



Risk 'Concern' Rating:

The 'assessment' of the risk is based on:

- The confidence the Authority has that the Risk can be improved;
- The ability of the Authority to be able to achieve the objectives that are linked or implicit within the Risk ;
- The ability of the Authority to be able to influence or affect the Risk;
- The speed in which the organisation can change its direction and therefore control the velocity of the Risk; and,
- The willingness of the Authority to accept or tolerate the Risk

Priority	Risk No	Risk Title	Risk Consequences	Risk Owner	Existing Control Measures	Sep-14	Feb-15	Oct-15	Mar-16	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	<p>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.</p> <p>In order to address the challenges and to maximise these and other opportunities, it will be essential to work in partnership with a variety of stakeholders to deliver a suite of priorities and key interventions, complete major regeneration projects, target both housing growth and business development and growth, and link new and existing jobs more effectively to local people.</p> <p>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.</p>	SMT SMT	<p>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 building in the region and relies on the Local Development Plan to identify and obtain land, and SCR and LCR to assist in building developments; SY Superfast Broadband programme which is intended to improve the infrastructure in the Borough, to benefit both commercial and residential stakeholders; 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;</p> <p>Outcomes: Create more and better jobs and good business growth (GREEN)</p> <p>Increase skills to get more people working (AMBER)</p> <p>Develop a vibrant Town Centre (AMBER)</p> <p>Strengthen our visitor economy (AMBER)</p> <p>Create more and better housing (AMBER)</p> <p>Protecting the Borough for future generations (AMBER)</p>	n/a	3	4	4	Delivery of 3 year SCRIF programme (2015-18) - J36 BP: Business Plan in place, funding agreement to sign, Tenders ready; J37 BP: Impact Assessment to be submitted May 16, viability work ongoing, pinchpoint scheme completed; Goldthorpe: Impact Assessment approved, awaiting on Local Plan allocation	ED Place	30% Green	30/09/2016	
										Quarterly Developer Forums 16/17	ED Place	0% Green	30/09/2016	
										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 - to be considered by Full Council in March 2016	ED Place	75% Amber	30/09/2016	
										Development of SCR infrastructure plan - draft due at end of November 2015 - to be considered by SCR Infrastructure Board in March 2016	ED Place	90% Green	30/09/2016	
										Refresh of Local Plan and approval by Cabinet in March 2016 (this will confirm the allocation available for the Goldthorpe scheme)	ED Place	70% Green	30/09/2016	
	3024	Lack of educational attainment	<p>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;</p>	SMT SMT	<p>Performance Management Framework; CYPF Policies and Strategies; Close monitoring of Government grade boundaries to ensure the Authority remains aware of changing or improving performance targets; 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; Coporate Parenting role;</p> <p>Outcomes: Every child attends a good school (AMBER)</p> <p>Early targeted support for those that need it (GREEN)</p>	4	4	3	3	Children and Younger People's Plan 2016 - 2019: Being refreshed to adoption by TEG and Cabinet with aspirational targets	ED People	75% Green	30/09/2016	
										Barnsley Alliance Plan being developed prior to submission to Cabinet	ED People	75% Green	30/09/2016	
										Revised approach to assessing performance in schools developed and now requires embedding	ED People	75% Green	30/09/2016	
										Development of SEND strategy to meet the Council's accountability requirements - to be discussed at TEG	ED People	75% Amber	30/09/2016	

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NTIAL										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	ED People	25% Green	30/09/2016	

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CITIZENS ACHIEVING THEIR POTE	3025	Failure to safeguard vulnerable service users	<p>The risk of not safeguarding vulnerable children, adults and families who are either known or not known to the service;</p> <p>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;</p> <p>Changes in demographics mean there are more 'older-older' people which means an increased demand for services;</p> <p>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;</p> <p>Better care at an young age for those with physical or other forms of disability means life expectancy increases which puts further pressure on Adult Services;</p> <p>Arrangements are not sufficient to keep children and young people safe from harm, abuse or neglect;</p> <p>National and local child abuse enquiries affecting public confidence and reputation of local authorities and other agencies;</p> <p>The risk is compounded by whether or not the children at risk are known to the service;</p> <p>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;</p>	SMT SMT	<p>Adults Safeguarding Board;</p> <p>Barnsley Safeguarding Children Board;</p> <p>Service Delivery Plans / Business Plans;</p> <p>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;</p> <p>Service Improvement Plan (Children's) developed to deliver OFSTED Safeguarding Recommendations;</p> <p>Sign-posted Universal Information and Advice;</p> <p>Children's Services Scrutiny Board up and running as at Feb 2014 with workplan in place;</p> <p>Monitoring of Barnsley Safeguarding Children Board and Adults Safeguarding Board Risk Registers;</p> <p>Improved Ofsted judgement;</p> <p>Review of 'Front door';</p> <p>Promotion of use of CAF/Early Help Assessments;</p> <p>Safeguarding Board includes CSE Strategic Group which reports directly to the Safeguarding Board;</p> <p>Opportunities to undertake Lessons Learnt reviews are fully exploited by the Safeguarding Board (including regional and joint learning);</p> <p>Action Plan developed using OFSTED inspection framework;</p> <p>Restructuring for Future Council complete;</p> <p>Stronger Communities Programme in place;</p> <p>Governance arrangements in place which includes the overseeing of the Executive Group being overseen by H&WB Board;</p> <p>Continuous Service Improvement Framework developed;</p> <p>Implementation and management of Personal Budgets programme, including building 'risk-enablement' into services users in place;</p> <p>Analysis of national guidance issued and full review now complete and new operating model is in place;</p> <p>Local Welfare Scheme established;</p> <p>Early Help for Adults delivery group in place;</p> <p>Peer review regarding Early Help completed - Early Help Action Plan monitored through Early Help Strategic Group;</p> <p>SY Safeguarding Procedures and production of Annual Report;</p> <p>Performance Quality Management Framework in place;</p> <p>Member briefings for Children's and Adults;</p> <p>Implemented IA recommendations regarding Casey improvements;</p> <p>Outcomes: Children and Adults are safe from harm (AMBER)</p>	4	4	4	4	(11) Anti Poverty: Anticipating significant impacts following CSR in Autumn 2015; development of a Community Supermarket - reports drafted and partners committed to project. Need to unpick issues regarding Community Asset transfer.	ED Communities	60% Green	31/03/2016	
										(8) Stronger Barnsley Together: Programme infrastructure is to be updated, and will include a different approach, standing down and rationalising some structures and rebranding as 'Community Wellbeing', Actions Plan to be considered by OSC prior to Cabinet in September 2015.	ED Communities	50% Amber	31/03/2016	
										Adults Safeguarding - refreshed Adults Safeguarding Board and effective sub-structures. SY Safeguarding procedures implemented. Recruitment to Board Manager	ED People	90% Green	30/09/2016	
										Personalisation - new Target Operating Model (TOM) in place, implementing IA recommendations re Direct Payments, new Brokerage team in place, new CAT Team in place resolving majority of cases and Vulnerable Adults Risk Management Model being embedded	ED People	90% Green	30/09/2015	
										Consolidation of Adults Social Care peer review Action Plan - reported to Members on progress and outstanding actions	ED People	75% Green	30/09/2016	
										Refresh of 'Making Safeguarding Personal' programme	ED People	10% Green	30/09/2016	

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	3026	Failure to achieve a reduction in Health inequalities within the Borough.	Health inequalities persist. Life expectancy in Barnsley remains well below the national average and varies between different parts of the borough. Although life expectancy has increased, the gap between Barnsley and the rest of the country has continued to widen. Such health inequalities challenge not just the health and social care services but every one interested in the future prosperity and well-being of the borough. It is unacceptable that people's health and quality of life varies so much with the sort of work they do or where they live. The cost of health inequalities is borne not just by health and social care services and, of course, parents, carers and children, but by employers and the local economy. Good health is essential to the borough's economic regeneration. Healthy people are less likely to be socially excluded and more likely to be in work. Healthy children are more likely to do well at school. All the available evidence shows that health is closely associated with people's standard of living, occupation, level of education and where they live - there are significant differences in terms of average life expectancy depending on where in the Borough one resides;	SMT SMT	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; Outcomes: People are happier, healthier, independent and active (AMBER)	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	Director - Public Health	30% Green	30/09/2016	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	Director - Public Health	75% Green	30/09/2016	
										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 for PH grant being identified and developed.	Director - Public Health	75% Green	30/09/2016	
										Investigation into issues raised by CCG regarding pooled budgets and the potential impact on vulnerable groups such as 0-5 services, health visitors and substance misuse services as a result of funding voids - developing options regarding innovative commissioning and partnership working	Director - Public Health	25% Red	30/09/2016	
	3047	Failure to protect the health of the population from preventable health threats.	Failure to protect health and population against preventable disease by ensuring appropriate levels of vaccination, immunisation and screening.	SMT SMT	Liaison with NHS regarding large scale response; Health Protection Agency Framework in place; Maintenance of World Health Organisation targets; Currently Barnsley has above average coverage regarding public health related screening; Use of NHS England website and resources; Health Protection Assurance paper to Cabinet 12/02/2014; Health Protection Board established; Transition into BMBC complete;	3	3	3	3	Monitoring of Health Protection Board (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.	Director - Public Health	50% Green	30/09/2016	
										Liaison with Public Health Communicable Disease representative - need to update key plans and report these to the Health Protection Board	Public Health	25% Amber	30/09/2016	
	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;	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; Outcomes: People volunteering and contributing towards stronger communities (GREEN)	2	3	3	3	Refresh of Health and Wellbeing Strategy to improve Health and Wellbeing Board governance arrangements	ED Communities	10% Amber	30/09/2016	
										Review of engagement and participation arrangements as part of the Health and Wellbeing Strategy refresh	ED Communities	10% Amber	30/09/2016	

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STRONG	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 H&S&ERU 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;	n/a	n/a	n/a	2	Report to SMT which identifies a number of improvements to the Council's emergency resilience arrangements based on analysis undertaken against SOLACE Best Practice	ED HR Comms and Performance	25% Green	30/09/2016	
										Top 5 service Business Continuity Plans passed to IS to identify IT implications and requirements	ED HR Comms and Performance	25% Green	30/09/2016	
										Await feedback from SD BU 6 following analysis of Community Flood Plans by Head of H&S	ED HR Comms and Performance	25% Amber	30/09/2016	
	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 system to enable employees to undertake their duties effectively;	SMT SMT	IT restructure completed April 2016 which includes the old TCL function; Working with H&S&ERU; Data Centres located at Beevor Court; Working with Business Units to understand their requirements; Informal testing programme in place;	n/a	n/a	n/a	2	Analysis of top 5 service Business Continuity Plans which have been passed to IS to identify IT implications and requirements from H&S - initial analysis undertaken which suggests that the level of detail required is lacking - feeding back to H&S&ERU	ED Finance Assets and IS	25% Green	30/09/2016	
										Undertake weekend (minor incident) testing, and undertake annual (major incident) testing of IT resilience - currently mapping priority disaster recovery systems against BMBC Resilience Plans	ED Finance Assets and IS	10% Amber	30/09/2016	
										Formalise testing plans that will focus on systems and people / behaviour	ED Finance Assets and IS	0% Amber	30/09/2016	
										Development of a formalised agreement for out of hours support for areas such as Helpdesk	ED Finance Assets and IS	0% Amber	30/09/2016	

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	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 mean there is a greater exposure to challenge and friction;	SMT SMT	Council Constitution; Local Code of Corporate Governance; Community Strategy for Bamsley (2011-2015); Corporate Plan; In the event of Constitutional dispute, role of Monitoring Officer to adjudicate as and when tensions arise; Area Council Arrangements in place, with supporting documentation in the form of 'Area Governance Handbook', 'Ward Alliance Governance Handbook', 'Ward Alliance Community Representative Handbook', 'Consulting and Engaging our Communities through Neighbourhood Networks' and 'Working with you to support your Community'; Purple Cabinet meetings used as a forum to discuss sensitive and confidential issues; SMT meetings and processes to ensure leadership is able to keep in touch with regard to pressures; Area Chairs meet each other on a regular basis to ensure cooperation and consensus; Member information session held regarding Conduct and Commissioning; Revisions to Contract Standing Orders (CSOs) to enable flexibility; Officer Working Group in place to support commissioning and procurement activity; 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) 16/17	ED Legal and Governance	0% Green	30/09/2016	Refer matter to Monitoring Officer for adjudication.
	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 being 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;	5	5	5	5	Consideration of organisational change requirements following the development of the Council's MTFS Talkabout sessions being developed for May 2016 with Chief Executive and Leader Staff Survey including Employee Preference Questionnaire and changing working patterns (which will be used to assist in the planning for longer term Future Council requirements Encouraging the greater use of Social Media for information purposes, and greater use of the Internet for interactive requirements	Chief Executive ED HR Comms and Performance ED HR Comms and Performance ED HR Comms and Performance	0% Green 50% Green 50% Green 30% Green	30/09/2016 30/09/2016 30/09/2016 30/09/2016	
	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;	3	3	3	3	Development of Future Council Strategy and Workforce Development Plan to align them to the Corporate Plan to 2018	ED HR Comms and Performance	0% Green	30/09/2016	

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	3029	Failure to safeguard information	<p>The Council is increasingly managing, storing and maintaining personal data and information as part of the delivery of services. With data held in a vast array of places and transferring between supply chain partners, it becomes susceptible to loss, protection and privacy risks.</p> <p>Loss of personal and financial information held by Council employees and systems; Financial and non-financial penalties from Information Commissioners Office; Loss of public confidence in the ability of the Council to store sensitive information, possibly resulting in a reduction in the use of public self-service facilities; Failure to maintain Government Connects compliance leading to the suspension of the Councils connection to the government secure network; Non compliance with Data Protection Act and Freedom of Information Act; Non compliance with Payment Card Industry Data Security Standards (PCI DSS) leading to the inability to process payment card transactions; Failure to ensure that unwanted data is cleared and disposed of, leading to non-compliance with DPA requirements; Inability to gather data from other agencies to strengthen and benefit the Authority's activities; Failure to have appropriate data sharing agreements with agencies and partners leading to vicarious liability in the event they lose or misplace sensitive information; Inability to ensure that partners that we share data with are in themselves compliant with appropriate guidance and legislation;</p>	SMT SMT	<p>Information Management and Governance Policies; ACX (Legal and Governance) has taken on the role of Senior Information Risk Officer (SIRO); Information Security and Computer Usage Policy in place; Information Governance Team in place to provide advice, guidance and training; Government Connects Code of Connection compliant; Records Management Team in place to provide advice, guidance and training; Information Governance Board refreshed and re-established and engaged in corporate risk management arrangements; Technical Architect role filled by consultant; Some initial actions have been taken as a result of IT Health Check to control, and restrict access: • Reduced permissions • Deactivated USB ports • Deactivated removable media options • Implemented temporary changes to homeworking solutions. The Authority's core infrastructure has benefitted from: • Patching • Protection. Significant restructure of Information Services complete; Caldicott guardians in place within A&C and CYPF; A&C and Public Health have IG Steering Groups in place; IT Action Plan (2013) completed and delivered; Phase 1 of IG awareness training (via BOLD) completed; Review of technical architecture completed and action plan identified; BMBC Cabinet agreed to endorse the requirement to achieve Baseline Personnel Security Standard (BPSS); IT business plan been through 'Check and Challenge' process; Technical refresh for those officers using third party equipment to enable them to use BMBC apparatus to connect with BMBC network; Information Governance Board confirmed engagement will be undertaken with DMTs to ensure actions arising from the IG Toolkit are completed; IT Business Plan produced and presented to 'check and challenge' session - analysis of other business plans to identify IT requirements and resourcing complete; Passed first phase of PSN compliance; Implementation of EGRESS secure email solution completed; Majority of IG Framework now in place;</p>					<p>Phase 2 of Information Security Programme - roll out of guidance and training to partners such as BH, Bull, NPS etc - BH and Bull completed, NPS and Norse in development - phishing training now in place and is mandatory for all employees</p> <p>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</p> <p>Risk based Action Plan developed (following review of IT architecture) being delivered (all 'red' actions complete)</p> <p>Consideration of Cloud based infrastructure (on a case by case basis) to progress and enable a proportionate Electronic Content Management System - paper to SMT approved and Sharepoint is preferred supplier - SMT Sponser (ED Place) confirmed</p>	ED Finance Assets and IS	70% Green	30/09/2016	Enable revisions to infrastructure that will allow limited communications.
						3	4	4	4		ED HR Comms and Performance	70% Amber	30/09/2016	
											ED Finance Assets and IS	65% Green	30/09/2016	
											ED Finance Assets and IS	10% Green	30/09/2016	
	3031	Strategic Performance, governance or compliance failure	<p>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.</p>	SMT SMT	<p>Council Constitution; Local Code of Corporate Governance; Information Management and Governance Policies; ToR for Audit Committee; ToR for Scrutiny Committee; Internal Audit; Risk Management Policy; Performance Management Arrangements including revised Corporate Plan Performance Report and 'We Will Statements'; 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;</p>					<p>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 - monitor and review for 16/17 in light of increased commissioning activity at Ward Alliance level in future years</p> <p>Monitoring of AGS Action Plan which includes the improvement requirement regarding the recording of Officer decisions 16/17</p>	ED Legal and Governance	50% Green	30/09/2016	Refer matter to Audit Committee / External Audit for consideration.
						4	4	4	4		ED Legal and Governance	25% Green	30/09/2016	

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ONE COUNCIL	3033	Failure to adapt the Authority into a sustainable organisation - 'Failure to maintain current services'	<p>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.</p> <p>Need to ensure that the Authority has the right people to ensure sustainable opportunities are being exploited to their maximum.</p> <p>Development of City Region Devolution Deal which while fiscally neutral, will provide more opportunities to strengthen the sustainability of the organisation by transferring a number of powers and policy levers from central Government to local leaders, including skills, employment, business support, transport and housing;</p>	SMT SMT	<p>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;</p>	3	4	4	4	Delivery of new Corporate Plan 2015 - 2018	Chief Executive	25% Green	30/09/2016	
										Development of Future Council Strategy and Workforce Development Plan to align them to the Corporate Plan to 2018	ED HR Comms and Performance	0% Green	30/09/2016	
										Development of Talkabout sessions for Chief Executive and Leader regarding MTFS, Service and Financial Planning and Business Plans	Chief Executive	50% Green	30/09/2016	
										Consideration of organisational change requirements following the development of the Council's MTFS	Chief Executive	0% Green	30/09/2016	
	3034	Failure to deliver the MTFS - 'Failure of Future Council to achieve the required level of savings'	<p>Risks relating to the MTFS fall into two main areas: - Agreeing a three year plan with Directorates and Members; and, - Ensuring delivery against the agreed plan, managing variances and areas of over / under spend to enable the budget to be balanced.</p> <p>Adverse effect on the Council's reserves / prudential borrowing / Treasury Management activities; Council's reserves falling below minimum working balance levels; Impact on service delivery and council policies; Adverse External Audit report / opinion; Government intervention; Inability to undertake robust planning in terms of Future Council activity; Non-achievement of KLoE savings and consequences on future years programmed or planned savings; Inability to develop and implement a 'Plan B' or contingency plan in the event of further savings being required;</p>	SMT SMT	<p>Budget Monitoring and Reporting; Financial Regulations; Corporate Debt Strategy; SAP / EBP / Financial Systems Procedures; Treasury Management Policy; Forecasting of expenditure and resources; Service Delivery Planning and Service and Financial Planning Processes; Prudential Borrowing Strategy and Indicators; Budgetary Control / Budget Monitoring Processes; Annual Governance Review Framework; Ongoing development of SAP; Management of Assumptions and Constraints within MTFS; Horizon Scanning in terms of changing legislation and policy that may affect MTFS; A range of budget saving options (KLoEs) have been developed and agreed to enable Future Council scenarios for 13/14 and 14/15 to be reflected in 15/16 budget; Asset Management Disposal Report approved by Cabinet; First £15 million of budget savings identified, and agreed by Cabinet (now need to monitor delivery); 2 year financial plan now set - now need to monitor delivery against this; Monitoring of political situation following Election 2015 - Comprehensive Spending Review and Autumn Statement;</p>	5	5	4	3	Use of BPC Business Objects by Executive Directors and Service Directors (16/17)	ED Finance Assets and IS	0% Amber	30/09/2016	Re-negotiate with Cabinet to seek an agreed budget.
										MTFS (16/17) - budget savings agreed, need to refer back to Members for final approval	ED Finance Assets and IS	0% Amber	30/09/2016	
										Financial Monitoring (16/17) to ensure delivery is in line with plan	ED Finance Assets and IS	0% Amber	30/09/2016	
										Full review of MTFS to be undertaken following Autumn Statement - to ensure relevance, materiality and appropriateness, such as the provision for Care Act implementation, Equal Pay claims and the impact of Digital Region along with assumptions regarding the Council's Capital Programme to feed into 17/18 4 year plan (16/17)	ED Finance Assets and IS	0% Amber	30/09/2016	
									Monitoring of the situation regarding Business rates which links to the broader discussions regarding the regional devolution deal	ED Finance Assets and IS	0% Amber	30/09/2016		

Priority	Risk No	Risk Title	Risk Consequences	Risk Owner	Existing Control Measures	Sep-14	Feb-15	Oct-15	Mar-16	Risk Mitigation Action	Owner	% comp	Review Date	Recovery Plan
	3035	Loss of assets and resources as a result of a one-off incident of fraud / corruption / bribery or sustained or widespread occurrences.	Occurrence or incidents of sustained and / or widespread and / or one off / big bang occurrence of Fraud and Corruption leading to financial loss, loss of income, property and other assets; Fraudulent transactions, contracts / payments and the like perpetrated by employees and / or third parties; External Audit public interest report; Loss of management time in undertaking investigations, be they 'real' incidents, or vexatious claims; The consequences of this risk will greatly depend on the context of the individual incidents, and will be greatly influenced by both the scale of the incident, and the position of the perpetrator within the Organisation; Negative impact on employee morale either through actual incidents, or suspicions of incidents being perpetrated; Tensions and issues with morale within groups / teams as a result of changes within and to the organisation; Increased opportunities to commit fraud due to management attention being distracted by change programmes and increased workloads; Losses arising from 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; Annual Fraud Self Risk Assessment; NFI Data Matching; Membership of NAFN; IT usage policies and procedures; IA for CA and other major organisations; Corporate Fraud Team in place; Fraud and Corruption included in AGR process;	3	3	3	3	A) Develop governance arrangements around Area Councils and Ward Alliances - Audit planned which will cover procurement arrangements 16/17 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 - meeting with HR and SY Police in March 2016 C) Review corporate training programme utilising corporate PDR information and further development of BOLD training D) Fundamental review of all corporate anti-fraud and corruption policies, procedures and guidance as part of the work of the Corporate Fraud Team	ED Legal and Governance ED Finance Assets and IS ED Finance Assets and IS ED Finance Assets and IS	75% Green 25% Green 25% Green 25% Green	30/09/2016 30/09/2016 30/09/2016	Escalate matter to HR, Police etc. Undertake full systems review of affected area(s).
	3514	Failure to be able to deliver the ambitions and outcomes associated with the Customer Services Organisation Programme (CSO)	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;	ED Communities	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; 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; Outcomes: Customers can contact us easily and use more services online (AMBER)	n/a	4	4	4	Restructure and consolidation of programme resources into permanent structure completed 01/04/2015 as part of Future Council implementation. Two year fixed term Programme Management resource agreed at Board - to be recruited to support delivery of next phases. IT Projects support to be committed from within wider ICT envelope of resources following transfer of TCL staff back to the Council. Delivery of CSO Strategy through the adoption of 'customer standards' for in-house and external customers Seek assurances regarding the review by services / business units as to how they intend to adopt and embed Customer Services activities within their individual business units - business planning cycle now complete - BLT to undertake challenge and identify significant issues that may arise before 2021 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	ED Communities ED Communities ED HR Comms and Performance	50% Amber 10% Amber 30% Amber 0% Green	30/09/2016 30/06/2016 30/09/2016 30/09/2016	

Priority	Risk No	Risk Title	Risk Consequences	Risk Owner	Existing Control Measures	Sep-14	Feb-15	Oct-15	Mar-16	Risk Mitigation Action	Owner	% comp	Review Date	Recovery Plan
	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;	n/a	n/a	4	4	Increase the availability of commercial skills and awareness within BMBC Workforce including the skills and organisational discipline to vet Business Cases	ED HR Comms and Performance	15% Amber	30/09/2016	
										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 being arranged for October 2016	Board of Directors	25% Green	30/09/2016	
										Development of shareholder role (SMT and Member / Cabinet level) to ensure the appropriate oversight of the trading / commercial activities is in place	ED HR Comms and Performance	0% Amber	30/09/2016	
										Consideration of pump-priming opportunities to ensure the right resources and infrastructure is in place to sustain meaningful commercial / trading activities	ED Finance Assets and IS	0% Green	30/09/2016	
										Development of processes to enable the support services recharges to be clear and transparent within future bids or tenders that may be made by the trading company	ED Finance Assets and IS	0% Green	30/09/2016	
	3794	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 of CA funding;	SMT SMT	Development of protocols for dealing with potential conflicts of interest; Escalation of issues through Chief Executives;	n/a	n/a	n/a	4					

Priority	Risk No	Risk Title	Risk Consequences	Risk Owner	Existing Control Measures	Sep-14	Feb-15	Oct-15	Mar-16	Risk Mitigation Action	Owner	% comp	Review Date	Recovery Plan
	3030	Failure to be prepared for an emergency response or business continuity threat	<p>Recent emergencies relating to industrial actions and flooding proves there is still an inappropriate reliance on H&S&ERU to manage and lead on the management of emergency events;</p> <p>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.</p> <p>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.</p> <p>This risk also acknowledges the residual risk that remains regarding the Authority's own BCP, as expressed in correspondence with External Audit in 2011:</p> <ul style="list-style-type: none"> • BCPs for Information Systems should be regularly tested; • The Council should perform an annual full test restore for critical systems; and, • The Council should undertake a review of its disaster recovery requirements in conjunction with BULL. <p>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.</p> <p>Failing to be able to provide support to lone workers as a result of IT and telephony systems being unavailable for significant lengths of time, leaving over 200 HART support workers and Supported Living workers unable to contact the out of hours office. Without appropriate support mechanisms in place, these lone workers are at serious risk of being unable to escalate serious and significant safety and safeguarding concerns to management. Issues relating to the accessibility of IT and telephony for employees working more traditional, regular patterns mean that there is a significant amount of productive time lost as a result of sporadic outages of the IT and telephony within the Authority's main administration bases in WPO and GP. Issues relating to the accessibility of telephony for the public will mean that Central call will be unable to take calls relating to:</p> <ul style="list-style-type: none"> • Highways; • Schools; • School Trips / Emergencies; • Dangerous Structures; • Adults Emergency Duty Team; • NPS Repairs and Maintenance; • Berneslai Homes Repairs and Maintenance; and, • Major Incident line. 	SMT SMT	<p>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; Analysis of AGS and sampling of returns; Formal on-call arrangements by the Health, Safety and Emergency Resilience Service (bronze/operational) and BLT (strategic/gold); Analysis of 'leavers' programmed to identify who is left to be able to step up in the event of an emergency event; Public Health now incorporated into Corporate Resilience Plan; Multi-agency working across the Local Resilience Forum; Operational Services role as 'Lead Local Flood Authority'.</p> <p>Corporate emergency plans appear robust and are well delivered - concern raised regarding the management of those incidents that are not 'significant' but cause disruption nevertheless; Residual risk areas, as expressed in correspondence with External Audit in 2011 will be reviewed in 2015, including:</p> <ul style="list-style-type: none"> • BCPs for Information Systems should be regularly tested; • The Council should perform an annual full test restore for critical systems; and, • The Council should undertake a review of its disaster recovery requirements in conjunction with BULL. <p>This review will also roadmap issues for resolution following changes to the relationship between the Council and Bull;</p>	2	2	2	n/a	<p>Review of Corporate Resilience Plan to ensure it remains fit for purpose following FC activity - reinvigoration of Silver Team and options papers being developed for SMT regarding support required to attend and manage incidents</p> <p>Seek assurances from Business Units regarding their own business continuity planning and resilience arrangements to ensure they are robust and 'fit' with the Corporate Resilience Plan. Revised BCP template issued Jan 15; H&S audit programme supported by Internal Audit who have undertake specific reviews - performance indicator being developed for inclusion in corporate Performance Reports</p> <p>Undertake weekend (minor incident) testing, and undertake annual (major incident) testing of IT resilience - currently mapping priority disaster recovery systems against BMBC Resilience Plans</p> <p>Development of a business case to recruit to the Humanitarian Assistance Officer role</p> <p>Development of Community Flood Plans - due for completion at end of September 2015 for river Deame and Dove areas which link to EA flood warnings and will comprise escalating/incremental plans. These will be passed to relevant Area Councils for comment and will provoke further consideration regarding resourcing internally (flood liaison roles) and externally (community flood warden roles)</p> <p>Encouraging Ward Alliances to consider and develop Community Resilience Plans - Head of H&S visiting Ward Alliances</p>	<p>ED HR Comms and Performance</p> <p>ED HR Comms and Performance</p> <p>ED Finance Assets and IS</p> <p>ED HR Comms and Performance</p> <p>Paul Castle</p> <p>ED HR Comms and Performance</p>	<p>0% Red</p> <p>0% Amber</p> <p>10% Amber</p> <p>0% Green</p> <p>25% Green</p> <p>25% Green</p>	<p>31/03/2016</p> <p>31/03/2016</p> <p>31/03/2016</p> <p>31/03/2016</p> <p>31/03/2016</p> <p>31/03/2016</p>	