BMBC lies mainly (although not exclusively) with the CAFT. Staff involved in this work will therefore be appropriately trained, and this will be reflected in training plans.

8.   RAISING CONCERNS AND THE WHISTLEBLOWING POLICY

Suspicions of fraud or financial irregularity

8.1   All suspected or apparent fraud or financial irregularities must be brought to the attention of the Head of Internal Audit in accordance with Financial Regulations. Where the irregularities relate to an elected Member, there should be an immediate notification to the Head of Paid Service or the Monitoring Officer.

8.2   If a member of the public suspects fraud or corruption they should contact the Corporate Anti-Fraud Team in the first instance. They may also contact the Council's External Auditor, who may be contacted in confidence.

8.3   The Council's Corporate Anti-Fraud Team can be contacted by telephone on 0800 1382940 or by mail to corporatefraudinvestigations@barnsley.gov.uk

Whistleblowing Policy

8.4   Employees (including Managers) wishing to raise concerns should refer to the Council's Whistleblowing Policy and associated procedures.

8.5   The Council's Whistleblowing Policy encourages individuals to raise serious concerns internally within the Council, without fear of reprisal or victimisation, rather than over-looking a problem or raising the matter outside. All concerns raised will be treated in confidence and every effort will be made not to reveal the individual's identity if this is their wish. However, in certain cases, it may not be possible to maintain confidentiality if the individual is required to come forward as a witness.

8.6   Employees wishing to raise concerns can obtain a copy of the Whistleblowing policy and procedure on the Corporate Intranet

APPENDIX C

CORPORATE ANTI-BRIBERY POLICY

DRAFT

CONTENTS

1.   INTRODUCTION

1.1   Bribery is a criminal offence. Barnsley MBC does not, and will not, pay bribes or offer improper inducements to anyone for any purpose, nor do we or will we, accept bribes or improper inducements.

1.2   To use a third party as a conduit to channel bribes to others is a criminal offence. We do not, and will not, engage indirectly in or otherwise encourage bribery.

1.3   We are committed to the prevention, deterrence and detection of bribery. We have zero-tolerance towards bribery. We aim to maintain anti-bribery compliance "business as usual", rather than as a one-off exercise.

2.   OBJECTIVE OF THIS POLICY

2.1   This policy provides a coherent and consistent framework to enable the Council's employees to understand and implement arrangements enabling compliance. In conjunction with related policies and key documents it will also enable employees to identify and effectively report a potential breach.

2.2   We require that all personnel, including those permanently employed, temporary agency staff and contractors:

- act honestly and with integrity at all times and to safeguard the Council's resources for which they are responsible;
- comply with the spirit, as well as the letter, of the laws and regulations of all jurisdictions in which the Council operates, in respect of the lawful and responsible conduct of activities.

3.   SCOPE OF THIS POLICY

3.1   This policy applies to all of the Council's activities. For partners, joint ventures and suppliers, we will seek to promote the adoption of policies consistent with the principles set out in this policy.

3.2   Within the Council, the responsibility to control the risk of bribery occurring resides at all levels of the Council. It does not rest solely within assurance functions, but in all business units and corporate functions.

3.3   This policy covers all personnel, including all levels and grades, those permanently employed, temporary agency staff, contractors, non-executives, agents, Members (including independent members), volunteers and consultants.

4.   THE COUNCIL'S COMMITMENT TO ACTION

4.1   The Council commits to:

- Setting out a clear Anti-Bribery Policy and keeping it up to date
- Making employees aware of their responsibilities to adhere strictly to this policy at all times

- Encouraging its employees to be vigilant and to report any suspicions of bribery, providing them with suitable channels of communication and ensuring sensitive information is treated appropriately
- Rigorously investigating instances of alleged bribery and assisting police and other appropriate authorities in any resultant prosecution
- Taking firm and vigorous action against any individual(s) involved in bribery
- Provide information to employees to report breaches and suspected breaches of this policy
- Include appropriate clauses in contracts to prevent bribery.

5.   BRIBERY

5.1   The Council defines bribery as:

An inducement or reward offered, promised or provided to gain personal, commercial, regulatory or contractual advantage.

6.   THE BRIBERY ACT 2010

6.1   There are four key offences under the Act:

- Bribery of another person (section 1)
- Accepting a bribe (section 2)
- Bribing a foreign official (section 6)
- Failing to prevent bribery (section 7)

6.2   The Bribery Act 2010 makes it an offence to offer, promise or give a bribe (Section 1). It also makes it an offence to request, agree to receive, or accept a bribe (Section 2). Section 6 of the Act creates a separate offence of bribing a foreign public official with the intention of obtaining or retaining business or an advantage in the conduct of business. There is also a corporate offence under Section 7 of failure by a commercial organisation to prevent bribery that is intended to obtain or retain business, or an advantage in the conduct of business, for the organisation. An organisation will have a defence to this corporate offence if it can show that it had in place **adequate procedures** designed to prevent bribery by or of persons associated with the organisation.

7.   WHAT ARE "ADEQUATE PROCEDURES"?

7.1   Whether the procedures are adequate will ultimately be a matter for the courts to decide on a case-by-case basis. Adequate procedures need to be applied proportionately, based on the level of risk of bribery in the organisation. It is for individual organisations to determine proportionate procedures in the recommended areas of six principles. The principles are not prescriptive and are intended to be flexible and outcome focussed e.g. small organisations will face different challenges to those faced by large multi-national enterprises.

7.2   Proportionate procedures

The Council's procedures to prevent bribery by persons associated with it are proportionate to the bribery risks it faces and to the nature, scale and complexity of its activities. They are also clear, practical, accessible, effectively implemented and enforced.

7.3   Top level commitment

The top-level management are committed to preventing bribery by persons associated with the Council. They foster a culture within the council in which bribery is never acceptable.

7.4   Risk Assessment

The Council assesses the nature and extent of its exposure to potential external and internal risks of bribery on its behalf by persons associated with it. The assessment is periodic, informed and documented. It includes financial risks but also other risks such as reputational damage.

7.5   Due diligence

The Council applies due diligence procedures, taking a proportionate and risk based approach, in respect of persons who perform or will perform services for or on behalf of the organisation, in order to mitigate identified bribery risks.

7.6   Communication

The Council seeks to ensure that its bribery prevention policies and procedures are embedded and understood throughout the organisation through internal and external communication, including training that is proportionate to the risks it faces.

7.7   Monitoring and review

The Council monitors and reviews procedures designed to prevent bribery by persons associated with it and makes improvements where necessary.

The Council is committed to proportional implementation of the above principles.

8.   **PENALTIES**

8.1   An individual guilty of an offence under sections 1, 2 or 6 is liable:

   • On conviction in a magistrates court, to imprisonment for a maximum term of 12 months or to a fine not exceeding £5,000, or to both
   • On conviction in a crown court, to imprisonment for a maximum term of ten years, or to an unlimited fine, or both

8.2   Organisations are liable for these fines and if guilty of an offence under section 7 are liable to an unlimited fine.

9.   BRIBERY IS NOT TOLERATED

9.1   It is unacceptable to:

- accept payment from a third party that you know or suspect is offered with the expectation that it will obtain a business advantage for them;
- accept a gift or hospitality from a third party if you know or suspect that it is offered or provided with an expectation that a business advantage will be provided by us in return;
- retaliate against or threaten a person who has refused to commit a bribery offence or who has raised concerns under this policy;
- engage in activity in breach of this policy.

10.   FACILITATION PAYMENTS

10.1   Facilitation payments are not tolerated and are illegal. Facilitation payments are unofficial payments made to public officials in order to secure or expedite actions.

11.   GIFTS AND HOSPITALITY

11.1   This policy is not meant to change the requirements of the Council's Register of Hospitality and Gifts. The policy makes it clear that, in general, gifts should be refused except where to refuse them would inhibit the normal business activities of the Council. Details of the type of gift that might be accepted are included in the Employees Code of Conduct.

12.   PUBLIC CONTRACTS AND FAILURE TO PREVENT BRIBERY

12.1   Under the Public Contracts Regulations 2006 (which gives effect to EU law in the UK), a company is automatically and perpetually debarred from competing for public contracts where it is convicted of a corruption offence. Organisations that are convicted of failing to prevent bribery are not automatically barred from participating in tenders for public contracts. The Council has the discretion to exclude organisations convicted of this offence.

13.   STAFF RESPONSIBILITIES

13.1   The prevention, detection and reporting of bribery and other forms of corruption are the responsibility of all those working for the organisation or under its control. All appropriate staff are required to avoid activity that breaches this policy.

13.2   You must:

- ensure that you read, understand and comply with this policy;
- raise concerns as soon as possible if you believe or suspect that a conflict with this policy has occurred, or may occur in the future.

13.3   As well as the possibility of civil and criminal prosecution, staff breaching this policy will face disciplinary action, which could result in dismissal for gross misconduct.

14.   RAISING A CONCERN

14.1   The Council is committed to ensuring that all of us have a safe, reliable, and confidential way of reporting any suspicious activity. We want each and every member of staff to know how they can raise concerns.

14.2   We all have a responsibility to help detect, prevent and report instances of bribery. If you have a concern regarding a suspected instance of bribery or corruption, please speak up – your information and assistance will help.

14.3   There are multiple channels to help you raise concerns (please refer to the Whistleblowing Policy). Preferably the disclosure will be made and resolved internally e.g. to your line manager, head of department or Internal Audit. Alternatively, where internal disclosure proves inappropriate, concerns can be raised with the Council's external auditor. Raising concerns in these ways may be more likely to be considered reasonable than making disclosures publicly e.g. to the media.

14.4   Concerns can be anonymous. In the event that an incident of bribery, corruption, or wrongdoing is reported, we will act as soon as possible to evaluate the situation. We have clearly defined procedures for investigating fraud, misconduct and non-compliance issues and these will be followed in any investigation of this kind. This is easier and quicker if concerns raised are not anonymous.

14.5   Staff who refuse to accept or offer a bribe, or those who raise concerns or report wrongdoing can understandably be worried about the repercussions. The Council aims to encourage openness and will support anyone who raises a genuine concern in good faith under this policy, even if they turn out to be mistaken.

14.6   We are committed to ensuring nobody suffers detrimental treatment through refusing to take part in bribery or corruption, or because of reporting a concern in good faith.

14.7   If you have any questions about these procedures, please contact Internal Audit.

15.   OTHER RELEVANT POLICIES

15.1   Further information on relevant Council policy and practice can be found in the following internal documents:

- Anti-Fraud and Corruption Policy;
- Members Code of Conduct;
- Employee Code of Conduct (including gifts and hospitality);
- Anti-Money Laundering Policy;
- Whistleblowing Policy.

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CABINET – 3rd May 2017

STRATEGIC RISK REGISTER – Full Review March 2017

1.   Purpose of the Report

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

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

1.3   Following a review of the SRR in October 2016, a further review of the SRR was undertaken in March 2017. The outcomes of that review are detailed in the body of this report.

2.   Recommendation

2.1   It is recommended that:

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

> **ii.   Cabinet considers the content of this report, and continues to commit to support the Corporate Risk Management process and the embedding of a Risk Management culture within the organisation.**

3.   Introduction and Background

3.1   The Introduction and background to the SRR is now included as Appendix One to this report. This details:

- The context of the SRR in relation to the broader governance arrangements in place;
- The importance of the SRR in relation to embedding Risk Management within the Council;
- The management of the SRR;
- The content of the SRR; and,
- The review process to ensure the SRR remains a vibrant and dynamic document;

4.   Risk Profile

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

Risk Concern Rating	Number of Risks (as at March 2017)	Percentage (as at March 2017)	Number of Risks (as at Oct 2016)	Percentage (as at Oct 2016)	Number of Risks (as at Mar 2016)	Percentage (as at Mar 2016)
1	0	0%	0	0%	0	0%
2	3	16%	4	20%	3	16%
3	5	26%	6	30%	7	37%
4	9	47%	9	45%	8	42%
5	2	11%	1	5%	1	5%
6	0	0%	0	0%	0	0%
Total	19	100%	20	100%	19	100%

4.2   The total number of risks logged in the SRR has decreased by one since the last review in October 2016 (risk 3842 - Failure to ensure the transfer of 0-19 services that are coming back into Council control ensures customers remain safe, there is continuous service and that during and after the transition period customers remain safe) which has now been removed from the SRR and is now being managed at a Business Unit level.

The current review identified two risks that have had their risk concern rating reduced:

- Risk 3023 ('Failure to engage with Stakeholders') – was concern rating '3', now logged as concern rating '4': Reflects developments with regard to the revised Community Engagement Strategy that has been approved by Cabinet; and,

- Risk 3514 ('Failure to be able to deliver the ambitions and outcomes associated with the Customer Strategy Implementation (CSI) Programme') – was concern rating '4', now logged as concern rating '5': Reflects improved confidence to deliver the CSI programme.

4.3   Details of the average risk category score for the SRR, from the 'zero-based' review in March 2013 are presented below:

Period									
	Mar 2013	Oct 2013	Feb 2014	Sept 2014	Feb 2015	Oct 2015	Mar 2016	Oct 2016	Mar 2017
Average Risk Concern Rating	3.70 →	3.47 ↓	3.47 →	3.35 ↓	3.5 ↑	3.47 ↓	3.37 ↓	3.35 ↓	3.52 ↑

4.6   The slight variance in the average concern rating is directly attributable to the removal of risk 3842, allied to slight changes to risks 3023 and 3514, detailed in section 4.2 of this report.

5.   Outcomes of the March 2017 Review

5.1   The significant outcomes that are detailed in this document focus on:

- Significant / 'Red' Risks; and,

- New / Emerging Risks.

5.2   Significant / 'Red' Risks:

5.2.1   Risk 3026: Failure to achieve a reduction in health inequalities within the Borough:

Risk:	Risk Owner:
Risk 3026 – Failure to achieve a reduction in health inequalities within the Borough.	Director of Public Health
Consequences:	
Health inequalities persist. Life expectancy in Barnsley remains well below the national average. 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. *For more information, see Appendix Six.*	

As per previous reports, this risk is currently logged as having a 'Concern Rating' of 2. It is important to note that despite this risk having been allocated a 'red' concern rating, it is recognised that population based outcome measures are often slow and difficult to change.

The Risk Mitigation Actions for this risk focus on:

- Developing the Public Health Strategy and implementation plan including undertaking consultations regarding the Sustainability Transformation Plan;
- Further developing the distributed model by undertaking further refinement in 2017 including a full refresh of the model and development of an improvement action plan; and,
- Developing the governance arrangements regarding the use of the Public Health Grant by improving reporting arrangements between the Council and Public Health England.

5.2.2   Risk 3792: Failure to be prepared to assist in the event of an emergency resilience event in the region:

Risk:	Risk Owner:
Risk 3792 – Failure to be prepared to assist in the event of an emergency resilience event in the region.	Director, Core Services
Consequences:	
Recent emergencies relating to industrial actions and flooding proves there is still an inappropriate reliance on the increasingly limited resources of the HS&ERS to manage and lead on the management of emergency events. *For more information see Appendix Six.*	

The Risk Mitigation Actions for this risk focus on:

- Delivering against the approved Action Plan following a report to SMT;
- Developing the Councils overarching Business Continuity Plan, including infillings gaps within Business Unit arrangements; and,
- Liaison with colleagues within Environment and Transport regarding community flood resilience plans.

5.2.3   Risk 3793: Failure to ensure that appropriate disaster recovery arrangements are in place to ensure the Council is able to recover in the event of a business continuity threat or incident:

3

Risk:	Risk Owner:
Risk 3793 – Failure to ensure that appropriate disaster recovery arrangements are in place to ensure the Council is able to recover in the event of a business continuity threat or incident	Director, Core Services
Consequences:	
In the event of a business continuity threat the Council will be unable to recover in an effective manner resulting in lost time and resources. Inability for customers to be able to access services and a lack of access to IT systems to enable employees to undertake their duties effectively. *For more information see Appendix Six.*	

The Risk Mitigation Actions for this risk focus on:

- Working with the Health, Safety and Emergency Resilience Unit to assist in identifying IT related business continuity issues within individual Business Units;
- Developing plans and ensuring an appropriate location for a replacement server;
- Developing testing plans that will focus on people and behaviours; and,
- Meetings between Service Director (Information Services), Head of Health, Safety and Emergency Resilience and Risk and Governance Manager to unpick disaster recovery and business continuity arrangements.

5.3   New / Emerging Risks:

5.3.1   There are no new risks included on this version of the SRR. However, during conversations with Risk Owners, a number of emerging issues were discussed, including:

- Data Quality – increasing reliance on high quality data and information to assist in shaping services and measuring performance has resulted in increased pressure on the Research and Business Intelligence Unit; and,

- Adult Social Care – increased pressure on Councils budgets to cover adult care costs due to the implementation of the Care Act and issues regarding market building and an aging population;

As part of the next review of the SRR, these issues will be further unpicked, and included within the next iteration of the register.

5.4   Details of the risks logged on the SRR that have improved since the last review are logged in Appendix Two to this report.

5.5   There are no risks logged on the SRR that that have worsened since the last review of the SRR.

5.6   Details of all SRR risk concern ratings, including a direction of travel indicator to provide details of the 'trend' of the SRR risk profile are included as Appendix Three to this report.

6.   Risk Mitigation Actions

6.1   The following risk mitigation actions have been logged as being 'red':

6.1.1   Risk 3792: Failure to be prepared to assist in the event of an emergency resilience event in the region:

Risk:	Risk Owner:
Risk 3792 – Failure to be prepared to assist in the event of an emergency resilience event in the region.	Director, Core Services
Mitigation:	
Await feedback from SD BU6 following analysis of Community Flood Plans by Head of Health and Safety – outstanding due to structural changes within BU6 – Darton Flood Plan completed, five other Area Plans outstanding	

6.1.2   Risk 3034: Failure to deliver the MTFS and associated KLoE / Budget savings 'Failure of Future Council to achieve the required level of savings':

Risk:	Risk Owner:
Risk 3034 – Failure to deliver the MTFS and associated KLoE / Budget savings 'Failure of Future Council to achieve the required level of savings':	Director, Corporate Services
Mitigation:	
Use of BPC Business Objects by Executive Directors and Service Directors (17/18) – Internal Audit Report identified a low level of compliance with BPC	

6.1.3   Risk 3699: Failure to ensure the Council's commercial / trading arm is effective in its operations, and is a well governed organisation:

Risk:	Risk Owner:
Risk 3699 – Failure to ensure the Council's commercial / trading arm is effective in its operations, and is a well governed organisation:	Director, Corporate Services
Mitigation:	
Development of shareholder role (SMT / Member / Cabinet level) to ensure the apporpiate oversight of the trading / commercial activities is in place.	

6.2   Appendix Four details the completed / closed risk mitigation actions following the March 2017 review.

6.3   Appendix Five details those risk mitigation actions that are new following the March 2017 review.

7.   Other Significant Changes to the SRR

7.1   Other significant changes to the SRR have been highlighted in bold text, and included within Appendix Six of this report.

8.   Assurance

8.1   This report and the SRR (which is attached to this report as Appendix Six) itself will be submitted to the Audit Committee at their meeting of 19th April 2017, in order to provide assurances that these significant risks are being managed appropriately.

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

9.   Future Review of the SRR

9.1   Future review of the SRR are now programmed with other governance related reports such as those relating to Corporate Finance and Performance Management in order for Cabinet to receive and consider these governance related reports as a broad suite of documents.

10.   Delivering Corporate Plan Ambitions

10.1   The SRR lists those significant risks which could impact upon the delivery of the Council's priorities and objectives, as set out in the Council's Corporate Plan. Risks within the SRR are directly linked to the Corporate Plan in order to ensure that the register is focused upon those risks which are considered to be significant potential obstacles to the achievement of corporate objectives.

11.   Risk Management Issues

11.1   The report focuses on the further development of the SRR and the contribution this will make to the embedding of a risk management culture throughout the Council.

11.2   Failure to develop the SRR will present a significant risk to the successful implementation of the required Risk Management culture within the Council.

12.   Financial Implications

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

13.   Appendices

Appendix One:	**SRR Introduction and Background**
Appendix Two:	**Improved SRR Risks**
Appendix Three:	**Direction of Travel / Trend Report**
Appendix Four:	**Completed Risk Mitigation Actions**
Appendix Five:	**New Risk Mitigation Actions**
Appendix Six:	**Full SRR as at March 2017**

14.   Background Papers

14.1   Various papers and electronic files and risk registers are available for inspection at the Westgate Plaza One offices of the Council.

Contact Officer:	**Risk and Governance Manager**
Telephone:	**01226 77 3119**
Date:	**3rd April 2017**

1.   Introduction

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

1.2   A robust and dynamic SRR sets the culture and tone for Risk Management across and throughout the Council. The engagement of the Senior Management Team (SMT) in the Risk Management process through their 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.

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

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

1.5   In order to provide assurances that the SRR is being appropriately managed, reviews of the register are facilitated by the Risk and Governance Manager on a six monthly cycle. The results of these reviews reported to SMT for further consideration and challenge. The outcomes of these processes are then reported to the Audit Committee, and subsequently, Cabinet.

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

2.   Background and Context to the March 2017 Review

2.1   The review that has recently been completed is the fifth review of the SRR, which was significantly refreshed, following a 'zero-based' review of the SRR in March 2013.

2.2   The current review included:

- **Consideration of the current expression of the Risk:**
  Risk Owners are encouraged to consider risks in terms of Event > Consequence > Impact, and these are logged within the 'Risk Title' and 'Risk Consequences' fields.

- **Consideration of links between Corporate Priorities, Outcomes and Risks:**
  Each Risk is clearly linked to a Corporate Priority, and these are logged in the 'Priority' field.

  Clear links between Corporate Outcomes and Risks have been identified and logged in the 'Existing Control Measures' field, to demonstrate the relevance of risks to the Council's performance management framework.

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

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

  As part of the 'zero-based' review of the SRR in March 2013, the use of a 'Concern Rating' was implemented. This qualitative assessment gives the Risk Owner, or SMT collectively, the opportunity to consider the following dynamic elements of the risks, rather than focusing on the traditional probability and impact based assessments:

Concern Rating	Description
1 - Red	Little confidence the Risk can be improved; Unachievable Objective; Difficult to Influence; or, Out of Tolerance.
2 - Red	Concern is between Rating 1 and Rating 3.
3 – Amber	Some confidence the risk can be improved; Moderately achievable Objective; Possible to Influence; or, Barley Tolerable.
4 – Amber	Concern is between Rating 3 and Rating 5.
5 – Green	Confident the Risk can be improved; Achievable Objective; Easily Influenced; or, Tolerable.
6 – Green	Concern Rating is less than 5.

- **Consideration regarding *existing* Risk Mitigation Actions, as well as consideration of any *new* Risk Mitigation Actions:**
  Each risk mitigation action is allocated a red, amber or green rating, on a similar basis as the Risk Concern rating. Risk mitigation action owners are asked to provide an assessment as to the overall progress and achievement of each of these actions. Of note is the fact that some risks may be logged as being 'amber' or in some circumstances, 'red' in terms of the overall 'Concern Rating', but risk mitigation actions may be logged as 'green'. The implication of this is that the actions being taken are on track, but due to factors such as the 'long-tail' nature of some risks, the action may be something that is aimed at *maintaining* the risk, rather than *improving* it.

  Similarly, some risks may be logged as having a 'Concern Rating' of 'green', with actions logged as being 'amber' or in some circumstances, 'red'. This reflects that whilst the risk itself may be acceptable, the actions themselves may be less so. In these circumstances, attention should be given to ensuring the action is resourced to ensure it is able to deliver the intended outcomes. This is in addition to the '% complete' field which is included within the register.

- **Consideration of Future Council Activity:**
  As part of the current review, SRR Risk Owners were asked to consider the implications of the transition to the Future Council model, in terms of the ownership and positioning of the risk, along with any issues arising that may affect the delivery of risk mitigation actions.

2.3   Consideration was also given during each update meeting with Risk Owners regarding any new or emerging risks that should be considered, or any risk areas that may be developing that could influence the consideration of exiting risks.

Risk Number	Risk Name	Reason for Improvement
3023	Failure to engage with Stakeholders	Reflects revised Community Engagement Strategy that has been approved by Cabinet
3514	Failure to be able to deliver the ambitions and outcomes associated with the Customer Strategy Implementation Programme	Reflects improved confidence to deliver the CSI programme

Risk Number	Risk Title	Mar 2017	Oct 2016	Mar 2016	Sept 2015	Feb 2015	Sept 2014	Feb 2014	Oct 2013	June 2013
3021	Failure to build the Economy of Barnsley	Closed -	Closed -	Closed -	Closed -	Closed -	3 ⇔	3 ⇔	3 ⇔	3 -
3022	Inability to direct Corporate Strategy	3 ⇔	3 ⇔	3 ⇔	3 / 2	3 ⇔	3 ⇔	3 ⇔	3 ⇔	3 -
3023	Failure to engage with Stakeholders	4 ⇧	3 ⇔	3 ⇔	3 ⇔	3 ⇧	2 ⇩	3 ⇔	3 ⇔	3 -
3024	Lack of Educational Attainment	4 ⇔	4 ⇧	3 ⇔	3 ⇩	4 ⇔	4 ⇔	4 ⇔	4 ⇧	3 -
3025	Failure to Safeguard Vulnerable Service Users	3 ⇔	3 ⇔	3 ⇧	4 ⇔	4 ⇔	4 ⇔	4 ⇔	4 ⇔	4 -
3026	Failure to achieve a reduction in health inequalities within the Borough	2 ⇔	2 ⇔	2 ⇔	2 ⇔	2 ⇔	2 ⇔	2 ⇔	2 ⇔	2 -
3027	Failure to manage Organisational Change ('Risk of destabilisation of the Organisation')	5 ⇔	5 ⇔	5 ⇔	5 ⇔	5 ⇔	5 ⇔	5 ⇔	5 ⇔	5 -
3028	Workforce planning issues	3 ⇔	3 ⇔	3 ⇔	3 ⇔	3 ⇔	3 ⇔	3 ⇔	3 ⇩	4 -
3029	Failure to Safeguard Information	4 ⇔	4 ⇔	4 ⇔	4 ⇔	4 ⇧	3 ⇔	3 ⇩	3 ⇩	4 -
3030	Failure to be prepared for an emergency response or business continuity threat	Closed -	Closed -	Closed -	2 ⇔	2 ⇔	2 ⇩	3 ⇔	3 ⇩	4 -
3031	Strategic Performance, Governance or Compliance failure	4 ⇔	4 ⇔	4 ⇔	4 ⇔	4 ⇔	4 ⇔	4 ⇔	4 ⇔	4 -
3032	Failure of Partnership Working / Supply Chains	Closed -	Closed -	Closed -	Closed -	Closed -	4 ⇔	4 ⇔	4 ⇔	4 -
3033	Failure to adapt the Authority into a sustainable organisation ('Failure to maintain current Services)	4 ⇔	4 ⇔	4 ⇔	4 ⇔	4 ⇧	3 ⇔	3 ⇔	3 ⇩	4 -
3034	Failure to deliver the Medium Term Financial Strategy ('Failure of the Future Council to be able to deliver the required level of savings')	4 ⇔	3 ⇧	3 ⇩	4 ⇩	5 ⇔	5 ⇔	5 ⇔	5 ⇔	5 -
3035	Loss of assets and resources as a result of one-off incident of fraud / corruption / bribery or a sustained or widespread occurrence	3 ⇔	3 ⇔	3 ⇔	3 ⇔	3 ⇔	3 ⇩	4 ⇔	4 ⇩	5 -
3047	Failure to protect the population from preventable health threats	3 ⇔	3 ⇔	3 ⇔	3 ⇔	3 ⇔	3 ⇔	3 ⇔	3 ⇔	3 -
1630	Equal Pay Claims	Closed -	Closed -	Closed -	Closed -	3 ⇔	3 ⇔	3 ⇔	3 ⇧	2 -
3514	Failure to be able to deliver the ambitions and outcomes associated with the Customer Service Organisation (CSO) Programme	5 ⇧	4 ⇔	4 ⇔	4 ⇔	4 -	-	-	-	-
3543	Failure to ensure the adequate supply of land for housing and commercial property growth	4 ⇔	4 ⇔	4 ⇔	4 ⇧	3 -	-	-	-	-
3699	Failure to ensure the Council's commercial / trading arm is effective in its operations, and is a well governed organisation	4 ⇔	4 ⇔	4 ⇔	4 -	-	-	-	-	-
3792	Failure to be prepared to assist in the event of an emergency resilience event in the region	2 ⇔	2 ⇔	2 -	-	-	-	-	-	-

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Risk Number	Risk Title	Mar 2017	Oct 2016	Mar 2016	Sept 2015	Feb 2015	Sept 2014	Feb 2014	Oct 2013	June 2013
3793	Failure to ensure that appropriate disaster recovery arrangements are in place to ensure the Council is able to recover in the event of a business continuity threat or incident	2 ⇔	2 ⇔	2 -	-	-	-	-	-	-
3794	Failure to ensure the governance arrangements underpinning and controlling the emerging City Region Deal Devolution Deal enable an appropriate blend of risk and reward for the Council	4 ⇔	4 ⇔	4 -	-	-	-	-	-	-
3842	Failure to ensure the transfer of 0-19 services that are coming back into Council control ensure customers remain safe, there is continuous service and that during and after the transition period customers remain safe	Closed -	2 -	-	-	-	-	-	-	-

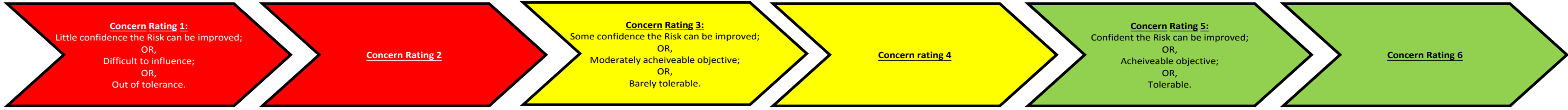| Risk Number	Risk Name	Risk Mitigation Action
3024	Lack of Educational Attainment	Barnsley Alliance Plan being developed prior to submission to Cabinet in November 2016
		Development of SEND strategy to meet the Council's accountability requirements – to be discussed at TEG – strategy in final stages of development
		Corporate Parenting Panel – delivery of service improvement plan which is monitored by the Safeguarding Governance Board and reported to Education Steering Group chaired by Cllr Cheetham – governance structures for 'virtual school' in place – monitor and review arrangements 16/17
3047	Failure to protect the population for preventable health threats	Monitoring of Health Protection Board (HPB) to ensure any system issues associated with working with CCG and partners are identified and addressed - ongoing discussions with CCG regarding Health Protection arrangements. HPB established – good engagement from partners and proportionate systems are in place. Emerging links with Emergency Planning developing
3027	Failure to manage organisational change - 'Risk of Destabilisation of the Organisation'	Talkabout sessions being developed for November 2016 with Chief Executive and Leader
3028	Workforce planning issues	Refresh of Corporate Plan to align it to 2020 outcomes - will also include a review of the Future Council Strategy which will join up the Future Council Strategy to the Workforce Development Strategy and also ensure the Future Council Improvement and Growth Strategy is more aligned to resourcing and financial influences
3029	Failure to safeguard information	Programme of activity to assist in achieving Baseline Personnel Security Standard (BPSS) - 2015 round of BPSS compliance included 1500 employees - specification moving - full time developer in place to work on scheme for 6 months
3033	Failure to adapt the Authority into a sustainable organisation - 'Failure to maintain current services'	Development of new Corporate Plan 2017 - 2020
		Refresh of Future Council Strategy and Workforce Development Plan to align them to the Corporate Plan 2017 - 2020 (will include merging FC Strategy and FC Workforce Development Plan)
		Development of Talkabout sessions for Chief Executive and Leader regarding MTFS, Service and Financial Planning and Business Plans - November 2016

Risk Number	Risk Name	Risk Mitigation Action
3024	Lack of Educational Attainment	Development of plans to ensure Barnsley Schools are in a strong position to implement the Progress 8 framework which is designed to encourage schools to offer a broad and balanced curriculum with a focus on an academic core at key stage 4, and reward schools for the teaching of all their pupils, measuring performance across 8 qualifications. This will also include: ▪ Developing a Communications Strategy to ensure stakeholders understand the framework; ▪ Continued liaison with schools via the Barnsley Alliance construct to ensure Progress 8 is embedded in BMBC maintained schools and, ▪ Use of limited capacity within BMBC in terms of Schools Improvement activities.
		Development of School Places Plan which will be designed to influence and build external markets - plan gone to SMT
3025	Failure to safeguard vulnerable service users	Safeguarding Awareness Week - ambitions include embedding Safeguarding into community activities via significant liaison with South Yorkshire partners to allow and enable them to learn from us
3027	Failure to manage organisational change - 'Risk of Destabilisation of the Organisation'	Talkabout sessions being developed for May and June 2017 to be led by Executive Directors aiming to link new Corporate Plan to Business Plan via 'golden thread' and focusing on: ▪ Accelerating Growth ▪ Marshalling Resources ▪ Local Devolution and Area Council arrangements ▪ Support behavioural change within communities ▪ Dealing with the implications of Brexit ▪ Using technology to maximise impact ▪ Using Improvement and Growth fund to drive innovation; and, ▪ Making decisions on what we will do more of, continue, do differently or stop altogether
3028	Workforce Planning Issues	Delivery of Future Council Workforce Development Strategy
3029	Failure to Safeguard information	Training of new Caldicott Guardian – Head of Public Health
3033	Failure to adapt the Authority into a sustainable organisation - 'Failure to maintain current services'	Talkabout sessions being developed for May and June 2017 to be led by Executive Directors aiming to link new Corporate Plan to Business Plan via 'golden thread' and focusing on: ▪ Accelerating Growth ▪ Marshalling Resources ▪ Local Devolution and Area Council arrangements

Risk Number	Risk Name	Risk Mitigation Action
		▪ Support behavioural change within communities ▪ Dealing with the implications of Brexit ▪ Using technology to maximise impact ▪ Using Improvement and Growth fund to drive innovation; and, ▪ Making decisions on what we will do more of, continue, do differently or stop altogether
3035	Loss of assets and resources as a result of a one-off incident of fraud / corruption / bribery or sustained or widespread occurrences.	E) Communication of arrangements via training and awareness sessions regarding anti-fraud and corruption arrangements to publicise these throughout the Council
		F) Reinstatement of annual Fraud Risk Self-Assessment at Business Unit level
3699	Failure to ensure the Council's commercial / trading arm is effective in its operations, and is a well governed organisation	Development of ILAH Action Plan to identify lessons to be learnt

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Strategic Risk Register - as at March 2017

Priority	Risk No	Risk Title	Risk Consequences	Risk Owner	Existing Control Measures	Oct-15	Mar-16	Oct-16	Mar-17	Risk Mitigation Action	Owner	% comp	Review Date	Recovery Plan
THRIVING AND VIBRANT ECONOMY	3543	Failure to ensure the adequate supply of land for housing and commercial property growth	There are some important opportunities that Barnsley needs to exploit in order to ensure that it continues to meet its economic growth aspirations. These include the delivery of good quality and affordable housing and a range of commercial property. Underpinning this includes the potential offered through the delivery of superfast broadband, the use of low carbon technology and the scope to improve the area's visitor economy through better operation of its cultural assets (to attract visitors and spend) which will add to the overall viability of such housing and commercial schemes. 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 regeneration growth and business development and growth, and link new and existing jobs more effectively to local people. There are financial pressures making the delivery of the Local Plan difficult, but the positioning in two city regions (Leeds and Sheffield) provides opportunities to identify and maximise funding from these sources. Schemes that have been successful in obtaining external funding must be able to demonstrate adequate progress towards achieving their ambitions within appropriate timescales or face the risk of having the external funding removed;	SMT SMT	Local Plan Working with Sheffield City Region regarding SCRIF funding to facilitate the development of Strategic Business Park infrastructure; Housing Strategy 2014 - 2033 outlines the Council's ambitions for regeneration and reports on the Local Development Plan to identify and obtain land, and SCR and LCR to assist in building developments; SY Superfast Broadband programme which is intended to improve the infrastructure in the Borough, to benefit both commercial and residential stakeholders; Property Investment Fund set up to facilitate the identification of land to build speculative developments to aid commercial growth; Enterprising Barnsley schemes focusing on attracting inward investment, investing in infrastructure, growing existing businesses and encouraging higher activity start ups; Skills Plans completed; Other strategies in place include Jobs and Business, Transport and Employment and Skills that aim to make the Borough a thriving and unique place to live, work, visit and trade; Local Plan consultation extended, due to the inclusion of new development sites, and is due to be reported back to Cabinet in September 2015; Positive approach to planning applications for housing on sustainable non-Green Belt sites that are yet to be allocated; Overview and Scrutiny Task and Finish Group considered Skills and Jobs in 2016/17; Planning applications being dealt with appropriate timescales contributing to strong relationship with Planning Board; Quarterly Developer Forums in place; **Cabinet Report approved regarding LDF and consultations undertaken in November 2016;** Outcomes: Create more and better jobs and good business growth (GREEN) Increase skills to get more people working (AMBER) Develop a vibrant Town Centre (GREEN) Strengthen our visitor economy (AMBER) Create more and better housing (GREEN) Protecting the Borough for future generations (AMBER)	4	4	4	4	Progression of Devolution Deal - development of deal, consideration of impacts, strategic planning and governance issues and the duty to engage constructively, actively and on an ongoing basis in relation to planning of sustainable development - BMBC signed Devolution Agreement and was considered by Full Council in March 2016. Likely to be devolved funding opportunities and extra powers in respect of land development opportunities - also need to consider whether there are any benefits in developing a regional 'LDF' to sit above BMBC's borough-wide LDF - **significant slippage due to Judicial Challenge - deferred by at least one year**	ED Place	75% Amber	30/09/2017	
										Development of SCR infrastructure plan which has been **agreed and approved** by the CA which will begin infrastructure commissioning processes - **now looking at infrastructure plans**	ED Place	40% Green	30/09/2017	
										Refresh of Local Plan and approval by Cabinet in March 2016 (this will confirm the allocation available for the Goldthorpe scheme) - **Consultations complete and Cabinet approved in November 2016 - plans was submitted to Planning Inspectorate December 2016 who will measure extent of representations made before re-running numbers over two or three pahses - likely to feedback in December 2017**	ED Place	80% Green	30/09/2017	
										Delivery of 3 year SCRIF programme (2015-18) : J36 BP: Business Plan in place, funding agreement to sign, Tenders ready - **on schedule;** J37 BP: Impact Assessment to be submitted May 16, viability work ongoing, pinchpoint scheme completed - **held up due to Local Plan issues;** Goldthorpe: Impact Assessment approved, awaiting on Local Plan allocation - **held up due to Local Plan issues;**	ED Place	75% Green	30/09/2017	
		Lack of educational attainment	Negative impact on pupils and parents in terms of health, economic, employment and life choices; Negative OFSTED inspection findings; Failure to meet DfE targets for educational attainment; Damage to reputation through poor performance in published league tables compared to the national average, and in poor inspection outcomes; Reputational damage from press; Potential adverse Annual Performance Assessment; Intervention by DfE;	SMT SMT	Performance Management Framework; CYPP Policies and Strategies; Close monitoring of Government grade boundaries to ensure the Authority remains aware of changing or improving performance targets; Barnsley Alliance established and reports to DMT and SMT; Work with the Barnsley Governors Association to ensure strong governance within schools; School Evaluation Team works to monitor, challenge and intervene in schools to improve standards and outcomes; Children and Younger People's Plan 2016 - 19 being refreshed and will be adopted by the TEG and Cabinet; As at April 2016 the gap has narrowed with national Early Years, Primary and Secondary settings; Looked-After children's attainment included as part of central OFSTED inspection; Corporate Parenting role; Overview and Scrutiny consider Educational Attainment on an annual basis; Children and Younger People's Plan 2016 - 2019 refreshed and adopted by TEG and Cabinet with aspirational targets; Revised approach to assessing performance in schools developed and embedded; GCSE results in Barnsley above national average for first time ever; **Barnsley Alliance Plan developed and approved by Cabinet in November 2016;** **SEND strategy developed to meet the Council's accountability requirements;** **Corporate Parenting Panel in place to delivery Service Improvement Plan which is monitored by the Safeguarding Governance Board and reported to Education Steering Group chaired by Cllr Cheetham - governance structures for 'virtual school' in place and working effectively;** **KS2 results at national average;** Outcomes: Every child attends a good school and is successful in learning and work (AMBER) Reducing demand through improving access to early help (AMBER)	3	3	4	4	Development of plans to ensure Barnsley Schools are in a strong position to implement the Progress 8 framework which is designed to encourage schools to offer a broad and balanced curriculum with a focus on an academic core at key stage 4, and reward schools for the teaching of all their pupils, measuring performance across 8 qualifications. This will also include: • Developing a Communications Strategy to ensure stakeholders understand the framework; • Continued liaison with schools via the Barnsley Alliance construct to ensure Progress 8 is embedded in BMBC maintained schoolsand, • Use of limited capacity within BMBC in terms of Schools Improvement activities.	ED People	0% Green	30/09/2017	
										Development of School Places Plan which will be designed to influence and build external markets - plan gone to SMT	ED People	40% Green	30/09/2017	
CITIZENS ACHIEVING THEIR POTENTIAL	3025	Failure to safeguard vulnerable service users	The risk of not safeguarding vulnerable children, adults and families who are either known or not known to the service; The risk is greatly enhanced due to a 98% increase in referrals within the Borough in recent years which is affecting the ability to properly manage cases, which could result in a significant case being missed; 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 that 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; National and local child abuse enquiries affecting public confidence and reputation of local authorities and other agencies; The risk is compounded by whether or not the children at risk are known to the service; The system that delivers to children, young people and families is increasingly complex. Complexity arises from a number of factors; the number of partners with responsibilities for commissioning and/or delivering services to vulnerable children; the changing legislative, policy and financial landscape; the different mechanisms for partnership working to align delivery and test the effectiveness of services; the potential for changes within the workforce at operational levels and strategic levels;	SMT SMT	Adults Safeguarding Board; Barnsley Safeguarding Children Board; Service Delivery Plans / Business Plans; Risk enablement built into Personalisation – management of Personalisation / Personal Care packages that require less regulated services, makes better use of commissioning resources and ensures people are better placed to look after themselves; Service Improvement Plan (Children's) developed to deliver OFSTED Safeguarding Recommendations; Sign-posted Universal Information and Advice; Safeguarding Scrutiny Committee formed May 2015 (was Children's Safeguarding Scrutiny Board) with workplan in place; Monitoring of Barnsley Safeguarding Children Board and Adults Safeguarding Board Risk Registers; Improved Ofsted judgement; Review of 'Front door'; Promotion of use of CAF/Early Help Assessments; Safeguarding Board includes CSE Strategic Group which reports directly to the Safeguarding Board; Opportunities to undertake Lessons Learnt reviews are fully exploited by the Safeguarding Board (including regional and joint learning); Action Plan developed using OFSTED inspection framework; Restructuring for Future Council complete; Stronger Communities Programme in place; Governance arrangements in place which includes the overseeing of the Executive Group being overseen by H&WB Board; Continuous Service Improvement Framework developed; Implementation and management of Personal Budgets programme, including building 'risk-enablement' into services users in place; Analysis of national guidance issued and full review now complete and new operating model in place; Local Welfare Scheme established; Early Help for Adults delivery group in place; Peer review regarding Early Help completed - Early Help Action Plan monitored through Early Help Strategic Group; SY Safeguarding Procedures and production of Annual Report; Performance Quality Management Framework in place; Member briefings for Children's and Adults; Implemented IA recommendations regarding Casey improvements; Safeguarding Scrutiny Committee - annual topics; Private Member briefings in place; Refresh of Adults Safeguarding Board arrangements and sub-structures including Annual Reporting arrangements and production of Business Plan; Review of Target Operating Model (TOM); Adults Social Care Peer review - outstanding actions consolidated into Business Plan; Making Safeguarding personal programme - outstanding actions consolidated into Business Plan; **Adults and Childrens Safeguarding Busienss Plans refreshed 2017;** Outcomes: Children and Adults are safe from harm (RED)	3	3	3	3	Stronger Community Partnership includes Anti Poverty sub-group which benefits from Delivery Action Plan which is reportable and accountable to the Health and Wellbeing Partnership **(17/18) - updated version of the All Age Early Help Strategy developed and now being delivered**	ED Communities	60% Green	30/09/2017	
										Stronger Community Partnership (multi agency) established to deliver improvements in early intervention and prevention **(17/18) - now monitoring the delivery of the updated version of the All Age Early Help Strategy**	ED Communities	60% Green	30/09/2017	
										Adults Safeguarding - development of outcome based Performance Framework	ED People	20% Amber	30/09/2017	
										Second review of Service Delivery Model - **Action Plan embedded into Business Unit arrangements with appropriate structures in place to support the delivery of the plan**	ED People	10% Green	30/09/2017	
										Safeguarding Awareness Week - ambitions include embedding Safeguarding into community activities via significant liaison with South Yorkshire partners to allow and enable them to learn from us	ED People	15% Green	30/09/2017	

Priority	Risk No	Risk Title	Risk Consequences	Risk Owner	Existing Control Measures	Oct-15	Mar-16	Oct-16	Mar-17	Risk Mitigation Action	Owner	% comp	Review Date	Recovery Plan
	3026	Failure to achieve a reduction in Health inequalities within the Borough.	Health inequalities persist. Life expectancy in Barnsley remains well below the national average and varies between different parts of the borough. Although life expectancy has increased, the gap between Barnsley and the rest of the country has continued to widen. Such health inequalities challenge not just the health and social care services but every one interested in the future prosperity and well-being of the borough. It is unacceptable that people's health and quality of life varies so much with the sort of work they do or where they live. The cost of health inequalities is borne not just by health and social care services and, of course, parents, carers and children, but by employers and the local economy. Good health is essential to the borough's economic regeneration. Healthy people are less likely to be socially excluded and more likely to be in work. Healthy children are more likely to do well at school. All the available evidence shows that health is closely associated with people's standard of living, occupation, level of education and where they live - there are significant differences in terms of average life expectancy depending on where in the Borough one resides; Reduced 'Healthy Life Expectancy' (a population health measure that combines age-specific mortality with morbidity or health status to estimate expected years of life in good health for persons at a given age in the Borough);	SMT SMT	Director of Public Health in post to provide leadership; Liaison with Clinical Commissioning Group (CCG) and GPs to ensure that the right services are being commissioned; Joint Strategic Needs Assessment (JSNA) undertaken to ensure an appropriate understanding of the requirements of the population of Barnsley; Health and Wellbeing Strategy identifies six key objectives - and within these, it is acknowledged that it is impossible to 'try and do everything' - the objectives and key deliverables identify the significant areas of concern; Oversight of Health and Wellbeing Strategy provided by partnering organisations and agencies that are best placed to deal with the issues (health - hospital, alcohol - police etc); Six-monthly reports to Health and Wellbeing Board; Structure and procedures in place - need to assess impacts / benefits to identify effectiveness; H&WB Board established JSNA undertaken and programme boards now in place; Public Health now integrated into BMBC - Public Health Development Programme established; Public Health Strategy agreed; Outcomes: People are happier, healthier, independent and active (RED)	**2**	**2**	**2**	**2**	Public Health Strategy and Implementation Plan developed to enable DPH to hold Service Directors to account regarding health outcomes that are now vested with service areas - Strategy developed and presented to SMT, H&WB Board and Cabinet - now developing action plans and key milestones in terms of delivery - 3 key action plans in draft format with developing governance arrangements - been considered by H&WB Board - now being progressed and references Sustainability Transformation Plan (STP) - Tobacco and Alcohol prevention plans link to STP and the local Barnsley Plan feeds into this also. **Barnsley Place Based Plan has been developed and feeds into the STP (which acts as the delivery vehicle for the health and Wellbeing Partnership) - currently undertaking engagement activities regarding the STP**	Director Public Health	40% Green	30/09/2017	Revisions to policy - liaise with Leader, PH spokesperson and Chief Executive - consideration of 'call to action'
										Delivery of Public Health 'distributed model' including the monitoring and reviewing of impacts and outcomes on Future Council - distributed model to include sector led improvement recommendations which are to be considered by SMT - **needs some further refinement in 2017 including a full refresh of the model and development of an improvement action plan**	Director Public Health	50% Green	30/09/2017	
										Internal governance and assurance arrangements for the use of the Public Health Grant across the Council are necessary to assure PH England and the Department of Health that the grant is being used to improve public health outcomes – indicators in place and agreed across Directorates. **Priority areas now agreed and spending is now in accordance with requirements. Further work to be done to improve reporting arrangements between BMBC PH and PHE and to mitigate removal of ring fence in 2019**	Director Public Health	75% Green	30/09/2017	
	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; Health Protection Board established; Transition into BMBC complete; BMBC DPH is co-chair of Local Health Resilience Partnership; **HPB established – good engagement from partners at local and regional meetings and proportionate systems are in place.**	**3**	**3**	**3**	**3**	Liaison with Public Health Communicable Disease representative - need to update key plans and report these to the Health Protection Board - **initial links made with Communicable Disease Consultant**	Director Public Health	50% Amber	30/09/2017	
	3023	Failure to engage with stakeholders	Non ability to explain Authority's position and / or public relations. Failure to communicate effectively with community/stakeholders. Lack of proper engagement with stakeholders, at the right level, and at the right time. Loss of confidence in ability to deliver services or respond to problems. Lack of community support which prevents and / or hinders improvement or effective implementation of change. High expectation of service delivery and resource availability despite budget reductions. Poor engagement with regard to Future Council Activity could result in legal challenge; **Increased community tensions as a result of Brexit decision resulting in a loss of community cohesion and increased incidents of hate crime;**	SMT SMT	Revised Governance Arrangements regarding Area Councils and the changing role of Elected Members; Use of key partners and LSP to coordinate wider communication activity; Review of Community Engagement Strategy borough-wide; Resourcing agreed to support the review and development of the Community Engagement Strategy; Review of approach to engaging with CCG; Increasing use of social media to assist with engagement; Introduction of Barnsley 'Help'; Conclusion of voluntary, community and social enterprise infrastructure review; One Barnsley Consultation taking place - seeking views and aspirations as to what Barnsley should be like in 2025; Outcomes: People volunteering and contributing towards stronger communities (GREEN)	**3**	**3**	**3**	**4**	Refresh of Community Engagement Strategy that underpins Stronger Communities Partnership and Community Safety Partnership (council, not multi-agency) - **revised Community Engagement Strategy to be considered by Cabinet in March 2017 - following approval, an implementation plan will be developed to underpin the 'deal' between the Council and its stakeholders**	ED Communities	25% Green	30/09/2017	
	3792	Failure to be prepared to assist in the event of an emergency resilience event in the region	Recent emergencies relating to industrial actions and flooding proves there is still an inappropriate reliance on Health and Safety and Emergency Resilience Service to manage and lead on the management of emergency events; The emerging risk environment is increasingly making continuity or 'resilience' a significant focus for all organisations. Reduced employee numbers, service rationalisation, third party service delivery models and on-going budget cuts may challenge the Authority's ability to fulfil its Civil Contingencies Act 'Category One' responder duties to an extent expected by residents and their political representatives. In addition, the transition to Future Council will lead to established emergency response arrangements no longer reflecting the Council's operational structure. Compounding this is a lack of engagement by employees to volunteer for emergency response duties that will mean that currently expected responses in relation to flooding cannot at present be delivered. The extent of the transition to Future Council necessitates in many cases the complete review of Business Unit and Service Business Continuity Plans to reflect revised structures and resources if they are to be able to continue to deliver critical functions in the event of a business interruption. Recent emergencies relating to industrial actions and flooding proves there is still an inappropriate reliance on the increasingly limited resources of the HS&ERS to manage and lead on the management of emergency events.	SMT SMT	Business Unit/Service Business Continuity Plans developed using the template provided; Corporate Resilience Plan and supporting specific plans; Ongoing liaison with SMT regarding aspirations and expectations during emergency events; Formal on-call arrangements by the Health, Safety and Emergency Resilience Service (bronze/operational) and BLT (strategic/gold); Multi-agency working across the Local Resilience Forum; Operational Services role as 'Lead Local Flood Authority'; Corporate emergency plans appear robust and are well delivered - concern raised regarding the management of those incidents that occur 'out-of-hours'; Business Case developed for Humanitarian Assistance role; Ward Alliances encouraged to consider and develop Community Flood plans - Dodworth, Darfield and Penistone visited; Corporate Resilience Plan reviewed following transition to Future Council; Business Unit level plans reviewed with Internal Audit; Overview and Scrutiny Task and Finish Group to look at flooding in 2016/17; Extra resource in place within Health &Safety and Emergency Resilience Unit; **Revised Action Plan agreed by SMT;**	N/A	**2**	**2**	**2**	Revised report to SMT which identifies a number of improvements to the Council's emergency resilience arrangements based on analysis undertaken against SOLACE Best Practice - Action Plan approved and now delivering against this	Director, Core Services	0% Green	30/09/2017	
										Top 5 service Business Continuity Plans passed to IS to identify IT implications and requirements - met with IT managers - Head of System Management dealing with broad resilience arrangements. Head of Code Green dealing with service related resilience - **new overarching BCP developed with gaps relating to BU6 and analysis undertaken to feed into Disaster Recovery Plans**	Director, Core Services	75% Amber	30/09/2017	
										Await feedback from SD BU 6 following analysis of Community Flood Plans by Head of Health and Safety and Emergency Resilience Service - oustanding due to structural changes within BU6 - Darton Flood Plan completed, five other Area Plans oustanding	Director, Core Services	45% Red	30/09/2017	

Priority	Risk No	Risk Title	Risk Consequences	Risk Owner	Existing Control Measures	Oct-15	Mar-16	Oct-16	Mar-17	Risk Mitigation Action	Owner	% comp	Review Date	Recovery Plan
	3793	Failure to ensure that appropriate disaster recovery arrangements are in place to ensure the Council is able to recover in the event of a business continuity threat or incident	In the event of a business continuity threat the Council will be unable to recover in an effective manner resulting in lost time and resources; Inability to process customer queries resulting in dissatisfaction, complaints and possible issues regarding safeguarding and vulnerable customers; Lack of support to employees such as that provided to lone workers as a result of IT and telephony systems being unavailable for significant lengths of time; Inability for customers to be able to access services; Lack of access to IT systems to enable employees to undertake their duties effectively;	SMT SMT	Working with Health and Safety and Emergency Resilience Service; Data Centre located at Beevor Court; Working with Business Units to understand their requirements; Informal testing programme in place; SMT report approved May 2016 to support removal of out of hours support for service desk; Power supplies tested on a weekly basis;	N/A	2	2	2	Analysis of top 5 service Business Continuity Plans which have been passed to Information Services to identify IT implications and requirements from Health and Safety and Emergency Resilience Service - initial analysis undertaken which suggests that the level of detail required is lacking - **feeding back to Health and Safety and Emergency Resilience Service**	Director, Core Services	0% Green	30/09/2017	
										Undertake weekend (minor incident) testing, and undertake annual (major incident) testing of IT resilience - currently mapping priority disaster recovery systems against BMBC Resilience Plans - **replacement server equipment obtained - now looking for an appropriate location for it to be placed**	Director, Core Services	20% Amber	30/09/2017	
										Formalise testing plans that will focus on systems and people / behaviour	Director, Core Services	0% Amber	30/09/2017	
										Business Continuity Plan in draft format, corporate Business Continuity Plan being investigated. Disaster Recovery Plan being investigated. **Meeting to be arranged between SD IT, Head of Health and Safety and Risk and Governance Manager to begin unpicking Disaster Recovery and Business Continuity issues**	Director, Core Services	10% Amber	30/09/2017	
	3022	Inability to direct corporate strategy	The Authority may be challenged by internal friction between Elected Members and appointed leadership, especially with regard to challenging decisions with significant political consequences or local repercussions; Increased commissioning activity in 16/17 will means there is a greater exposure to challenge and friction;	SMT SMT	Council Constitution; Local Code of Corporate Governance; Community Strategy for Barnsley (2011-2015); Corporate Plan; In the event of Constitutional dispute, role of Monitoring Officer to adjudicate as and when tensions arise; Area Council Arrangements in place, with supporting documentation in the form of 'Area Governance Handbook', 'Ward Alliance Governance Handbook', 'Ward Alliance Community Representative Handbook', 'Consulting and Engaging our Communities through Neighbourhood Networks' and 'Working with you to support your Community'; Purple Cabinet meetings used as a forum to discuss sensitive and confidential issues; SMT meetings and processes to ensure leadership is able to keep in touch with regard to pressures; Area Chairs meet each other on a regular basis to ensure cooperation and consensus; Member information session held regarding Conduct and Commissioning; Revisions to Contract Standing Orders (CSOs) to enable flexibility; Officer Working Group in place to support commissioning and procurement activity; Area Council Officer Coordinating Group to unpick issues relating to Area Governance - developing Member Protocol to deal with potential tensions within Ward Alliances in place and working effectively; Area Council Commissioning Group to unpick issues relating to procurement and commissioning in place and working effectively; Area Council Chairperson Group to encourage cooperation and consensus amongst Area Councils in place and working effectively;	3	3	3	3	Monitor and Review Area Council activity (in terms of Area Council Coordinating Group, Area Council Commissioning Group and Area Council Chairperson Group) **(17/18)**	Director, Core Services	0% Green	30/09/2017	Refer matter to Monitoring Officer for adjudication.
										Monitor and review the implementation and effectiveness of revised Contract Procedure Rules to deal with commissioning of internal services from Area Council budgets **(17/18)**	Director, Core Services	0% Green	30/09/2017	
	3027	Failure to manage organisational change - 'Risk of Destabilisation of the Organisation'	Significant budget cuts are driving the 'Future Council' programme. This change programme is dramatically transforming the organisation's business model. For example, delivering services and outcomes through mixed economy partnerships and outsourced contracts. Infrastructure transformation initiatives, process re-engineering and organisational change programme and projects may be challenged by cost over-runs and failure to meet expectations.	SMT SMT	HR Policies; Council Constitution; Service and Financial Planning Process; Service Delivery Planning Process; Partnership Governance Framework; Corporate Complaints Policy; Risk Management Policy; New Models of Business - departments and services considering and implementing new Trading Models; Changes to Employee Terms and Conditions; Employee Relations Forum with Trade Unions; Talkabouts Sessions with CX and Middle Manager Conference; BLT and SMT sessions to assist in communication; Restructure of Communications Division now with ACE HR, P&P and Comms; Investor in People accreditation; Future Council Steering Group being led by HR; Future Council Programme Board led by CX; Programme and Project Management issues now being identified and mitigated at Directorate level; 'Excellence' achieved by Corporate Equalities Group; Communications Strategy revised in 2015; 'Tell Us What You Think' Month September 2015; All Business Plans in place prior to April 2016; Talkabout sessions delivered in May 2016; Staff Survey 2016 - 2020 (including employee preference questionnaire); Social Media policies in place; **Talkabout sessions November 2016 with CX and Leader; SMT Improvement and Growth Fund in place with robust Board and governance arrangements in place;**	5	5	5	5	Consideration of organisational change requirements following the development of the Council's MTFS **(17/18) - MTFS is a three year plan rather than the statutory minimum of one year**	Chief Executive	0% Green	30/09/2017	
										Talkabout sessions being developed for May and June 2017 to be led by Executive Directors aiming to link new Corporate Plan to Busines Plan via 'golden thread' and focusing on: • **Accelerating Grwth** • **Marshalling Resources** • **Local Devolution and Area Council arrangements** • **Support behavioural change within communities** • **Dealing with the implications of Brexit** • **Using technology to maximise impact** • **Using Improvement and Growth fund to drive innovation** • **Making decisions on what we will do more of, continue, do differently or stop altogether**	Director, Core Services	15% Green	30/09/2017	
	3028	Workforce planning issues	The Authority is currently undergoing tremendous organisational change. This will create significant workforce issues around having the right skills, people and employee capacity. The Authority will require employees to have different skill sets that underpin a transformed business model. Operationally, risks inherent in organisational down-sizing initiatives will include: - Increasing workforce productivity; - Getting the balance right between cost and benefit; - Need to reduce deficit reductions; - Balancing the impact of reducing the workforce and the economic impact on the community; and, - Maintaining morale in the remaining workforce.	SMT SMT	HR Policies; Council Constitution; Equalities and Diversity Policy; Risk Management Policy; Management and monitoring of 'Future Council' / KLoE activity; PULSE Survey to measure progress in key areas since the last full employee survey in 2011; Development of Adobe Forms to assist management processes; As at October 2013 37% of employees benefit from a current PDR; HR Reorganisation completed; As at 31/03/2015 81% of employees benefit from a current PDR; Corporate Plan 2015 - 2018; Organisational Development Strategy monitoring reports to Scrutiny; Regular progress reports against Future Council characteristics to SMT; As at 26/03/2016 65.9% of employees benefit from a current PDR; **NW Employers session - workforce planning now a more important element of Business Planning processes;**	3	3	3	3	**Delivery of Future Council Workforce Development Strategy**	Director, Core Services	0% Green	30/09/2017	
	3029	Failure to safeguard information	The Council is increasingly managing, storing and maintaining personal data and information as part of the delivery of services. With data held in a vast array of places and transferring between between supply chain partners, it becomes susceptible to loss, protection and privacy risks. Loss of personal and financial information held by Council employees and systems; Financial and non-financial penalties from Information Commissioners Office; Loss of public confidence in the ability of the Council to store sensitive information, possibly resulting in a reduction in the use of public self-service facilities; Failure to maintain PSN compliance leading to the suspension of the Councils connection to the government secure network; Non compliance with Data Protection Act and Freedom of Information Act; Non compliance with Payment Card Industry Data Security Standards (PCI DSS) leading to the inability to process payment card transactions; Failure to ensure that unwanted data is cleared and disposed of, leading to non-compliance with DPA requirements; Inability to gather data from other agencies to strengthen and benefit the Council's activities; Failure to have appropriate data sharing agreements with agencies and partners leading to vicarious liability in the event they lose or misplace sensitive information; Inability to ensure that partners that we share data with are in themselves compliant with appropriate guidance and legislation;	SMT SMT	Information Management and Governance Policies; Director of Core Services has taken on the role of Senior Information Risk Officer (SIRO); Information Security and Computer Usage Policy in place; Information Governance Team in place to provide advice, guidance and training; PSN compliant; Records Management Team in place to provide advice, guidance and training; Information Governance Board refreshed and re-established and engaged in corporate risk management arrangements; Technical Architect role filled; Some initial actions have been taken as a result of IT Health Check to control, and restrict access: • Reduced permissions • Deactivated USB ports • Deactivated removable media options • Implemented temporary changes to homeworking solutions. The Council's core infrastructure has benefitted from: • Patching • Protection. Caldicott guardians in place within Communities and People Directorates; Communities and Public Health have IG Steering Groups in place; Review of technical architecture completed and action plan identified; BMBC Cabinet agreed to endorse the requirement to achieve Baseline Personnel Security Standard (BPSS); IT business plan been through 'Check and Challenge' process; Information Governance Board confirmed engagement will be undertaken with DMTs to ensure actions arising from the IG Toolkit are completed; IT Business Plan produced and presented to 'check and challenge' session - analysis of other business plans to identify IT requirements and resourcing complete; Implementation of EGRESS secure email solution completed; Majority of IG Framework now in place; Proactive Phishing campaign to identify risk areas; Proactive approach to PSN compliance - addressing lower risk issues that may become bigger in future years; Baseline Personnel Security Standards Programme completed; Sharepoint being rolled out across Council during 2016/17;	4	4	4	4	Removal of Citrix from personal computers due to PSN constraints - **due September 2017**	Director, Core Services	15% Green	30/09/2017	Enable revisions to infrastructure that will allow limited communications.
										Review of IG Toolkit - aiming for L3 compliance in 2017/18	Director, Core Services	0% Green	30/09/2017	
										ICT systems access system access, review policy and simplify process for new starters, movers and leavers - **in progress**	Director, Core Services	15% Green	30/09/2017	
										Information flow mapping activities to ensure compliance with General Data Protection Regulations 2018	Director, Core Services	15% Green	30/09/2017	
										Training of new Caldicott Guardian - Head of Public Health	Director, Core Services	0% Green	30/09/2017	

Priority	Risk No	Risk Title	Risk Consequences	Risk Owner	Existing Control Measures	Oct-15	Mar-16	Oct-16	Mar-17	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 implementation of the Area Council Arrangements has required the Council's Constitution to have been significantly reviewed to ensure Area Council governance and Ward Alliance governance issues are included.	SMT SMT	Council Constitution; Local Code of Corporate Governance; Information Management and Governance Policies; ToR for Audit Committee; ToR for Scrutiny Committees; Internal Audit; Risk Management Policy; Performance Management Arrangements including revised Corporate Plan Performance Report and 'We Will Statements'; Terms of reference for all Overview and Scrutiny Committees reviewed; Scrutiny Committee workplans are now aligned to Corporate Priorities; Briefing for Elected Members relating to Performance Management of Area Council activity; Revised AGR process for 14/15; Analysis of Casey Rotherham Safeguarding Report undertaken - report to SMT in February 2015 including recommendations for Internal Audit activity; **Improvements to the recording of officer delegated decisions to ensure this is in line with legislation completed via AGS Action Plan;**	4	4	4	4	Monitoring and reviewing of revised governance arrangements - further review 2014/15 identified positive activity regarding commissioning but at Ward Alliance level, some Members are still doing things in the 'old' way and monitor and reviewing for 16/17 in light of increased commissioning activity at Ward Alliance level in future years and the implementation and effectiveness of revised Contract Procedure Rules to deal with commissioning of internal services from Area Council budgets (17/18)	Director, Core Services	0% Green	30/09/2017	Refer matter to Audit Committee / External Audit for consideration.
										Monitoring of AGS Action Plan (17/18)	Director, Core Services	0% Green	30/09/2017	
	3033	Failure to adapt the Authority into a sustainable organisation - 'Failure to maintain current services'	The need to balance the books, gain efficiencies and meet new demands could lead the Authority into drastic measures that could increase long-term risks and costs, both to the organisation as well as to the community. The Authority runs the risk of moving away from addressing problems with long-term solutions, such as capital investment projects essential to meet social and area-based economic challenges. 'Short-termism' could potentially lead to decaying infrastructure and an inability to develop long-term economic vitality.\n\nNeed to ensure that the Authority has the right people to ensure sustainable opportunities are being exploited to their maximum.\n\nDevelopment of City Region Devolution Deal which while fiscally neutral, will provide more opportunities to strengthen the sustainability of the organisation by transferring a number of powers and policy levers from central Government to local leaders, including skills, employment, business support, transport and housing;	SMT SMT	Council Constitution; Performance Management Framework; Growing Barnsley's Economy (2012-2033) - Economic Strategy; Customer Services Organisation project; Integrating areas of work and consideration of new Service Delivery models such as traded services or social enterprise; Consideration of joint commissioning opportunities; Two year Medium Term Financial Strategy approved and agreed by Full Council in February 2016; Contract for Leadership and Management training for all 4th tier and above officers agreed with IODA Training completed. Second wave of leadership training underway; Corporate Plan 2015 - 2018 developed; All Business Plans submitted prior to April 2016; Director of Public Health recruited to post – all other Service Director posts are filled, or recruitment is underway; **Talkabout sessions November 2016 with CX and Leader; Future Council Strategy and Workforce development refreshed and approved by Cabinet in March 2017; New Corporate Plan 2017-2020 developed and published;**	4	4	4	4	**Talkabout sessions being developed for May and June 2017 to be led by Executive Directors aiming to link new Corporate Plan to Busines Plan via 'golden thread' and focusing on:**\n**• Accelerating Grwth**\n**• Marshalling Resources**\n**• Local Devolution and Area Council arrangements**\n**• Support behavioural change within communities**\n**• Dealing with the implications of Brexit**\n**• Using technology to maximise impact**\n**• Using Improvement and Growth fund to drive innovation**\n**• Making decisions on what we will do more of, continue, do differently or stop altogether**	Director, Core Services	15% Green	31/03/2017	
										Consideration of organisational change requirements following the development of the Council's MTFS (17/18) - **MTFS is a three year plan rather than the statutory minimum of one year**	Chief Executive	0% Green	30/09/2017	
	3034	Failure to deliver the MTFS and associated KloE / Budget savings - 'Failure of Future Council to achieve the required level of savings'	Risks relating to the MTFS fall into two main areas:\n- Agreeing a three year plan with Directorates and Members; and,\n- Ensuring delivery against the agreed plan, managing variances and areas of over / under spend to enable the budget to be balanced.\n\nAdverse 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; Current MTFS has been considered and approved by Members and included a number of savings that will not be required; Balanced Budget in place for 17/18;	4	3	4	4	Use of BPC Business Objects by Executive Directors and Service Directors (17/18) - **Internal Audit Report identified a low level of compliance with BPC**	Director, Core Services	0% Red	30/09/2017	Re-negotiate with Cabinet to seek an agreed budget.
										Monitoring of MTFS (17/18) - budget savings agreed, need to refer back to Members for final approval of 3 year framework	Director, Core Services	0% Green	30/09/2017	
										Financial Monitoring (17/18) to ensure delivery is in line with plan - overspends being identified and picked up with relevant SD	Director, Core Services	0% Green	30/09/2017	
										Review of MTFS to be undertaken - to ensure relevance, materiality and appropriateness, including assumptions regarding the Council's Financial and Capital Plan (17/18) - **2018/19 and 2019/20 plans have been considered and approved by Full Council**	Director, Core Services	0% Green	30/09/2017	
										Monitoring of the situation regarding Business rates which links to the broader discussions regarding the regional devolution deal - BMBC well placed due to SIGOMA influence (17/18)	Director, Core Services	0% Green	30/09/2017	
	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; Loss of management time in undertaking investigations, be they 'real' incidents, or vexatious claims; External Audit public interest report; The consequences of this risk will greatly depend on the context of the individual incidents, and will be greatly influenced by both the scale of the incident, and the position of the perpetrator within the Organisation; Negative impact on employee morale either through actual incidents, or suspicions of incidents being perpetrated; Tensions and issues with morale within groups / teams as a result of changes within and to the organisation; Increased opportunities to commit fraud due to management attention being distracted by change programmes and increased workloads; Losses arising from officers not doing their jobs properly, or not expending the amount of effort that may have been normal previously, due to morale and motivation issues; Increased risk of third party IT attacks on BMBC systems such as hacking for personal data, general mischief and disruption or to facilitate the transacting or processing of false documents; Negative impact on BMBCs reputation through the actions of partners and the perception that BMBC could be guilty by association;	SMT SMT	Anti Fraud, Corruption and Bribery Policy which is developed and refined following analysis of the Annual Fraud Risk Self Assessment (FRSA); Anti Money Laundering Policy which is developed and refined following analysis of the FRSA; Whistleblowing Policy which is developed and refined following analysis of the FRSA; Prosecutions Policy in place to ensure the Authority is open regarding censure relating to inappropriate behaviour; Council Constitution; Local Code of Corporate Governance; Member and Officer Codes of Conduct; Police involvement / criminal investigations; Membership of NAFN; NFI Data Matching; IT usage policies and procedures; IA for CA and other major organisations; Corporate Fraud Team in place; Fraud and Corruption included in AGR process; BOLD Elearning modules in place;	3	3	3	3	A) Develop governance arrangements around Area Councils and Ward Alliances - Audit delivered which covered procurement arrangements in 16/17 **recommendations delivered - monitor arrangements to ensure they remain robust**	Director, Core Services	90% Green	30/09/2017	Escalate matter to HR, Police etc. Undertake full systems review of affected area(s).
										B) Ensure there is an adequate and appropriate relationship between IA, HR, Legal and the Police to respond to any incident - to be refreshed as part of the establishment of the new BMBC Anti Fraud Team, led by the Corporate Anti-Fraud Team within IA - **Contacts recently renewed and Police protocol refreshed**	Director, Core Services	25% Amber	30/09/2017	
										C) Review corporate training programme utilising corporate PDR information and further development of BOLD training - **now awaiting advice from HR**	Director, Core Services	75% Green	30/09/2017	
										D) Fundamental review of all corporate anti-fraud and corruption policies, procedures and guidance as part of the work of the Corporate Fraud Team - **key policies going to Audit Committee March 2017 and subsequently Cabinet**	Director, Core Services	75% Green	30/09/2017	
										E) Communication of arrangements via training and awareness sessions regarding anti fraud and corruption arrangements to publicise these throughout the Council	Director, Core Services	15% Green	30/09/2017	
										F) Reinstatement of annual Fraud Risk Self Assessment at Business Unit level	Director, Core Services	15% Green	30/09/2017	

STRONG AND RESILIENT COMMUNITIES

Priority	Risk No	Risk Title	Risk Consequences	Risk Owner	Existing Control Measures	Oct-15	Mar-16	Oct-16	Mar-17	Risk Mitigation Action	Owner	% comp	Review Date	Recovery Plan
	3514	Failure to be able to deliver the ambitions and outcomes associated with the Customer Strategy Implementation Programme	Leading to... Failure to ensure customers are at the heart of the organisation; Lack of growth regarding our digital service which will be unable to encourage a channel shift in terms of customers interact with the Council resulting in customers not changing their behaviour and not undertaking greater levels of self-service; Unable to resource certain elements of the programme such as ICT technical development to deliver smarter and more efficient processes; Lack of efficient and effective services; Services becoming unsustainable following the Council's journey to Future Council and future financial pressures facing local government; Savings target of £450K to be delivered in 2016/17 (£400K delivered 2015/16 by BensTax service improvements); Directorates / Business Units not embracing the objectives of the agreed Customer Services Design Principles and associated objectives; No 'changing relationship' between the Council and its stakeholders; Issues regarding the capacity and time frame to deliver and concern regarding over promising and under delivering leading to 'work-around' arrangements that are unsustainable; Currently concerns raised regarding capacity with BU11 to provide required level of support to deliver programme;	SMT SMT	Responsibility for Programme delivery now aligned to SD Customer Services; BU7 - new structure and resources; Head of Customer Support and Development in place; Business design, IT technical resources agreed; Lessons Learnt from other significant change programmes such as SAP; Phase One and Two completed; Lessons learnt from previous Phases embedded; Previous CSO Strategy approved by Cabinet; Now transitioning to new stage with concept testing being undertaken with will include the consideration of dependencies and enablers, along with a period of redesign and testing; Cabinet Report detailed 'what' can be done, papers being prepared for SMT and CSO Board to detail 'how' the agreed activities will be implemented; New website in place; Overview and Scrutiny Task and Finish Group considered the Customer Services Strategy during 2015/16; New governance arrangements underpinning programme - Customer Strategy Implementation (CSI) Delivery Group reports to the Future Council Improvement and Growth Board; SMT have agreed and approved the CSI programme of work in September 2016; External Programme Manager in place; Specific work request in place with IT to ensure this activity is 'outside' of their day to day IT workstreams, and therefore should be adequately resourced; Co-produced work plan with BU7 and BU11; Funding agreed and allocated - £1.1M More robust grip on programme delivery in place; Robust working relationship with Information Services in place, and now part of the same Directorate; Programme Outcomes: Customers can contact us easily and use more services online (GREEN)	4	4	4	5	Delivery of Customer Strategy Implementation Programme, including the appropriate consideration of risk at project level, and the escalation of significant risks to the CSI Delivery Group and subsequently the FC Improvement and Growth Board (17/18)	Executive Director Communities	0% Green	30/09/2017	
										Customer Care / Customer Contact training to be provided to employees who have a high level of contact with the public linking to organisational-wide OD training 16/17 - offer in place using elearning and face to face training - some employees booked into course - awaiting final sign off by CX. **Training now in place and those employees who require training are now booked in for 2017/18. BU15 to undertake some monitoring and analysius of take-up and feedback to ensure the offer continues to meet the business needs of the organisation**	Director, Core Services	25% Green	30/09/2017	
	3699	Failure to ensure the Council's commercial / trading arm is effective in its operations, and is a well governed organisation	Reputational damage if the BMBC is not seen as a good business to trade with; Lost time and wasted resource in setting up the organisation, completing tenders, submissions and other commercial activities; Lost income which may have been used to avoid service cuts in future years resulting in lost jobs and employment opportunities; Legal / compliance failures if commercial / trading arm is not well controlled and governed;	SMT SMT	Trading organisations to date: - HR Services; - ILAHS; - Financial Services / Audit Services BMBC Legal Services providing oversight and advice regarding company constitution; In terms of the availability of commercial and trading skills, it is acknowledged the Council is working from a low starting point; Consideration of new skills in terms of commerciality, trading and innovation within the Future Council structure; Scheduled governance review to assist in determining the effectiveness of existing governance arrangements; Elements of company being would up including Barnsley HR Services and Barnsley Financial Services;	4	4	4	4	Increase the availability of commercial skills and awareness within BMBC Workforce including the skills and organisational discipline to vet Business Cases - **Leadership Programme includes consideration of Commercial skills and the develment of a 'Commercial Acumen Toolkit' and some courses offered via BBIC**	Director, Core Services	25% Green	30/09/2017	
										Development of internal control mechanisms to ensure that the correct roles are filled by appropriate employees, that good quality company governance is in place, that information is able to properly flow throughout the organisation and that commercial and financial reporting structures are in place - **Director training deferred in light of reduced level of trading activitiy**	Board of Directors	0% Green	30/09/2017	
										Development of ILAH Action Plan to identify lessons to be learnt	Board of Directors	0% Green	30/09/2017	
										Development of shareholder role (SMT and Member / Cabinet level) to ensure the appropriate oversight of the trading / commercial activities is in place	Director, Core Services	0% Red	30/09/2017	
		Failure to influence the governance arrangements underpinning and controlling the emerging City Region Deal Devolution Deal enable an appropriate blend of risk and reward for the Council	Conflict of interest for a number of Council Services that provide support to internal functions within the Council, as well as external relationships such as Legal Services who provide legal support to the Council and the CA; Increased officer time required to support both organisations; Increased risks regarding project activities, where the CA may be unwilling to underwrite risk on behalf of constituent Councils; Increased reliance on CA funding;	SMT SMT	Development of protocols for dealing with potential conflicts of interest; Escalation of issues through Chief Executives;	N/A	4	4	4	Ensuring that the Authority is able to learn from its experiences in terms of conflicts that may have arisen and identifying areas of potential improvement in terms of how conflict are identified, handled and addressed (17/18)	Director, Core Services	0% Green	30/09/2017	
										Focused de-brief following significant interaction with CA i.e. J36 development (including BLT development sessions) **and other developments / opportunities (17/18)**	Director, Core Services	0% Green	30/09/2017	
	3842	Failure to ensure the transfer of 0-19 services that are coming back into Council control ensure customers remain safe, there is continuous service and that during and after the transition period customers remain safe	Poor quality of services affecting customers health; Missed identification of issues and concerns by professional employees; Lack of safeguarding arrangements affecting wellbeing of customers; New activities for the Council to deliver and subsequent exposures including health related service specifications, new treatments, prescribing risks and medical activities; Litigation and clinical risk; Legacy issues regarding cost of estates – CCG are to transfer funding regarding estate liabilities to BMBC; Financial issues making transfer unfeasible; Employee issues resulting in a diminished workforce who may not have the capacity or skills to deliver the expected outcomes; Information breaches resulting in censure by ICO and possible litigation; Current general lack of engagement by SWYPFT regarding IT provision may affect ability to access necessary information; Increased likelihood of HR disputes resulting in potential strike action;	SMT SMT	Governance arrangements developing - BMBC now commissioner and provider; Liaison with Performance Improvement Officer to ensure performance and governance arrangements are being picked up; Meetings and liaison with BMBC (BU 10 and 15) and SWYPFT - SWYPFT unwilling to share risk registers regarding activities that are transferring; Likely to TUPE around 120 employees (2 managers, 118 operational employees); BMBC are intending to procure the same IT system in use by SWYPFT; Legal Services involved in TUPE discussions; Legacy issues regarding estate liabilities - CCG to transfer funding to BMBC - leases to be changed and a number of disposals to be agreed and arranged (BMBC looked at 17 SWYPFT sites - reduced to 9); Agreement regarding the transfer of contents and equipment from CCG to BMBC to be concluded - BMBC to assess whether market value is appropriate; SWYPFT will be retaining IT and BMBC will have to buy back the equipment that is necessary to support 120 agile workers; Working through the scanning of records and files - liaison with Principle Records & Information Manager (BMBC); DBS / Safeguarding checks being undertaken by HR/PH for all 130 employees going through TUPE - there are no specific Safeguarding roles within the 120 employees TUPEing (there were a number of Safeguarding roles identified earlier); BMBC Head of H&S met with SWYPFT H&S lead to ensure issues such as continuity planning, incident reporting and general safe systems of work are being picked up; The service was given responsibility and specific funding for the provision of 0-5 services from October 2015, and the single service 0-19 Years Healthy Child Programme transferred from SWYPFT to BMBC on the 1st October 2016; The transition of the service has unfortunately created a one off pressure of £0.442M which has been subsumed within the overall plan;	N/A	N/A	2	N/A	Refer to detailed risk mitigations within the Risk Register for BU 10 (Public Health) (16/17)	Director Public Health	25% Amber	31/03/2017	

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RISK MANAGEMENT FRAMEWORK REVIEW

1.   Purpose of Report

1.1   The purpose of this report is to provide assurance to the Audit Committee regarding the Risk Management Framework remaining fit for purpose, prior to the Framework being considered and approved by Cabinet.

1.2   It is important that the Risk Management Framework remains up to date in order to accurately reflect the effective and efficient management of risks to the achievement of objectives. This is of particular relevance given the Future Council programme.

2.   Recommendations

2.1   It is recommended that the Audit Committee:-

(i)   Considers the revisions to the Risk Management Framework to ensure it remains fit for purpose; and,

(ii)   Subject to changes emanating from the comments of the Committee, that the Risk Management Framework is referred to Cabinet for consideration and approval.

3.   Introduction

3.1   Risk Management is not about eliminating risk or being risk averse, it is about being aware of and managing acceptable risk in the pursuit of agreed objectives. The Risk Management Framework includes the Risk Management Policy Objective Statement and Risk Management Strategy, which sets out how the Council will seek to embed this approach to risk into its normal activities through the ongoing development of a risk management culture.

3.2   The Risk Management Framework, including the Risk Management Policy Objective Statement and Risk Management Strategy are also key elements in the implementation of good governance arrangements and form key elements of the Council's Annual Governance Review process.

4.   Risk Management Framework

4.1   In terms of the update of the Risk Management Framework, the following table details each individual element of the Framework, and provides a brief comment as to whether the document in question has required an update:

Risk Management Framework Element	To be Updated?	Comment
Risk Management Strategy	Yes	Director (Core Services) to add Forward (s.1), Update required to reflect Corporate Plan 2017-2020 (s.2.2), the cessation of MKI (s.9) and updates to the three year strategic plan (s.13) – *included in report as Appendix One.*
Risk Management Policy Objective Statement	No	Still reflects current activities and objectives – no material changes.
Risk Champion Role Description	Yes	Updated to reflect Corporate Assurance Group Terms of reference – *included in report as Appendix Two.*
Risk Acceptance Model	Yes	Updated Risk Appetite figures (s.2) – *included in report as Appendix Three.*
Risk Challenge Process	Yes	Updated to reflect cessation of MKI and new Business Unit structure – *included in report as Appendix Four.*
Cabinet Report Writing Guidelines	No	Still reflects current good practice – no material changes.
Project and Programme Risk Management Protocol	No	Superseded by the Council's 'Corporate Project Management Approach' – document removed from Risk Management Framework.
All Member Guidance Note	No	Still reflects current good practice – no material changes.
Risk Management Training Strategy	Yes	Updated to reflect cessation of MKI and new Business Unit structure – *included in report as Appendix Five.*

5.   Delivering Corporate Plan Priorities and Future Council Themes

5.1   The Risk Management Policy Objective Statement and Strategy seeks to ensure that those significant risks which could impact upon the delivery of the Authority's objectives, as set out in the Corporate Plan are appropriately managed in order to minimise the significant potential obstacles to the achievement of corporate objectives. Likewise, the Policy Objective Statement and Strategy is in place to support the consideration of innovative solutions relating to the Future Council Programme.

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6.   Risk Management Issues

6.1   The report focuses upon the development of the Risk Management Policy Objective Statement and Strategy and the contribution this will make to the embedding of a risk management culture throughout the Council.

7.   Financial Implications

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

8.   Background Papers

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

9.   Appendices

Appendix One: **Risk Management Strategy 2017/18**
Appendix Two: **Corporate Assurance Group Terms of Reference 2017/18**
Appendix Three: **Risk Acceptance Model 2017/18**
Appendix Four: **Risk 'Challenge' Process 2017/18**
Appendix Five: **Risk Management Training Strategy 2017/18**

Contact Officers: **Risk and Governance Manager**
Telephone: **01226 773119**
Date: **3rd April 2017**

Barnsley Metropolitan Borough Council
Risk Management Strategy March 2017

1.   Foreword

*** *(To be developed by Director, Core Services)* ***

2.   Introduction

2.1   What is Risk?

Risk can be defined as the threat that an event or action will adversely affect an organisations ability to achieve its own objectives.

A 'risk' is made up of an **event**, which if it manifests will have a **negative impact** on the Council's **objectives**.

Risk is considered in terms of the probability of an occurrence, together with the possible impact, usually expressed by the potential financial loss, and damage to reputation.

However, Risk should also be considered and thought of more positively in terms of the context of both missed opportunities, and opportunities that have not been maximised or properly exploited.

2.2   What is Risk Management?

Risk Management is the structure, process and culture that is employed to assist in maximising opportunity, whilst minimising any associated uncertainty.

Risk Management assists in the delivery of the Council's own agenda, including the three main corporate priorities for the Borough, as described in the Corporate Plan for Barnsley (2017 - 2020), which are as follows:

- Thriving and vibrant Economy;

- People achieving their Potential; and,

- Strong and Resilient Communities.

The Council is changing and is concentrating on providing services where they are most needed and will have the most impact whilst helping people to do more for each other and their community. There are a number of things the Council has focused on when changing the way it works. These include:

- Clear vision and values;
- Customer focus;
- Commercial business acumen;

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- Efficient delivery of projects and programmes;
- Innovative and managed risk taking;
- Learning organisation;
- Leaders at every level;
- Flexible workforce;
- Working with our partners communities and residents; and,
- An enabling organisation.

All of these ambitions will require the careful consideration of risk to ensure the Council is able to achieve these outcomes in a robust and cost effective manner.

2.3   Why manage Risk?

Managing the risks that could influence the achievement of policy objectives is an essential part of the Council's corporate governance arrangements and internal control framework. This is recognised in the Accounts and Audit Regulations 2015, Part 2, Section 3, which requires Councils to have:

'… effective arrangements for the management of risk.'

2.2   The aim of the risk management policy and strategy is to manage risks that threaten the successful delivery of corporate objectives and, where possible, reduce these to an acceptable level. However, it is not the intention to be risk averse, and it is recognised that risks taken in pursuit of objectives will not always be capable of mitigation to the agreed, acceptable levels.

2.3   Considerable progress has been made throughout the Council in the last few years in the introduction of risk management policies and procedures which contribute to the development of a risk management culture. However, in light of unprecedented changes to Local Government in more recent years, it is envisaged that robust and embedded risk management systems are needed more than ever to facilitate and support change in terms of new models of service delivery, to assist in the identification of risks (and opportunities) therein, and to ultimately contribute to the provision of assurance regarding the Council's compliance, performance and overall robustness of its internal control and governance framework.

2.4   This strategy document sets out how a culture of risk management will be further developed in the next few years. The essential elements required to encourage the further development of a risk management culture are an agreed policy, process and framework which assists in the achievement of corporate objectives and priorities (incorporating linkages to service delivery / business unit plans, the future Council) without imposing undue regulation.

2.5   Risk management should be seen to be an essential enabler to the delivery of services, the achievement of objectives and the effective performance management of the Council.

3.   Risk Management Policy

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3.1   The policy sets out the overall vision and purpose of risk management within the Council, defines the objectives necessary to the successful delivery of that vision, and details how those objectives will be supported.

3.2   The policy is subject to regular review and any proposed amendments are then agreed and accepted by the senior management team (SMT) and Cabinet.

4.   Risk Management Strategy

4.1   The purpose of the Strategy is to provide the components for delivering the policy and ensuring that risk management arrangements are maintained throughout the Council. The components of the strategy are:

- Roles and responsibilities;
- Risk management process;
- Risk review;
- Risk acceptance;
- Risk recording;
- Guidance, training and facilitation;
- Assurance;
- Performance management; and,
- A three year Strategic Plan.

These components are further detailed later in this document.

4.2   Whilst the principles and mechanics of risk management remain fairly constant, the environment in which the Council operates is changing fast. Where there is change, there is risk and it is therefore critical that across the Council, managers and Elected Members are clear about the risk management framework and its intended benefits to minimise the chance of something going wrong, or missing an opportunity.

5.   Roles and responsibilities

5.1   In order to ensure that the Council's risk management arrangements are implemented and delivered successfully, it is essential that corporate and individual roles and responsibilities are clearly defined.

5.2   It is therefore important to ensure that everyone within the organisation understands how their responsibilities fit into the risk management framework. The following tables sets out a summary of the individual roles and responsibilities of Elected Members, specific officers, managers and employees. It also sets out the support available to discharge those responsibilities and how assurance on the overall effectiveness of the risk management framework is established:

The following roles are designed to assist in the *delivery* of effective Risk Management:

Role:	Outcome(s):
Elected	*Cabinet Spokesperson (Corporate Services) is the Risk Management*

Role:	Outcome(s):
Members	*Champion at Member level.* ▪ To oversee the effective management of risk by officers; and, ▪ Be involved in the identification of high level, strategic risks.
Cabinet	▪ To approve the Risk Management Policy and Strategy; ▪ To ensure risk is considered as part of the decision making process; and, ▪ Ownership of the Strategic Risk Register.
Chief Executive	▪ To lead in the embedding of a Risk Management culture within the Authority; and, ▪ To endorse the Risk Management Policy Objective Statement.
Senior Management Team	*Director Finance, Property and Information Services is the SMT Risk Champion for the delivery of the Risk Management Framework.* ▪ To ensure that the organisation manages risk effectively; ▪ Ensuring the Strategic Risk Register remain relevant and vibrant; and, ▪ Approval of levels of risk appetite;
Directorate Management Teams	▪ To ensure risks are managed in each service area, projects and relationships for which they are responsible.
Service Managers / Project Managers / Partnership Lead Officers	▪ To manage risk effectively in their service area, project or relationship for which they are responsible; and, ▪ Adherence to relevant controls such as the Councils Corporate Project Management Approach for project managers, and / or the Partnership Governance Framework for partnerships.
Employees	▪ Be aware of and consider risks in the fulfilment of operational duties and contribute to Business Unit and Directorate Risk Management arrangements as appropriate.

These roles are further **supported** by:

Role	Outcomes(s):
Risk and Governance Manager	▪ To support the Council and its Services in the effective development, implementation and review of the Risk Management Framework; and, ▪ To manage the delivery of the Policy Objectives and monitor the progress towards the achievement of Risk Management Performance Indicators.
Corporate Assurance Group Members	▪ To promote and facilitate Risk Management arrangements within their Directorate.

All of the above roles are designed to provide **assurances** to:

Role:	Outcome(s):
Audit	▪ To provide assurances to the Council on the adequacy and effectiveness of

Role:	Outcome(s):
Committee	the Risk Management Framework and challenge, through the consideration of periodic reports, how the Risk Management Framework is being implemented, and its overall impact.
Internal Audit	▪ To provide assurance to management on the effectiveness of Internal Controls, including the Risk Management Framework through an annual audit.

5.3 In the event of any conflicting interests, the Service Director Financial Services will arbitrate and adjudicate between the conflicting parties in order to identify a suitable resolution for all parties.

5.4 The Roles and Responsibilities regarding the successful implementation and delivery of the Risk Management framework are also detailed in the Authority's Competency Framework.

6. Risk Management Process

6.1 The Risk Management Process provides a systematic and effective method of managing risks at different levels within the Authority. The process requires every significant risk to be:

- ▪ Identified, described and owned / allocated to a named manager;
- ▪ Assessed for likelihood and impact;
- ▪ Mitigated; and,
- ▪ Reviewed.

6.2 Risks are contained within a series of Risk Registers, at strategic, business unit and project levels. Each register is reviewed on a regular basis and new and emerging risks are considered at that time.

7. Risk Review

7.1 Each Risk Register is subject to a formal periodic review by register owners both in relation to current risks, and the consideration of new and emerging risks. Following each review, those risks falling outside of defined acceptance levels should be escalated and reported to management in accordance with the Risk Acceptance Model.

7.2 Business Unit Risk Registers are also subject to periodic detailed and facilitated reviews, or 'Challenges' undertaken by the Risk Management Section in conjunction with register owners. This process includes a review of the alignment of risks to Service Delivery Plan / business plan objectives, the consideration of generic risks, and the reporting and escalation arrangements for 'out of acceptance' risks.

8. Risk Acceptance

8.1 It is recognised that at times, risks which exceed agreed acceptance levels will be accepted in the pursuit of an objective. Procedures are in place to ensure that these risks are

appropriately recognised and reported. Equally, risks which fall within agreed acceptance levels can be reviewed to ascertain whether resources can be safely channelled to other areas that require further mitigation.

8.2   Risk Appetite is the overall level of exposure to risk which is deemed acceptable within the organisation. It is a series of boundaries, authorised by Senior Management in order to give clear guidance on acceptable limits of risk, whether a threat or opportunity. The Public Sector Internal Audit Standards (PSIAS) makes direct reference to the risk appetite of the organisation in the context of determining priorities for internal audit activity. This is also underpinned by the Institute of Risk Management's publication on Risk Appetite and Acceptance.

8.3   Risk Appetite is translated into Risk Acceptance levels, which are defined through the Risk Category Score (both 'current' and 'target'), allocated to each risk. Risks which fall outside of agreed Risk Acceptance levels are escalated for further consideration.

8.4   All reports to Cabinet are required to provide details of any potential significant risks in proposed policy changes, Programmes or Projects. The report must include a specific section on Risk Management implications, where an articulation of the significant risks associated with the proposal, along with assurances that appropriate mitigations actions are (or will be) in place should be detailed. This activity will ensure that report authors are able to provide accurate and appropriate information on the management of risk.

9.   Risk Recording

9.1   The recording, control and monitoring of corporate risks is facilitated through the use of a series of excel spreadsheets. Risks are recorded in a series of Risk Registers which incorporate specific information about individual risks, the existing controls in place, and action plans intended to further mitigate those risks.

9.2   These Risk Registers will be transferred to the Council's new Document Management System (SharePoint) is due course to enable an appropriate level of information sharing and collaboration throughout and within the Council.

9.3   The Council has developed a 'Corporate Project Management Approach', which includes a specific project or programme risk register template which aligns to the existing Business Unit risk register template.

9.4   Similarly, some Partnership related risk registers are contained within other applications and systems, outside of Council's own Risk Management Framework. The provision of assurance is embedded within the Risk Management reporting arrangements, to ensure that the Authority is satisfied that relevant partnership and relationship risks are managed appropriately.

9.5   A standalone Risk Register has been designed as part of the Schools Risk Management Framework.

10.   Guidance, Training and Facilitation

10.1 Comprehensive information contained within the Risk Management Framework can be found on the Risk Management Intranet site.

10.2 Periodic training for Elected Members and Managers is available from the Risk Management Section on all aspects of Risk Management. All forms of training and facilitation offered by the Risk Management Section are detailed in the Risk Management Training Strategy, which forms part of the Risk Management Framework.

10.3 Furthermore, a Risk Management awareness module is now included in the Authority's electronic learning resources, BOLD.

11. Assurance

11.1 The provision of assurance that risks are understood and managed appropriately is an essential measure of the adequacy and effectiveness of the Authority's Risk Management Framework. This assurance is provided in the following ways.

11.2 The Risk and Governance Manager ensures the presentation of an annual Risk Management report to the Audit Committee. This will be supplemented by further update reports throughout the year, and specific reports on the development of the Strategic Risk Register. Where possible, these reports are initially circulated to the Corporate Assurance Group for comment, prior to being presented at the Audit Committee.

11.3 Reports on the development of the Strategic Risk Register will also be presented to the Senior Management Team, Audit Committee and Cabinet.

11.4 An annual, independent review of the Risk Management arrangements is undertaken by the Authority's Internal Audit Section.

11.5 The Risk Management arrangements of each Service are subject to review as part of the process for the compilation of the Annual Governance Statement.

12. Performance Management

12.1 It is essential that the success of the Risk Management Strategy can be measured. The measurement of performance corporately is however difficult and somewhat subjective. An indicative list of performance indicators (PIs) have been developed, and are attached as appendix one.

12.3 A number of proposed PIs make reference to the maintenance or improvement of scores relating to the ALARM / CIPFA Benchmarking exercise. The results of this exercise are described in terms of an overall percentage, which is then compared to national averages, as well as summarised in terms of overall maturity. It is proposed to focus on the overall maturity levels, rather than focus on the detailed percentage scores.

12.4 The PI relating to 'deviance from previous average risk category score' provides a snapshot of the overall risk category score for all risks that have been logged. This is intended to provide assurances regarding the overall level of risk for the Authority.

13. Strategic Plan

13.1 The consideration of longer term objectives for the Risk Management within the Council are detailed below:

Year	Activity	Comment
16/17	Review and refresh of Future Council Risk Management arrangements	Cessation of use of MKI in 2016 / 17 (Completed);
	Full review and refresh of Strategic Risk Register to reflect Future Council arrangements	Increased reflection of Future Council in Strategic Risk Register (Completed);
17/18	Consideration of risks and opportunities in terms of city regional devolution in terms of skills, employment, business support, transport and housing	Links to transport arrangements, insurance arrangements and new Highway Code of Practice;
	Developing links to Insurance arrangements within the Council	Development of joint Insurance and Risk Strategy;
	Full review of Risk Management Arrangements and support to recognise the increased embeddedness of Risk Management within the Councils business processes	Likely to reflect a decrease in Risk Management support, and an expectation that Service Directors and will become more self-sufficient;
18/19	Reviewing the impact of changes to the support available to facilitate Risk Management activities within the Council	Reviewing the outcomes of the above activity, and providing assurances that arrangements are still fit for purpose;

14. Opportunity Management

14.1 The development of the Future Council model and the creation of a Local Authority trading company structure has provided the framework for the Authority to move towards a new approach to service delivery in terms of trading services or Business Units.

14.3 This new approach has provided significant commercial opportunities which must be carefully managed via robust and realistic Business Cases, and this is where by applying risk management principles and techniques, the chances of lost or missed opportunities can be minimised, and the risks to the viability and overall success of the business units can be identified and addressed at an early course.

15. Risk Management Arrangements for Other Bodies

15.1 The Risk and Governance Manager continues to support a number of other organisations with regard to their risk management, governance and insurance arrangements including

South Yorkshire Fire Authority, South Yorkshire Pensions Authority and the Sheffield City Region.

16.   Advice and Guidance

16.1   Guidance documents relating to the matters detailed in the Risk Management Strategy are available on the Authority's Risk Management Intranet site. Further advice and guidance can be provided by the Risk Management Section. Contact details are as follows:

Name / Designation	Contact Details
Adrian Hunt – Risk and Governance Manager	adrianhunt@barnsley.gov.uk 01226 77 **3119**

17.   Appendices

17.1   Appendix One: Risk Management Performance Indicators 2017/18

Appendix One: Risk Management Performance Indicators 2016/17 (as at 03/04/2017)

Indicator	Quarter One: 01/04/2016 – 30/06/2016	Quarter Two: 01/07/2016 – 30/09/2016	Quarter Three: 01/10/2016 – 31/12/2016	Quarter Four: 01/01/2017 – 31/03/2017
PROCESS:				
% of Business Units completing **Operational Risk Register Reviews on time**	**82% (9/11) Completed within timescale** **18% (2/11) Completed outside of timescale** **0% (0/11) Incomplete**	**45% (4/9) Completed within Timescale** **22.5% (2/9) Completed outside of Timescale** **22.5% (2/9) Incomplete**	**36% (4/11) Completed within Timescale** **64% (7/11) Completed outside of timescale** **0% (0/11) Incomplete**	**56% (5/9) Completed within Timescale** **0% (0/9) Completed outside of timescale** **44% (4/9) Incomplete**
Maintenance / improvement of ALARM / CIPFA Benchmarking scores relating to **Leadership and Management**	2015 / 16: Assessed Level – '5 – Driving' (Actual Score 85) **2016 / 17: Assessed Level – '5 Driving' (Actual Score 86)**			
Maintenance / improvement of ALARM / CIPFA Benchmarking scores relating to **Policy and Strategy**	2015 / 16: Assessed Level – '5 – Driving' (Actual Score 82) **2016 / 17: Assessed Level – '5 – Driving' (Actual Score 91)**			
Maintenance / improvement of ALARM / CIPFA Benchmarking scores relating to **People**	2015 / 16: Assessed Level – '4 – Embedded and Integrated' (Actual Score 79) **2016 17: Assessed Level – '4 – Embedded and Integrated' (Actual Score 79)**			
Maintenance / improvement of ALARM / CIPFA Benchmarking scores relating to **Partnerships and Resources**	2015 / 16: Assessed Level – '3 – Working' (Actual Score 64) **2016 / 17: Assessed Level – '3 – Working' (Actual Score 65)**			
Maintenance / improvement of ALARM / CIPFA Benchmarking scores relating to **Processes**	2015 / 16: Assessed Level – '4 – Embedded and Integrated' (Actual Score 71) **2016 / 17: Assessed Level – '4 – Embedded and Integrated' (Actual Score 79)**			
CHANGES TO RISK PROFILE:				
Deviance from previous **Average Risk Category Score (ALL REGISTERS)**	**3.50** (*no deviance*)	**3.60** (*.05 improvement*)	-	-
OUTCOMES:				
Maintenance / improvement of ALARM / CIPFA Benchmarking scores relating to **Risk Handling**	2015 / 16: Assessed Level – '3 – Working' (Actual Score 68) **2016 / 17: Assessed Level – '3 – Working' (Actual Score 68)**			
Maintenance / improvement of ALARM / CIPFA Benchmarking scores relating to **Outcomes and Delivery**	2015 / 16: Assessed Level – '4 – Embedded and Integrated' (Actual Score 71) **2016 / 17: Assessed Level – 'Embedded and Integrated' (Actual Score 72)**			

Appendix Two: Corporate Assurance Group Terms of Reference 2017/18

Corporate Assurance Group 2017
Terms of Reference

<u>Governance and Assurance:</u>

To provide oversight regarding the development, implementation and maintenance of the Council's corporate governance and control framework, by providing:

- A consultative role in respect of changes to the Council's corporate governance and control framework, including contributing towards the development of the Councils Corporate Assurance Framework

- A consultative role regarding the Annual Governance Review (AGR) process, including contributing towards the development of the AGR

For members of the group to act as governance and assurance 'champions' to ensure high levels of awareness and compliance

To examine other opportunities to adopt a strategic challenge and assurance role for other specific areas of the Council's corporate governance that requires improvement through the Annual Governance Review Action Plan

To assist in the management of the Annual Governance Review Action Plan, and to assist in the identification and development of improvements and efficiencies as to how the Council is governed

<u>Risk Management:</u>

To provide a strategic challenge as to the Council's Risk Management arrangements, including consideration of, and input into the periodic review of the Council's Strategic Risk Register (SRR)

Assist in the implementation and delivery of the Councils Risk Management Policy, Strategy and Framework by:

- Encouraging and participating in the identification, development and communication of new and emerging risks, ensuring they are considered, discussed and where appropriate logged and included in risk registers

- Encouraging, facilitating and contributing towards the review of operational risk registers (ORR) in accordance with the ORR review timeline

- Supporting the development and review of project and partnership risk registers

Contribute towards the development of a culture where innovation and managed risk taking is encouraged within the overall tolerances and boundaries in which the Council operates, by:

- Ensuring significant risks are appropriately escalated and communicated

- Being a champion for, and encouraging the use and development of the corporate risk register templates

Ensuring risk management good practice is disseminated throughout the Council, by:

- Providing a conduit for risk management issues to be cascaded to all areas of the Council

- Act as a resource to assist, support and develop good risk management practices

Appendix Three: Risk Acceptance Model 2017/18

Risk Acceptance Policy

March 2017

1. Background and Context

1.1 In order to help mitigate against the impacts of the current austerity measures and to drive forward the changes that will assist in delivering the vision for the Council, it is necessary to ensure the organisation is able to maximise and exploit important opportunities and innovative solutions.

1.2 In the context of changing public services, relating to how services will be delivered, to what level and by whom, it is essential to ensure the Council is able to:

- Respond positively to challenges;

- Make the most of limited, and reducing resources;

- Ensure plans, projects and programmes are appropriately resourced to maximise success and deliver the intended priorities and outcomes; and,

- Implement robust arrangements to performance manage progress.

1.3 In order to enable the changes required to maintain the 'Future Council' model, and continue to challenge and change the way the Council and its stakeholders thinks and acts, it is important to provide a framework in which innovation and managed risk taking is encouraged, within the overall tolerances and boundaries in which the Council operates. Within this framework it is also important to ensure the Council's stakeholders are provided with robust assurances that ultimately, the organisation remains safe and well governed.

1.4 Whilst risk management within the Council is embedded and working, issues regarding tolerance, risk taking / opportunity taking and the overall level of risk the Council is willing to accept when dealing with cultural, economic, social and demographic challenges requires review. This will help ensure these issues contribute, and enable the changing culture from traditional risk aversion to one of managed, informed risk taking and acceptance.

2. Risk Appetite – What can we accept?

2.1 Risk appetite or risk acceptance is the overall level of risk the Authority is prepared to tolerate or accept in order to deliver objectives and services. This is defined in BS ISO: 31000 (the International Standard for Risk Management), as:

'The amount of risk that an organisation is prepared to seek, accept, tolerate'

2.2 This consists of all risks which fall within accepted risk tolerance levels, aggregated with those additional higher rated risks which the Council has agreed to accept.

2.3 Recent guidance, issued by the Institute of Risk Management 'IRM Guidance Paper – Risk Appetite and Risk Tolerance', and CIPFA / CIIA 'Public Sector Internal Audit Standards' both highlight the benefits in developing a proportionate risk appetite or acceptance model that will enable decision makers to be better aware of the risks being taken to achieve the Authority's goals and objectives.

2.4 The Council's Risk Registers contain a wealth of information which helps to determine risk appetite. This requires all risks to be assessed for the actual or 'Current' risk score, and the residual or 'Target' risk score, once all mitigation actions have been completed and delivered successfully.

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2.5 The following table shows the council's risk profile derived from the strategic and operational risk registers as at January 2017. The 'Target' risk data is a strong indicator of risk appetite as it equates to the overall level of anticipated residual risk. Within this there are 12 risks that are logged as being either Category 1 or 2, showing that these risks, regardless of mitigations and resource, will always remain outside of the Council's tolerance level:
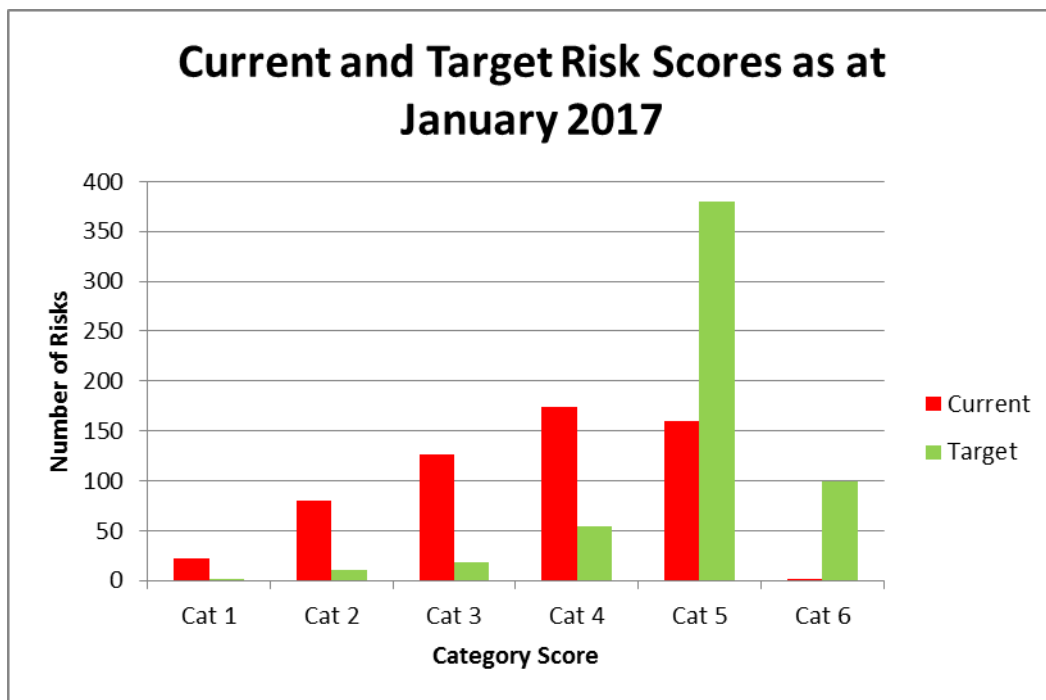
2.6 This compares to some 102 risks that are currently logged as being Category 1 or 2, in terms of the Current risk score. Continued work in terms of risk management and mitigation will be required to reduce the overall risk profile to a level that 'fits' the principle of acceptable risks (or risks within the Authority's appetite), including the reduction in the number of red risks from 102 to 12.

2.7 Essentially, the concept of risk acceptance relies on the consideration of both the Current and Target risk category score. This will enable:

  ▪ Significant risks being escalated to DMT's, and where appropriate, SMT:
    Some risks that are traditionally 'out of tolerance' may not require immediate escalation, if it felt that the Target Score is achievable with the current level of resources being applied to the risk / mitigation action(s). Both Business Unit Management Team Meetings and Senior Management Team Meetings will be able to focus their attention on only the significant, unacceptable risks; and,

  ▪ Risk Owners and Risk Managers to be encouraged to manage the risk themselves:
    It is likely Risk Owners and Risk Managers will be able to deploy more innovative solutions to the management of significant risk.

2.9 The following sections provide a narrative for Risk Owners or Risk Managers to consider when applying the concept of risk appetite and tolerance to their own risks.

3. **What is the Current and Target Risk Category Score?**

3.1 **Category 5 or 6 (Green):**

Monitor and Review:

These risks are well within tolerance and can be considered 'acceptable' risks. Generally, they do not require explicit mitigation, and the level of probability and impact will suggest any further action or resource that could be applied would not necessarily be cost effective.

- It is likely that these risks have both a Current and Target category score that have been assessed as being either category 5 or 6 (Green).

A risk mitigation can be logged to acknowledge this monitoring position – 'Monitor and Review 2017/18' with a 'Review Date' set for the next Operational Risk Register review closedown date. This mitigation action can be managed by the named risk mitigation owner.

Although the risk has been assessed as being 'acceptable' it does not mean the risk can be closed; an appropriate period of monitoring the risk will be required, to ensure the result of the assessment remains acceptable.

3.2   Category 3 or 4 (Amber):

Manage and Monitor:

These risks are within tolerance, but have the potential to become more significant if not carefully managed. These risks therefore require robust mitigations to ensure the probability and / or impact assessments do not increase – monitoring these risks is simply not enough.

- Those risks that have a Current category score of 3 or 4 (Amber), but a Target category score of 5 or 6 (Green) clearly can be mitigated to acceptable levels; or,

- Those Risks that have a Current category score of 3 or 4 (Amber), but a Target category score of 3 or 4 (Amber) also are identified as being concerns that are perhaps more difficult to mitigate to acceptable levels.

Risk mitigations therefore need to be specific and aimed at either reducing or maintaining the current risk assessment. These mitigation actions will be monitored and updated as part of the Operational Risk Register review process. These mitigation actions will require management by the named Risk Manager.

3.3   Category 1 or 2 (Red):

Mange and Mitigate:

These risks are outside of the Authority's risk tolerance, and therefore, these risks should be considered as significant, and unacceptable.

A full understanding of the risk assessment should be undertaken in order to properly understand the dynamics of the individual risk, in terms of:

- Those risks with a significant level of probability, by their nature are more likely to occur, and therefore require attention before other risks – a 'worst first' approach;

- Those risks with a significant level of probability, but a less significant level of impact, should have mitigations in place to address both the likelihood and impacts. The priority for these risks will generally be to reduce the level of probability to a more acceptable level; and,

- Those risks with a high or very high impact, but a low or very low probability assessment should be addressed by considering the effect of the risk, and ensuring that robust responses to the *impact* are considered. Attempts to reduce the impact should be considered, along with robust methods of dealing with the manifestation of the impact, perhaps using Business Continuity or Emergency Planning responses.

Risk mitigations must be focussed on both reducing the probability of the risk occurring, and reducing the impact of the risk, should it manifest. These mitigation actions should be <u>regularly</u> monitored and managed by the Risk Owner or the relevant Business Unit Management Team. It is expected that evidence of the monitoring by the Risk Owner or Business Unit Management Team can be made available to the Risk and Governance Manager on request, in order to provide assurances to interested parties such as the Authority's Audit Committee.

4. Application

4.1 The following table identifies the Current and Target scoring, the Statement of Acceptance and whether the risk is within the Authority's Risk Tolerance. The table then identifies the appropriate action for each risk, based on the combination of these factors:

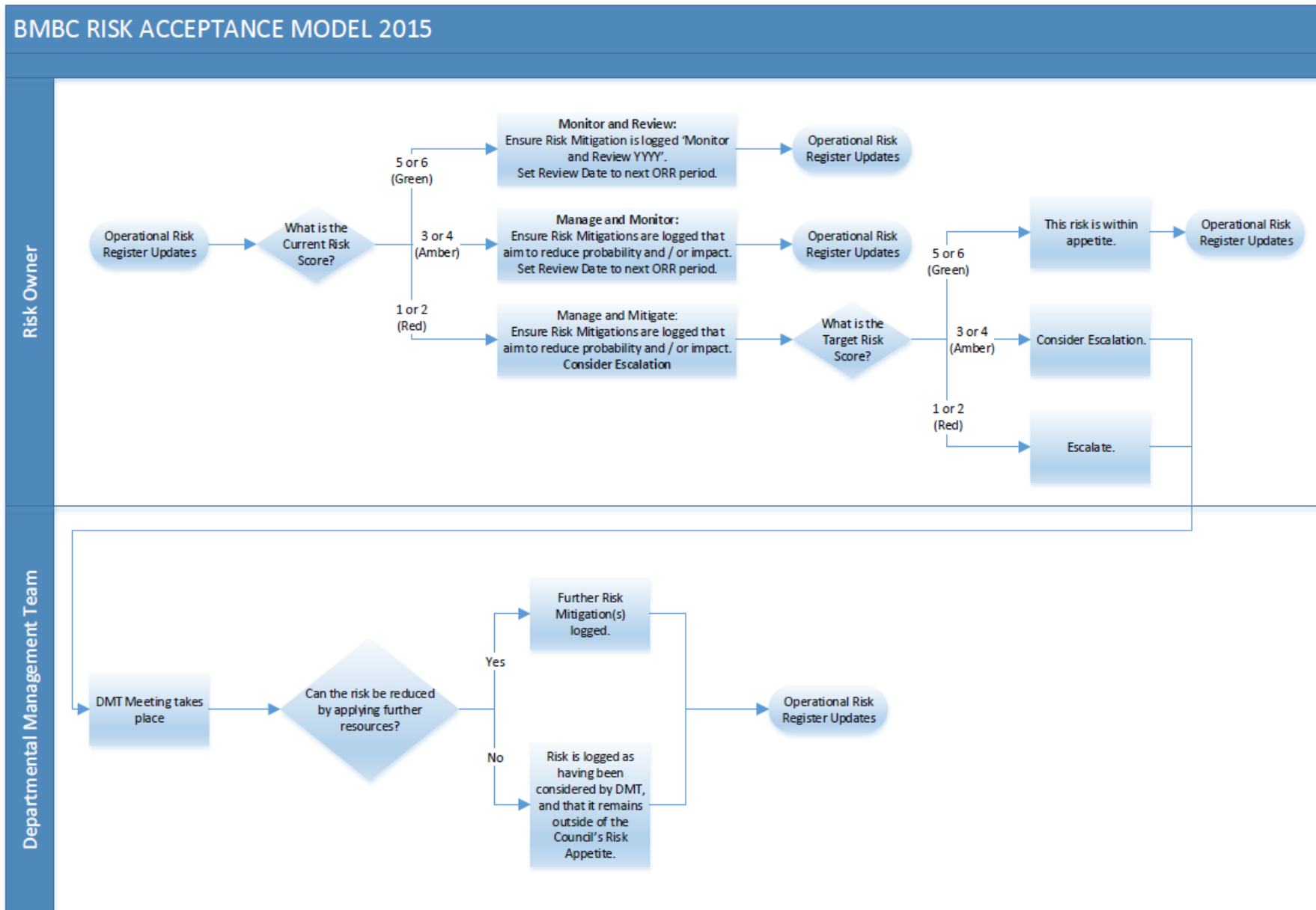| Current Category Score	Target Category Score	Comment
5 – 6 (Green)	5 – 6 (Green)	Monitored and Reviewed via ORR's.
3 – 4 (Amber)	5 – 6 (Green)	Managed and Monitored via ORR's.
3 – 4 (Amber)	3 – 4 (Amber)	Managed and Monitored via ORR's.
1 – 2 (Red)	5 – 6 (Green)	Managed and Mitigated via ORR's.
1 – 2 (Red)	3 – 4 (Amber)	Managed and Mitigated via ORR's.
1 – 2 (Red)	1 – 2 (Red)	Escalated.

4.2 Appendix One details a process map, which has been designed to assist Risk Owners or Risk Managers in applying the principles of Risk Acceptance to their own risks, following Operational Risk Register reviews.

5. Assurance

5.1 The Risk and Governance Manager will prepare regular reports to the Council's Senior Management Team summarising the overall risk profile of the SRR, alongside those significant out of tolerance and acceptance risks.

5.2   As part of this reporting and assurance process, the management of significant strategic, operational and project risks are reported to the Audit Committee and Cabinet within existing reporting processes.

Appendix One: Risk Acceptance Process Map 2018 (first developed in 2015)

BMBC RISK ACCEPTANCE MODEL 2015

Risk Owner

Operational Risk Register Updates → What is the Current Risk Score?

5 or 6 (Green) → Monitor and Review: Ensure Risk Mitigation is logged 'Monitor and Review YYYY'. Set Review Date to next ORR period. → Operational Risk Register Updates

3 or 4 (Amber) → Manage and Monitor: Ensure Risk Mitigations are logged that aim to reduce probability and / or impact. Set Review Date to next ORR period. → Operational Risk Register Updates

1 or 2 (Red) → Manage and Mitigate: Ensure Risk Mitigations are logged that aim to reduce probability and / or impact. Consider Escalation → What is the Target Risk Score?

5 or 6 (Green) → This risk is within appetite. → Operational Risk Register Updates

3 or 4 (Amber) → Consider Escalation.

1 or 2 (Red) → Escalate.

Departmental Management Team

DMT Meeting takes place → Can the risk be reduced by applying further resources?

Yes → Further Risk Mitigation(s) logged. → Operational Risk Register Updates

No → Risk is logged as having been considered by DMT, and that it remains outside of the Council's Risk Appetite.

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Risk Management Challenge Process
March 2017

Part One - Full Challenge

1.   Introduction

1.1   The Council recognises that risk will be inherent in the pursuit of corporate objectives. In order to achieve those objectives the Council needs to be aware of:

- The risks it faces, including those arising from Partnerships and Projects or Programmes;

- The risks that it is prepared to accept;

- The action necessary to manage those risks it is not prepared to accept.

This is encapsulated in following extract form the Risk Management Policy 2017:

'To manage risks (and benefits or opportunities arising) in accordance with best practice through a culture where responsible, informed and controlled risk taking is encouraged within agreed risk tolerance parameters'

2.   Purpose

2.1   The purpose of the Challenge process is to gain assurance that risk management arrangements and risk registers comply with the above principles.

2.2   The Challenge process will use the following core criteria to evaluate the effectiveness of Risk Management within Directorates and Business Units by assessing:

- Whether the processes and methods used by management to identify all significant risks to the achievement of objectives are effective;

- Whether risks are correctly described, assessed and scored by management within the appropriate Business Unit risk register;

- Whether risk controls are appropriate, effective and conform to the Councils own Internal Control Framework and governance policies;

- Whether risk mitigations conform with the Authority's policies, and that they are being implemented appropriately;

- Whether risks are regularly reviewed and monitored;

- Whether risks falling outside the agreed Tolerance levels are escalated, and reported to appropriate bodies;

- Whether any Risks to Directorates and Business Units arising from their involvement with Partnerships / Relationships and Projects / Programmes are be included within the risk register.

3.   Methodology

3.1   The following table sets out the core criteria used to evaluate the effectiveness of arrangements and the evidence required to demonstrate compliance:

Criteria:	Evidence:
The processes used by management to identify all significant risks to the achievement of objectives are effective.	Risks are aligned to Corporate Plans/Vision/Priorities; Where appropriate, Operational risks are aligned to Strategic Risks. Risks arising from Business Planning / Service Delivery Planning are considered; Risks arising from Partnerships and Relationships are considered; Risks arising from Projects and Programmes are considered; New and emerging risks (such as risks arising from Future Council / KLoE activity) are considered;
Risks are correctly described, assessed and scored by management.	Risks are properly described and potential consequences are understood; Appropriate assessments are made regarding the Probability and Impact are made, both after the application of Controls, and after the application of Mitigations;
Risk controls are appropriate, effective and confirm to the Council's own Internal Control Framework and governance policies.	The controls in place to manage the risk can include elements of Authority's own Internal Control Framework and policies, or legislative or regulatory requirements, or specific Directorate / Business Unit procedures; Where appropriate, fully implemented Mitigation plans should become controls;
Risk mitigations conform to the Council's policies, and that they are being implemented appropriately.	Mitigation Actions are developed within agreed timescales; Mitigation Actions are owned by appropriate Managers;
Risks are regularly reviewed and monitored.	Directorate and Business Unit risks are reviewed in accordance with the Operational risk Register review timetable; Directorates and Business Units have competent employees who are able to record updates;
Risks falling outside the agreed Tolerance levels are escalated, and reported to appropriate bodies.	There is an understanding that the Council's approach to risk is one of awareness and not risk aversion; Evidence of risks being escalated, using the Risk Acceptance Model such as minutes or records of meetings;

3.2   Partnerships / Relationships

3.2.1   There is a need to understand the (shared) risks which partnering organisations face and to gain assurances that appropriate Risk Management arrangements are in place, including confirmation that Partnership Risk Registers are regularly reviewed, and the results of these reviews are reported to the appropriate Partnership Board.

3.2.2   The Council's Partnership Governance Arrangements detail requirements in terms of the need to be able to evidence how the partnership is capable of managing risks to the successful delivery of the intended partnership outcomes.

3.3   Projects / Programmes

3.3.1   Risk Management arrangements must be in place, in accordance with the Council's Project Management Approach. It is essential that Project Risks are reviewed regularly, and where appropriate, out of tolerance risks are escalated to the appropriate Project Board.

4.   Training

4.1   There may be a requirement to consider further training for Officers and / or Managers as part of the Challenge process. This may entail engaging with the Councils online learning and development tool, BOLD, and locating the appropriate Risk Management training package, or approaching the Risk and Governance Manager for a specific, tailored awareness or training session.

5.   Added Value

5.1   The benefits of the Challenge Process include:

- Better Service Delivery;

- Stronger Corporate Governance;

- More efficient use of resources;

- Fewer surprises;

- More robust Project / Programme Management;

- Improved Partnership / Relationship working;

- Effective Change Management; and,

- Resilience Management;

5.2   The satisfactory completion of the Challenge Process will assist in overall Corporate Governance compliance, compilation of the Annual Governance Statement (AGS) and provide evidence as to the overall embedment of Risk Management within the Council.

5.3   Stronger and consistent Risk Registers will assist in the establishment of the Authority's overall Risk Profile and Risk Appetite and also aid in the development of effective risk informed auditing.

6.   Reporting

6.1   Following the Challenge Process the Risk and Governance Manager is committed to:

- The preparation and discussion of a draft report with the client lead officer, within an agreed timescale, following completion of any specific examination of risk register and risk management arrangements;

- The preparation of a final report within an agreed timescale of the draft report being discussed.

6.2   This report will include details of agreed actions to improve the risk register or overall arrangements. The Risk and Governance Manager further commits to assisting (where appropriate) in the implementation of these actions.

6.3   In the case of Business Unit / Directorate Risk Registers, a copy report will also be submitted to the relevant Executive Director.

7.   Follow Up

7.1   The Risk and Governance Manager will contact the Business Unit six months after the presentation of the report in order to ensure that the agreed actions have been progressed or implemented.

7.2   A follow-up report will also be issued to the relevant Executive Director.

Risk Management
Training Strategy 2017 / 18

1.   Introduction / Drivers

1.1   An essential element of embedding Risk Management within the Council is to ensure that an appropriate programme of training and awareness is developed and implemented to enable employees to receive appropriate and clear messages regarding the benefits of being aware of and managing Risk. This is reflected in the following Future Council characteristic:

'Innovative and managed risk taking – we will remove barriers to change, encourage, support and empower our employees to develop great new ideas and implement improvements.'

1.2   The Risk Management Workplan contains the following activity:

'The development and delivery of training schemes in risk awareness for all appropriate staff and Elected Members.'

1.4   In order to successfully deliver against the Future Council characteristic and the Risk Management Workplan activity, this strategy is designed to signpost:

- *Who within the Council requires training / risk awareness*? E.g. Elected Members / Executive Directors / Service Directors / Senior Managers and Officers;

- *When will training / awareness be required?* E.g. Regular corporate events, Induction training, one off workshop training;

- *What level of expertise is required and at what level?* E.g. risk management awareness, detailed practitioner training, in depth expert training; and,

- *Types of training / methods of training / media?* E.g. Presentations, Workshops, E-Learning.

1.6   Appendix One details all training courses on offer from the Risk and Governance Manager, with details of suggested audiences, scope, outcomes, duration etc.

2.   Training Programme

2.1   Workshop Training

2.1.1   Workshop Risk Training is normally delivered on a needs basis, to Project Teams who are in the initial stages of Project Planning. The Workshop setting is used to assist in:

- Risk Identification;

- Risk Assessment;

- Risk Mitigation; and,

- Risk Review, Communication and Governance.

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2.1.2 The Workshop will normally begin with a basic précis of the Risk Management Process, and then begin to facilitate Risk Identification using information / documents such as:

- Business Cases;

- Project Initiation Documents; and,

- Proposed Objectives / Outcomes.

2.1.3 Post Workshop, the aim is to provide the Project Manager or Project Team with a Risk Register that can be used as an initial starting point to further carry forward and embed Risk Management within the Project environment.

2.1.4 The ongoing review and updating of the Risk Register is normally undertaken by a trained member of the Project or Business Support Teams. If necessary, the Risk and Governance Manager can liaise with named officers within the Risk Register and facilitate updates.

2.1.5 The Council's Corporate [Project Management Approach](#) details the framework in which BMBC projects are now managed, controlled and maintained.

2.2   Operational Risk Register / Business Unit Risk Register Training

2.2.1 Ensuring that operational / Business Unit risk registers remain vibrant and up to date, and that these registers are embedded into the governance arrangements of Business Unit activities is an essential element of the drive to continually improve the growing positive Risk Management culture within the Council.

2.2.2 The training of employees in the reviewing and updating of risk registers is delivered on a needs basis to individuals or small groups. Training will normally comprise the following elements:

- Locating and understanding the risk register framework;

- Understanding each element of the risk register;

- Updating and amending the Risk, the Assessment and the Mitigation Actions; and,

- Creating a new Risk, Assessment and Mitigation Actions.

2.3   Corporate Training

2.3.1 Corporate Training is normally delivered at programmed times on an annual basis. The training is delivered in a seminar / presentation setting.

2.3.2 The training material used in these sessions is reviewed throughout the course of the programme of training to ensure that feedback and evaluation comments are considered, and if appropriate, reflected in future presentations. The Training material is thoroughly refreshed on an annual basis to reflect the current risk environment, context, maturity etc

2.3.3. Corporate Training is targeted at all employees within the Council and its partnering organisations. With this in mind, the training does not focus on theory or process, but on the application and context of Risk Management within the relevant organisation.

2.4   Introduction to RM Training

2.4.1   It is intended to offer a bi-annual Introduction to Risk Management Training Programme, which would be held on specific, pre-planned (and publicised dates). This training would be delivered in a presentation setting.

2.4.2   It is intended this programme of training will include:

- Explanation of Risk / Risk Management;

- Drivers for Risk Management;

- Overview of the Risk Management Process;

- Basic overview of the Council's Risk Register structure;

- Risk Reporting and Communication; and,

- A short test or self-assessment to ensure that the fundamental elements of the training have been understood.

2.4.3   This training could be offered to new starters and / or those wishing to improve upon their own skills in the subject.

2.5   Schools Training

2.5.1   Seminar based training for Schools has been previously delivered which resulted in the majority of BMBC maintained schools endorsing the Risk Management Policy and Strategy. Since then further work has been undertaken with individual Schools, in a workshop setting to undertake a process wherein:

- Risk are identified and discussed;
- Assessments are undertaken;
- Mitigation Plans are identified; and,
- A risk register is created, logging the above for submission to the school's Governing Body.

2.5.2   This training is complemented by a series of standard / off the shelf documents including:

- Schools Risk Management Policy and Strategy;
- Terms of reference for Risk Management Committee / additions to existing terms of reference for Finance or Health and Safety Committee;
- List of indicative risks; and,
- Risk Register template and complementary user guide.

2.6   Elected Member Training

2.6.1   Elected Members must have an appropriate understanding of Risk Management, as well as the requisite skills and competencies to ensure robust challenge and consideration of risk issues within the decision making process of the Council.

2.6.2   Elected Member Training has been previously delivered on a needs basis. Requests for training normally manifest via the Council Governance Unit or the Member Support / Scrutiny Office, as part of the overarching Corporate Member Training Programme.

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2.6.3   Training is delivered in a seminar setting, and incorporates elements of the Corporate Training package, as well as specific elements directed at the role / duties / responsibilities of Members. Specific training has previously been delivered to Cabinet regarding risks around decision making and governance.

2.6.4   Risk Management now forms part of the standard Corporate Member Training Programme, and a regular, annual session is now planned as part of this programme.

2.7   E-Learning

2.7.1   Two 'Introduction to Risk Management' E-learning courses are now available via the Barnsley On-Line Development (BOLD) intranet site, which can be located here. One course is focused on the Risk Management competencies expected of Elected Members, the other course is designed specifically for officers.

2.8   Scenario Planning / Lessons Learnt

2.8.1   A number of Lessons Learnt workshops have been facilitated by the Risk and Governance Manager including the Civic Hall and Mandela Garden redevelopment, the 2014 Tour de France event, and the 2015 Tour de Yorkshire event.

2.8.2   A Lessons Learnt report has been developed which collates the individual 'lessons learnt' from previous workshops into a succinct document that seeks to identify and promote the best practices prompts from previous workshops.

2.8.3   Further Lessons Learnt workshops will be undertaken, on a needs basis.

3.   Training Evaluation

3.1.   All attendees on training sessions delivered by the Risk and Governance Manager are asked to complete an evaluation of the training delivered. This evaluation form is based on a corporate training evaluation form.

3.2   Feedback is collated post training, and is examined and where appropriate amendments are made to the training or further contact is made with the officer concerned.

4.   Outcomes / Conclusions

4.1   The full suite of training offered by the Risk and Governance Manager is detailed in Appendix One of this report.

5. Appendices

5.1   Appendix One – Breakdown of Training Courses Available from Risk Management.

Title of Training:	Audience:	Scope:	Outcomes:	Content:	Duration:
Workshop Training (Projects / Partnerships)	Project Managers. Project Team Members. Workstream Lead Officers. Partnership officers (internal and external)	Assistance in Risk Identification, Assessment, Mitigation and Review. Advice on Project / partnership Governance / Structures	A Project / Partnership Risk Register that has risks relevant to the project Business Case, Assumptions / Constraints/ MoU. A mechanism for escalating risk	Dependant on particular Project / Partnership, but could include: ▪ Analysis of Project BC / PID or Partnership MoU or equivalent; ▪ Initial Risk Identification and analysis using 'Bow Tie' methodology; ▪ Implementing a robust Project / Partnership Governance Structure.	Dependant on Project / Partnership. Workshop itself no more then 3 – 4 hours plus post workshop with attendees as required.
Operational Risk Register Business Unit Risk Register Training	Named Risk Managers / Owners. Named Mitigation Owners. Officers involved in the updating of Risks.	Guidance and support using the Councils Risk Register structures	Users will be issued their own user credentials and will be able to: ▪ Locate risk register(s); ▪ Amend Risks; ▪ Add new Risks; ▪ Review and Update Risks;	The content depends on the requirements of the person being trained – are they supporting others who own / manage risk or are they directly involved in managing / owning risk.	1 – 2 hours direct / one to one support. Extra support / refresher training as required.
Corporate Training e.g. 'Think Risk' or 'What could Possibly go Wrong?'	Executive Directors. Service Directors Heads of Service.	Application and context of Risk Management within the Authority.	Understand the importance of: ▪ Managing the right Risks; ▪ Managing Risks in the right way; ▪ Application of Risk Tolerance; ▪ Building on a developing culture of Risk Awareness.	What Could Possibly go Wrong? ▪ What is Risk? ▪ Are we managing the risk Risks? ▪ Are we managing risks in the right way? ▪ KLoE risk; ▪ Project / Programme Risk; ▪ Impact of attitudes / behaviour; ▪ 'People' related risk and controls; ▪ Risk Based Decision Making; ▪ Risk Tolerance and Escalation; ▪ Risk Culture; ▪ Benchmarking.	1.5 – 2 hours.

Title of Training:	Audience:	Scope:	Outcomes:	Content:	Duration:
Introduction to Risk Management (Induction training) **See 'E-Learning – Introduction to Risk Management' Section**	New starters / new members of staff. Newly Elected Members.	An understanding of key principles: ▪ What is Risk? ▪ What is a Risk Register? ▪ What is Assurance? ▪ Roles and Responsibilities. ▪ General benefits of Risk Management.	Understanding the major benefits of Risk Management, including: ▪ Better Service Delivery; ▪ Stronger Corporate Governance; ▪ Prevents surprises; ▪ Good Management; ▪ Resilience; ▪ Compliance / Regulatory benefits.	▪ What is Risk / What is Risk Management? ▪ Drivers / Benefits; ▪ BMBC Risk Management ▪ Risk Management Process; ▪ Risk Management Database; ▪ Risk Tolerance and Escalation; ▪ Risk Management and Assurance.	45 minutes
Schools Training – Seminar (general) and Workshop (1-2-1) environments	Headteachers, Principals, Leadership Teams, Governing Bodies, School Business Managers / Bursars / Finance Officers and other interested parties	Understanding of the following: ▪ Risk Identification (what are the significant risks we are facing?) ▪ Risk Assessment (how will these risks affect us?) ▪ Risk Mitigation (what can we do to respond to these risks?) ▪ Risk Review and Escalation (how risk management can provide assurances to management?)	Raising awareness of risk and opportunity, and begin the embedding of a risk aware culture in schools. Providing schools with the skills and tools to record and respond to risk and provide assurances to governors, senior management and wider stakeholders. Enabling schools to provide a complete Annual Governance Statement, within which Risk Management forms an essential part;	Using prepared documentation, attendees are asked to consider: ▪ Risk Identification – either scenario based, or specific to individual school; ▪ Risk Assessment; ▪ Risk Mitigation; ▪ Risk Review The seminar / workshop also deals with the Risk Management Framework, including a model Policy and Strategy, Governance Structures (model committee ToR's) and Reporting and Communication.	1.5 – 2.5 hours for both Workshop and Seminar based training.
Member Training	Elected Members Co-opted Members	Application and context of Risk Management within the Authority. These sessions will normally take salient points from the Corporate Training	These sessions will normally take salient points from the Corporate Training package.	These sessions will normally take salient points from the Corporate Training package.	'Awareness' Sessions: 3 – 10 minutes. 'Training' Sessions: 1 – 1.5 hrs.

Title of Training:	Audience:	Scope:	Outcomes:	Content:	Duration:
		package.			
E-Learning Introduction to Risk Management	All Employees	Basic Risk Management training. It is envisaged this may form part of New Starter / Induction training, or act as an initial course to raise awareness of Risk Management matters.	The main objective of the course is to impress the role individuals play for Risk Management to be effective. These include: ▪ Understand why Risk Management matters to the Authority; ▪ Be aware of potential key risks; ▪ Understand how risk can be effectively managed; ▪ Understand the Authority's Risk Management process.	Online training. Around 50 screens and a short test at the end (15 questions).	45 minutes.
Lessons Learnt / Scenario Planning	Those involved in large projects / programmes.	Consideration of the following: ▪ Were the objectives of the Project BC adhered to? ▪ Were issues regarding Time, Costs and Scope suitably managed? ▪ Were appropriate Governance structures in place? ▪ Can we learn from any mistakes?	The objective of any Lessons Learnt workshop would be to ensure any mistakes made are identified, analysed and any lessons to be learnt are disseminated across the Authority. Normally, a report detailing the key risks and mitigations, survey outputs and workshop outputs will be submitted to the Project Sponsor / SMT for consideration.	Review of project time line, using survey to assist in reminding attendees of key issues / events to consider. Identification of risks that were known, that manifested. Did the mitigations make a difference? Identification of risks that were unknown, that manifested. Should we have known? Analysis of key risk using 'Bow Tie' Methodology.	2 – 3 hours for workshop itself; more time may be required in terms of preparation / interviews prior to workshop setting.

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BARNSLEY METROPOLITAN BOROUGH COUNCIL

This matter is not a Key Decision within the Council's definition and has not been included in the relevant Forward Plan

Report of the Executive Director Core Services

COMMUNITY ASSET TRANSFER: BLACKER HILL COMMUNITY HUB, WENTWORTH ROAD, BARNSLEY

1. **Purpose of Report**

1.1   The purpose of this report is to consider a request for a Community Asset Transfer to the Forge Community Partnership to develop and expand the existing community hub facility at Wentworth Road.

1.2   To approve the Transfer in the form of a lease for the development and expansion of the existing community hub facility at Wentworth Road.

2. **Recommendations**

2.1   **That Cabinet approves the Community Asset Transfer based on the business case from the Forge Community Partnership to develop and expand the existing community hub facility at Wentworth Road.**

2.2   **That the Service Director Assets be authorised to finalise heads of terms for a 25 year lease to the Forge Community Partnership for a nominal rental to develop and expand the existing community hub facility at Wentworth Road.**

2.3   **That the Executive Director Core Services be authorised to complete the lease to the Forge Community Partnership**

3. **Introduction**

3.1   This report provides an update on the continuing development, consolidation and expansion of the existing community hub facility at Wentworth Road and the proposals put forward by the Forge Community Partnership to continue to develop a successful, sustainable community run facility.
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3.2   The Blacker Hill Lifelong Learning Centre is a purpose built facility constructed in 2003. The building provided a Council run training centre, which provided a job club, ICT classes and other activities.

3.3   As a result of significant cuts, the Council is no longer in a position to continue operating the facility and without any third party intervention the only real option would be to close the centre.

3.4 More recently the Council has been in consultation with the Forge Community Partnership with a view to a possible community asset transfer to this group. Doing this should see the existing facility continue to operate and continue to benefit the local community.

3.5 Forge Community Partnership is a not-for-profit Company Limited Guarantee (Company Registration Number 3691518). It is a registered charity (Charity no: 03691518), which has experience in operating community facilities and working with the local communities.

3.6 Forge Community Partnership have been managing this facility since 2015 and feel that there is a definite community requirement for this particular facility. To this end they have produced a Business Plan which details their thoughts, aspirations and plans for the continuation and expansion of the existing community hub facility at Wentworth Road.

3.7 They are looking to continue to run the facility as a Community Enterprise for the benefit of the local and wider community of Barnsley, which if successful will see the building retained for community use. If the running of the centre is not continued by the community then the centre will close as the Council are no longer in a position to continue to operate it.

3.8 The Council therefore proposes that the Forge Community Partnership take the centre into community ownership.

4. **Proposal and Justification**

4.1 It is proposed that the Forge Community Partnership will be granted a 25-year lease of the property at a nominal rent. Under the terms of the lease they will be responsible for repairing and maintaining the premises and paying all outgoings and utility charges for the property. The Council will insure the property and the fixtures and fitting and recover the cost of the insurance from the Community Association.

4.2 Local Authorities are required to obtain best consideration when disposing (including selling and leasing) of assets. However under Circular 06/03 of the Local Government Act 1972 – General Disposal Consent (England) 2003 leasing at less than best consideration can be authorised where the value is less than £2Million and it is granted to secure the promotion and improvement of the economic and social well-being of the citizens' of the Borough.

4.3 The proposed lease will contain a tenant only break clause, subject to 6-months' written notice. This will ensure that the Community Partnership are not entering in an agreement, which is too onerous on their part and allow them to break the lease should operating the community facility cease to be a viable proposition.

4.4 The Community Partnership will be granted a Tenancy at Will prior to completion of the proposed lease so as to formalise their continued occupation of the property. This will ensure that the Council can obtain vacant possession of the premises at short notice should the proposed lease not complete for any reason.

4.5   The Community Partnership will be seeking to expand and add to the range of events and activities at the community centre, by offering attractive facilities for public and private use, meeting local needs providing a centre for community learning, a venue for activities and a focal point for local community development.

4.6   The Community Partnership helped to secure funding for the initial development of the Centre in 2003 and they are committed to exploring all avenues to raise further funding and expand the client base to help the further development of the centre as a community base following the transfer.

4.7   The Centre is the only community provision at Blacker Hill, providing a place of learning, education and skills development for the local community that it serves. The Community Partnership is looking to expand on this existing base to develop a vibrant and dynamic community asset.

4.8   The community hub already has other users such as the Post Office Service and the Little Explorers Day Nursery, which will provide a source of income to assist in the continued operation of the facility in the early years.

4.9   By undertaking the proposed community asset transfer the property will continue to operate as a much needed community facility. Without this transfer the centre would close, which would be a loss to the local community and the Borough as a whole.

5.   Consideration of Alternative Approaches

5.1   The Council does not have the necessary budgets to continue to operate this community facility. Therefore without third party intervention in the form of the proposed Community Asset Transfer the community hub would have to close.

5.2   Not undertaking the proposed Transfer is not an option as it would be a loss to the community of a much needed community facility.

6.   Impact on Local People

6.1   The continuing development, consolidation and expansion of the existing community hub will see a much needed facility retained in Blacker Hill. This should benefit not only the local community, but the Borough as a whole. This would be lost if the asset transfer does not take place and the centre is forced to close.

6.2   By targeting and attracting the diverse range of customers and user groups they hope to develop the facility further to support local people, support life-long learning and develop community ownership of the centre.

6.3   It is accepted and recognised that the success of the community hub depends upon identifying and addressing the needs of local residents and the centre will be run to consistently support and attract these people, looking to embrace those experiencing or at risk of social and/or economic exclusion. Expanding the range of events and activities offered from the centre and seeking to operate it in line with their Business Plan should help to intensify the use of the property benefitting the local community.

6.4   The Community Partnership's strategy is to challenge social exclusion, encourage participation, support life-long leaning and develop community ownership, with a view to the community hub becoming a self-sustaining business to benefit the local people.

7.   **Financial Implications**

7.1   Under reports previously submitted and approved by Cabinet, Asset Disposal Programme (2013-2018) ref Cab.12.03.2014.13 and Community Asset Transfer Policy ref Cab.30.1.2013/6.3, these reports stated that any property leased out by the Council should be at a market rent, unless otherwise specifically agreed by Cabinet, and that in the case of offering a property for rent or lease at a lower market value, the anticipated socio-economic benefits are taken into consideration.

7.2   The report sets out to grant a lease for twenty five years, allowing Forge Community Partnership to continue to run the facility without putting its future in jeopardy should the lease not be granted.

7.3   Under the terms of the lease the Community Partnership will be responsible for all future repairs, maintenance and insurances of the property. In addition they will pick up all other outgoings and utility costs for the property. Such costs have previously being met by the Council; this proposal will result in a cost saving of £8,990 per annum as set out within Appendix A.

7.4   The proposal to award the lease at a nominal rent ensures the best use of the asset and will have significant benefits to the local community as outline within section 6 of this report.

7.5   The Forge Community Partnership will pay the councils reasonable legal and surveyors fees in respect of the lease.

7.6   There are no undue VAT implications arising for the Council as a result of the proposed lease to the Forge Community Partnership.

7.7   For the purpose of IFRS the lease will be classified as an operating lease.

8.   **Employee Implications**

8.1   There are no issues arising as a result of this report.

9.   **Communications Implications**

9.1   The Forge Community Partnership will continue to carry out consultation on their proposals for the property in line with their business plan in order to continue and hopefully expand the use of the facilities and the range of services on offer.

9.2   The Forge Community Partnership have highlighted in their business plan that there is a need for a marketing strategy in order to attract more local customers and new business for their meetings and conferences. Doing this should raise the profile of the centre and hopefully attract more bookings so that the centre is used to its full potential.

10.   Consultations

10.1   A list of stakeholders consulted during the preparation of this report includes:

Communities
Legal Services - Conveyancing
Finance
Risk Management

10.2   Local Ward Members are aware of the scheme and support the proposal.

11.   The Corporate Plan And The Council's Performance Management Framework

11.1   The Business Plan produced by the Forge Community Partnership demonstrates that there is a need for the premises to be retained for community purposes. The continuing development, consolidation and expansion of the existing community hub plays a key role in the achievement of the priorities contained in the corporate plan and performance management framework. There is a strong alignment to building strong and resilient communities. The ultimate aim is for residents not require these services and have the skills and knowledge to take responsibility and develop their own solutions through the Forge Community Partnership.

12.   Promoting Equality and Diversity and Social Inclusion

12.1   The granting of a lease to Forge Community Partnership will keep the existing facility in use and within the heart of the community for the benefit of the local community and the Borough as a whole.

12.2   The continuation and expansion of the existing centre will retain the facility to be used by all age groups and interests. As part of the Community Partnership's social commitment, the centre will be run to consistently support and attract those experiencing or at risk of social and/or economic exclusion. The priority groups identified in their Business Plan are as follows: -

- Teenage parents
- Families with young children
- Older people
- Carers
- People with disability
- Those on low income
- People experiencing "worklessness"
- Those most marginalised from paid employment
- Local ethnic minorities and immigrants

- People with low-skill levels

13. Tackling The Impact Of Poverty

13.1 There are no issues arising from this report.

14. Tackling Health Inequalities

14.1 The continuation and expansion of the existing community facility will provide a source of advice and information about many issues that impact on the wider determinants of health including employment, healthy eating and encouraging and supporting community involvement.

15. Reduction of Crime and Disorder

15.1 In investigating the options set out in this report, the Council's duties under Section 17 of the Crime and Disorder Act 1998 have been considered.

15.2 Vacant or under used buildings and land can attract vandalism and unauthorised uses such as fly tipping, substance abuse and other anti-social behavior. Therefore the proposed transfer will keep the property in use thereby helping to prevent such problems.

16. Risk Management Considerations

16.1 The granting of a lease to Forge Community Partnership will see a continuation and potential expansion of the community hub, keeping the asset at the heart of the community and in a productive use for the benefit of the community.

16.2 The inclusion of the tenant only break option in the lease will ensure that the Forge Community Partnership are not entering into an agreement, which is too onerous and will allow them to break the lease should operating the community facility cease to be a viable proposition.

16.3 Granting a Tenancy at Will to Forge Community Partnership prior to completion of the proposed lease will formalise their continued occupation of the property. This will ensure that the Council can obtain vacant possession of the premises at short notice should the proposed lease not complete for any reason.

17. Health, Safety And Emergency Resilience Issues

17.1 The proposal to lease the property will be carried out giving full consideration to current Health and Safety Legislation.

18. Compatibility with European Convention on Human Rights

18.1 This report recognises the promotion and importance of equality, diversity and human rights for all members of the local community and the wider Borough.

19. **Conservation of Biodiversity**

19.1   There are no issues arising as a result of this report.

20. **Glossary**

20.1   IFRS – International Financial Reporting Standards

21. **List of Appendices**

21.1   Appendix A – Financial Implications.

21.2   Appendix B – Site Plan

22. **Background Papers**

22.1   Correspondence regarding this matter is held on the files in Asset Management – not available for inspection contains exempt information

Office Contact: Tim Hartley   Telephone No: 774615   Date: 8 March 2017

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FINANCIAL IMPLICATIONS

COMMUNITY ASSET TRANSFER - BLACKER HILL COMMUNITY HUB

i) **Capital Expenditure**	2017/18 £	2018/19 £	2019/20 £	Total
	0	**0**	**0**	**0**
To be financed from:				
	0	**0**	**0**	**0**

ii) **Revenue Effects**	2017/18 £	2018/19 £	2019/20 £	Later Years £
Current operating costs	8,990	8,990	8,990	8,990
Proposed operating costs	0	0	0	0
	-8,990	**-8,990**	**-8,990**	**-8,990**

To be Financed from:

There is no impact on the Medium Term Financial Strategy, savings will be retained within the current resource envelope to aleviate other forecast pressures within the business unit

Impact on Medium Term Financial Strategy

This report has no impact on the Authority's Medium Term Financial Strategy.

	2016/17 £m	2017/18 £m	2018/19 £m	2019/20 £m
Current forecast budget gap	**0.000**	**0.000**	**0.344**	**-1.047**
Requested approval	0.000	0.000	0.000	0.000
Revised forecast budget gap	**0.000**	**0.000**	**0.344**	**-1.047**

Agreed by: .... behalf of the Executive Director Core Services

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Plan referred to

School House

N
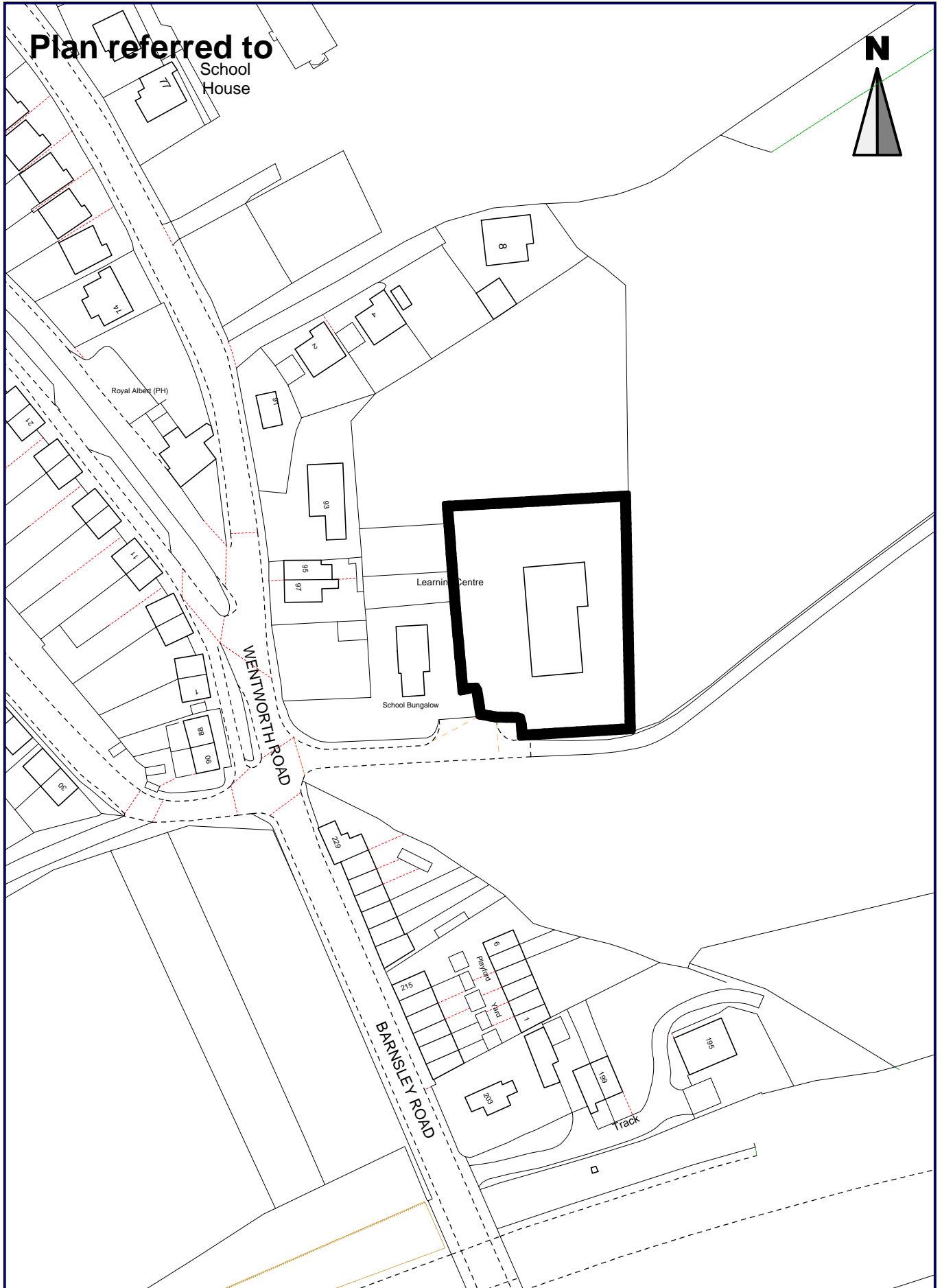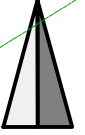
School House
77
74
21
Royal Albert (PH)
14
1
88
90
30
8
4
2
91
93
95
97
Learning Centre
School Bungalow

WENTWORTH ROAD

BARNSLEY ROAD
229
6
215
Playyard
Yard
1
203
199
195
Track

Drawing Title :

Blacker Hill ICT Centre

Drwg no:	DV104B
Date:	22/03/2017
Scale 1: 1,250	

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BARNSLEY
Metropolitan Borough Council

Strategic Property and Procurement/Asset Management
PO Box 634, Barnsley, S70 9GG

e-mail: Assetmanagement@barnsley.gov.uk
website: www.barnsley.gov.uk

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BLACKERHILL COMMUNITY HUB

BUSINESS PLAN

2016

CONTENTS

1. Introduction

1.1 This document

The Management of Blackerhill Community Hub (B C H) is committed to the Centre's further development as a vibrant and dynamic community asset.

This Plan has been written late in 2016 to act as an introduction to the vision, aims and objectives that support our business strategy.

We hope that the document will provide an overall picture of B C H as a Community Enterprise and that the content will be useful to a range of existing and potential partners. As we advance B C H's business we anticipate entering into further organisational and financial partnership arrangements. The information that we have included has been collated to provide a generic starting point which partners should find useful. Further information including commercial and/or confidential detail will be available to partners as appropriate.

The plan inevitably has elements of being a "snapshot" reflecting our enterprise at the time of writing. Its content will therefore be reviewed regularly to allow up-to-date supplementary information to be available to partners and facilitate the production of future versions.

1.2 The Centre

B C H is situated in a charming building which serves its local community as a place of learning, education, skills development and employability.

The Centre exists to provide a non-threatening environment for people to become involved, become aware of opportunities and undertake developmental activities.

Building on the successes of the previous managing organisation, B C H opened its doors to continue to provide valuable access to services in the community.

Since that date the Centre has again established itself as a thriving base for the local community providing a base for:-
- Courses and learning opportunities
- Available meeting space for community and commercial organisations
- Youth Partnership
- Activities for parents/guardians and young children
- Support for local organisations and volunteers
- Post office service
- Advice sessions

1.3 Blackerhill

Blackerhill Community Hub (B C H) is the only community provision at the heart of Blackerhill, a small rural village at the southern side of Barnsley Metropolitan Borough.

Blackerhill is a long-established community with approximately 1000 residents. Its historic roots lie in South Yorkshire's rich heritage involving both coal-mining and agriculture.

It lies less than a mile from a major motorway junction giving easy access to the M1 and the Dearne Valley Parkway. The latter leads to a host of other neighbouring communities and

1

provides a road link to the A1 and beyond. The junction is also close to the A616 leading towards Huddersfield and Penistone and across the Pennines to Manchester.

The village is not well served by public transport with limited bus connections to neighbouring villages and further afield to Barnsley, North Sheffield and other residential and commercial centres. Elsecar and Wombwell railway stations lie less than 3 miles away providing direct links north to Leeds and south to Sheffield via the renowned Meadowhall shopping centre.

The village is also situated on the edge of open countryside with nearby walking links to the Trans Pennine Trail and other outdoor recreational attractions.

1.4 Forge Community Partnership

Since April 2015, B C H has been managed by Forge Community Partnership (FCP) on behalf of the local community.

Forge is a genuine Community Partnerships (local organisations driven by local residents) that cover all parts of the Barnsley Metropolitan Borough Council area. In addition to Hoyland Common, Forge's area includes, Hoyland, Elsecar, Birdwell and smaller local communities including Blacker Hill, Platts Common, Tankersley and Pilley. The total population in the Forge area was just over 20,000 at the start of 2015. More details about the Forge area and the local challenges and opportunities can be found in the Forge Community Partnership History Document.

Forge has successfully launched a wide range of initiatives to turn its community's vision into reality. These have included running the Local Learning Net project to encourage lifetime learning, the well-respected Hoyland and Jump Sure Start working with families and children, an innovative and popular Art for Health project and a Sports Development Project. Hoyland Common Community Centre, Elsecar Nursery and the Rockingham Centre.
More recently Forge has also evolved a core staff team to provide support and advice to the many independent community organisations in the area.

Forge's involvement with the Blackerhill Community Hub stands as one of the "jewels in the crown" amongst these achievements.

2. Ownership and Managerial Underpinnings

2.1 Landlord/Tenant relationships

The building is owned by **BMBC** and Forge is seeking to build on its relationship with BMBC to progress the lease and or asset transfer of Blackerhill Hub

In 2015 the previous tenants ceased to operate from the Centre and the Blackerhill Community Hub. At that point Forge Community Partnership were delighted to commence a management agreement to engage the wider community in the longer term future of the Hub. That agreement ensured that the building's doors were swiftly reopened and the community facilities were secured.

2.2 Management structures

Forge Community Partnership is a not-for-profit Company Limited Guarantee (Company Registration Number 3691518). At the time of writing the Company is reviewing the possibility of achieving recognised charitable status.

Forge's Board of Directors is known as its Executive Committee. They are all local residents or nominated by organisations active in the locality and are nominated and elected annually at the Company's AGM. The Partnership's officers are in turn nominated and ratified by the Executive.

Forge has appointed a Management Board to steer B C H's development.

Forge's support for B C H reflects its view of local renewal being essentially holistic and inclusive. It accords with the Partnership's intention "to undertake initiatives throughout the communities to enhance their educational, economic, environmental and social potential".

3. Our social commitment

3.1 Guiding principles

B C H is part of Forge's strategy to challenge social exclusion, encourage participation, support life-long learning and develop community ownership.

Its strategy as it becomes a self-sustaining business will maintain Forge's approach based on inclusivity and best practice in contemporary Community Development and local renewal.

The fundamental elements of B C H's business development will depend on building mutually beneficial relationships with local residents and their organisations.

3.2 Local residents

Within that framework, B C H's success depends on it successfully identifying and addressing the needs of local residents.

The Centre runs to consistently support and attract those experiencing or at risk of social and/or economic exclusion.

Priority groups include:-
- Teenage parents
- Families with young children
- Older people
- Carers
- People with disability
- Those on low income
- People experiencing "worklessness"
- Those most marginalised from paid employment
- Local ethnic minorities and immigrants
- People with low-skill levels

3.3 Local community organisations

Support for local not-for-profit organisations will operate in a number of ways. The table below shows schematically a shifting mixture of support.

Main geographic focus of group	Status of group	Possible types of support - In order of likelihood
Blackerhill and immediate surroundings	Existing – stable	Available meeting space Printing/Reprographics Information/signposting Group development Group support
	Existing – needing support	Developmental support Group development Information/signposting Available meeting space Printing/Reprographics
	Emerging	Available meeting space Developmental support Group development Printing/Reprographics Information/signposting
Forge-wide	Existing – stable	Information/signposting Group development Group support Printing/Reprographics Available meeting space
	Existing – needing support	Group support Group development Information/signposting Printing/Reprographics Available meeting space
	Emerging	Group support Group development Information/signposting Printing/Reprographics Room hire
Cross-boundary	Existing – stable	Room hire

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4. Business Foundations

4.1 Recent History

As Forge helped to secure funding for the development of the Centre during 2003 they received help and assistance from a host of local regeneration agencies. Those included Barnsley Metropolitan Borough Council, Yorkshire Forward's Single Regeneration Budget, the Coalfield Regeneration Trust, Social Enterprise Barnsley and South Yorkshire Key Fund.

The start of 2015 saw the Centre move into a challenging new phase. Under Forge's Management the facility was reopened and the remainder of the building promptly regained its role as a centre for community learning, a venue for activities and a focal point for local community development.

4.2 Compliance with local strategies

B C H continues to strengthen community capacity.

It is planned that the activities at the Centre deliver some or all of the following:-

- Community environmental projects with a basis in local job creation and the development of community enterprises
- Health awareness including campaigns to tackle teenage pregnancy and drug awareness
- Integrated approaches to tackling those barriers to employability which arise from inequalities
- Projects and facilities which advance the social isolation strategy and provide opportunities to reconcile family life and work
- Community-based and led research and feasibility projects

At the regional level B C H's operation accords with the key objective in the "region's communities to economic opportunity". It also fits in with commitment to community participation.

B C H's retention and relaunch during 20014-15 was consonant with the objectives of Forge community partnership and the local Area Council from which significant support has been received.

There are also evident linkages for wider community benefit. The vision identifies The Centre and the activities based there particularly addressing– "Reducing Social Exclusion", "Transforming Communities". In addition the activities envisaged for the Centre are very likely to impact on Learning, ,culture and leisure", "Children and Young People", "Healthier Communities and Older People", and "Clean and Green Communities".

4.3 Business Principles

B C H's approach to business is underpinned by our social commitment described in 3.1 above coupled with the four core ethical starting points for Community Development – Transparency, Accountability, Openness and Inclusivity

Policies and procedures are in place reflecting current best practice on all aspects of employment and customer service.

The Centre's commitment to good practice around Environmental issues and Inclusivity are reflected in the documents included in Section 7.3.

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4.4 Market Segmentation

The centre is located in the heart of Blackerhill surrounded by a close knit community and is very close to junction 36 of the M1 a major industrial development, and also, the main route between Barnsley and Rotherham. The Centre will therefore have a diverse range of customers but it will have a number of user groups that will be specifically targeted:

- Local residents. Based on the experience of the previous venture, much of the trade consists mainly of local residents, many of whom are retired. They use the centres warm, friendly environment as a meeting place.
- Passing trade. It is envisaged that this will be passing trade with some becoming repeat business as people call in on their way to and from work.
- Established. The community centre hires rooms out to organisations and groups for meetings, conferencing and training sessions. The centre will cater for these groups as necessary.

B C H's Community Centre facilities are mutually dependent wings of the overall enterprise. The business opportunities of each wing overlap and provide positive synergies. For the purposes of clarity the two functions have been dealt with separately in this subsection.

4.4.1 Bright Beginnings

The target market for the Nursery is the local community along with organisations and groups that use the meeting and conference facilities. A further, potential opportunity concerns the provision of external crèche facilities to companies and groups in the surrounding area.

The Nursery is placed in a very strong position to win business within the area by offering a relaxed high quality environment to the community as well as broadening its reach by offering onsite and off site daycare facilities to businesses and organisations.

4.4.2 B C H Community Centre

B C H offers function rooms for hire to the public and organisations for training, meetings and private functions. They have a number of rooms that can be used for booking and these range in size from 4 person occupancy to 20. If greater numbers are required, the cafeteria can be used to accommodate these increased numbers

The cost of hire is £15 & £ 22.50 per hour and a day is classed as 8 hours.

The table below shows a typical month's usage during the period at the end of 2015 and early in 2016.

Client
BMBC electoral services
Little Explorers Day Nursery
Northern College
Forge Family Foundation
Youth Partnership
Post Office Service
Children's Parties
Uneed
Options for Life
Healthy Lifestyles
Internal Training

4.5 Local Competition

There are no other community facilities that offer the surroundings, service and quality for a very competitive price. In the locale, there are 2 main competitors offering similar facilities on specific days. These are:

- Westbank House is situated in Hoyland in close proximity and are the strongest competitor in the area and provide room hire
- Hoyland Common Community Centre provides rooms and services associated with this organisation.

4.6 Buying Patterns

To promote and support the community to which it serves, Blackerhill Community Hub trades, as much as possible, with local retailers. These businesses are identified below along with the produce received from them:-

Tesco	Miscellaneous Products
Hoyland Common DIY	Building / Decorating Materials
Nat West Bank, Hoyland	Business Banking
Walkers Newsagents	Miscellaneous Items
Co-op, Hoyland Common	Day to Day Food items
Hoyland Insurance Brokers Ltd	Building, Employers and Contents Insurance
Gibson Booth Accountants	Business Accounts
Post Office	Stamps
YPO	Office supplies & PPE
NDS Supplies	Cleaning Products

5.0 Strategy for Sustainability and Growth

5.1 Competitive Edge

B C H's competitive edge is focussed on the provision of an excellent range services at very affordable prices. These prices appeal to the "drop in" clientele as well as organisations that use the facilities for training and meetings. The ethos is to make the visiting experiences one to enjoy, remember and repeat.

Second, they offer first class training facilities to organisations and groups.

5.2 Marketing Strategy

Additional activities under consideration for later in the project include:-
- Accredited and non-accredited vocational training CERTA
- A regular meeting place and support facilities for local community groups
- Printing/reprographics for not-for-profit organisations
- Advice sessions
- Information/signposting
- Developmental support
- Employment support and upskilling

A marketing strategy to win more local customers and new businesses for their meetings and conferences is to be planned. This will raise the profile of the centre with companies and enable them to be booked into the centre.

Direct Local Initiatives to enhance the centres reputation for a quality facility managed effectively by the local community will be championed.
Encouraging marketing throughout the local communities by word of mouth
However, certainly initially, some cost-effective marketing will be needed. In order to raise interest in the venture considering:

Banners
High visibility banners have been produced to fit outside the building to advertise the training and community facilities.

Hoyland CAP Digital News
The centre has produced its News that is distributed throughout the area. This promotes activities within the wider community, the centre and in the district.

Local papers
The local press promotes the work of the centre and the cafe.

Leaflets
Leaflets are available in the centre that promote and advertise the facilities within the B C H.

Social Media
Social media site will be developed and managed by the users of the Centre to cascade awareness and encourage participation at events and promote the facilities.

Web site
A web site is planned as part of the strategy and will be introduced later this year. The web site will promote all aspects of the B C H. An additional description is found in the section covering web site strategy.

Word of mouth
Word of mouth is very important for B.H.C and the quality and availability of service provision is crucial to building a reputation that will draw in new custom.

5.3 Growth Strategy

Growth will be gained through several methods:

- Secure stable long term "Anchor" clients.
- Developing local business / enterprise
- Occasional room bookings for meetings and training
- Community ownership and responding initiatives

All short term on one off revenues will be banked weekly and kept in a safe overnight. All sales will be administered by the centre and deposited with the FCP for accounting purposes.

Long standing repeat bookings or recharges to anchor clients, Collection of this revenue will be carried out by the centre administration but applied to the cafe's department for accounting purposes.

6. Business Projections

6.1 Assumptions

The financial plan depends on important assumptions, most of which are shown in the following table as annual assumptions. Interest development in Centre, tax rates and payroll liability are based on conservative assumptions.

Some of the more important underlying assumptions are:

- The company is not VAT registered.
- There are no unforeseen changes in the patterns of employment.

Table: General Assumptions

Annual contribution from Forge Secured for Yr1 – Yr3

Securing additional Anchor (Long term clients)

Community engage more with the facility for Social & Leisure benefit

Establish Income from hosting Post Office Service received by Forge

Development of Social Enterprise Growth Hub from Sheffield City Region

Within the year the site secures significant host tenant through Social Inclusion or other community benefit

6.2 Tables

Blackerhill Community Hub

INCOME	April 17 - Jun 17	Jul 17 - Sept 17	Oct 17 - Dec 17	Jan 18 - Mar 18	Total
GRANTS *(REVENUE)*					
Staff	£1,750.00	£1,750.00	£1,750.00	£1,750.00	£7,000.00
Running costs	£750.00	£750.00	£750.00	£750.00	£3,000.00
Materials	£0.00	£0.00	£0.00	£0.00	£0.00
Sub total	**£2,500.00**	**£2,500.00**	**£2,500.00**	**£2,500.00**	**£10,000.00**
SELF-GENERATED *(REVENUE)*					
Sales	£0.00	£0.00	£0.00	£0.00	£0.00
Room Hire	£2,000.00	£2,000.00	£2,000.00	£2,000.00	£8,000.00
Services provided	£1,750.00	£1,750.00	£1,750.00	£1,750.00	£7,000.00
Total Revenue Income	**£3,750.00**	**£3,750.00**	**£3,750.00**	**£3,750.00**	**£15,000.00**
EXPENDITURE	April 17 - Jun 17	Jul 17 - Sept 17	Oct 17 - Dec 17	Jan 18 - Mar 18	Total
CAPITAL					
Building	£0.00	£0.00	£0.00	£0.00	£0.00
Other	£0.00	£0.00	£0.00	£0.00	£0.00
Total Capital	**£0.00**	**£0.00**	**£0.00**	**£0.00**	**£0.00**
REVENUE *(SALARIES/WAGES/Inc. NI and PAYE)*					
Project Co-ordinator salary	£1,200.00	£1,200.00	£1,200.00	£1,200.00	£4,800.00
Co-ordinator on costs	£240.00	£240.00	£240.00	£240.00	£960.00
Premises Person	£1,000.00	£1,000.00	£1,000.00	£1,000.00	£4,000.00
Oncosts	£200.00	£200.00	£200.00	£200.00	£800.00
Office Equipment, Furniture	£500.00	£200.00	£200.00	£200.00	£1,100.00
Plant, Machinery, Equipment	£300.00	£0.00	£300.00	£0.00	£600.00
Sub-Total	**£3,440.00**	**£2,840.00**	**£3,140.00**	**£2,840.00**	**£12,260.00**
REVENUE *(OTHER COSTS)*					
Materials	£500.00	£300.00	£300.00	£300.00	£1,400.00
Rates (Charitable Status)	£0.00	£0.00	£0.00	£0.00	£0.00
Gas	£150.00	£350.00	£700.00	£700.00	£1,900.00
Insurance	£750.00	£750.00	£750.00	£750.00	£3,000.00
Electric	£300.00	£300.00	£300.00	£300.00	£1,200.00
Advertising & Community. Consultation Events	£200.00	£100.00	£100.00	£100.00	£500.00
Office Consumables	£250.00	£100.00	£100.00	£100.00	£550.00
Sundries/Contingencies	£0.00	£0.00	£0.00	£0.00	£0.00
Leasing Charges	£0.00	£0.00	£0.00	£0.00	£0.00
Bank Charges	£0.00	£0.00	£0.00	£0.00	£0.00
Professional fees	£150.00	£150.00	£150.00	£150.00	£600.00
Sub-Total	**£2,300.00**	**£2,050.00**	**£2,400.00**	**£2,400.00**	**£9,150.00**
Total Revenue Costs	**£5,740.00**	**£4,890.00**	**£5,540.00**	**£5,240.00**	**£21,410.00**
TOTAL EXPENDITURE	**£5,740.00**	**£4,890.00**	**£5,540.00**	**£5,240.00**	**£21,410.00**
Opening Balance Initial Contribution	**£7,000.00**	**£5,010.00**	**£3,870.00**	**£2,080.00**	**£590.00**
BALANCE	**£5,010.00**	**£3,870.00**	**£2,080.00**	**£590.00**	**B/Cf**

6.3 Risk Analysis

A table of risks, their impact, likelihood and mitigating actions are shown below. This table was originally drawn up in 2015 to support the application for funding.

Main risks	Likelihood	Consequences	Steps to be undertaken to minimise/mitigate
Failure to find the right staff	Medium-high	Severe	Job Descriptions, Employee Specifications and job adverts will all be discussed amongst Forge's Management Team and Officers before recruitment takes place. Approval of the JDs and ESs will also be sought from funders prior to recruitment. Within financial and operational constraints efforts will be made to recruit from as wide as possible a field and cascading information through local networks. The interviewing process will include exercise(s) to ensure that candidates can demonstrate key skills and knowledge. References will be taken up prior to any post being offered. In all cases a probationary period will be specified as part of the contract of employment.
Problems with retention	Medium-high	Medium	Wherever possible conditions of service will be offered that are competitive and attractive. Self-development will be encouraged within the posts with the post-holders being encouraged to benefit from Forge's underlying commitment to Life Long Learning. Despite such efforts there still remains the issue of staff being relatively likely to leave towards the end of a fixed term contract. The negative effects of this will be reduced by ensuring accessible and adequate documentation capable of being picked up by other staff. Good information flows between the post holders, line manager(s) and other team members using minutes meetings, written progress reports and other documentation
Inadequate customer base	Low	Medium	While the building was being run by the Barnsley Community Learning Service a more than adequate number of individuals used its facilities - it should be noted that its business failure was not due to the number of people using the facility. Forge is confident that the customer base can be restored and enhanced by providing relevant opportunities and careful use of publicity and marketing. The number of people using the Centre will be carefully monitored as will the number of bookings and room occupancy levels. This will be regularly reported to the Centre's Management Committee, a sub-committee of Forge's Board.
Users not "moving on"	Medium	Medium	The purpose of the building is to address social and economic exclusion by providing pathways towards development for individuals and organisations. For this to succeed there needs to be a rich mixture of activities in and around the centre providing progression paths. There is a risk that activities and their users become embedded in "comfort zones" with a stagnant and ultimately declining client base. The range of activities and customer base will both be regularly monitored. Co-operative arrangements will be established with all providers to establish an evolving range of activities that enables and encourages progression and development.
Failure to attract and retain activity providers	Low-Medium	Medium-severe	Forge's existing relationships with external partners and its internal "umbrella"-type structure will help minimise this risk. Particularly useful will be its close links with organisations that deliver or commission local provision The incoming Centre Activities Co-ordinator will be expected to produce a forward business strategy with diversification as a central theme to avoid over-dependence on any single income stream.
Inadequate financial and/or management	Low	Severe	Forge is already implementing a significant range of community service projects. The necessary improvements and enhancements to the systems that have been generated during that project will also be applied to the proposed project.

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controls			As well as Forge's internal procedures, accounting and audit arrangements the project will be bound by all agreements with funders and subject to any inspections. audits etc. that the funders may decide.
Withdrawal of support by funders during the life of the project	Low	Severe	Best use will be made of the considerable relevant skills and experience amongst Forge's Officers and paid staff. Every effort will be made to foster positive relationships with funders. Compliance with all funders requests will be built in to the targets for staff employed in the project and those with responsibility for financial monitoring within the Regeneration Team.

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Forge Community Partnership
Blackerhill Community Hub
Draft 2016

7. Contacts and further information

7.1 Forge Community Partnership

Forge's Board of Directors is known as its Executive Committee. They are all local residents or nominated by organisations active in the locality. They are nominated and elected annually at the Company's AGM.

The Partnership's officers are in turn nominated and ratified by the Executive. Prior to the 2006 AGM the main officers were as follows.

Chair	Michael Sanderson	Former Chair of Governors at Kirk Balk Academy and an active participant with a local Church. A retired deputy Chief Officer in the public sector.
Vice-Chair	Robin Franklin	Local Elected Member . Long-standing owner of a local business.
Secretary	Neil Spencer	Former Hoyland and Jump Sure Start Project Manager with extensive experience in education and community development.
Financial Reporting Member	Paul Reckless	Local Business man with over 20 years' experience in a variety of commercial functions.

The Executive meets every two months at a local community venue. During the intervening months Forge holds open meetings encouraging discussion and dialogue around Forge's activities and pertinent local issues.

The Partnership and/or its Executive receive regular reports from projects and sub-groups. A separate Management Committee for B C H has been created. The Management Committee's minutes are presented to Forge's Executive and a report made to the full Partnership meetings.

7.2 B C H Staffing Structure

At B C H's core are two posts. Funding for those posts is currently secure until the middle of 2017.

The Centre Activities Co-ordinator supports the overall development of the Centre by :-
• Fostering long-term relationships with existing and new users
• Effectively networking with other local facilities
• Making best use of publicity and marketing resources
• Ensuring day to day monitoring and recording of clients and usage

A Premises Person will build the current and future strength of local voluntary and community sector organisations by :-

• Supporting and developing volunteer-based activity within the Resource Centre and elsewhere in the Forge area
• Connecting local volunteers with relevant opportunities
• Facilitating developmental events and activities for volunteers
• Supporting access to the facility by interested parties

7.3 Policy statements

The statements below were adopted early in 2015 shortly after Forge took over the management of B C H.

Environmental Good Practice

The project is not environmental in nature but good practice has been taken into account during all parts of its preparation.

Much work has been carried out on the building in the last five years. All of this has been to a standard to accord with the requirements of the landlord and the community organisation who were the previous tenants. In particular the work has been in compliance with all the requirements of the providers of public funding.

Difficulties remain with accessibility to the upstairs facilities for those with mobility problems. This results from the age and design of the building. Investigations will be carried out to assure compliance with DDA and whether any remaining "reasonable adaptations" will be possible.

Forge is committed to embedding sustainability and environmental good practice in all its projects. Energy costs will be a critical factor in the overall costs of the project. An energy audit will be carried out aimed at working towards energy efficiency and, within the constraints imposed by the building design and finances, best environmental practice.

Procedures for recycling will be embedded in the Centre's manual.

Diversity and Social Inclusion

This project has social inclusion at its core and relevant considerations were central to the design of project. Forge has a comprehensive Equal Opportunities Policy that will be applied to all activities in the Centre and any recruitment.

Particular attention will be paid to ensure detailed monitoring of usage of the centre with assessments being made on the grounds, at least, of gender, age, ethnic origin and ability/disability. That monitoring will be reported regularly and remedial actions taken on a rolling basis.

The local population, because of historic reasons, is characterised by minimal ethnic diversity. Events will be structured and participation encouraged to develop better contact and understanding between local residents and their organisations and colleagues from more diverse communities.

Ranges of activities previously held at the centre were particularly aimed at older women and men. Where former activities are discontinued the effect on the make-up of the client base will be analysed and Initiatives taken to mitigate any negative dynamics.

8.Stray bits

The planned activities, many of which have now commenced since the building's reopening, break down into two main categories :-
a) Those activities which are a continuation of activities which previously took place in the same building under the auspices of the BMBC – e.g. Limited training courses, venue for meetings, Employment support.
b) Activities which are new to Blackerhill Community Hub – e.g. Extended training courses, Family activities, Smoking cessation, other Health-related activities, signposting to other local developmental opportunities,.

The range of activities on offer, together with the planned further developments, has benefited significantly through the Centre providing a single venue. The identified benefits include:-
- Easy travel for local users
- An informal and non-stigmatised atmosphere
- Links with emerging community enterprise

The above aspects help to make the venue welcoming, unchallenging and accessible to local residents, including those who would feel excluded from more formal provision. By attracting those clients into a single venue further benefits flow, including:-
- A growing recognition of the centre as a point of support and focus of activity
- Positive synergies between local volunteer-driven activities and organisations
- Encouraging and allowing individual clients to progress to higher levels of development

straightforward point of contact for existing and future providers

Strategic Fit

- Community-based and led research and feasibility projects

Employment and Skills

The project will provide opportunities to remove barriers to work and develop skills required by employers. The project has been specifically designed to provide a welcoming and appropriate environment enabling progression employment and skills development.

Removing barriers to work
- Activities targeted at hard to reach groups
- In-house and outreach sessions aimed at individuals experiencing, or at risk of, social exclusion
- Specialist advice (in-house or signposted) on work-related benefits
- Specialist advice (in-house or signposted) on job seeking and career development

Forge Community Partnership
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- Support for those disadvantaged in the labour market due to disability (including mental health issues)
- Working with partners to develop links with local employers

Developing skills required by employers
- Developing individuals through participation in employment and training programmes
- Networking with other opportunities in the Forge area
- Signposting to opportunities elsewhere in Barnsley and other parts of South Yorkshire
- Developing appropriate links with other local learning providers (e.g. Barnsley College, local schools, Northern College)
- Regular contact with local employers

Creativity, Innovation and Technology (ICT)

Maximum and best use of ICT has been planned to support the management of the project and address user needs.

The Centre will act as another gateway for local people to develop their ICT skills and knowledge. This will involve encouraging contact with local ICT-based training suites such as those at the Rockingham Centre, Hoyland Common and Milton Hall, Elsecar. It is also likely to include in-house sessions using portable ICT equipment.

Particular attention will be paid to increasing ICT awareness and providing initial access to supported informal access to ICT-based learning. Experience locally, and from further afield, also suggests that further successes will be achieved by targeting older women and men in the community, particularly those seeking re-entry to the labour market.

3

BARNSLEY METROPOLITAN BOROUGH COUNCIL

This matter is not a Key Decision within the Council's definition and has not been included in the relevant Forward Plan

Report of the Executive Director Core Services

COMMUNITY ASSET TRANSFER: WORSBROUGH COMMON COMMUNITY CENTRE WARREN QUARRY LANE, WORSBROUGH, BARNSLEY

1.   **Purpose of Report**

1.1   The purpose of this report is to consider a request for a Community Asset Transfer to the Worsbrough Common Community Association to develop and expand the existing community centre facility at Warren Quarry Lane.

1.2   To approve the Transfer in the form of a lease for the development and expansion of the existing community centre facility at Warren Quarry Lane.

2.   **Recommendations**

2.1   **That Cabinet approves the Community Asset Transfer based on the business case from the Worsbrough Common Community Association to develop and expand the existing community centre facility at Warren Quarry Lane.**

2.2   **That the Service Director Assets be authorised to finalise the heads of terms for a 25 year lease to the Worsbrough Common Community Association for a nominal rental sum allowing them to develop and expand the existing community centre facility at Warren Quarry Lane.**

2.3   **That the Executive Director of Core Services be authorised to complete the lease to the Worsbrough Common Community Association**

3.   **Introduction**

3.1   This report provides an update on the continuing development, consolidation and expansion of the existing community centre facility at Warren Quarry Lane and the proposals put forward by the Worsbrough Common Community Association to develop a successful, sustainable community run facility.
.

3.2   The Worsbrough Common ICT Centre was constructed in 1991 by the Council. The building provided a Council run training centre, which consisted of a job club and ICT classes and other activities.

3.3   Whilst the ICT based services provided were particularly relevant, beneficial and had a positive effect to the local community in the early 2000s, the passage of time and the advent of universal easily accessible broadband and ICT availability meant that usage of the centre became limited. Consequently in late 2015 the ICT Centre was renamed the Worsbrough Common Community Centre.

3.4   As a result of significant cuts faced by the Council which have been ongoing for a number of years, the Council is no longer in a position to continue operating the facility and without any third party intervention the only real option would be to close the community centre

3.5   In more recent times the Council has been in consultation with the Worsbrough Common Community Association with a view to a possible community asset transfer to this group. Doing this should see the existing facility continue to operate and continue to benefit the local community.

3.6   Worsbrough Common Community Association is a community company, limited by guarantee, (Registration No. 05289377) since July 2004. It has been granted charitable status (Charity No. 1107681).

3.7   The Community Association have produced a Business Plan which details their thoughts, aspirations and plans for the continuation and expansion of the existing community facility at Worsbrough Common.

3.8   The Community Association have been consulted by the Council, in order to ascertain if there is an appetite to develop the existing facility as a community asset. As stated earlier, if the running of the centre is not continued by the community, then the centre will close as the Council are no longer in a position to continue to operate it.

3.9   The local community via the Worsbrough Common Community Association has clearly demonstrated its care for, interest in and commitment to the Community Centre and through their determined efforts it is intended that it will be retained for all age groups and interests.

4.   **Proposal and Justification**

4.1   It is proposed that the Worsbrough Common Community Association will be granted a 25-year lease of the property at a nominal rent. Under the terms of the lease they will be responsible for repairing and maintaining the premises and paying all outgoings and utility charges for the property. The Council will insure the property and the fixtures and fitting and recover the cost of the insurance from the Community Association.

4.2   Local Authorities are required to obtain best consideration when disposing (including selling and leasing) of assets. However under Circular 06/03 of the Local Government Act 1972 – General Disposal Consent (England) 2003 leasing at less than best consideration can be authorised where the value is less than £2Million and

it is granted to secure the promotion and improvement of the economic and social well-being of the citizens' of the Borough.

4.3   As part of the proposed lease the Council will initially occupy part of the property by way of a separate tenancy agreement at an all-inclusive charge. In this way the Council will act as an anchor tenant for the Community Association ensuring that there is a guaranteed income which can be used to assist in the running of the property.

4.4   The proposed lease will contain a tenant only break clause, subject to 6-months' written notice. This will ensure that the Community Association are not entering in an agreement, which is too onerous on their part and allow them to break the lease should operating the community facility cease to be a viable proposition.

4.5   The Community Association will be granted a Tenancy at Will prior to completion of the proposed lease so as to formalise their continued occupation of the community centre. This will ensure that the Council can obtain vacant possession of the premises at short notice should the lease not complete for any reason.

4.6   The Worsbrough Common Community Association has successfully worked with the Council and Berneslai Homes to ensure that the relocation from their previous premises at Highstone Road happened. By vacating their previous premises they have freed up valuable housing stock which has been transferred back into the social housing stock.

4.7   In recent times the Community Association have consulted and worked with various community groups and organisations to promote a community awareness of the facilities available at the centre. They have also taken over the responsibility for bookings at the centre and they are reporting a recent increase in the number of people and groups using the facility.

4.8   As part of the process they will be seeking to add to the range of events and activities at the community centre, by offering attractive facilities for public and private use, meeting local needs for active volunteering and identifying gaps in local provision.

4.9   The Community Association have in the past successfully raised a substantial level of grant funding to support their various activities for young people. They are committed to exploring all avenues of raising further funding to help the centre through its early years following the transfer. To this end they have an extensive range of contacts, made more effective by them receiving the Duke of York Award in 2015, which they report as having opened up more funding opportunities for them.

4.10   By undertaking the proposed community asset transfer the property will continue to operate as a much needed community facility. Without this transfer the centre would close, which would be a loss to the local community and the Borough as a whole.

5. **Consideration of Alternative Approaches**

5.1   The Council does not have the necessary budgets to continue to operate this community centre facility. Therefore without third party intervention in the form of the proposed Community Asset Transfer the community centre would have to close and the existing council services be relocated.

5.2   Not undertaking the proposed Transfer is not an option as it would be a loss to the community of a much needed community facility.

6. **Impact on Local People**

6.1   The continuing development, consolidation and expansion of the existing community centre will see a much needed facility retained within the Worsbrough Common area. This should benefit not only the local community but the Borough as a whole, which would be lost if the asset transfer does not take place and the community centre is forced to close.

6.2   By taking a tenancy of the property, the Council will maintain a presence in the property and continue to provide much needed services, as well as providing a modest income for the Community Association to invest in the facility and the other services provided.

6.3   Expanding the range of events and activities offered from the community centre in line with the Community Association's Business Plan should help to intensify the use of the property benefitting the local community and the borough as a whole.

6.4   The Worsbrough Common Community Association will work with Learning Disability Teams, mental health providers or one of the employment creation schemes to develop further strategies, which could lead to job creation.

7. **Financial Implications**

7.1   Under reports previously submitted and approved by Cabinet, Asset Disposal Programme (2013-2018) ref Cab.12.03.2014.13 and Community Asset Transfer Policy ref Cab.30.1.2013/6.3, these reports stated that any property leased out by the Council should be at a market rent, unless otherwise specifically agreed by Cabinet, and that in the case of offering a property for rent or lease at a lower market value, the anticipated socio-economic benefits are taken into consideration.

7.2   The report sets out to grant a lease for twenty five years, allowing Worsbrough Common Community Association to continue to run the facility without putting its future in jeopardy, should the lease not be granted.

7.3   Under the terms of the lease the Community Association will be responsible for all future repairs, maintenance and insurances of the property. In addition they will pick up all other outgoings and utility costs for the property. Such costs have previously being met by the Council; this proposal will result in a cost saving of £11,260 per annum as set out within Appendix A.

7.4 The proposal to award the lease at a nominal rent ensures the best use of the asset and will have significant benefits to the local community as outline within section 6 of this report.

7.5 The Council will continue to occupy part of the property by way of a tenancy agreement paying an all-inclusive annual rental of approximately £3,600 per annum, to be funded from the savings outlined above. This means that the Council will be able to keep a presence at the building, whilst reducing the costs of occupation currently borne by the Council.

7.6 The Worsbrough Common Community Association will pay the councils reasonable legal and surveyors fees in respect of the lease.

7.7 There are no undue VAT implications arising for the Council as a result of the proposed lease to the Worsbrough Common Community Association.

7.8 For the purpose of IFRS the lease will be classified as an operating lease.

8. **Employee Implications**

8.1 There are no issues arising as a result of this report.

9. **Communications Implications**

9.1 The Worsbrough Common Community Association will continue to carry out consultation on their proposals for the property in line with their Business Plan in order to continue and hopefully expand the facility and the range of services on offer

10. **Consultations**

10.1 Stakeholders consulted during the preparation of this report include:

Communities
Legal Services - Conveyancing
Finance
Risk Management

10.2 Local Ward Members are aware of the community asset transfer and support the proposal.

11. **The Corporate Plan And The Council's Performance Management Framework**

11.1 The Business Plan produced by the Worsbrough Common Community Association demonstrates that there is a need for the premises to be retained for community purposes. The continuing development, consolidation and expansion of the existing community centre plays a key role in the achievement of the priorities contained in the corporate plan and performance management framework. There is strong alignment to building strong and resilient communities with the ultimate aim for

residents to have the skills and knowledge to take responsibility and develop their own solutions through the Community Group.

12.   Promoting Equality and Diversity and Social Inclusion

12.1   The granting of a lease to Worsbrough Common Community Association will keep the existing facility in use and within the heart of the community for the benefit of the local community and the Borough as a whole.

12.2   The continuation and expansion of the existing centre will retain the facility to be used by all age groups and interests.

13.   Tackling The Impact Of Poverty

13.1   There are no issues arising from this report.

14.   Tackling Health Inequalities

14.1   The continuation and expansion of the existing community facility will provide a source of advice and information about many issues that impact on the wider determinants of health including employment, healthy eating and combating loneliness by encouraging and supporting community involvement.

15.   Reduction of Crime and Disorder

15.1   In investigating the options set out in this report, the Council's duties under Section 17 of the Crime and Disorder Act 1998 have been considered.

15.2   Vacant or under used buildings and land can attract vandalism and unauthorised uses such as tipping, substance abuse and other anti-social behavior. Therefore the proposed transfer will keep the property in use thereby helping to prevent such problems.

16.   Risk Management Considerations

16.1   The granting of a lease to Worsbrough Common Community Association will see a continuation and potential expansion of the community centre, keeping this asset in the heart of the community and in productive use for the benefit of the community.

16.2   As previously stated the inclusion of the tenant only break option in the lease will ensure that the Community Association are not entering into an agreement, which is too onerous and allows them to break the lease should operating the community facility cease to be a viable proposition.

16.3   Granting a Tenancy at Will to the Community Association prior to completion of the proposed lease will formalise the continued occupation of the property. This will ensure that the Council can obtain vacant possession of the premises at short notice should the proposed lease not complete for any reason. All the costs associated with running the premises will transfer to the Community Association.

17. **Health, Safety And Emergency Resilience Issues**

17.1 The proposal to lease the property will be carried out giving full consideration to current Health and Safety Legislation.

18. **Compatibility with European Convention on Human Rights**

18.1 This report recognises the promotion and importance of equality, diversity and human rights for all members of the local community and the wider Borough.

19. **Conservation of Biodiversity**

19.1 There are no issues arising as a result of this report.

20. **Glossary**

20.1 IFRS – International Financial Reporting Standards

21. **List of Appendices**

21.1 Appendix A – Financial Implications.

21.2 Appendix B – Site Plan

22. **Background Papers**

22.1 Correspondence regarding this matter is held on the files in Asset Management – not available for inspection contains exempt information

Office Contact: Tim Hartley   Telephone No: 774615   Date: 8 March 2017

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FINANCIAL IMPLICATIONS

COMMUNITY ASSET TRANSFER - WORSBROUGH COMMON COMMUNITY CENTRE

i) **Capital Expenditure**

	2017/18 £	2018/19 £	2019/20 £	Total
	0	**0**	**0**	**0**
To be financed from:				
	0	**0**	**0**	**0**

ii) **Revenue Effects**

	2017/18 £	2018/19 £	2019/20 £	Later Years £
Current operating costs	11,260	11,260	11,260	11,260
Proposed operating costs	3,600	3,600	3,600	3,600
	-7,660	**-7,660**	**-7,660**	**-7,660**

To be Financed from:

There is no impact on the Medium Term Financial Strategy, savings will be retained within the current resource envelope to aleviate other forecast pressures within the business unit

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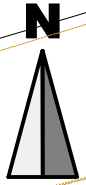**Impact on Medium Term Financial Strategy**

This report has no impact on the Authority's Medium Term Financial Strategy.

	2016/17 £m	2017/18 £m	2018/19 £m	2019/20 £m
Current forecast budget gap	**0.000**	**0.000**	**0.344**	**-1.047**
Requested approval	0.000	0.000	0.000	0.000
Revised forecast budget gap	**0.000**	**0.000**	**0.344**	**-1.047**

Agreed by: .... [signature] behalf of the Executive Director Core Services

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Plan referred to

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WARREN QUARRY LANE

ICT
Resource Centre

40

44

9

1

BISMARCK STREET

Drawing Title :

Warren Quarry Lane ICT Resource Centre

Drwg no:	DV102B
Date:	22/03/2017
Scale 1: 500	

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BARNSLEY
Metropolitan Borough Council

Strategic Property and Procurement/Asset Management
PO Box 634, Barnsley, S70 9GG

e-mail: **Assetmanagement@barnsley.gov.uk**
website: **www.barnsley.gov.uk**

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Worsbrough Common Community Centre Business Plan 2016 -2020

Providing the people of Worsbrough Common with a Community Centre they can be proud of

Worsbrough Common Community Association

<u>**Vision**</u>

- To take the centre into Community ownership
- To provide a vibrant living place where all the community feel welcome
- To maintain and sustain the fabric of the building
- Provide a place where the skills of volunteers can be appreciated

 <u>**Background**</u>

In 1991 Worsbrough Common ICT Centre was built as an asset for the deprived community in which it sits. The centre was used for activities that were relevant in the early 2000s and had a positive effect on the community, however as time passed and with the advent of easily accessible broadband and ICT availability, usage was limited.

This centre was limited in its usage due to constraints as a result of funding streams It is therefore fair to say the building has never been used for the full benefit of the community nor to its full potential.

The Centre is based in Worsbrough Common, close to Barnsley town Centre.   Worsbrough Common has a high level of deprivation and is in the top 4% most deprived areas in the country (Index of Deprivation) A consultation of residents of Worsbrough Common by Barnsley MBC showed that the neighbourhood at a whole showed high levels of dissatisfaction across a whole range of indices. In particular 72% believed anti-social behaviour was a problem.

 Since 2010 Barnsley BMBC has faced significant cuts and as a result is looking to support communities in asset management. Worsbrough Common Community Association (WCCA) felt this provided the community with an opportunity to take over the responsibility of running the building and changing its purpose so that it meets the communities needs better.

The local community has clearly demonstrated its care for, interest in and commitment to the Worsbrough Common Community Centre in their determined efforts to retain it for all age groups and interests.

<u>**Transitional Progress**</u>
A joint management committee was established in early 2015 to progress business and ensure the smooth transition of the management from BMBC to the community.
(please see appendix for further details on WCCA and the management committee).

If the community are not able to take over the running of the centre, the centre will close as Barnsley BMBC will no longer be in a position to run it.

In late 2015 the ICT Centre was renamed the Worsbrough Common Community Centre .

See Appendix 1 for Progress to date

The Building

Worsbrough Common Community Centre has unique selling points. It is the largest venue of the size and quality in the area and is considered by current regular hirers to be superior to other nearby venues. The location is only ten minutes' walk from the town centre and has direct access to the main routes.

Worsbrough Common Community Centre consists of:

- *Secure Car parking*
- *1 standard kitchen*
- *Adaptable hall-*
- *2 small offices*
- *1 large office*
- *It is adjacent to a sports field with easy access*

In addition the building is structurally sound, attractive, warm and comfortable. It is accessible & DDA compliant.

Overall Business Objectives

Immediate Plans

Over £20000 has already been raised in grant funding from Awards for All. This money has been awarded to WCCA to provide activities for young people. The directors felt that the immediate priority was to engage with the community through encouraging use of the centre by all sectors of the community, especially young people. A local, not for profit company, Total Sports Foundation (TSF), has been engaged to provide the activities and the initial take up has been encouraging. TSF work in conjunction with other providers in the Youth Sector, YMCA and the Exodus Project to provide a wide range of activity - from sport through to arts & crafts.

WCCA has committed to raising further grant funding to help the centre through its formative early days through its extensive range of contacts, made more effective by the award of the Duke of York Award in 2015, which gave WCCA more funding opportunities.

Strategy

WCCA plan to act in a completely new way, seeking to add to the range of events and activities; offering attractive facilities for public and private use; meeting local needs for active volunteering and identifying gaps in local provision.

One aspect on which the directors will focus will be to encourage the use of the hall by arts groups, including performance art, music, displays and films. It is the aim of the charitable company to enhance local life by developing, in partnership with others, a mixed and varied programme of cultural events running alongside the essential income generation. The centre will work to develop events and activities in line with the aims and objectives of BMBC and work in partnership with local government and ward alliance to produce a coherent and linked in programme.

We will work with Learning Disability teams, mental health providers or one of the employment creation schemes to develop further strategies. This can be a very effective and worthwhile way forward with a venture of this kind.

Our Market Needs – Generally speaking…..
- Organisations need venues for their meetings and events.
- Tenants need office space
- Our community needs a venue to hold events meetings parties

The market can be segmented into:
- Anchor tenants. Organisations leasing office space within the hall.
- Group hirers. Local community groups or commercial organisations wishing to hire the hall to stage their own events or activities (usually regular).
- Personal hirers. Local people wishing to hire the hall to hold their own (usually one-off) events.
- Attendees at organised events and paying audiences at cultural, artistic, sporting or musical events or activities.
- Members of the local community with an active interest in preserving the ICT Centre.

Responding to the Need:
We need to:-

- Let all the available office space to core tenants leaving as little unoccupied space as possible.
- Maximise the hire of the building by groups and individuals for private and community use.
- Promote the usage of the hall more widely; expand the range of hirers.
- Encourage the widest possible use of the hall for community activities.
- Offer a varied and thriving multi-purpose venue to the community.

Marketing will be focussed on generating sufficient income by lettings both to commercial and community customers to create and run a successful community asset. In the longer term an active approach will be taken to developing a responsive programme of community events. The range of facilities gives numerous, flexible options for income generation.

Over time the most successful types will be identified and exploited and a business-like approach will be taken. It can be seen from the financial forecasts that considerable income can be generated, enough to cover costs and generate a profit, to take the hall forward sustainably and to maintain it well.

The Pricing Structure

Hall hire rates and kitchen hire rates are based on similar facilities in community-run venues.

Hall

Hourly rate (Commercial)   £25
Daily Rate (Commercial)   £150
Hourly rate (community)   £10
Daily Rate (Community)   £85

Above daily rates based on 8 hours let any time between 9am and 10pm

Offices
Negotiable, however the committee will take into account the overall needs of the business and cost implications such as increased utilities etc

Promoting the Centre
Brand Image

It is the intention to establish a readily identifiable brand image and corporate identity which can be easily recognised in the area, building on the community status. This will help to maximise the existing high profile and promote the venue at every turn.

Together with the new brand, a range of promotional tools will be used:

Personal Selling	Use existing contacts to build upon past customers for the hall. A high conversion rate is expected.
Public Relations	Existing good links with local media will be exploited. Stories will be given to local press and radio announcing reopening of the hall and availability for hire, exploiting the current high profile and maximising human interest stories as they develop.
Website	A website, vital to any project today, www.wcca.org.uk has been established. but we are now developing a potential on-line booking facility which is due to be implemented in late2016.
Point of Sale	Use will be made of the large frontage of the building to promote availability of offices, room hire space and specific events.
Direct marketing	Attractive leaflets and posters will be produced and distributed widely and a carefully targeted campaign run to the numerous organisations and supporters who so strongly support the project.

Evaluation & Monitoring
Each element of the promotional strategy will be recorded, measured and evaluated, so the most effective tools can be identified and used to best advantage.

The Management, the Organisation and The People

Worsbrough Common Community Association is a community company, Limited by Guarantee, Registration No. 05289377 since 11/07/2004. It has been granted charitable status, Charity No. 1107681.

After a long struggle to find local people to join the board, the board has recruited and the charitable company is now run by 5 directors and a volunteer administrator from the local community. The past directors were elected over a long period and they have co operated in handing over reponsibility successfully to younger people. WCCA represent the voice of Worsbrough Common and district in seeking to restore the building for the benefit of the community which has been vociferous in its support.

WCCA is a well-run organisation and its affairs are in good order. The company is not for profit and has operated for some years under the control of Companies House and more importantly the Charities Commission. A recent audit of its affairs and running by the Duke of Yorks' Charity led to the association being granted an award, one granted to only the best administrated and audited organisations in the county.

The Company has regular Board Meetings, minutes annexed to this report and is the driving force behind the long established WCCA Community Forum, which brings together key partners such as police, housing associations and local councillors to discuss and solve any community issues. WCCA is currently working with partners to develop the handover of the centre to community ownership in due course.

The directors have considerable experience and skills that they can use in running and managing the community hall. The majority are or have been involved in the running of other charities or voluntary organisations. Most have a range of management skills from former careers including running successful businesses.

During the first six months, the centre will be run by volunteers from the board of directors
The board of directors will also deal with any personnel issues. One member of the committee will be appointed to be responsible for the development of volunteers and partners.

The charitable company is in possession of some working capital (£3500) and has identified suitable future grant funders. As stated previously it has accessed partnership funding of approximately £20,000 in the period prior to the handover. This funding will be used towards establishing the venue as a centre for local children and young people. The centre will benefit from approximately £2000 in room hire over 12 months

The charitable company has put together an outline set of running costs for the Community Centre in its revised form. These are lower than the actual costs incurred by BMBC for 2015-6, and the estimates for 2016/7. These reductions have been based on the following assumptions:

• Non-Domestic Rates will be reduced by the 80% mandatory relief for voluntary and charitable

groups and an application will be made for the 20% discretionary relief available.
- Responsive maintenance during the first five years at least will be reduced as a consequence of the good order that the building is in.
- Robust Negotiation with New Anchor Tenants
- The financial benefit of the offers from professional and volunteer assistance.

Accepting these assumptions may well reduce the annual running costs and the capital costs.

To ensure that the charitable company has enough funding to carry out the on-going maintenance of the building as identified in the Forward Maintenance Programme (see Budget Costs Appendices 12), it will start setting aside a sinking fund from the small profit it will make. This will be supported by a robust reserve policy and financial procedure.

APPENDIX 1

Progress Made since the Planning Process commenced to June 2016

- The Youth Provision is attracting young people from the area

- The Elim Church has hired the hall on regular Sundays and negotiations are taking placeto secure anchor tenant status

- An Arts Class for Young People has commenced and is attracting good numbers.

- The centre has received favourable press coverage

Since April 2015 the management committee have been responsible for the following:

- Opening and closing of building
- Organising Room bookings and community activities
- Invoicing & Banking responsibilities
- Re- arranging the internal configuration as much as possible in the centre and a limited amount
  of decoration to produce a more welcoming atmosphere.

WCCA have successfully worked with BMBC and Berneslai Homes to ensure that the transition from their old community house at 39 Highstone Rd was carried out smoothly . The property has been successfully transferred back into the social housing stock.

The management committee have seen an increase in the numbers of individuals accessing the building. The ICT centre provided classes which were poorly attended due to the foregoing changes in the social context of ICT, with 1 or 2 people per week attending. Since the bookings have been the responsibility of WCCA many groups of people use the centre. The increase in users has been strictly controlled because WCCA needed to expand its volunteer base in line with expectations. Groups are listed below with approx. number of users in brackets

- *Weekly English classes (72)*
- *Can Create (15)*
- *Choose to Loose (12)-*
- *Healthy Bones (18)*
- *Sports Project – Started in weeks prior to this report being written – projected (30)*
- *Play Group (20)*
- *Singing for fun (14)*
- *YMCA after schools (35)*
- *Elim Church (40)*
- *Independent Living(15)*
- *Community Café (15)*

In addition there are monthly room hires including,

- *Ward Surgeries,*
- *TARA,*
- *WCCA Local Forum*
- *Ward Alliance*
- *24/7 Independent Living*

Ad Hoc Bookings
- *as at 30th June 2 childrens parties booked*
- *On the Kingstone Area Fun Day on the 2nd July approx. 150 residents attended.*

One office has tenants – the BMBC central area team.

The centre has approximately 285 users per week. This equates to 13500 per annum.
This progress has been made since WCCA took over the responsibility for the centre and the overarching responsibility of the interim development group which consists of BMBC officers, directors, local residents & councillors.

The centre is generating approximately £240.00 per week in booking at the current time from a standing start..

APPENDIX 2
Financial Projections
Expenditure

	Annual amount	Possible amount	Comments
Gas	2,475	3,600	Rise is based on 5 sessions out of office hours. No allowance is made for possible tariff savings as tariff is unclear
Electricity	1,400	2,100	Ditto above
Rates	2,448	2,545/509	3.9% rise this year. May be able to secure 80% reduction for community use
Water rates	352	363	Based on 3% rise
Insurance	140	140/310	Currently on special rate. Second figure in line with other comm. Centres.
Waste collection	782	782	Could be reduced if less bins required
Maintenance	700	700	
Cleaning	2,400	2,400	Volunteers could be sought
Security Hire	650	650	
Grounds Maintenance	250	250	
Cleaning materials	100	100	
Hospitalities	100	100	
Total	11,797	13,730/11,866	
Depreciation			Normally 20% of furniture and fittings
			Other costs may include Audit fees, admin fees if employing people, equipment

Income

	Amount	Comments
Central Area Team	3,000	
Room hire	10,730/8,866	At £10/hr need to hire centre for 1,073 hour, 22hrs/ week for 50 weeks at £15/hr, 15hrs/week and at £20/week, 11hrs/week. If using the second figure of £8,866 need to hire centre at £10/hour for 887hrs, 18hrs per week, at £15/hr 14hrs and at £20/hr 9hrs.

TSS Rent	2000	
Income should also show entries for fund raising and gifts		
Total	15730/ 13866	

Forecast Trading Summary 1/7/2016 to 31/06/2017

	Brought fwd bal.	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Total
Funded Income														
Income														
Grant Funding	0.00	9,960.00	9,960.00											19,920.00
Group Lettings (18hrs per week)		100.00	720.00	740.00	800.00	800.00	800.00	800.00	840.00	840.00	840.00	840.00	840.00	8,960.00
Rental Income	0.00	289.05	289.05	289.05	289.05	289.05	289.05	289.05	289.05	289.05	289.05	289.05	289.05	3,468.60
TSS Rent		2,000.00												2,000.00
														34,348.60
Total Sales	0.00	12,349.05	10,969.05	1,029.05	1,089.05	1,089.05	1,089.05	1,089.05	1,129.05	1,129.05	1,129.05	1,129.05	1,129.05	
														0.00
Gas & Electricity		475.00	475.00	475.00	475.00	475.00	475.00	475.00	475.00	475.00	475.00	475.00	475.00	5,700.00
Water		30.00	30.00	30.00	30.00	30.00	30.00	30.00	30.00	30.00	30.00	30.00	30.00	360.00
Activity Costs		9,960.00	0.00	9,960.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	19,920.00
Insurance		28.00	28.00	28.00	28.00	28.00	28.00	28.00	28.00	28.00	28.00	28.00	28.00	336.00
Waste Collection		68.00	68.00	68.00	68.00	68.00	68.00	68.00	68.00	68.00	68.00	68.00	68.00	816.00
Maintenance & Cleaning		260.00	260.00	260.00	260.00	260.00	260.00	260.00	260.00	260.00	260.00	260.00	260.00	3,120.00
Security Hire		55.00	55.00	55.00	55.00	55.00	55.00	55.00	55.00	55.00	55.00	55.00	55.00	660.00
Computer, telephone and internet charges		0.00	15.00	15.00	15.00	15.00	15.00	15.00	15.00	15.00	15.00	15.00	15.00	165.00
Grounds Maintenance		25.00	25.00	25.00	25.00	0.00	0.00	0.00	0.00	0.00	25.00	25.00	25.00	175.00
Accountancy & Payroll									280.00					280.00
Advertising and promotion		100.00	100.00	50.00	0.00	0.00	50.00	0.00	0.00	0.00	0.00	0.00	0.00	300.00
Bank B/F	3,500.00													
Total Fixed Costs (Overheads)	n/a	11,001.00	1,056.00	10,966.00	956.00	931.00	981.00	931.00	1,211.00	931.00	956.00	956.00	956.00	31,832.00
Profit/Loss		1,348.05	9,913.05	-9,936.95	133.05	158.05	108.05	158.05	-81.95	198.05	173.05	173.05	173.05	
Trading Postion ME (ie Bank Balance)		4,848.05	14,761.10	4,824.15	4,957.20	5,115.25	5,223.30	5,381.35	5,299.40	5,497.45	5,670.50	5,843.55	6,016.60	

BARNSLEY METROPOLITAN BOROUGH COUNCIL

This matter is a Key Decision within the Council's definition and has been included in the relevant Forward Plan

**REPORT OF THE
EXECUTIVE DIRECTOR FOR PLACE
TO CABINET ON 3 MAY 2017**

Travel Assistance Consultation Findings

1.   PURPOSE OF REPORT

1.1   On 16th November 2016 Cabinet supported the recommendations for the draft Travel Assistance Policy and to support the decision to undertake a nine-week consultation period on the updated draft policy.

1.2   The purpose of this report is to provide a summary of the consultation findings and to seek support for the implementation of the updated Travel Assistance Policy.

2.   RECOMMENDATIONS

2.1   That Cabinet is minded to accept the consultation and its findings;

2.2   that Cabinet supports the strategic drive of alternative transport provisions such as travel training; the use of personal budgets; and mileage payments to be used as a way of developing independence in children, providing them with life skills and preparing them for further education, apprenticeships or employment;

2.3   that Cabinet supports to engage with parents, carers, guardians and key professional stakeholders to co-produce policy processes and guide(s) to support the Travel Assistance policy;

2.4   that Cabinet supports the recommendation to implement the Travel Assistance Policy thereafter; and

2.5   that Cabinet supports the implementation of the updated Travel Assistance Policy which incorporates the minor amendments which arose from the consultation activity.

3.   INTRODUCTION

3.1   As part of Future Council, transportation for eligible children, young people and adults have been brought together under BU 6 Environment & Transport, within the Place Directorate. The current Travel Policy expired at the end of 2016. A 'One Council' joint task & finish group from different business units have worked together to update the policy in line with our corporate strategy; that is to support eligible children and adults with the provision of statutorily required services that encourage and support independence.

As part of this group's work it built upon the review of transport services undertaken in 2014. This work benchmarked our services against many other local authorities in the region. This draft policy has been centred on Doncaster's recent update of the policy to bring service convergence and consistency across south Yorkshire.

3.2   The updated policy has been developed around the following key aims:

- To provide travel assistance services that offer a more bespoke arrangement that compliments the development of Independence in children

- To meet our corporate strategy to create and support independence;

- To provide a more sustainable, efficient and effect service offer;

- To update our policy in line with best practices recommended by Department for Education;

- To align our updated policy more closely with our adjacent south Yorkshire authorities and those services that South Yorkshire Passenger Transport support; and

- To support and compliment the Barnsley SEND Strategy 2016-18.

3.3   This is part of a wider series of changes being introduced to improve the service offer to eligible children and adults across the borough. The four key themes of this work are:

1. To improve the daily operations of the transport service to eligible children, young people and adults;

2. To improve the provision of services through better use of third party providers;

3. To update and improve the provision of services through a refocussed Travel Assistance Policy; and

4. To work with other authorities and the SYPTE to bring about improved collaborative working and better use of resources.

3.4   This Policy is prepared in response to the duties of Barnsley Metropolitan Borough Council (BMBC), under section 508B of the Education Act 1996, (amended by Education and Inspections Act 2006) which deals with the duty of Local Authorities in England to ensure that suitable travel assistance as it considers necessary are made to facilitate attendance at school for eligible children or students. The Council's policy is to provide free school transport (referred to in the Act and in this document as "Travel Assistance") to these categories of eligible children in accordance with its legal obligations, but not otherwise unless there are exceptional circumstances. This travel assistance policy has been designed to and compliments the school curriculum in providing the skills to create independence. It will provide support to eligible children to encourage independent travel.

The policy summarises the categories of eligible children set out in the Act who are entitled to travel assistance. It also sets out how parents or carers apply for travel

assistance, how decisions are made and how parents and carers may appeal against decisions that they are unhappy with.

3.5   Key changes to the policy include:-

3.5.1   To expand the range of options: To encourage and support the strategy of creating independence. Unless otherwise specified, travel assistance will normally comprise of one or more of the following options for pupils:

* A Zero Fare Pass (ZFP) Passes are purchased by the LA from South Yorkshire Passenger Transport Executive (SYPTE);

* Personal Budgets – In Particular for pupils having SEN or EHCP, provision of payment through personal budget;

* Mileage Reimbursement – Paid half termly or termly retrospectively, based on the Families choice;

* Independent Travel Training – Provision of training as part of a pupils' curriculum to encourage independence; and

* Travel Assistance - Via a coach, mini-bus, people carrier or taxi/private hire or similar vehicle.

3.5.2   To introduce regular transport assistance review: As part of the LA's corporate strategy to develop people to their full potential aligned with the Key Stages of the educational curriculum, the Travel Assistance provision will be reviewed to assist in the development of independence for any qualifying pupil who is in receipt of services through this policy. At the present moment this is not a formal part of the process and will place a demand on both People and Place directorates.

3.5.3   Greater dependency and use of Travel Training as an option: Historically this has been a reactive service. The updated policy will consider this as a clear option within the hierarchy. The benefits of travel training are proven to show greater access to education and employment opportunities. In addition the outcomes from this included greater accessibility, road safety awareness, improved health and a reduction of dependency of social services and the like. This will place a resource demand on the Communities directorate's Travel Training team.

3.5.4   To introduce the use of the Personal Budget: Represents a change in the provision of services within this policy. It seeks to place the choice of provision with the parents and carers. This process will place a resource demand on People and Place directorates with respect to the administration and management.

3.5.5   Simplify the appeals process: The present appeals process was not in keeping with the best practice advised by the Department for Education. Therefore this has been amended.

4.   **PROPOSAL AND JUSTIFICATION**

4.1   As per recommendation the Authority consulted with the public over the proposed draft Travel Assistance Policy. The purpose of the consultation was to engage with the parents, carers, guardians of service users and those involved with the service from a professional perspective. For this section this will be known as the 'Public

Consultation'. In addition, a second simplified survey questionnaire was produced aimed directly as children being the users of the service. This in particular is picked up in Section 4.13 and is referred to in this report as the 'Child Pupil Survey'.

4.2   In summary, there was a good level of engagement for the Public Consultation & the Child Pupil Survey through the UEngage portal. In addition we also received some limited feedback directly through staff; through social media and through direct correspondence with key stakeholders. In terms direct correspondence we wrote to c500 service users twice making them aware of the consultation process. Please see Appendix 1 & 2 for details.

4.3   Of 97 online responses received in the Public Consultation, 83 (or 86%) were from parents, carers or guardians with a stake in the proposals. 7 respondents (7%) were from either a school governor or teacher and a further 8 respondents were from consultees who were responding on behalf of an organisation with an interest in the proposals. These included the Barnsley Special Educational Needs and Disability Information, Advice and Support Service (SENDIASS).

4.4   It should be noted, that whilst this represented a good level of engagement responses were primarily from children or pupils with a Statement of SEN (45%) and or EHCP (43.5%). Parents, carers or guardians of children in receipt of Zero Fair Passes did not provide consultation feedback to the same degree.

4.5   A majority of those who provided consultation responses did indicate (74%) that their children's lives were significantly impacted by a complex health issue, such as a disability. A further 14% said that the health issue impacted on the child or pupil's daily life a little.

4.6   With the consultation responses received being largely from parents, carers or guardians of children or pupils with a Statement of SEN and or EHCP it is understanding that there would be some concern about supporting greater independence in traveling between home and school. 58% of respondents did not support this option, albeit and encouragingly, a higher than expected 26% of responses said that they support giving greater independence and choice when travelling between home and school.

4.7   It is reasonable to state that a broad correlation of those that did not support were from parents, carers or guardians. Whilst those that did support were from a professional capacity.

4.8   The main concerns from parents, carers or guardians that were not in support were associated with child safety, safeguarding, length and complexity of journeys, whilst also concerned about physical and emotional well-being of their children.

4.9   Respondents were asked what impacts this policy would have on their family life and work. A large majority of respondents identified that it would have a negative impact. Impacting on working hours and jobs.

4.10   From the Public Consultation there was a clear majority of respondents in support of mini buses/taxis the overall preference overall of 38%.

4.11 Clause 9.13 within the draft policy will be updated in line with a Court of Appeal Judgement. Where a child has a SSEN or EHCP and parental preference is for the child to attend an establishment further away than that recommended in the Statement, the Authority must weigh the relative costs and reasons for the parental preference and reach a decision which is proportionate and compatible with the efficient use of resources. This clause will be amended accordingly.

4.12 Outside of the UEngage we did receive a small number of comments via social media; shared directly with the team; and through email. The content of these were in keeping with the UEngage responses.

4.13 With reference to the Child Pupil Survey, the strategy of this was to offer the ability for service users to feedback directly. Whilst the intent was correct noting the analysis of the separate survey, Cabinet should be mindful that a substantial majority of respondents were from a single Post Code and confirmed that, since they did not have a SSEN, EHCP, a disability or complex health need, they would not be affected by the proposals set out in the consultation paper. Therefore, Cabinet is requested to treat the outcome of the Children's survey with a level of caution when considering its recommendation on the proposal. Please see Appendix 2.

4.14 In conclusion the consultation has found that there are understandably levels of concern and anxiety from parents, carers and guardians in respect of potential change, and recognition that if handled appropriately the updated policy can be implemented without further need for redrafting or additional consultation.

4.15 In implementing this policy it is clear from the consultation responses that we need to develop a strategy to manage anxieties through the implementation of this policy. Engaging and co-producing commissioning processes and policy guides will serve to address such concerns.

5.   CONSIDERATION OF ALTERNATIVE APPROACHES

5.1 Consultation findings outlined concerns with the proposed Travel Assistance Policy. With this it is evident that all proposed Policy Changes will need to be handled carefully and implemented only when it will ensure that any child or pupil should be no worse off from any proposed changes. This is in keeping with the legislative requirements for children's needs.

6.   IMPLICATIONS FOR LOCAL PEOPLE/SERVICE USERS

6.1 No immediate changes as a result of the consultation. Eligible children and young people in receipt of services through this policy will continue to receive services, albeit this will change and evolve over time as the reviews of services becomes more embedded into the process and as we seek to provide services that help people help themselves.

7.   FINANCIAL IMPLICATIONS

7.1 The Travel Assistance function continues to face significant financial pressures. Whilst the additional cost as a result of the increase in users of the service has been recently recognised within the Council Medium Term Financial Strategy, the service

still shows a forecast overspend as reported in the recent Quarterly Monitoring Report.

7.2 Future delivery of a balance budget for the service is heavily predicated on the adoption, strict control and adherence of this new policy. This will be monitored carefully form 1st April 2017 with any variations reported through the normal financial performance monitoring route

8. EMPLOYEE IMPLICATIONS

8.1 In the present and foreseeable future demand is expected to rise for children who are or will be eligible for Travel Assistance. This will mean that additional resources will need to be provided to support service users. It is anticipated that this additional resourcing will be focused around managing the service; the provision of drivers and escorts; and in the travel training service.

9. COMMUNICATIONS IMPLICATIONS

9.1 Evident from the findings of the consultation there is a need to produce a parents, carers and guardians guide to accompany the updated policy.

10. CONSULTATIONS

10.1 Appendix 1 & 2 provide analysis of the responses received on the Uneage system. The profile of the respondents for appendix 1 is reflective of the boroughs' demographic given the targeted nature of this service. The profile of appendix 2 did not reflect the borough demographic profile. It was felt that this was due to many responds having being received from a very small area of the borough.

10.2 A 'One Council' Task and Finish group with representation fromn all direcotrates involved in the delivery of this Policy have been consulted in the development of this policy and report

10.3 A draft of this report has been to Place, People and Communities DMT meetings for their consideration and input.

11. LIST OF APPENDICES

11.1 Outcome from the public consultation appendix 1 & 2.

Officer Contact: Paul Castle Telephone No: 01226 772057**Date:**9th March 2017

Barnsley Metropolitan Borough Council

Travel Assistance Policy

2017- 2020

Date: DD/MM/2017

CONTENTS

Page

Information can be made available in other languages, or other formats such as Braille or Audio Tape, upon request. Please contact The Home to School Transport team on (01226 773584)

1.   GENERAL

This Policy is prepared in response to the duties of Barnsley Metropolitan Borough Council (BMBC), hereafter known as the Local Authority (LA) (See note 1), under section 508B of the Education Act 1996, (amended by Education and Inspections Act 2006) which deals with the duty of Local Authorities in England to ensure that suitable travel assistance as it considers necessary are made to facilitate attendance at school for eligible children or students. The Council's policy is to provide free school transport (referred to in the Act and in this document as "Travel Assistance") to these categories of eligible children in accordance with its legal obligations, but not otherwise unless there are exceptional circumstances.

This travel assistance policy has been designed to compliment the school curriculum in providing the skills to create greater personal independence. It will also provide support to eligible children to encourage independent travel.

This policy summarises the categories of eligible children set out in the Special educational needs and disability code of practice (SEND): 0 to 25 years 2015, who are entitled to travel assistance. It also sets out how parents or carers must apply for travel assistance, how decisions are made and how parents and carers may appeal against decisions that they are unhappy with.

The policy is intended to provide clarity for parents or carers facing a wide range of circumstances, and to ensure that children and young people with particular and significant needs according to the eligibility criteria are appropriately supported. However, it is the legal responsibility of parents or carers of each child or young person to ensure they attend school regularly.

1.1   The primary responsibility for ensuring pupils and students attend school or college is that of the parent or carer (see note 2). However, section 444(3B) provides a parent with a defence if he or she proves that:

- The LA has a duty to make travel arrangements in relation to the child under section 508B and has failed to discharge that duty.

    Schedule 35B of the 1996 Act (amended by the Education and Inspections Act 2006) defines "eligible children" as those categories of children in an authority's area for which travel arrangements will always be required. A condition of each category is that they are of compulsory school age. Under section 508B, these arrangements must be provided free of charge.

1.2   Unless otherwise specified, travel assistance will normally comprise of a hierarchy one of the following options for pupils:

- A Zero Fare Pass (ZFP) Passes are purchased by the LA from South Yorkshire Passenger Transport Executive (SYPTE). This allows pupils to travel free of charge between the bus stop nearest to their home address, and the school/college or the nearest bus stop to the school/college they attend, on commercial or tendered bus services. A full explanation of the criteria and how to apply is available at www.barnsley.gov.uk and search for ZFP.

    The criteria and provision of a ZFP apply to both Mainstream and SEN (Special Educational needs) pupils

- Personal Budgets In Particular for pupils having SEN or EHCP, provision of payment through personal budget will be considered as an eligible way of the LA fulfilling its requirement under this policy for the provision of Travel Assistance.

- Mileage Reimbursement Paid half termly or termly retrospectively, based on the Families choice and correct submission to the Home to School Transport Office of mileage claim forms. Reimbursement is calculated on 2 journeys per day and the actual mileage multiplied by the number of days the pupil has attended. (See Section 14)

- Independent Travel Training Provision of training as part of a pupils curriculum to encourage personal independence. This will require plans to encourage training to be put in place by the Independent Travel Training (Free to go) team, schools/colleges and parents/carers working in partnership. Progress should be demonstrated at each annual review of transport of the Travel Assistance Service. There is a specific duty on schools and LAs to begin planning for the transition to adulthood formally from Y9. (See Section 9)

- Travel Assistance Via a coach, mini-bus, people carrier or taxi/private hire or similar vehicle for pupils identified as having Special Educational Needs (SEN) or for children who are disabled. (See section 9/10) As determined by the LA as appropriate to meet the child's individual needs.

1.3 As part of the LA's corporate strategy to develop people to their full potential aligned with the Key Stages of the educational curriculum Travel Assistance provision will be reviewed to assist in the development of personal independence for any qualifying pupil who is in receipt of services through this policy.

1.4 The LA is not able to provide free Travel Assistance to pupils who are in transition between schools, or attending 'taster sessions' at new schools. Travel can only be provided to the School where a Pupil/Student is on roll.

1.5 Assessments of Travel Assistance managed through this policy will be awarded on the basis of hierarchy of travel Assistance detailed in 1.2.

1.6 The LA is not able to provide free Travel Assistance to pupils or Students who are attending private or fee paying schools.

2   **PUPILS UNDER THE AGE OF 4 YEARS**

2.1 Other than for a child with a statement of SEN or Education Health Care Plan (ECHP) who has had transport approved in accordance with Section 9, no assistance with transport shall be given to a nursery aged child.

3   PUPILS AGED 4-7 ATTENDING THEIR NEAREST AVAILABLE SCHOOL

3.1   For pupils less than 8 years of age (on 1 September), free transport will be provided where the distance between their home and nearest available school is 2 or more miles, measured by the nearest available walking route (hereafter referred to as statutory qualifying distance – see note 4). Free transport will normally be facilitated through the provision of a zero fare bus pass for the child.

3.2   Pupils living less than the statutory qualifying distance may be eligible for free travel if the LA determines that they qualify under section 7.

3.3   Parents/carers should ensure their child's safety by making appropriate arrangements for their child to be accompanied to and from the nearest bus stop and during the journey if required.

4   PUPILS AGED 8-16 ATTENDING THEIR NEAREST AVAILABLE SCHOOL

4.1   For pupils who are aged 8 years or older (on 1 September) and still of compulsory school age, free transport will be provided where the distance between their home and nearest available school is 3 or more miles measured by the nearest available walking route (hereafter referred to as the statutory qualifying distance – see note 4). Free transport will normally be facilitated through the provision of a zero fare bus pass.

4.2   For pupils who move home within the Barnsley Metropolitan Borough Area whilst in Years 10 or 11, and who wish to remain at the school they have been attending to complete their examination course, free transport will be provided where the distance between their new home and their school is more than the statutory qualifying distance. Free transport will normally be facilitated through the provision of a zero fare bus pass (ZFP).

4.3   For pupils from low income families please refer to section 7.

4.4   Parents/carers should ensure their child's safety by making appropriate arrangements for their child to be accompanied to and from the nearest bus stop and during the journey if required.

5.   PUPILS ATTENDING DENOMINATIONAL SCHOOLS

5.1   From September 2016, the LA is no longer able to provide transport on denominational grounds. Pupils who were previously entitled to free transport on denominational grounds and who qualified under the low income category (See Section 7) prior to September 2016, will continue to receive a free ZFP until they reach the end of their particular phase of education, i.e. until the end of primary education in Y6 or until the end of statutory secondary education in Y11.

6   PUPILS NOT ATTENDING THEIR NEAREST AVAILABLE SCHOOL

6.1   The LA recognises the rights of parents given under the Education Act, 1996 to express a preference for their choice of school and the duties on the LA under the same Act in respect of those preferences expressed. However, in order to ensure the efficient use of its resources, the LA will normally only provide a free ZFP to pupils meeting the relevant eligibility conditions attending:

- The school designated as the nearest available school for the area in which the LA has determined the pupil is ordinarily resident for the purposes of admissions to schools.

6.2   Where a pupil qualifies for travel assistance under these exceptions, the parents/carers should ensure their child's safety by making appropriate arrangements for their child to be accompanied to and from the nearest bus stop if required.

6.3   The LA is not in a position to guarantee travelling arrangements to any school; such arrangements are entirely in the hands of the providers of bus services and/or SYPTE.

6.4   When selecting alternative schools, parents/carers must do so in the knowledge that, unless they qualify for free transport, or assistance with transport costs, will not be available, regardless of the distance involved. They should also consider, as a factor in making their decision, the consequences of possible future alterations to bus services.

7   PUPILS FROM LOW INCOME FAMILIES

7.1   The Education and Inspections Act 2006 introduced free transport assistance for pupils from low income families. Pupils who qualify under this legislation are pupils in receipt of Free School Meals (FSM) or whose families are in receipt of Maximum Working Tax Credit (MWTC). Pupils meeting the following criteria will receive transport usually in the form of a zero fare bus pass.

7.2   **Primary Pupils**
Pupils aged 8 to 10 who are attending their nearest available school and the distance between home and school is more than 2 miles.

7.3   **Secondary School Pupils**
Pupils aged 11 to 16 attending any of their 3 preferenced schools where the distance between home and school is more than 2 miles but not more than 6 miles from their home address will be entitled to a Zero Fare Pass.

7.4   **Pupils attending School on grounds of Religion or Belief**
Pupils up to 16 years of age attending their nearest appropriate denominational school on grounds of religion or belief, where the distance between home and school is more than 2 miles but not more than 15 miles.

7.5 Distances referred to in this section are measured as follows:

- Up to 2 miles – as per the statutory walking distance, along the nearest available walking route.

- The 6 miles upper limit, for Secondary Schools or the 15 miles upper limit, for Faith Schools – along road routes passable by suitable motorised transport.

7.6 Once eligibility has been determined and confirmed, the pupil will remain eligible until the end of the school year for which the assessment has been made. This particular section does not cover the provision of student passes or any other concessionary travel passes.

8 POST 16 – SIXTH FORM/FURTHER EDUCATION STUDENTS

8.1 The Council does not provide free transport for Post 16 students entering into further education at Sixth form or College for the first time or undertaking new courses.

9 SPECIAL EDUCATIONAL NEEDS: PUPILS AND STUDENTS (UP TO THE AGE OF 19)

9.1 **General**

The Post-16 education and training landscape is very diverse. It encompasses school sixth forms (both mainstream and special schools), sixth form colleges, general further education (FE) colleges, 16-19 academies, special post-16 institutions, and vocational learning and training providers. The range of available study programmes is broad and includes AS/A-levels, vocational qualifications at all levels, apprenticeships, traineeships, supported internships and bespoke packages of learning. Each pupil or student identified by the LA as having special educational needs (SEN), will have their individual travel needs assessed, via the SEN Transport Panel, taking into account their age, mobility and the effect of their special educational needs on their ability to travel to school. If it is concluded that a pupil or student does not require Travel Assistance under this section, then consideration will be given under the other sections of this policy as appropriate.

9.2 **Pupils and Students with a Statement of Special Educational Needs or Education Health Care Plan**

For pupils and students being considered for an Education Health Care Plan or with an existing statement of SEN. Travel Assistance is not included in a Statement of SEN but may be included in an EHCP Plan exceptionally, for example if Travel Assistance provision is agreed as part of a Personal Budget.

Statements of SEN will cease by April 2018 and children will either have their needs met at the SEN Support Stage or with an EHCP.

9.3   The provision of Travel Assistance to meet a pupil or student's need will be in accordance with the provisions of this section and will be reviewed annually and, if necessary, reassessed at each annual review of the Home to School Travel Assistance Service. Where it is decided that:

- A Travel Assistance need is now required; or
- A Travel Assistance need previously identified should be modified to encourage independence; or
- Travel Assistance is no longer required.

9.4   Independent Travel Training

Our aim, where appropriate, is for secondary age pupils, and students over compulsory school age, with SEN who have previously been assessed as requiring Travel Assistance under this section, to receive support to promote personal independence and mobility training as part of their school/college curriculum with the aim of reducing their reliance on individual transport in preparation for adult life. This will require plans to encourage independent travel to be put in place by the Travel Training team, school/college and parents/carers working in partnership, to mutually agreed targets. Progress should be evidenced at each annual review of the Home to School Travel Assistance Service.

9.5   Pupils and Students with Special Educational Needs but no Statement

For pupils and students with SEN but without a statement or EHCP, an assessment of Travel Assistance need will be undertaken by the appropriate Officer(s) at the time a decision on the provision to be made for the pupil or student to meet their need is taken. Where it is determined that the provision of a ZFP would not be appropriate to meet the needs of the pupil or student, the provision of Travel Assistance will be in accordance with the provisions of this section and will be reviewed and, if necessary, reassessed annually by the appropriate Officer(s).

Schools and parents/carers will encourage their children to take up public/community transport options at the earliest opportunity – this will be regarded as a positive achievement towards the pupil or student's attainment in becoming an independent traveller. Where transport is ceased under this section, pupils and students may be eligible for support under other sections of this policy as appropriate. For more details on the service and its benefits please see www.barnsley.gov.uk and search for the 'Free to go service'.

9.6   Provision of Transport for pupils and students with SEN

The type of transport assistance provided will be the most appropriate for each individual Pupil/Student, taking into account the child's age, safety and needs. A pupil or student will be expected to share a vehicle with other pupils and/or students. Individual transport will only be provided in Exceptional circumstances and where the need for individual transport has been clearly identified.

9.7 Social reasons such as out of hours activities or parents/carers work commitments will not be regarded as valid reasons for determining the type of transport assistance for their child.

9.8 A ZFP will operate from the bus stop nearest to the pupil's home. Parents/carers should ensure their child's safety by making appropriate arrangements for their child to be accompanied to and from the nearest bus stop if required.

9.9 Pupils and students who are assessed as requiring travel on a coach, mini-bus, taxi/private hire or similar vehicle, will be picked up and dropped off at the most convenient designated point nearest to their home address, having due regard to their needs and safety this may be a designated bus stop. Pupils will only be guaranteed collection and drop-off from outside their home address if their needs exceptionally require this arrangement. It is the responsibility of parents/carers to ensure their child's safety by making appropriate arrangements to accompany their child to and from the designated pick-up point, or see them safely onto and off the vehicle.

9.10 Approval will not be given for ad-hoc or occasional variations to the arrangements determined by the LA. If parents/carers request a variation to the arrangements for example, for their child to be collected from, or dropped off at, a relative/neighbour/child-minder's address, consideration to an amendment to the agreed travel arrangements will only be given where:

- The request is for a permanent change on each school day; and
- No change to the transport provider will be required; and
- No additional cost will be incurred by the LA; and
- The request would not add unreasonable additional travelling time for other pupils in the vehicle.

9.11 Arrangements will be made to transport pupils with SEN as follows:

a)	day pupils/students	-	at the start and end of each school/college day;
b)	pupils/students who board for 5 days	-	at the start and end of each school/college week;
c)	pupils/students who board for 7 days	-	at the start and end of each school/college term and half term.

In addition pupils who are in the National Curriculum Year Group 7 or below i.e. who have not yet had their twelfth birthday, and who board for 7 days, will be provided with additional return journeys for two weekends per half-term.

9.12 Any special equipment or supervision arrangements required because of the child's needs will normally be arranged by the LA in accordance with the assessed need.

9.13 Travel Assistance will not be provided under this section where the LA has identified and offered an institution or provider to meet a pupil or student's need but the parents/carers preference is to send their child to a more distant provision, or provider of the same type.

9.14 However, for pupils and students with a statement of SEN or EHCP the Local authority will determine the transport costs to the two establishments and weigh the relative costs against the reasons for the parental preference and reach a decision which is proportionate and compatible with the efficient use of Council resources.

10 SPECIAL EDUCATIONAL NEEDS STUDENTS OVER THE AGE OF 19

10.1 An assessment of Travel Assistance need will be undertaken by the appropriate Officer(s) of the Special Educational Needs (SEN) Transport Panel, for students who are;

- Over the age of 19 and under 25 years of age on 1 September each year; and
- Ordinarily resident in the LA area; and have, or have had previously, a statement of SEN, an EHCP which includes, or included, in order to meet the needs of the student, a requirement for transport.
- Are registered or registerable as disabled under the Chronically Sick and Disabled Persons' Act 1970; and
- Attending a course funded by the Education Funding Agency, at an FE College which has been agreed as appropriate and that the course is a graduation/progression of a previous subject and that this meets the needs of the student. Unless attendance on a course at another institution has been agreed as more appropriate, to meet a specific educational and/or social need of the student.
- Progression in learning must be evidenced against outcomes in the EHCP. Lack of progression will mean that Travel Assistance will no longer be approved. Funding will not normally be provided where a student repeats a course or studies at the same academic level as one previously studied.

10.2 Assessment may include undertaking a transport assessment with trained travel trainers, and failure to attend this assessment could mean Travel Assistance is not provided. Where assistance with transport is deemed necessary it will be provided in accordance with the provisions of this section until the completion of the course for which it was approved or the end of the academic year in which the student attains the age of 25 years whichever is the earlier. Assistance with transport will, if necessary, be subject to an annual review of the Travel Assistance Service.

10.3 **Provision of Transport**

10.4 Students could be offered a ZFP to enable them travel free of charge between the student's place of ordinary residence and the college. Where a college has several sites at which the student is required to attend, free travel will be provided to one designated site only which is agreed between the LA, the student and the college authorities. Any inter site transfer will be the responsibility of the college to provide.

10.5   Social reasons such as out of hours activities or parents/carers work commitments will not be regarded as valid reasons for such an arrangement. It is the responsibility of parents/carers to ensure the student's safety by making appropriate arrangements to accompany them to and from the designated pick-up point, or see them safely onto and off the vehicle.

10.6   Where the LA has determined that transport using a ZFP is not appropriate, the type of Travel Assistance provided will be the most appropriate taking into account the student's age, safety and needs. A student will normally be expected to share a vehicle with other students. Individual transport <u>will only be provided in exceptional circumstances</u> and where the need for individual transport has been clearly identified from the assessment under the approved assessment criteria.   Social reasons such as out of hours activities or parents/carers work commitments will not be regarded as valid reasons for determining the type of transport assistance.

10.7   Students who are assessed as requiring travel on a coach, mini-bus, taxi/private hire or similar vehicle, will be picked up and dropped off at the <u>most convenient designated point nearest to their home address</u>, having due regard to their needs and safety this may be a designated bus stop. Students will only be guaranteed collection and drop-off from outside their home address if their needs exceptionally require this arrangement.

10.8   Approval will not be given for ad hoc or occasional variations to the arrangements determined by the LA. If the student/parents/ carers request a variation to the arrangements for example, for their child to be collected from, or dropped off at, a relative/neighbour's address, consideration to an amendment to the agreed travel arrangements will only be given where:

●   The request is for a permanent change on each college day; and
●   No change to the transport provider will be required; and
●   No additional cost will be incurred by the LA; and
●   The request would not add unreasonable additional travelling time for other students in the vehicle.

10.9   Any special equipment or supervision arrangements required because of the student's needs will normally be arranged by the LA.

10.10   Arrangements will be made to transport students as follows:

a)	Day students	-	At the start and end of each college day;
b)	Students who board for 5 days	-	At the start and end of each college week;
c)	Students who board for 7 days	-	At the start and end of each college term and half term.

11   PUPILS AND STUDENTS IN PUBLIC CARE (UP TO THE AGE OF 19)

The LA recognises its duties and responsibilities in respect of pupils and students in Public Care. For the purposes of determining any assistance with Travel Assistance pupils and students in public care will be considered under the appropriate section of this policy.

12   EXCLUDED PUPILS AND STUDENTS

12.1   Pupils of Compulsory School Age Attending Schools:

Where a pupil has been excluded from their school and the LA allocates an alternative school which is within the statutory qualifing distance appropriate to the age of the pupil from where the pupil is ordinarily resident, a ZFP will be provided.

12.2   Where the parents/carers of the pupil choose for him/her not to attend the allocated school as determined in accordance with paragraph 12.1 above and accept a place at an alternative school, which is within the statutory qualifying distance appropriate to the age of the pupil from where the pupil is ordinarily resident, to the extent that the LA does not incur additional expenditure, a ZFP to enable the pupil to attend the alternative school will be provided equivalent to that the pupil would have received had s/he attended the allocated school.

12.3   Where a pupil qualifies for assistance with transport under this section, the parents/carers should ensure their child's safety by making appropriate arrangements for their child to be accompanied to and from the nearest bus stop if required.

12.4   The LA is not in a position to guarantee travelling arrangements to any school. ZFP's are for use on public Transport. There is no provision for dedicated School Buses – such arrangements are entirely in the hands of the providers of bus services and/or SYPTE.

12.5   When selecting alternative schools, parents/carers do so in the knowledge that, unless they qualify under the above exceptions, free transport, or assistance with transport costs, may not be available, regardless of the distance involved. They should also consider, as a factor in making their decision, the consequences of possible future alterations to bus services.

12.6   Pupils of Compulsory School Age attending other Provision:
Where a pupil has been excluded from their school and the LA arranges provision for the pupil at institutions other than a school, assistance with travel will be considered under Section 12.1/12.2 of this policy.

13 REQUESTS FOR MILEAGE REIMBURSEMENTS

13.1 Eligibility

In order to qualify for Mileage Reimbursement a pupil must satisfy the following criteria:

- The pupil must have an EHC Plan or SEN; and
- Must fall into one of the four categories of 'eligible child' (please see Note 7 for definition of 'eligible child').

13.2 Reimbursement of Mileage Expenses

Mileage Reimbursement will be paid termly or half termly calculated on the actual mileage allowance multiplied by the number of days the pupil attends. Payment is based on 2 journeys per day will be paid by BACS transfer; parents will need to supply bank account details to enable this to take place.

Mileage Reimbursement to Parents/Carers will be paid in accordance with the rates outlined below:

Circumstances	Suggested Rate Per Mile
1 Parents offer to undertake transport but pupil can fit on existing transport at nil cost.	Nil – Request refused
2 Parent offers to transport their own child no other run in place.	45p Rate correct as at April 2017. This will need to be reviewed on an annual basis as rates change.
3 Local Authority requests parents to transport own child as LA is unable for whatever reason to provide safe transport (e.g. Health and Safety).	45p This is the current BMBC car mileage rate

The payment will be calculated using the mileage between home and school E.g. 10 miles between home and school. The mileage will be determined by the shortest route using the Council's Geographical Information System (GIS).

E.g. 10 miles home to school – 1 journey home to school & 1 journey school to home – 20 miles @ 40p x number of days = £xx.xx

NB: Please note that payment is made by the LA, after parents/carers submit an attendance form signed off as correct, by the school their child attends.

14   APPEALS

14.1   Parents/carers will have the right to appeal against any decision to refuse requests for assistance with travel made by Officers of the LA under this policy.

This will be a 2-stage process as follows:

14.2   **Stage One Review**

Parents/Carers may request that a review of the original SEN Transport panel decision to refuse Travel assistance be reviewed.

This review will be undertaken by a Senior Officer of the Council and the Transport Planning Coordinator.

- Parents/carers will have 20 school days from receipt of the local authority's decision to refuse their application to complete and return a Notice of Appeal Form requesting a review of the decision. This form should be completed by the parent/carer and give details of any personal or family circumstances that the parent/carer believes should be taken into account when the decision is reviewed.

- Within 20 school days of receipt of this form, the Senior Officer will review the case and send out a letter notifying the parent/carer of the decision.

- The letter should explain how the review was conducted, information about other Departments or Agencies that have been consulted as part of the process, the rationale for the decision reached and information about how the parent can escalate their case to stage 2.

14.3   **Stage Two Review**

This Review will be undertaken by an independent appeal panel facilitated by the Council Governance Unit

- A parent/carer will have 20 school days from receipt of the Stage 1 decision to make a written request to escalate the matter to Stage 2.

- The Council Governance Unit will be informed that an appeal has been received, they will arrange a date for the Hearing and will send out Agendas and invites to the meeting.

- Within 40 school days of receipt of the parent/carer's request the Council Governance Unit will consider written and verbal representations from both the parent and Officers of the council involved in the case.

- The Council Governance Unit will send out notification of the outcome of the appeal within 5 school days which will set out:

  ▪ The nature of the decision reached.

  ▪ How the review was conducted, information from other agencies or departments consulted, what factors were considered, the rationale

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for the decision reached and information about the parent's right to put the matter to the Local Government Ombudsman.

- It will be made clear that a referral of a complaint to the Local Government Ombudsman should only be made if the complainant considers that there was a failure to comply with the procedural rules or if they consider that there have been any irregularities in the handling of the appeal.

14.4 All hearings of the Panel will be conducted in accordance with the approved LA protocols.

14.5 The powers of the Independent Review Panel will be limited solely to an examination of the correct application of the Transport Policy taking account of when the application was made.

15 CEASING ASSISTANCE WITH TRANSPORT

15.1 The LA has adopted a Code of Practice for the safety and behaviour of pupils where Travel Assistance is provided. If any pupil persistently endangers their own safety or that of others by not adhering to the Code of Practice, cases will be reviewed on an individual basis and consideration will be given to ceasing their Transport Assistance and parents/carers will then be expected to make alternative arrangements to ensure their child attends school.

15.2 In addition to the Code of Practice the LA has, in conjunction with the other 3 South Yorkshire Authorities and SYPTE, produced a policy for managing criminal and unacceptable behaviour on public transport. Any breach of this policy may result in the withdrawal of the zero fare bus pass and/or further measures being taken as appropriate.

15.3 As part of the provision of services provided by the LA through this policy we would ask that the following points are met with regards to acceptable behaviour of students and families. More information on this can be found in the parents hand book. Failure to adequately meet these criteria could result in the Travel Assistance provision from being removed on a temporary or permanent basis. As follows:

- To behave
- Be polite
- To be timely
- The parents or carer notify the LA if the child is not attending school as soon as possible.
- Do not keep the vehicle waiting – Transport can only wait for a maximum of 5 minutes

15.4 In cases where individual transport is provided by taxi or minibus, parents are requested to cancel transport when not required i.e. in case of holidays or illness. Repeated failure to cancel transport when not required may lead to a recharge of the cost or ultimately cancellation of the transport.

15.6 The LA shall consider withdrawal of the provision of free Travel Assistance, where a child has demonstrated such poor behaviour whilst using that transport as to put at risk themselves or other persons on the vehicle, as follows:

(a) The driver of the vehicle and/or the Home to School Transport Escort.
(b) Themselves.
(c) Other passengers.
(d) Using threatening, violent and/or abusive language
(e) Damage caused to the vehicle.

15.7 The withdrawal of free Travel Assistance transport will be:

(a) Temporary.
(b) Permanent at the discretion of the LA having regard to the circumstances of the pupil's behaviour where this has been serious or in persistent cases of misbehaviour.

15.8 The LA shall suspend the provision of Travel Assistance in cases of persistent absence or where the pupil/student has been absent for a week or more without good reason until the pupil is able to return to school.

15.9 Each case will be considered on its own merits. Where free travel is withdrawn it will be the responsibility of the parent(s) to pay for travel costs between home and school. 'Temporary' shall be for a specified number of weeks and 'permanent' shall be for the remainder of the school year or longer if justified by the circumstances.

15.10 The withdrawal of Travel Assistance (either temporary or permanent) for a particular child shall not imply that travel arrangements were not necessary and should not be provided. The withdrawal would be because the child's behaviour was such that they could no longer take advantage of it.

15.11 Where a Head teacher or Principal of a school, under the provisions of Section 89(5), of the Education Act 1996 considers that a child's conduct whilst using the transport is such that free home to school transport should be withdrawn, the Head teacher or Principal will notify the LA who will consider whether to withdraw transport provision. In these cases the parent shall have the right for a review of the decision in accordance with Part 6 of the Policy.

16   Travel for Pupils and Students with Medical Needs

16.1 Pupils with a medical condition are those who require:

(a) Prescribed medicines;
(b) May require emergency medical treatment on route to school. Or;
(c) Continuous medical support.

16.2 Administering medicines to pupils
School Escorts are not trained to administer medication to pupils, be it prescribed or that purchased from a pharmacy without a prescription.

16.3 Emergency medical treatment

In the event of emergency medical treatment being required, the Escort shall contact the emergency medical services by telephoning 999; and inform the Local Authority and the Parents of the child concerned.

16.4 Escorts accompanying children with a medical condition or those who require emergency medical treatment shall carry a mobile telephone.

16.5 Continuous medical support.
Escorts are not trained to, or expected to deliver medical procedures or interventions to pupils whilst travelling on home to school transport. Where the normal travel arrangements provided under the Travel Assistance policy cannot facilitate the travel of the pupil, the Relevant Officer shall convene a case conference.

16.6 The case conference shall be chaired by an appropriate Senior Officer of the Service and other relevant professionals shall be invited to attend.

The case conference shall:

(a) Discuss the issues associated with transporting the pupil to school; and
(b) Make a recommendation for the future transport arrangements.

16.7 General provisions. In any circumstances that should arise which are not provided for in this policy, the Relevant Officer shall, at their discretion, convene a meeting to discuss the travel arrangements of a pupil.

16.8 Escorts will not normally transport a pupil's medication from home to school.
The parents are responsible for ensuring, where relevant, that the school has a sufficient supply of medication for the child.

16.9 In individual cases, subject to the agreement of the parent, Escort and School, a pupil's medication may be transported in the vehicle with the pupil. Where this arrangement is agreed the medication shall be in a sealed envelope or container with the pupil's name clearly displayed. The storage of the envelope/container or the vehicle will be determined in each individual case.

17 Status

17.1 This information represents the Travel Assistance Policy of Barnsley Metropolitan Borough Council (BMBC) at the time of publication. However, BMBC reserves the right to amend the policy to reflect either changes in policy or legislation.

17.2 Any personal data/information held by the Home to School Transport Team in relation to Travel Assistance, will be securely stored and maintained in line with the Data Protection Act 1998.

17.3 Personal data collected will only be processed for the purpose of the education of the young person.

NOTES

1   **The LA**
References in this policy to the 'LA' are a reference to Barnsley Metropolitan Borough Council (BMBC) and references to the 'LA's area' is to the administrative area of the Borough.

2   **Parent/Carer**
Reference to parent and/or carer in this policy means any person having parental responsibility for the child (for whom assistance with transport is being sought) within the meaning of the Children Act 1989.

It is the responsibility of those applying for assistance with transport to satisfy the LA that they have parental responsibility for the child for whom assistance is being sought.

3   **Ordinarily Resident**
Reference in this policy to 'ordinarily resident' means where a pupil or student is habitually and normally resident at their address other than for occasional absences and for a settled purpose, which is not solely to receive education i.e. the residence at which the child resides during the normal school week at the closing date for receiving applications for admission to school during the normal admission round.

Any reference to the pupil or student's 'home', or to where they 'live' or 'reside' shall refer to where they are ordinarily resident.

It is the responsibility of those applying for assistance with transport to provide such information as the LA requires in order to be satisfied as to where the pupil or student is ordinarily resident.

4   **Statutory Qualifying Distance**
The walking distances are:

a)   For pupils of less than 8 years of age (on 1 September) 2 miles; and

b)   For pupils aged 8 years or older and still of compulsory school age (on 1 September) 3 or more miles.

Each case is measured by the nearest available walking route.

For the purposes of this policy, the walking distance will be measured from the front gate of the address where the LA has accepted the pupil or student is ordinarily resident, to the nearest designated entrance of the school or college to which assistance is being considered under the relevant clause of the policy.

The route measured will be the nearest direct available walking route, having had regard to the age of the child, the walking route, or alternative routes, to the school the pupil could reasonably be expected to take. The LA has established criteria for the assessment of the safety of a walking route to school and will determine the availability or otherwise of a route in accordance with the approved criteria. The assessment of the availability or otherwise of a route will be based on a child being accompanied by an adult. It will be irrelevant for the

purposes of that assessment whether or not the child would or would not be so accompanied when attending the school or college.

In the case of a pupil qualifying for free travel on the grounds of 'low income' i.e. they are in receipt of Free School Meals (FSM) or their family receives Maximum working Tax Credits (MWTC) the distances will be measured as follows:

● <u>Up to 2 miles</u> – as per the statutory walking distance along the nearest available walking route.

● <u>The 6 or 15 mile upper limit</u> – along road routes passable by suitable motorised transport.

The route will be measured using a computerised Geographical Information System. The LA considers this as an exact measure and cannot be considered marginal. If the LA considers it necessary a route may be measured by calibrated pedometer.

5   Full-Time Course
References in this policy to a 'full-time course' is a reference to a course of which the student is required to study for at least 12 guided learning hours per week.

6   Closing date for applications for Bus Passes
No refunds will be made for travel expenses incurred as a result of a late application for transport. The closing date for new bus pass applications is 30 June. Whilst we will process bus pass applications at any time we will not guarantee that they will be available at the start of term unless received by the closing date.

7   Definition of Eligible Child
The following are examples of an Eligible Child

i   Children who attend schools beyond the statutory walking distance
These children are eligible for free school transport, provided that the LA has made no "suitable arrangements" for boarding accommodation or attendance at a nearer school and the children live beyond walking distance and attend their nearest suitable school. The statutory walking distance is 2 miles for children under 8 years old and 3 miles for children of 8 or over.

ii   Children with SEN, disabilities or mobility problems
These children may live within the statutory walking distance and have special educational needs, a disability or mobility problem which means that they cannot reasonably be expected to walk to their school and no suitable arrangements have been made by the LA to enable them to attend a nearer school.

iii   Children whose route to school is unsafe
The Statutory walking distance is measured by the shortest safe walking route to school. Children living within the statutory walking distance, who cannot reasonably be expected to walk to their nearest suitable school, because the route is deemed to be unsafe.

iv   Children from low income families

Secondary school age children who attend school over 2 and up to 6 miles from their home, even if the school they attend is not their nearest available school. Providing there are not three or more available schools which are nearer to their home, or

Secondary age children from low income families who attend a school over 2 miles but under 15 miles away from home, if their parent has expressed a wish for them to be educated at that particular school based on the parent's religion or belief and, having regard to that religion or belief, there is no nearer available school. This applies to parents with a particular religious or philosophical belief, including those with a lack of religion or lack of belief.

Primary age children (aged 8 – 10) from low income families who live more than 2 miles (rather than 3) from their nearest suitable school.

8.   **Definition of offered school**

The LA is not able to provide free Travel Assistance to Pupils or Students who are attending private or fee paying schools.

BARNSLEY METROPOLITAN BOROUGH COUNCIL

This matter is a Key Decision within the Council's definition and has been included in the relevant Forward Plan

Joint report of the Executive Directors of Place and Core Services

Implementation of the Apprenticeship Reforms

1. Purpose of report

1.1 To highlight and note the effect of the Government's reforms to apprenticeships and to support their implementation within Barnsley Council and its maintained schools.

1.2 To seek approval to put in place processes and provision to support the apprenticeship reforms, including:
  ➢ A procurement process, and;
  ➢ Strategic management and co-ordination through existing Future Council governance arrangements.

2. Recommendations

It is recommended that:

2.1 Cabinet agrees a procurement exercise be undertaken to identify apprentice training and assessment providers in line with Barnsley Council's duties under the apprentice reforms as set out in Appendix 1.

2.2 It is proposed that the Executive Director Senior Responsible Officer, tasked with chairing the Organisational Improvement Board will approve the award of the contract to the successful providers on the basis of the tender evaluation criteria.

2.3 Cabinet agrees that responsibility for the strategic management and co-ordination of the apprenticeship reform is through the Organisation Improvement Board. An operational group will be established to provide support to the Board consisting of key officers from across the council and representation from the Council's maintained schools.

3. Introduction – Apprenticeship reform overview

3.1 The Government is committed to increasing the growth of apprenticeships as a viable and significant option for developing skills and employment opportunities. There is a commitment to 3 million apprenticeship starts in the UK economy by 2020 and to facilitate this there are major changes in apprenticeship national policy and the introduction of some significant reforms. These reforms are covered in the Government's proposals and legislation, including:

- The Queens Speech 2105
- Further Education and Training, June 2015, Department for Business, Innovation and Skills
- Welfare Reform and Work Act 2106
- Enterprise Act 2016.

3.2   One of these reforms is the introduction of the apprenticeship levy. In November 2015 the then Chancellor announced he would introduce a new apprenticeship levy of 0.5% on company payrolls which are in excess of £3m to raise £3bn a year, funding three million apprenticeships.

3.3   This report will take forward the work and outcomes of the Apprenticeship Reform Implementation Group which was established by a previous Senior Management Team (SMT) report.

3.4   For the Council, this means that the levy, combined with central government's 10% top-up, will be approximately £705,000 per year (£345,000 core council plus £360,000 maintained schools). This will be available in its digital apprenticeship account (DAS) to commission apprentice training and assessment. Berneslai Homes will have its own DAS.

3.5   The apprenticeship funding rules will require all employers to adhere to the procurement requirements. For the Council, this will mean that we can no longer continue the current arrangements with our apprenticeship training providers i.e. Barnsley College. They will be invited to participate in the procurement exercise described at Appendix 1.

3.6   Other apprenticeship reforms include:

- All public sector organisations will have a legal duty to support apprenticeship starts and will be set a target of a minimum of 2.3% of their workforce. The target will come into force in April 2017, with first reporting due in 2018. This gives a national recruitment target of 200,000 more apprentices by 2020;

- Employers will be expected to be more directly involved in investing and supporting apprenticeship activity and developing new standards and frameworks;

- The value of apprenticeships is to be realigned. The term is to be protected by law and there is an expectation that the apprenticeship route can be used to achieve knowledge and skills up to an equivalent of Masters Level. A significant growth in the number of higher level apprenticeships is anticipated;

- Promotion of apprenticeships as a significant source of workforce development training for existing employees in addition the more traditional view of their use as entry into employment for young people and adults.

4.   Proposal and justification

4.1   That Cabinet approves the apprenticeship training provider procurement process. This will allow the Council to procure, contract with and have in place apprenticeship training and assessment provision in support of its apprenticeship programmes. Under the apprenticeship funding rules there is no other option, we must follow the procurement process.

4.2   As outlined in Appendix 1, it is proposed to manage the procurement process using a Dynamic Purchasing System (DPS). Successful applicants through this process will be included on the DPS having gained inclusion on the RoATP and evidenced a suitable business structure and successful experience in delivering training of this type. This process is to be managed by the Procurement Team as there is no spend being guaranteed at this point.

4.3   When specific apprenticeships arise, a further competitive process with all providers awarded to the DPS will be undertaken. Evaluation at this stage will focus on:
   • Completion rates of the previous candidates of the type of course
   • Learner satisfaction rates to ensure the positive progression of those starting courses
   • Provider continuity to ensure consistency in delivery of the training
   • Knowledge and expertise of the provider in this field and how this will provide a benefit to the Authority
   • Flexibility in terms of delivery of the training to meet the specific needs of the organisation and the type of candidate
   • Providers ability to engage with, and support, the development of vulnerable groups in the community
   • Cost of training provision in line with government bandings

4.4   It is proposed that the Executive Director Senior Responsible Officer, tasked with chairing the Organisational Improvement Board will approve the award of the contract to the successful providers on the basis of the tender evaluation criteria.

4.5   By doing this the Council will be able to:

   • Continue to offer apprenticeships from the 1st May 2017 onwards, aiming to meet the public sector target imposed on it, and;
   • Maximise the use of its levy and avoid underspend, or ultimately, the loss of this funding.

4.6   That Cabinet approve the establishment of the 'Apprentice Programme Board' to ensure that the Council, and its maintained schools, has in place a robust and effective process to support the implementation and on-going coordination and performance management of the apprenticeship programme.

4.7   By doing this the Council will be able:

   • To provide a cohesive strategy to ensure the apprenticeship reforms are implemented effectively across the Council and maintained schools;
   • To influence the retention of talent and develop higher level skills within the existing workforce;

- To contribute to the delivery of the the Council's Key priorities and outcomes within the corporate plan, as described in 11.1 below, and;
- Award contracts to suitable training and assessment providers.

4.8   It will also allow the Council continue exploring models of support and engagement with employers through the; Sheffield City Region (SCR), Local Enterprise Partnership (LEP), Combined Authority, Enterprising Barnsley, together with the production of option appraisals to address the key challenges. This will support the:

- Creation of accessible and aspirational apprenticeship route ways for young people and adults within the SCR (including those already in employment);
- Achievement of apprenticeship growth across all employers, with an emphasis on LEP priority sectors and a focus on higher levels across all sector subject areas, and;
- Successful management of the transition of the apprenticeship reforms in the SCR, supporting all relevant stakeholders through the process.

4.9   Apprenticeship opportunities within the Council and its maintained schools will also include the existing workforces. Therefore, apprenticeships will be used to support workforce development strategies and plans. The strategic board will determine the workforce development needs and priorities and link these to the appropriate apprenticeship standards, see Appendix 2. This will mean that the levy can be utilised to support corporate aims and identified individual development needs.

4.10   It is recognised that implementation of the apprenticeship reform and levy will require additional support to ensure it is managed effectively. This will be dealt with by a separate delegated report.

5.   Consideration of alternative approaches

5.1   In relation to the procurement of training and assessment providers, no other approaches are possible. Without the procurement process, the Council and its maintained schools will be unable to contract providers to deliver apprentice training. If this were the case it would be possible to offer any apprentice starts with the consequence that the Council would fail to achieve its public sector target for apprentice starts.

5.2   It is essential that the Council puts in place performance management and governance arrangements.

6.   Implications for local people / service users

6.1   The apprenticeship programme will provide opportunities for local people, including the disadvantaged, vulnerable and those not represented in the workforce. It will also provide development opportunities for our existing workforce.

7.   Financial implications

7.1   Consultations on the financial implications have taken place with representatives of the Director of Finance, Assets & IT

7.2 The Chancellor of the Exchequer in his 2015 autumn budget announced that from 1st April 2017 all businesses with a pay bill in excess of £3 Million would be required to set aside 0.5% of its total pay bill to be set aside as a levy to support the training of the apprentices it employs.

7.3 This levy is to be paid into the Council's HMRC digital account. This levy can then be drawn down during each financial year to pay the associated training costs. Apprentice service account funds will expire after 24months. Whenever a payment is taken from the account, the service automatically uses the funds that entered the account first to minimise the amount of expired funds..

7.4 Provision for the Council's core proportion of the apprenticeship levy (£0.345M pa) has been included within the 2017/18 budget setting process recently approved at Council.

7.5 In addition to the above the Council will also be responsible for collecting and administering the apprentice levy on behalf of maintained schools. It is estimated that the total levy for all maintain schools will be in the region of £0.360M per annum. This will be collected from individual schools budgets resources and paid into the Councils digital account. Schools will then be required to provide the Council with information on monies spent in order to be reimbursed up to the amount paid.

7.6 The financial implications are shown on the attached appendix A.

8. Employee implications

8.1 Part of the levy will be ring-fenced to fund training and assessment of existing Council employees undertaking an apprenticeship as part of the corporate workforce development offer. This annual programme will be developed to support the business and development needs of the Council together with the identified personal development needs of our employees.

8.2 It expected that approximately 30% of the levy will be used to support new starts. This will contribute to the achievement the 2.3% public sector target. It will also allow the continuation of the existing Pathways to Success programme. The other 70% will be utilised for the Councils workforce development programme.

9. Communications implications

9.1 Internal and external communications will be an important part of the roll out of the apprenticeship programme. A communications and marketing plan will be developed and implemented in conjunction with the internal provision. Successful training providers will also be required to have in place a communications plan.

10. Consultations

10.1 These proposals have been developed by the Council's Apprenticeship Reform Steering Group. The steering group is comprised of representatives of:

- Employment and Skills
- Organisation and Workforce Improvement

- Financial Services
- Strategic Procurement and Commissioning Support
- Berneslai Homes

10.2 The relevant directorate management teams and the Senior Management Team have been consulted.

10.3 The Schools Forum has received a presentation and will continue to receive updates.

10.4 The Service Director, Education, Early Start and Prevention has been consulted.

10.5 The Principal, Horizon Community College and Chair of the Schools Alliance Board has been consulted.

10.6 The Trade Unions have been consulted.

10.7 The Equality and Inclusion Manager

11. The Corporate Plan and the Council's Performance Management Framework

11.1 The proposals in this report are consistent with Council's Corporate Plan, Thriving and Vibrant Economy 2020, as it directly contributes towards the following outcomes:
- Outcome One - Create more and better jobs and good business growth
- Outcome Two - Increase skills to get people working.

By doing so it will also support the following Council strategies:

- Jobs and Business Plan
- Employment and Skills Strategy – More and Better Jobs
- Workforce Development Strategy
- The Local Plan.

This will lead to people achieving their potential, and a thriving and vibrant economy by raising aspirations, increasing skills and supporting people to access more and better jobs.

11.2 Apprenticeships are currently measured within the Council by performance indicator OC16 Number of apprenticeship opportunities created by the council, but not necessarily on the payroll, as a percentage of the total workforce. The current target is 2.5% of the workforce.

11.3 New Public Sector target is 2.3% of workforce on payroll as apprenticeship starts each year. This is a significantly different calculation to the one currently in use by the council and hence it has been proposed to add this indicator from April 2017. Using the new calculation, the council's performance is currently at 1.2%. This lower performance is due to:

- The apprenticeships created through Area Councils not being eligible as the apprentices are not on council payroll;

- The current performance measure includes apprentice opportunities some of which are vacant and can't be classed as a start.

Achieving our Public Sector target of 2.3% will require an increase in apprenticeship starts in order to achieve the 75 starts required across core council and the 40 required across maintained schools. It should be noted that the 2.3% target as an average over four years could mean that underachievement in any one year could adversely affect achievement in subsequent years.

12. Promoting equality, diversity, and social inclusion

12.1 The proposal includes proactive support to promote social inclusion and to support people to address barriers to labour market participation and access to employment.

12.2 Some people face significant barriers to employment and skills development. The apprenticeship reforms will enable the Council to support the needs of these groups by; identifying any gaps in current service delivery, providing appropriate priorities for future focus and activities to ensure the recruitment benefits all sections of the community. In particular the strategy will consider the needs of:

- Disabled people
- People with long term health conditions
- People recovering from mental health
- BME people, including refugees and new arrivals to the Borough
- Young people leaving care
- Young People not in Education, Employment or Training (NEETs)
- Those involved in youth justice.

12.3 The recruitment of apprentices will be pro-active, supporting the Council's targets for workforce equality and inclusion. The procurement process will look at how potential training providers will encourage and support the recruitment of apprentices and their learning programme from those areas that are under represented. The Board will monitor and report this area on an on-going basis.

12.4 The procurement exercise will include a robust approach in this area to ensure that training and assessment providers can actively support equality, diversity and social inclusion. See Appendix 1.

13. Tackling the Impact of Poverty

13.1 Apprenticeships will be open to all, including those from disadvantaged and vulnerable groups. The positive impacts of personal development and employment on poverty and health are well documented, including building; independence, self-esteem and confidence which is often lacking in people in these groups.

14. Tackling health inequalities

14.1 Apprenticeships will be open to all, including those from disadvantaged and vulnerable groups. The positive impacts of personal development and employment on poverty and health are well documented.

15. **Reduction of crime and disorder**

15.1 Helping people to progress their skills at all levels and to gain employment will provide an indirect benefit to reducing crime and disorder.

16. **Risk management issues**

16.1 Barnsley starts from a low base position in terms of its key economic and skills indicators, namely; to reduce the numbers of people with no qualifications to and increase Level 2 and Level 3 achievement in order to reach the Yorkshire and Humber average. Moving forward however, the borough needs to accelerate skills development in order to keep abreast of wider change such as the introduction of the living wage.

16.2 Central budgets for skills are diminishing with increasing emphasis being placed on self-funding for higher level skills. It will be important to maintain and build engagement with city region partners to ensure the borough continues to access the funding to support skills progression, but also to ensure financial capacity remains to enable people to develop from a low skills and wage base.

16.3 The Council's Apprenticeship Reform Steering Group has produced a risk register covering the first year of the apprenticeship reforms. These are monitored on a regular basis and mitigations are put in place to address the identified risks.

17. **Compatibility with the European Convention on Human Rights**

17.1 The proposal is fully compliant with the European Convention on Human Rights.

18. **Glossary**

DAS – Digital Apprenticeship Service
BME – Black Minority Ethnic
DPS – Dynamic Purchasing System
OJEU – Official Journal of the European Union
SMT – Senior Management Team
NEETs – Not in Education, Employment or Training
SCR – Sheffield City Region
LEP – Local Enterprise Council

19. **List of appendices**

Appendix A – Financial Summary
Appendix 1 – Procurement of apprenticeship training providers

20. **Background papers**

22.1 Apprenticeship Funding, Department for Education, October 2016
22.2 Employer Provider Guide, Department for Education, October 2016
22.3 Supporting Quality and Employer Choice Through a New Registration of Apprenticeship Training Providers, Skills Funding Agency, October 2016
22.4 Joining the Register of Apprenticeship Training Providers – Application Instructions, Skills Funding Agency, October 2016

22.5   The Register of Assessment Organisations, Skills Funding Agency, September 2016
22.6   Apprenticeship Funding, National Apprenticeship Service, September 2016
22.7   Apprenticeship Targets For Public Sector Bodies, Department for Education, January 2017
22.8   Apprenticeship Funding: Rules and Guidance for Employers, Skills Funding Agency, January 2017

Officer Contact: Jeffrey Townend, Telephone No 01226 773223,
                 Trevor Hewitt, Telephone 01226 772378, Date 10th February 2017

| Financial Implications / Consultation   ……………………… |
| *(To be signed by senior Financial Services officer where no financial implications)* |

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Report of the Executive Director Place

FINANCIAL IMPLICATIONS

Implementation of the Apprenticeship Reforms Report

i) **Capital Expenditure**	2016/17 £	2017/18 £	2018/19 £	2019/20 £
none in this report				
	0	**0**	**0**	**0**

To be financed from:

ii) **Revenue Effects**	2016/17 £	2017/18 £	2018/19 £	Future Years £
Apprenticeship training and assessment - through Digital Apprenticeship Account (DAS)		705,000	705,000	705,000
	0	**705,000**	**705,000**	**705,000**

To be financed from:

BMBC 2020 budget process		345,000	345,000	345,000
Maintained Schools Delegated Budgets		360,000	360,000	360,000
	0	**705,000**	**705,000**	**705,000**

Impact on Medium Term Financial Strategy

Not applicable in this report

Agreed by: ....09/03/2017.....On behalf of the Director-Finance, Assets & IT

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Appendix 1.

The proposed procurement of apprenticeship training providers

The proposal is to manage this via a Dynamic Purchasing System (DPS). This option is available for the purchase of "commonly used" goods, works or services, which this would qualify for at the expected annual values.

It will be advertised by way of a contract notice, using the open procedure via OJEU to the European market.

All candidates that meet our defined selection criteria and submit compliant indicative tenders will be invited to join the DPS. As a DPS it must be open throughout its duration, even to those candidates who missed the first opportunity to join can apply to join at a later date.

Through consultation with the implementation working group a robust specification of our requirements from providers has been developed to ensure minimum standards have been clearly defined in terms of what we expect and want to deliver to new and existing workforce in terms of skills development and efficient utilisation of the levy fund.

Consideration has been paid in this process to the strategic values of the Council and Berneslai Homes in looking to enhance the skills of the workforce and give further opportunities to grow and develop the workforce in the Borough. Regards social value the specification of requirement also pays particular attention to the need to develop new workforce, from a range of backgrounds and social circumstances to ensure active engagement and development with vulnerable groups in the community.

The evaluation criteria for award to the DPS will be based on pass/fail criteria in relation to the following;
- Confirmation of inclusion on the RoATP register. This will ensure they are able to demonstrate compliance with the Government standards
- Confirmation that they will look to utilise RoAAO assessment centres, so we can ensure robust assessment in line with Government standards
- Confirmation that they have the correct business structure and set up to be able to provide training as and when a specific requirement is identified
- Experience in delivering training of this type, scale and scope

At this stage the providers will also be requested to inform the Authority specifics around the types of apprentice training they can support.

The DPS submission process will be managed in rounds, so that all providers know the deadlines when their submissions must be received to ensure they are evaluated within a particular round. As the DPS must remain open for its duration as each round closes to allow evaluation the next round will then open immediately.

The management of the submissions by providers will be managed by the Procurement team in the main, with the operational working group established being provided with a regular update on the new providers evaluated in each round.

When the need for a specific apprentice arises, a further competition process will be undertaken with all providers awarded to the DPS at that point who said they could deliver this type of training. The evaluation of the providers at that stage will look specifically at the type of training required and a price/quality evaluation. The quality will focus around the following;

- Completion rates of the previous candidates of the type of course
- Learner satisfaction rates to ensure the positive progression of those starting courses
- Provider continuity to ensure consistency in delivery of the training
- Knowledge and expertise of the provider in this field and how this will provide a benefit to the Authority
- Flexibility in terms of delivery of the training to meet the specific needs of the organisation and the type of candidate

The price evaluation will be done to assess the quoted costs for the total training from each provider. The expectation is that pricing will be within the Government bandings, defined by the type and level of apprentice training being sought so there is some control on the costs expected.

The price/quality weighting must be set out in the original Contract notice, although the exact quality questions may be formulated more precisely for the specific contract needs. The aim of these questions is to ensure that the provider sought for one or multiple apprentice requirements is evaluated at this stage based on their overall competency in relation to the exact needs we have identified at that point.

The further competition process will have input from all parties to be included in the operational working group to ensure consistency in approach.

Our current proposal is to look to formulate the tender documentation for publication to the market in April - May, with a view that prospective providers will be assessed for the DPS stage as per the timelines for each round, currently planned for monthly.

This will then allow sufficient time for one or more specific tender exercises to be undertaken and awarded by June-July, when the levy fund is available to spend. The DPS will be advertised for an initial period of 12 months, with options to extend for 1 year and 1 year.

This procurement process (as opposed to a traditional open tender or Framework) allows the flexibility to accept multiple providers (for the breadth of different courses) throughout the life of the DPS and therefore those providers who are not yet registered to be able to access the levy have time to apply, but we have a formal contracting arrangement in place to be able to utilise the levy from when it becomes available.

Barnsley Metropolitan Borough Council

This matter is not a Key Decision within the Council's definition and has not been included in the relevant Forward Plan

Report of the Executive Director, Place

BLYTHE STREET, WOMBWELL

INTRODUCTION OF WAITING RESTRICTIONS

OBJECTION REPORT

1. Purpose of Report

1.1 The purpose of this report is to consider the objections received to the proposal to introduce a Traffic Regulation Order (TRO) necessary to implement a prohibition of waiting at any time at Blythe Street and its associated side streets, as detailed in Appendix 1.

1.2 To seek approval to implement the proposals originally advertised, as shown in Appendix 1.

2. Recommendation

It is recommended that:

2.1 **The objections received to the proposals are overruled and the objectors informed accordingly.**

2.2 **The Head of Highways, Engineering and Transportation and the Director of Legal and Governance be authorised to make and implement the Traffic Regulation Order.**

3. Introduction/Background

3.1 In November 2015, planning permission was granted for a new development consisting of 43 properties on the site of the former Highfield Grange care home at Colewell Close, Wombwell.

3.2 As part of planning approval, it was conditioned that new waiting restrictions would be required at the junctions of John Street/Blythe Street and Main Street/Blythe Street, to prevent indiscriminate parking and improve visibility and manoeuvrability through the junction .

3.3 Following a site survey, it was determined that junction protection would also be required at Bartholomew Street and Myrtle Road, as otherwise displaced parking could create visibility issues at these junctions.

3.4 It was also identified that a minimum of junction protection would be of benefit to Highfield Court in anticipation of increased traffic to the new development.

3.5 A scheme to introduce waiting restrictions in Blythe Street/John Street and Blythe Street/Main Street has been designed to meet the condition of the planning consent.

3.6 A Traffic Regulation Order (TRO) to introduce the proposed waiting restrictions received officer delegated approval on 26/09/16, was advertised between 28/10/16 to 21/11/16 and attracted 10 objections from 10 residents.

3.7 During the consultation period the developer applied for a temporary TRO (TTRO) to introduce 'no waiting at any time' restrictions on Blythe Street/Main Street, Blythe Street/Bartholomew Street and each end of John Street in order to facilitate the access and egress of construction vehicles from the new development site, as shown at Appendix 3.

3.8 A temporary TRO does not require advanced notification, and as such several residents complained because this lining removed parking space outside their properties.

3.9 During the consultation period, the Traffic Group has attempted to ensure that the objections received are to the proposed permanent 'No waiting at any time' restriction, rather than the 'No waiting at any time' TTRO. The objections are shown at Appendix 2.

4. **Consideration of Alternative Proposals**

4.1 Option 1 – Overrule the objections and proceed with the proposals as shown in Appendix 1 **(recommended option)**.

4.2 Option 2 – Amend the proposals to accommodate the objectors. This option is not recommended as it does not address the planning conditions identified in the report, and would also leave the junctions without sufficient protection.

5. **Proposal and Justification**

5.1 It is proposed to add a prohibition of waiting (at any time) to the junction of Main Street/Blythe Street, Blythe Street/Myrtle Road, Blythe Street/Bartholomew Street, Blythe Street/John Street and Blythe Street/Highfield Court.

5.2 The proposal is justified on the basis that it removes indiscriminate parking from the affected streets, and improves visibility and road safety at the junctions.

6.0 **Objections**

6.1 As a result of advertising the proposals, 10 objections were received. The main issue raised was the availability of on-street parking for residents as detailed in Appendix 2.

7.0 **Impact on Local People**

7.1 Some residents may be affected by not being able to park directly outside their property. However, there is no right to be able to park on the public highway, and alternative on-street parking is available elsewhere.

7.2 The scheme has been designed to prevent indiscriminate parking close to road junctions, and this will have a positive impact on road safety.

8.0 **Compatibility with European Convention on Human Rights**

8.1 There is not considered to be any potential interference with European Convention on Human Rights as the proposals aim to create a safer environment and prevent indiscriminate parking.

9.0 **Promoting Equality, Diversity and Social Inclusion**

9.1 There are no equality, diversity or social inclusion issues associated with the proposals.

9.2 There are no dedicated disabled only parking facilities existing within the proposed scheme. Through the objection process, we have been notified of a blue badge permit holder on Myrtle Road. These facilities have been considered, but due to road safety concerns, the scheme cannot permit parking outside the residence. However, unrestricted on street parking is available in the immediate vicinity.

10.0 **Reduction of Crime and Disorder**

10.1 In investigating the options set out in this report, the Council's duties under Section 17 of the Crime and Disorder Act have been considered.

11 **Road Traffic Regulation Act 1984**

11.1 Due regard has been given to the duty imposed on the Council to exercise the functions conferred on it by the Road Traffic Regulation Act 1984 so as to secure the expeditious convenient and safe movement of vehicular and other traffic (including pedestrians) and the provision of suitable and adequate parking facilities on and off the highway (section 122 Road Traffic Regulation Act 1984).

12.0 **Conservation of Biodiversity**

12.1 There are no conservation of biodiversity issues associated with the proposals.

13.0 Risk Management Issues including Health and Safety

13.1

Risk	Mitigation/Outcome	Assessment
1. Challenge to the proposals because they infringe the Human Rights Act	Issues relating to potential interference with the Human Rights Act are fully explained and dealt with in Section 8 of this report. Any considerations of impacts have to be balanced with the rights that the Council has to provide a safe highway for people to use. The Director of Legal and Governance has developed a sequential test to consider the effects of the Human Rights Act which are followed.	Medium
2. Legal challenge to the decision to make the TRO.	The procedure to be followed in the publication and making of TROs are set down in statute, which provides a 6 week period following the making of an order in which a challenge can be made in the High Court on the grounds that the order is not within the statutory powers or that the prescribed procedures have not been correctly followed. Given that the procedures are set down and the Council follows the prescribed procedures the risk is minimal.	Medium
3. Deterioration of health and safety	Health and Safety is considered throughout the design/installation and maintenance process to minimise any potential occurrence. The proposals have been designed to improve road safety by protecting junction visibility sight lines for traffic emerging from side roads and improve visibility for and of pedestrians crossing Blythe Street and its associated side streets.	Low

14.0 Financial Implications

14.1   There are no new financial implications associated with the objection report. The costs of advertising, legal fees, road markings and signs in connection with the TRO are estimated at £5000 and are being funded by the developer, Gleeson Developments Ltd.

15.0 Employee Implications

15.1 Existing employees in the Highways, Engineering and Transportation Service will undertake all design, consultation and implementation work. The Director of Legal and Governance will undertake all legal work associated with the advertising and making of the TRO.

16.0 Glossary

- TRO – Traffic Regulation Order

17.0 List of Appendices

- Appendix 1 – Plan showing the proposals - TR/3790/Appendix 1
- Appendix 2 – Summary of Objections to the Proposals
- Appendix 3 – A plan of the temporary traffic restrictions installed during the construction of the new development.

18.0 Background Papers

Officer Contact: Adam Davis   **Telephone No:** 787635   **Date:** January 2017

BLYTHE STREET, WOMBWELL
INTRODUCTION OF WAITING RESTRICTIONS
OBJECTION REPORT

a. Financial Implications

The financial Implications for the proposals are detailed in Paragraph 14.

b. Employee Implications

Employees in the Highways, Engineering and Transportation Service will undertake all design, consultation and implementation work. The Director of Legal and Governance will undertake all legal work associated with the advertising and making of the TRO.

c. Legal Implications

The proposal requires the advertisement of the TRO, which can be objected to and challenged if procedures are not adhered to, as detailed in Paragraph 13.

d. Policy Implications

The proposal promotes the Council's policies in respect of road safety and danger reduction.

e. ICT Implications

There are no ICT implications associated with the proposals.

f. Local Members

Consultations took place with the Wombwell Ward Members and no adverse comments were received. There is no Parish Council to consult.

g. Health and Safety Considerations

The proposal is designed to promote road safety.

h. Property Implications

There are no property implication issues associated with the proposals.

i. Implications for Other Services

There are no significant implications for other BMBC services arising from the recommendations in the report. The Director of Legal and Governance will undertake all legal work associated with the advertisement and making of the TRO.

j. Implications for Service Users

There are no service user implication issues associated with the proposals.

k. Communications Implications

There are no communications implication issues associated with the proposals.

BLYTHE STREET, WOMBWELL

INTRODUCTION OF WAITING RESTRICTIONS

OBJECTION REPORT

Appendix 2

Summary of Objections

Nature of Objection

1 number resident has objected to the introduction of waiting restrictions outside their property which run along their frontage on Myrtle Road. She was concerned that the proposals will remove parking for her disabled husband, and that he would struggle to park elsewhere.

BMBC Response:

1. Parking has been removed from areas where vehicles are likely to cause a road safety hazard. At this location, parked vehicles could create visibility issues for vehicles entering and exiting the junction of Myrtle Road / Blythe Street.
2. Parking will be possible on the rest of Myrtle Road. The Highway Code states that cars should not park within 10 metres of a junction, which is the extent of the proposed lines. Unfortunately, no-one has the right to park outside their property.
3. Whilst the council appreciates the difficulties of the disabled, the restrictions are designed to prevent vehicles blocking the junction in the interests of road safety.
4. Alternative on-street parking is available within very close proximity of the objector's property.

Nature of Objection

9 number residents objected to the proposed restrictions as they would remove on street parking, and displace parked vehicles. All the objectors felt that the restrictions should be reduced.

BMBC Response:

1. Parking has been removed from the areas surrounding the junctions to improve road safety and to allow vehicles to enter/exit the streets easier.
2. The restrictions were designed to maximise parking, with junction protection on one way streets reduced to 5 metres.
3. Unfortunately, no-one has the legal right to park outside their home. The Council has a responsibility to ensure the free flow of traffic, which these restrictions are designed to achieve.

Allotment Gardens

High View Primary Learning Centre

BARNSLEY ROAD

MYRTLE ROAD

MAIN STREET

JOHN STREET

HIGHFIELD COURT

HIGHFIELD COURT

BLYTHE STREET

PRINCESS STREET

MOUNT TERRACE

VICTORIA RD

Key

—— Proposed prohibition of waiting at any time.

▨ Existing one way street.

Rev.	By	Amendments	Date

BARNSLEY
Metropolitan Borough Council

Project
Blythe Street
Wombwell

Drawing title
TRO
Proposed Works

Scale	Drawn	Checked	Date
1:1000	AD		12/08/16

Drawing No.	File
TR/3874/Appendix1	3874

Paul Castle
Service Director, Environment & Transport.
Place Directorate.
Westgate Plaza, Barnsley, S70 2DR.
Tel. (01226) 773555 Fax. (01226) 772110

COMPUTER FILE NAME

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BARNSLEY METROPOLITAN BOROUGH COUNCIL

This matter is a Key Decision within the Council's definition and has been included in the relevant Forward Plan

Report of Matthew Gladstone
Executive Director Place

Acceptance of Funding for Great Place Scheme: Seamless: transforming communities through culture

1. **Purpose of report**

   The purpose of this report is to seek approval to accept funding of £1,264,000 from the Heritage Lottery Fund (HLF) and Arts Council England (ACE) to enable the delivery of the Great Place Scheme, a partnership programme between Barnsley Council and Rotherham Council using culture as a driver for social and economic change. It also seeks approval for Barnsley Council to act as the Accountable body for the delivery of the scheme, and for us to enter into a Partnership Agreement with Rotherham Council for its delivery.

2. **Recommendations**

   It is recommended that the funding of £1,264,000 is accepted; that we enter into a partnership agreement with Rotherham Council for its delivery; and that Barnsley Council takes the role of Lead Partner and Accountable Body in line with the conditions of the grant. It is also proposed that the project commences in May 2017 for three years.

3. **Introduction**

   The pilot Great Place Scheme - one of the flagship measures from the Government's Culture White Paper – has two central aims: to ensure that the considerable investment in culture made by organisations like the Heritage Lottery Fund (HLF) and Arts Council England (ACE) has the maximum positive impact on jobs, economic performance, educational attainment, community cohesion and health and wellbeing; and to enable ambitious civic organisations and local businesses and communities to invest in and put culture at the heart of their thinking.

   There will also be complementary support from other organisations where relevant, such as Historic England through its Heritage Action Zone initiative (Elsecar has also secured Heritage Action Zone (HAZ) status and the schemes are complimentary).

A Partnership created by Barnsley Council and Rotherham Council, has been successful in winning a grant of £1,264,000 million, to deliver activities focused on the rich heritage stories of the South Yorkshire villages of Elsecar and Wentworth.

The money received from the Heritage Lottery Fund, Arts Council England and Historic England, will be critical in achieving the ambitions of the two places to be recognised for their great potential as major visitor destinations and by the need to drive social change inspired by Child Poverty Report by Barnsley Central MP Dan Jarvis.

The project hopes to raise the aspirations of young people in the local area and help them achieve their potential using new, innovative channels of engagement. The funding will deliver a range of exciting cultural activity, inspired by the rich history linked to the fascinating Wentworth Woodhouse and Earl Fitzwilliam's industrial empire at Elsecar.

Through their combined efforts, capacity building and skill sharing the Partnership will create a child focused programme tackling critical issues facing the Boroughs such as educational attainment and health and wellbeing. This will be achieved in a variety of ways such as; events, cultural activities and creating opportunities for economic growth. By bringing local communities together in this way there will be an increased sense of identity and belonging which the collaborating organisations hope will reignite pride and ambition. This programme will not only benefit the people from Elsecar and Wentworth localities but from all across Barnsley and Rotherham.

Elsecar village was transformed in the 1700s by the Earls Fitzwilliam into a thriving centre of iron and coal, which was often visited by aristocrats and royalty. For 150 years it was the industrial estate village of Wentworth Woodhouse just a mile away, and was developed by the Marquis of Rockingham and Earls Fitzwilliam into a model village.

Wentworth Woodhouse, situated on the border of Rotherham and Barnsley, is a Grade I listed country house in South Yorkshire, with the longest façade of any country house in England. It has recently been purchased by the Wentworth Woodhouse Preservation Trust, with whom the Partnership will be working closely.

Ros Kerslake, HLF Chief Executive said: "The Great Place Scheme is something new and really quite radical. The aim is to bring together National Lottery investment and local ambition, to make a difference to people across entire communities. It's a bold plan and I am looking forward to seeing some innovative and exciting results from this pilot project."

4. **Proposal and justification**

This funding is a critical step in the delivery of the vision to establish Elsecar as a major tourist destination, and in establishing a strong partnership with Rotherham Council, and the Wentworth Woodhouse Preservation Trust in telling the story of these immensely important places. The project will have significant social and economic impact for communities across both Boroughs with a focus on working with young people to raise aspirations using culture as inspiration.

5. **Consideration of alternative approaches**

There are no other funding streams available at this stage which would enable this programme to commence.

6. **Implications for local people / service users**

There will be multiple benefits for local communities and visitors alike. This will include new festivals, education programmes in secondary schools, community archaeology events and targeted interventions.

7. **Financial implications**

7.1 The council in partnership with Rotherham MBC has been successful in securing funding totalling £1.264M from the Heritage Lottery Fund and Arts Council.

7.2 Approval is therefore sought to accept this funding. The money will be spent

8. **Employee implications**

The funding covers the creation of four roles to deliver the programme on fixed term three year Barnsley Council contracts: Project Manager, Youth Engagement Officer, Arts & Heritage Officer and a Project Support Officer. These will be advertised externally in line with the conditions of the grant, and will be based at Elsecar Heritage Centre.

9. **Communications implications**

The funding includes a budget for marketing and communications, and good news stories will be regularly communicated.

10. **Consultations**

Consultations have taken place with Unions, Human Resources, Risk Management and Financial Services.

11. **The Corporate Plan and the Council's Performance Management Framework**

This project is focused on the Council's ambitions to build our visitor economy and help people achieve their potential.

12. **Promoting equality, diversity, and social inclusion**

This programme is focused on breaking down barriers to participation in cultural activity, tackling inequality caused by socio-economic factors, tackling the poverty of aspiration and raising educational attainment.

13.   Tackling the Impact of Poverty

Cultural engagement is low in Barnsley and Rotherham, with only just over 35% of people engaging in arts and heritage activity, placing them in the lowest 20% of Local Authorities. Barnsley and Rotherham have very high levels of child poverty – around 25%. Both authorities are ranked as areas of very high deprivation. Our Corporate Plans reflect the need to tackle these problems, and we want to demonstrate that culture is a key part of the solution. We want our Boroughs to become exemplars of how to create and deliver cultural activity that changes lives and gives everyone the opportunity to experience and to be inspired by arts, culture and heritage.

This programme has found inspiration in the recent Child Poverty Report by local MP Dan Jarvis, the priorities of Barnsley Council to help people achieve their potential, and Rotherham Council's ambition to be a child centred borough. We will transform how we and partner organisations engage with children, young people and families to create an exemplar that can be utilised across the country. We will create inspiring child-centred programmes to tackle educational, health and wellbeing issues – all of which are exacerbated by child poverty.

14.   Tackling health inequalities

The child-centred programmes we will deliver will tackle wellbeing issues including obesity and mental health – all of which are exacerbated by child poverty. There will also be a focus on the health benefits of volunteering.

15.   Reduction of crime and disorder

Whilst not a direct aim of the programme we intend to provide programmes which have a positive impact on lives by making small but effective interventions at the right time can improve young people's life chances, stop them 'getting into the system' and supporting them in coming away from it. Intergenerational experiences can also be particularly beneficial and we will work with a wide range of local organisations to achieve this.

16.   Risk management issues

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17.   Health, safety, and emergency resilience issues

There are no direct implications arising from this report.

18.   Compatibility with the European Convention on Human Rights

There are no direct implications arising from this report.

19. **Conservation of biodiversity**

As with the delivery of our current events and activity programme consideration is given to biodiversity issues. It is also intended that part of the events programme will be focused on celebrating our natural environment.

20. **Glossary**

HAZ – Heritage Action Zone
HLF – Heritage Lottery Fund
ACE – Arts Council England

21. **List of appendices**

n/a

22. **Background papers**

The full application and award information is available from Lynn Dunning Group Leader, Arts & Heritage

Officer Contact: Lynn Dunning   Telephone No   X2436
Date 31 March 2017

Financial Implications / Consultation ………………………
(To be signed by senior Financial Services officer where no financial implications)

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Report of the Executive Director Place

FINANCIAL IMPLICATIONS

GREAT PLACES

i) **Capital Expenditure**

	2018/19	2019/20 £	2020/21 £	TOTAL
	0	**0**	**0**	**0**

To be financed from:

ii) **Revenue Effects**

	2017/18 £	2018/19 £	2019/20 £	TOTAL
Expenditure				
Employee Costs (Project Team)	138,550	139,740	141,330	419,620
Running Costs (Projet Team)	13,500	18,000	18,000	49,500
Program Costs	268,000	351,000	335,000	954,000
Total Expenditure	420,050	508,740	494,330	1,423,120
To be financed from:				
Great Places Fund	-367,010	-455,700	-441,290	-1,264,000
BMBC Match Fund (in kind)	-26,520	-26,520	-26,520	-79,560
RMBC Match Fund (in kind)	-26,520	-26,520	-26,520	-79,560
	-420,050	**-508,740**	**-494,330**	**-1,423,120**

The underspend from 2017/18 will be carried forward into future years to as a result of the delay in commencing the programe

Impact on Medium Term Financial Strategy	2017/18 £	2018/19 £	2019/20 £
MTFS	0.000	0.344	-0.703
Effect of this report	0	0	0
Revised Medium Term Financial Strategy	**0.000**	**0.344**	**-0.703**

Agreed by: ....On behalf of the Service Director and Secion 151 Officer -Finance

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BARNSLEY METROPOLITAN BOROUGH COUNCIL

This matter is not a Key Decision within the Council's definition and has not been included in the relevant Forward Plan

**Report of the Executive Director Core Services
and the Executive Director People Directorate**

REVIEW OF THE OVERVIEW AND SCRUTINY COMMITTEE (OSC) SAFEGUARDING WORKSTREAM

1.0   Purpose of report

1.1   To review the arrangements for the Overview and Scrutiny Committee (OSC) following the work programme of the former Safeguarding Scrutiny Committee (SSC) being subsumed into its work programme during 2016/17.

2.0   Recommendations

2.1   That the arrangements outlined in the report be agreed:

2.2   That meetings continue to be set aside on the OSC work programme to consider safeguarding business.

2.3   That minutes from the most recent OSC meeting feed directly into the following meeting rather than the current arrangement of separate streams of general and safeguarding business.

2.4   That the public minute for the private part of the OSC agenda is expanded to provide further information and transparency.

3.0   Background

3.1   As part of an overall governance review in October 2012 a Children's Scrutiny Sub-Committee was established to give greater focus to the scrutiny of Children's Services in response to an adverse Ofsted report. It subsequently became a committee in its own right at Annual Council in May 2013, but still with a small membership of six Elected Members.

3.2   Following Ofsted's judgement that the Council had met all of its obligations arising from the report, the arrangements for scrutiny were also reviewed. Consequently, in May 2015, a Safeguarding Scrutiny Committee (SSC) was established to focus more Member attention on the Council's safeguarding responsibilities, partly in response to new duties arising from the Care Act 2014 as well as the Jay and Casey reports in relation to Rotherham Metropolitan Borough Council (RMBC). The number of Members of the Committee was also increased to 10 to reflect the need for wider Member involvement.

1

3.3   A key role of the SSC had been to challenge Children's Social Care performance information. In view of the confidential nature of the information to be considered to support this activity, the Committee did this as a private workshop session, rather than as a part of its formal agenda.

3.4   At Annual Council on 20th May 2016 an interim decision was made not to appoint the SSC, pending a review to address concerns regarding the small number of Members on the committee as well as a lack of transparency regarding there being no public record of the challenge to Children's Social Care performance information.

3.5   In June 2016, a review was undertaken of the committee and it was agreed that its work programme be subsumed into that of the OSC. During the review, it was also agreed that the business previously considered in the private workshops be formalised as part of the published agenda for the meetings considering safeguarding issues. However, the relevant powers under the Local Government Act 1972 have been invoked in respect of the non-publication of those papers and the press and public formally excluded from the meeting.

4.0   <u>Review</u>

4.1   During the last Municipal Year, the OSC has continued to make good progress and the arrangements have secured more engagement from Members in the scrutiny of safeguarding in a more transparent way, with all 26 Members able to attend for this business but without the complexity of appointing a larger committee in its own right.

4.2   Within these arrangements, the work programme for safeguarding has retained its own distinct identity and focus within the overall OSC work programme. Slots provided in the Council Diary for meetings of the SSC have been used specifically for that business. However, any meeting of the OSC has also been used for safeguarding business, if this allowed more timely consideration of the topic.

4.3   The OSC Chair, Cabinet Spokesperson for People (safeguarding), Executive Director for People and Scrutiny Officer have met regularly regarding the OSC work programme to ensure the timely consideration of safeguarding topics. The fluid approach taken has ensured challenge to the work of for example the Barnsley Safeguarding Adults Board, Barnsley Safeguarding Children Board and Corporate Parenting Panel as well as broader consideration of safeguarding being everyone's business by ensuring services look after the vulnerable, provide early help and are accessible to all, for example through the Adult Social Care Target Operating Model.

4.4   The private part of the OSC meetings to consider Children's Social Care performance information has been formally minuted, but in a way not to disclose exempt information under the terms of the 1972 Act, and so providing greater transparency in terms of the challenge to the service.

4.5   To assist Members in effective challenge of information covered in the private part of the OSC meetings, training and creation of a supporting document have been provided. In addition, the programme of Member Development activity, aimed at reinforcing with Members their corporate parenting and safeguarding responsibilities, has continued, together with supplementary All Member Information Briefings where appropriate.

5.0   Proposal

5.1   It is proposed that meetings continue to be set aside on the OSC work programme to consider safeguarding business, however that a fluid approach will be taken to allow for timely consideration of topics; therefore sometimes both meetings in the cycle will cover safeguarding business.

5.2   Due to the fluid approach to the work programme, the minutes from the most recent OSC meeting should feed into the following meeting for approval no matter what the previous topic, rather than the current bi-monthly arrangement where minutes from safeguarding topic meetings are reported in two meetings' time.

5.3   Work will continue to be undertaken to improve the accessibility of performance reports as well as facilitate deep-dives on specific areas of performance. Member development activity will also continue, to facilitate the committee in the effective challenge of all services.

5.4   To provide further transparency and assertion that effective challenge is provided to Children's Social Care performance information, the public minute for the private part of the OSC agenda will be expanded. This will provide further information regarding the summary of the discussion which takes place, whilst still maintaining appropriate confidentiality of specific information.

5.5   These arrangements will again be reviewed after 9 months' operation, with a view to making any further revisions for May 2018.

6.0   Financial implications

6.1   There are no direct financial implications arising from this report.

6.2   It is noted however that the work of Scrutiny helps to ensure the delivery of value for money services across the Borough.

7.0   Employee implications

7.1   There are no direct employee implications arising from this report.

8.0   Communications implications

8.1   It is noted that the work of Scrutiny keeps under review the performance of the Council and other relevant organisations in providing safeguarding and other services to Barnsley communities. Proactive communication about these services and activities takes place on a regular, planned basis as part of the communication strategy for each directorate.

3

9.0   Consultations

9.1   The Cabinet Spokespersons for People (Safeguarding) and (Achieving Potential), the Cabinet Spokesperson for Corporate Services and the Chair of the Overview and Scrutiny Committee have been consulted in this review, together with the Senior Management Team.

10.0   The Corporate Plan and the Council's Performance Management Framework

10.1   Children's and adults' services, in particular to those who are vulnerable, are a high priority for the Council and the work of Scrutiny promotes this emphasis and contributes to performance improvement.

10.2   The work of Scrutiny also contributes to the achievement of and improvement in services in relation to a number of outcomes identified in the Council's Corporate Plan Performance Report and consideration of quarterly performance reports are annually scheduled into the OSC work programme.

11.0   Tackling health inequalities

11.1   Ensuring the wellbeing and safeguarding of our adults and children continues to be a priority for the Council and its partners. The work of Scrutiny contributes to this work in highlighting issues and ensuring appropriate plans are in place to address them.

12.0   Risk management and health & safety issues

12.1   Over the last municipal year, by subsuming the work of the SSC into that of the OSC has enabled an increased number of Members to be involved in the scrutiny of safeguarding. The scrutiny of this business contributes towards the effective control and mitigation of risks relating to the delivery of these services and protection of vulnerable adults and young people in the Borough.

12.2   Additionally, by formalising the private element of the meeting as part of the published agenda has allowed this to be undertaken in a more transparent way. Going forward, by amending the format in which the private part of the agenda is minuted will enable further transparency in governance, risk management and challenge of services.

13.0   Promoting equality & diversity and social inclusion

13.1   The work of Scrutiny promotes equality and diversity and social inclusion throughout all its work in considering the performance of and improvement in services.

14.0   Reduction of crime & disorder

14.1   As part of Scrutiny's role in performance management and service improvement, work is specifically undertaken in relation to the reduction of crime and disorder through the consideration of particular services and work with partners.

4

15.0 Background Papers

15.1 Cabinet reports relating to the revised Scrutiny arrangements are available on the links below:

- Member Governance arrangements Cab.10.10.2012/6: http://barnsleymbc.moderngov.co.uk/Data/Cabinet/201210101000/Agenda/cab%2010%2010%202012%20c6.pdf
- Revised arrangements for scrutiny of Children's Services / Safeguarding Cab.20.5.2015/10: http://barnsleymbc.moderngov.co.uk/Data/Cabinet/201505201000/Agenda/item%20j10.pdf
- Safeguarding Scrutiny Committee - Review of Arrangements Cab.15.6.2016/14: http://barnsleymbc.moderngov.co.uk/documents/s10571/Safeguarding%20Scrutiny%20Committee%20-%20Review%20of%20Arrangements.pdf

Officer Contact: Anna Marshall **Telephone No:** 01226 775794 **Date:** 20th April 2017

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