

Item 9

Report of the Head of Internal Audit, Anti-Fraud and Assurance

Audit and Governance Committee – 16th November 2022

STRATEGIC CONCERNS / RISK REGISTER

1. Purpose of the report

- 1.1 To introduce the next scheduled strategic risks for the Audit and Governance Committee meeting to consider as presented by the appropriate Executive Director / Service Director.
- 1.2 Three strategic risks will be considered at this meeting:
 - Health Protection – Executive Director Public Health and Communities
 - Partnership & Collaboration Governance – Executive Director Core Services
 - Emergency Resilience – Executive Director Core Services

2. Recommendation

- 2.1 **The Committee is asked to note the update.**

3. Current Position

- 3.1 The Strategic Risk Register was reviewed by the Senior Management Team (SMT) on 30th August and continues to contain 15 risks. SMT determined that 6 risks be classified as **high** (red response rating*) and 9 risks be classified as **medium** (amber rating). No risks are classified as **low** (green rating) in relation to the level of response and intervention required.

* NOTE - The response rating reflects the degree of urgency and importance of the interventions and management oversight rather than the inherent risk.

- 3.2 The actions associated with the 3 risks to be considered in the meeting are included in the attached summary in Appendix 1.

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Date: 2nd November 2022

Strategic Risks to be reviewed in the meeting – November 2022

Risk Title	Risk Description	Impact	Status	Response Rating	SMT Owner
Health Protection Emergency	<p>Risk Description: To continue working with regional and national partners to ensure a strong and robust local health protection system and leadership to implement effective outbreak management processes in place to monitor disease, prevent harm and protect the health of the population of Barnsley.</p> <p>Arrangements are in place and understood by all stakeholders and complied with, to deal with any health protection emergencies which may arise, and which require a Business Continuity response.</p> <p>Risk Assessment: Robust arrangements are required to deal with health protection emergencies - both those already known and those that may arise in the future. Such arrangements are flexible and responsive to deal with emerging threats as well as being able to immediately respond to emergency unforeseen issues.</p> <p>Action 1 All Health Protection Plans are reviewed and tested and reflect health protection issues. RAG rating – Green</p> <p>Action 2 Ensure that Health Protection Plans reflect the necessary multi agency arrangements to deal with the health protection emergency and that these are communicated and tested. RAG rating – Green</p> <p>Action 3 At suitable points in the planning, response and recovery process undertake proportionate debriefing and evaluation with a view to developing a "lessons learnt" from both exercises and incidents and track progress against any actions identified as part of the process. As necessary share lessons learnt with both South Yorkshire and Bassetlaw Health Resilience Partnership and South Yorkshire Local Resilience Forum. RAG rating – Amber</p> <p>Action 4 Council involvement in the UK Covid19 Inquiry. The Council may be required to submit evidence via various bodies including LGA, ADPH and ADASS or, where specifically</p>	Actual	Actual	Medium	ED Public Health and Communities

Risk Title	Risk Description	Impact	Status	Response Rating	SMT Owner
	<p>requested by the Inquiry, as an individual organisation. The evidence may be either documentary or potentially oral. The Inquiry is expected to last for several years, and the Council may be repeatedly involved as the themes emerge. Key risks include:</p> <ul style="list-style-type: none"> • Failure to retain evidence – work is currently underway to archive all records relating to the Council's Covid19 response • Loss of corporate memory – records will be indexed as the Inquiry progresses so that evidence can be identified when required without reliance on key individuals • Impact on business as usual for employees involved in the Inquiry process – due to potentially tight deadlines for evidence this has the potential to become all-consuming for some officers for periods of time • The Council being requested to be an individual witness due to higher death or community transmission rates during the pandemic <p>Rag rating - Amber</p>				
Partnership and Collaboration Governance	<p>Risk Description: Many public services are delivered through partnerships or collaboration as well as emerging devolution arrangements; these must be robust, well governed but flexible and responsive to ensure objectives are met. Weak partnerships or collaborative working can lead to the failure of services, significant financial difficulties and reputational damage. Key partnerships are: Berneslai Homes, BPL, YPO, Integrated Care Partnership Board, Barnsley FC, BCVS, EHR, SCRMCA.</p> <p>Risk Assessment: Assurance - that all partnership and collaborative arrangements are understood and managed through a corporate framework to ensure consistency, good governance and a focus on the successful delivery of objectives. Particular focus is around the jointly agreed ambitions for Joint Commissioning going forward, the need for "grip and accountability" for the use of resources in the Better Care Fund and clarity of understanding of the impact of the fund on the health and social care system.</p> <p>Action 1 Development of a corporate framework and guidance to support partnership and collaborative working RAG rating – Amber</p> <p>Action 2 Assurance is required regarding the arrangements in place for each partnership and collaboration covering matters such as the make up of boards and their supporting</p>	Potential	Potential	Medium	ED Core Services

Risk Title	Risk Description	Impact	Status	Response Rating	SMT Owner
	<p>governance, performance management arrangements, concerns and issues (risks) management, exit arrangements etc. utilising the new framework. RAG rating – Amber</p> <p>Action 3 Financial monitoring and reporting for Boards and Partnerships are included in the quarterly budget management process for DMT's/BU's RAG rating – Green</p> <p>Action 4 Ensure the new framework for the management and governance of partnerships and collaborations is woven into the annual governance review process for 2022/23 RAG rating – Amber</p>				
Emergency Resilience	<p>Risk Description There is a need to ensure that the Council has robust mechanisms in place to prepare for, respond to and recover from civil emergencies and business interruptions, and comply with the Council's statutory duties as a Category One responder under the Civil Contingencies Act 2004.</p> <p>Risk Assessment Robust mechanisms are required to deal with external issues both those already known and those that may arise in future i.e., ability to identify emerging threats as well as being immediately responsive to unforeseen issues. Risk assessments for civil contingencies are based on: <ul style="list-style-type: none"> - South Yorkshire Local Resilience Forum Community Risk Register of Civil Emergencies - Risk assessment of potential business interruptions and mitigations through business continuity process - Developing general or specific contingency/emergency plans and capabilities to respond to incidents as and when they arise - Assessing the Council's preparedness against its core duties under the Civil Contingencies Act 2004 </p> <p>Action 1 Business Continuity and Emergency Resilience Plans exist for all services and functions of the Council and these plans are reviewed and tested. The Council has a Corporate Resilience Plan which covers the general response to incidents with subordinate specific plans where necessary (e.g., on site reservoir emergency plans).</p>	Actual	Potential	Medium	ED Core Services

Risk Title	Risk Description	Impact	Status	Response Rating	SMT Owner
	<p>The principles of this plan have been used to manage the response to Covid19 and other incidents such as flooding, adverse weather and extreme heat in 2022/ Following agreement with SMT in December 2021 further resilience enhancement have been made such as the introduction of a tactical officer on call. 2022 has seen the refresh and restart of the general training and exercising programme following the essential focus on the Covid19 response. RAG rating – Green</p> <p>Action 2 Maintaining adequate governance and controls in respect of cyber security RAG rating – Green</p> <p>Action 3 Subject specific plans are developed for specific capabilities or risks including evacuation and shelter (due for review), flooding (reviewed summer 2021), reservoir emergencies offsite emergency plan (reviewed summer 2021 with a full review of the onsite emergency plans for Elsecar and Worsborough initiated November 2021)), adverse weather (reviewed spring 2022), large scale evacuation (reviewed summer 2021) and the death of a member of the Royal Family (reviewed autumn 2022) RAG rating – Green</p> <p>Action 4 The Council is one of eight core partners in the South Yorkshire Local Resilience Forum (SYLRF) and current chair of the SYLRF's Strategic Group and co-chair if the Tactical Group. The Council works with the Forum on developing training and exercising multi agency arrangements RAG rating – Green</p> <p>Action 5 All services have business continuity plans in place, with the response to Covid 19 increasing the robustness of these. These are due to be refreshed in autumn 2022 accompanied by a Power BI dashboard that allows SMT to see the relative priority of services along with their operational status in the event of a business interruption. RAG rating – Amber</p>				