

Report of the Head of Corporate Assurance

AUDIT AND GOVERNANCE COMMITTEE – 24th July 2024

STRATEGIC CONCERNS / RISK REGISTER

1. Purpose of the report

- 1.1 To provide an update to the Audit and Governance Committee following a collective review by the SMT of the strategic risks, and to introduce the next scheduled 2 strategic risks to be considered and presented by the appropriate Executive Director.
- 1.2 Two strategic risks will be considered at this meeting:
 - Emergency Resilience
 - Operational Resilience

2. Recommendation

- 2.1 **The Committee is asked to note the updates from the 2 risks presented at the meeting.**

3. Current Position

- 3.1 The Strategic Risk Register was collectively reviewed by the Senior Management Team (SMT) on 14th May 2024 and meetings have now been scheduled with all SMT members to review their respective strategic risks and this update will be presented to the September committee.
- 3.2 There remain 2 risks classified as **high** (red response rating*) and 10 risks 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.

- 3.3 The actions associated with the 2 strategic risks to be considered by the Committee at this meeting are included in Appendix 1.

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Date: [OBJ] 3rd July 2024

RISK: SMT - Emergency Resilience

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. Following discussion at Core DMT the risks relating to resilience have been revised to two risks: one relating to emergency resilience (including in relation to health emergencies managed at an LRF level) and one relating to cyber/IT resilience (splitting the latter from fraud risk).

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:

- South Yorkshire Local Resilience Forum Community Risk Register of Civil Emergencies
- Risk assessment of potential business interruptions and mitigations through business continuity process
- Developing and implementing 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

RISK OWNER: Executive Director Core Services		RISK IMPACT: POTENTIAL	RISK STATUS: ACTUAL	RESPONSE RATING: MEDIUM
Action/RAG	Description	Latest Update:		
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 were used to manage the response to Covid 19 and other incidents such as Storm Babet in October 2023.	<p>Final Covid-19 debrief and learning report presented to BLT/SMT in January 2024 - all actions are tracked and monitored.</p> <p>Storm Babet (October 2023) debrief and lessons learnt report drafted for presentation to BLT/SMT in March 2024 anticipating agreement actions are tracked with several in progress</p> <p>The Council's business continuity plan template has been revised and updated with the template tested and refined with the support of the Adult and Wellbeing Business Unit in summer/autumn 2023. The new template provides services with specific guidance on actions for anticipated business interruptions such as power cuts or IT outages and was issued in December 2023 with a view to services revising their business continuity plans by the end of February 2024 (with subsequent revision of the corporate business continuity priorities followed by a corporate exercise in spring/summer 2024).</p>		
2	Subject specific plans are developed for specific capabilities or risks including evacuation and shelter (due for review), flooding (reviewed summer 2021),	Adverse Weather Plan and Operational Flood Plan enacted during Storm Babet in October 2023 in relation to heavy rain and flooding. Lessons learnt exercise currently underway with some immediate changes already made to the plan to reflect immediate learning.		

	<p>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)</p>	
<p>3</p>	<p>The Council is one of eight core partners in the South Yorkshire Local Resilience Forum (SYLRF). The Council works with the Forum on developing and training and exercising multi-agency arrangements including risk assessment and planning.</p>	<p>South Yorkshire Local Resilience Forum Business Plan is in place and action and priorities are on track.</p> <p>South Yorkshire Community Risk Register presented to LRF in May 2024. Draft CRR is currently being used as the basis for internal work plans for 2024.</p>
<p>4</p>	<p>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 several years and the Council may be repeated involved as the themes emerge. Key risks include: Failure to retain evidence - work was undertaken to archive all records relating to the 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</p>	<p>To date four questionnaires have been received and responded to. Whilst the deadlines set by the Inquiry have been tight the number of responses to date has been manageable.</p> <p>A dedicated storage location has been set up to collate and store evidence and records from Covid response subgroups.</p> <p>An action group has been formed to lead the work consisting of Legal Services, Public Health and Health and Safety and Emergency Resilience</p>

	<p>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> <p>The Council being requested to be an individual witness due to higher death or community transmission rates during the pandemic</p>	
5	<p>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 Local Resilience Forum (SYLRF) and where applicable South Yorkshire and Bassetlaw Local Health Resilience Partnership (LHRP).</p>	<p>Resilience and Emergency Planning are a member of the South Yorkshire Local Health Resilience Partnership (LHRP) Quarterly Meeting, partnership discussion includes effective outbreak management processes. Internal Council and as necessary multi-agency lessons learnt completed after any major incident or significant response (e.g. Storm Babet, October 2023). Findings and reports shared with relevant SD/ED and SMT. Where an LRF response was required similar debrief, arrangements are undertaken at LRF level (e.g. extreme heat debrief approved 20/10/2022). Where lessons learnt warrant national dissemination finding may be shared (with suitable approval) through the national 'Joint Organisational Learning' system. Ongoing lessons learnt log is maintained - progress retained as amber due to the log constantly evolving with additional lessons added.</p>

RISK: SMT - Organisational Resilience			
RISK DESCRIPTION: Need to understand issues around leadership, general workforce capacity and welfare (exhaustion, fragility) to recognise that organisational resilience is challenged during times of high pressure and organisational change. Work has commenced on a culture change programme - Enabling Barnsley. This action to be kept under review as the risk moves in “waves”.			
RISK ASSESSMENT: Potential decline in organisational resilience around leadership, capability, effective workforce planning and staff health and wellbeing			
RISK OWNER: Executive Director Core Services		RISK IMPACT: ACTUAL	RISK STATUS: ACTUAL
		RESPONSE RATING: MEDIUM	
Action/RAG	Description	Latest Update:	
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.	Complete.	
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.	ASC workforce plan finalised this month with associated infographic. New workforce dashboard developed in Children's being piloted in HR with a view to it being available to all services by end of year.	
3	Continue to develop and deliver a comprehensive health and wellbeing support programme for all staff.	Complete	
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.	A variety of Microsoft projects continue, with CRM at launch phase	
5	Implementation of a Culture Change Programme (Enabling Barnsley)	Two additional events held in June 2024. Learning for frontline staff to be planned and implemented next.	