

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

Audit and Governance Committee – 18th January 2023

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 Two strategic risks will be considered at this meeting:
- Meeting our Statutory Responsibilities under the Care Act 2014 – Executive Director Place Health and Adult Social Care
 - Educational Outcomes Progress – Executive Director Children’s 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 22nd November and continues to contain 15 risks. SMT determined that 5 risks be classified as **high** (red response rating*) and 10 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 One risk was regraded from high to medium at the SMT risk review meeting in November – this was the strategic risk regarding Meeting our Statutory Responsibilities under the Care Act 2014.
- 3.3 The actions associated with the 2 risks to be considered in the meeting are included in the attached summary in Appendix 1.

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Date: 3rd January 2023

Strategic Risks to be reviewed in the meeting – January 2023

Risk Title	Risk Description	Impact	Status	Response Rating	SMT Owner
Meeting our Statutory Responsibilities under the Care Act 2014	<p>Risk Description: The Care Act 2014 is a statutory requirement of the Local Authority and with the combined impact of the pandemic, reform programme requirements, cost of living crisis there are concerns that we could have challenges in meeting our statutory responsibilities.</p> <p>Risk Assessment: Adult social care continues to manage high demand into the service. This is as a consequence of a combination of higher needs presenting themselves as a consequence of the pandemic (loss of independence), higher needs arising from earlier discharges from hospital, continued volatility of the care market creating hand backs of support packages. Continued challenges with recruitment further compound the challenge alongside the impact of cost-of-living pressures giving rise to more people declining support as unwilling to pay care contribution stoking up higher levels of need and potential impacts on safeguarding. Whilst waiting times for services have reduced the availability of care continues to be challenging.</p> <p>The government has launched People at the Heart of Care Strategy for Adult Social Care which describes ambitions for Adult Social Care. The ambition in the plan is welcomed however the resource to deliver the plan (CSR settlement) is deemed inadequate by Local Government leaving local authorities with the costs to generate through council tax precepts. Of the £36bn health and care levy raised over 3 years only £5.4bn is ringfenced for social care which will be subsumed by the implementation of the Financial reform. The short-term nature the funding pots compound our abilities to plan strategically.</p> <p>Action 1 Ensure issues, concerns and approaches are escalated, shared and supported. RAG rating– Green</p> <p>Action 2 Operational collaboration with NHS providers in Barnsley alongside VCSE partners to use total resource flexibly to meet need. RAG rating – Green</p> <p>Action 3 Influencing and lobbying – ensuring appropriate lobbying regionally via CEX and Leaders Forum and NE&Y NHS England/Improvement.</p>	Actual	Actual	Medium	ED Place Health and Adult Social Care

Risk Title	Risk Description	Impact	Status	Response Rating	SMT Owner
	<p>RAG rating – Complete</p> <p>Action 4 Managing expectations – ensuring open dialogue and communication with individuals who receive services, providers of services and carers. RAG rating – Green</p> <p>Action 5 Ensure that data regarding future needs and demands are factored into the MTFs. RAG rating – Green</p> <p>Action 6 Design and development of the right size and quality Care Market in Barnsley. RAG rating – Amber</p> <p>Action 7 Workforce Capacity RAG rating – Amber</p> <p>Action 8 Development of a Workforce Plan. RAG rating - Amber</p>				
<p>Educational Outcomes Progress</p>	<p>Risk Description: Concerns that educational outcomes progress for all children across Barnsley may not be sufficient, with particular concern around improving outcomes for vulnerable cohorts.</p> <p>Risk Assessment: There has been a significant impact of Covid 19 on all aspects of educational delivery that needs to be fully assessed in order to ensure that adequate and effective plans are in place to enable pupils to "catch up" and that the most vulnerable are not disadvantaged.</p> <p>Action 1 To continue to improve attainment and progress through the risk assessment of schools to provide assurance that measures are in place to enable pupils to catch up and sustain positive progress in their educational outcomes, in partnership with schools and academy trusts. RAG rating – Green</p>	Potential	Potential	Medium	ED Children's Services

Risk Title	Risk Description	Impact	Status	Response Rating	SMT Owner
	<p>Action 2 To close the achievement gap between vulnerable groups and their peers with a particular focus on those students who have a special education need or disability and/or are eligible for student premium funding, including children in care and those eligible for free school meals through the commissioning of programmes and support based on local identified need. RAG rating – Amber</p> <p>Action 3 To build leadership capacity which empowers leaders at all levels to develop a sustainable model of continuous improvement across all Barnsley schools. RAG rating – Green</p> <p>Action 4 To implement the Written Statement of Action for children with SEND but not with an Education, Health and Care Plan and maintain good, full-time attendance, reduce the use of suspensions and the number of families choosing elective home education and citing dissatisfaction with school. RAG rating – Amber</p>				