

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

AUDIT AND GOVERNANCE COMMITTEE – 26TH JULY 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.
- 1.2 Two strategic risks will be considered at this meeting:
- Organisational Resilience – 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 16th May and now contains 13 risks, it was agreed that the Community Resilience Risk should be removed from the Strategic Risk Register and added as an operational risk to the Communities Business Unit risk register.

SMT determined that 4 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 these risks are included in Appendix 1.
- 3.3 The Council's Civil Contingencies Report 2021-2022 provides a high level summary of the key areas of work undertaken in relation to emergency resilience and a copy of this report has been included on the Audit and Governance Committee Extranet for members' information.

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Date: 5th July 2023

Strategic Risk to be reviewed in the meeting – 26th July 2023

Risk Title	Risk Description	Impact	Status	Response Rating	SMT Owner
Organisational Resilience	<p>Risk Description: Need to understand issues around leadership, general workforce capacity and welfare (exhaustion, fragility) to recognise that organisational resilience is not as high as it was pre-pandemic and therefore continue to find ways for the organisation to recover post pandemic. Work has commenced on a Culture Change Programme. This action to be kept under review as the risk moves in “waves” and we need to monitor the impact on the organisation as we come out of the pandemic.</p> <p>Risk Assessment: Pandemic has resulted in a decline in organisational resilience around leadership, capability, effective workforce planning and staff health and wellbeing</p> <p>Action 1 Continue to develop leadership capability, advice and support including specific development interventions including Barnsley Leadership Programme to increase leadership resilience, as well as address skills shortages such as digital/IT capacity to deliver the improvements we need. RAG Rating – Green</p> <p>Action 2 HR to work with DMT's to produce effective workforce plans that meet directorate and organisational objectives and include attraction, recruitment and retention plans and effective vacancy management. RAG Rating – Amber</p> <p>Action 3 Continue to develop and deliver a comprehensive health and wellbeing support programme for all staff. RAG Rating – Green</p> <p>Action 4 Continue to develop, implement and monitor appropriate development plans to increase staff resilience and skills, in particular improving digital/IT capacity to deliver the improvements we need. RAG Rating – Amber</p>	Actual	Actual	Medium	Executive Director Core Services

Risk Title	Risk Description	Impact	Status	Response Rating	SMT Owner
	<p>Action 5 Implementation of a Culture Change Programme RAG Rating – Amber</p> <p>Action 6 Development of employee resilience options aimed at mitigating impact of winter period 2022/23 and management of third parties where needed to support major projects RAG Rating - Complete</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:</p> <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>Action 1 Business Continuity Plans exist for all services and functions of the Council and these plans are reviewed and tested by services. 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). The principles of this plan have been used to manage the response to Covid 19 and other incidents such as flooding, adverse weather and extreme heat in 2022. Following agreement with SMT in December 2021 further resilience enhancements have been made such as the introduction of a tactical officer on-call. 2022 has also seen the refresh and restart the general training and exercising programme following the essential focus on the Covid 19 response. RAG Rating - Green</p>	Actual	Potential	Medium	Executive Director Core Services

Risk Title	Risk Description	Impact	Status	Response Rating	SMT Owner
	<p>Action 2 Maintaining adequate governance and controls in respect of cyber security. This action links to action 5 in that a cyber incident may lead to business continuity consequences however, other incidents may also lead to business continuity incidents. 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 of 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. This action links to action 2 in that a cyber incident, along with other interruptions such as reduced staff, utility failure or lack of access to premises, it may lead to business continuity consequences. RAG Rating – Green</p> <p>Action 6 Council involvement in the UK Covid-19 Inquiry. The Council may be required to submit evidence via various bodies including LGA, ADPH and ADASS or, where specifically requested by the Inquiry, as an individual organisation. The evidence may be either documentary or potentially oral. The Inquiry is expected to last for</p>				

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	<p>several years, and the Council may be repeated 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 c • Council's covid-19 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 <p>The Council being requested to be an individual witness due to higher death or community transmission rates during the pandemic. RAG Rating – Amber</p>				