

**AUDIT COMMITTEE – 18<sup>th</sup> January 2017**

**RISK MANAGEMENT UPDATE REPORT 2016 / 17**

**Executive Summary:**

Key Issues:

- I. The Council's Strategic Risk Register has been updated in October 2016, and the outcomes of this review were presented to the Audit Committee at their meeting dated 7<sup>th</sup> December 2016, and will subsequently be presented to Cabinet on 11<sup>th</sup> January 2017;
- II. The Council's Operational Risk Registers remain aligned to the Future Council operating model (section 3)
- III. The Risk Management Framework was reviewed in April 2016 (section 3);
- IV. The Risk and Governance Manager continues to support the development of risk management arrangements for the a number of organisations in the area (section 9);
- V. The Annual Governance Review process was delivered during the early part of 2016 / 17 which resulted in the production of an evidence based Annual Governance Statement, which was approved by full Council in September 2016 (section 10.3);
- VI. The outcomes of the recent ALARM / CIPFA Benchmarking exercise suggests the outputs and overall maturity of the Council's Risk Management arrangements are broadly in line with similar Councils and peer organisations (section 10.9 and Appendix Two); and,
- VII. The Risk Management Workplan for 2016 / 17 is being regularly monitored and reviewed to ensure the delivery of the identified actions within this document (section 11 and Appendix Three).

**AUDIT COMMITTEE – 18<sup>th</sup> January 2017**

**RISK MANAGEMENT UPDATE REPORT 2016 / 17**

**1. Purpose of Report**

- 1.1 The purpose of this report is to outline the progress made to date in 2016 / 17 towards the achievement of the goals set out in the Council's Risk Management Policy, and to signpost further work to be undertaken in the year.
- 1.2 This report seeks to provide suitable assurances that the Risk Management Framework remains fit for purpose.

**2. Recommendations**

**2.1 It is recommended that the Audit Committee:**

- i. Considers the Risk Management Update Report, and the robustness of assurances provided;**
- ii. Considers whether any aspect of this report requires a more detailed report or briefing at a subsequent meeting; and,**
- iii. Continues to receive periodic reports during the year to monitor the progress in achieving the actions identified for 2016 / 17.**

**3. Operational Risk Registers (ORRs)**

- 3.1 These risk registers relate to the key risks to the provision of Council services. During 2016 / 17 a significant amount of effort has been applied to aligning these risk registers to the new Future Council Structure. Alongside the realignment of risks, Business Units have been requested to update these risk registers on a bi-annual basis, to ensure that risks remain relevant, and that appropriate progress is being made towards the effective mitigation of them. The risks logged within ORRs are aligned to corporate priorities and Service Delivery Planning and Business Unit plans.
- 3.2 Following the completion of each review, there is a requirement to ensure 'red' risks are reported to Directorate Management Teams in accordance with the Risk Acceptance Model.
- 3.3 A breakdown of ORR risks by Category, as at January 2017 is detailed below:

ORR Statistics								
Risk Category	Jan 2017		June 2016		Nov 2015		May 2015	
	No.	%	No.	%	No.	%	No.	%
1	22	7	51	17	21	7	28	10
2	52	17	56	18	45	16	47	16
3	67	21	55	18	63	22	49	17
4	92	30	74	24	78	28	72	25
5	74	24	67	22	72	26	91	31
6	2	1	2	1	2	1	2	1
<b>Total</b>	<b>309</b>	<b>100</b>	<b>305</b>	<b>100</b>	<b>281</b>	<b>100</b>	<b>289</b>	<b>100</b>
<b>Ave. Risk Category</b>	<b>3.48</b>		<b>3.18</b>		<b>3.45</b>		<b>3.54</b>	

3.4 The latest statistics demonstrates a decrease in the overall risk profile for the Council for the current period (3.48) compared to the profile as at June 2016 (3.18). This is attributable to the decrease in red risks (24% as at January 2017) compared to 35% as at June 2016.

3.5 In order to ensure that risks are being assessed, and subsequently escalated, the Risk and Governance Manager has attended a number of Directorate Management Team meetings during 2016 / 17 to ensure that red risks are being escalated, and consideration as to the assessment and risk mitigation actions is being given by the appropriate Executive Director.

3.6 The average Risk Category score metric details the average score for all risks of relevance logged in MKI for the period in question. The principle behind this metric is to identify and manage any trend in terms of the overall Risk Category score becoming more 'acceptable'. The closer this metric aligns to Category Six (being the most acceptable Risk Category score possible in MKI) the more assured the Council can be in ensuring risks are being managed down to acceptable levels.

#### 4. Project and Partnership Risk Registers

4.1 The Council continues to use the project and programme management system, P2.net, to record and manage a number of project and programme related risks.

4.2 Direct liaison with a number of significant projects and programmes by the Risk and Governance Manager continues, and includes:

- Better Barnsley Programme;
- Superfast South Yorkshire Broadband programme;
- Strategic Business Parks; and,
- Property Investment Fund.

4.3 Assurance continues to be sought from the Council's key partners regarding their own Risk Management arrangements. The details of identified partners are included within the Risk Management workplan, attached as Appendix One to this report.

4.4 A breakdown of Project and Partnership risks by Category, as at January 2017 is detailed below:

Project and Partnership Statistics								
Risk Category	Jan 2017		June 2016		Nov 2015		May 2015	
	No.	%	No.	%	No.	%	No.	%
1	6	3	4	2	8	3	11	5
2	29	12	28	12	34	15	32	16
3	49	21	51	22	52	22	49	24
4	68	28	71	30	65	28	53	26
5	87	36	81	33	72	31	57	28
6	0	0	1	1	2	1	1	1
<b>Total</b>	<b>239</b>	<b>100</b>	<b>236</b>	<b>100</b>	<b>233</b>	<b>100</b>	<b>203</b>	<b>100</b>
<b>Ave. Risk Category</b>	<b>3.84</b>		<b>3.84</b>		<b>3.71</b>		<b>3.57</b>	

4.5 Whilst the overall number of partnership and project risks has seen a slight increase compared to June 2016 there has been no detrimental impact on the Council's risk profile in this area.

## 5. Risk Management Framework

5.1 The Risk Management Framework was comprehensively reviewed and presented to the Audit Committee at their meeting dated 20<sup>th</sup> April 2016.

5.2 The most recent review of the Risk Management Framework in 2015 included the consideration of any appropriate changes or amendments to the Risk Management Policy objectives. A review of the Police and Strategy undertaken by the Risk and Governance Manager in early 2016 identified no new areas that required inclusion.

## 6. Roles and Responsibilities

### 6.1 Risk Champions

6.2 The Risk Champion Group's own terms of reference has been subsumed within the terms of reference for the Corporate Assurance Group (CAG). The CAG has met three times in 2016, and the focus of activities to date has been to focus on the development of the Council's Corporate Assurance Framework.

### 6.3 Risk and Governance Section

6.4 The Risk and Governance Section now comprises of one officer, and now holds responsibility for leading on the development and review of Risk Management arrangements within the Council, along with responsibility for the Annual Governance Review, and production of the Council's statutory Annual Governance Statement.

6.5 The Risk and Governance Manager now also leads on the provision of insurance arrangements for the Council, South Yorkshire Fire and Rescue Service and South Yorkshire Pensions Authority.

## 7. Risk Acceptance

7.1 The Council's Risk Acceptance model was revised as part of the overall review of the Council's Risk Management Framework, and was considered by the Audit Committee at their meeting dated 20<sup>th</sup> April 2016.

## **8. Risk Recording**

8.1 The Council has now ceased using the Morgan Kai Insight Risk Management database for the recording of Council risks. A move to an internal system was undertaken in October and November 2016. There have been no significant negative impacts as a result of this and the updating of risk registers, the collation of risk information for reporting purposes and the overall engagement with risk management continues to be high. This has also saved £7,850 per annum on licence fees that were previously paid to the suppliers of the system, Morgan Kai.

8.2 An extract of all significant Council risks was passed to the Internal Audit section in December 2016 to assist in ensuring the Internal Audit plan for the Council is risk-informed, if not risk based.

## **9. Guidance, Training and Facilitation**

9.1 A Risk Management Learning and Development awareness session was delivered to Members of the South Yorkshire Fire Authority, South Yorkshire Pensions Authority and the Sheffield City Region Authority in December 2016, with positive feedback having been received from that event.

9.2 Other Risk Management training and support has been provided in respect of:

- Holy Rood Catholic Primary School – developing risk management arrangements;
- Local Safeguarding Children Board – presentation and risk register update / awareness session;

9.4 A review of the E-Learning offer available to Elected Members has been programmed for 2017 to ensure this important element of Elected Member development and training remains relevant and vibrant.

9.5 The Risk and Governance Manager has benefitted from achieving the 'Registered Risk Practitioner' status with ALARM (the Association of Local Authority Risk Managers) in November 2016.

## **10. Assurance and Performance Management**

### **10.1 Integration with other Processes**

10.2 The Risk and Governance Manager meets with members of the Internal Audit function on a regular basis to provide information that may influence and affect the Internal Audit plan for the year. During these meetings, consideration is given to key issues arising from operational risk register reviews, strategic risk register updates and the developing Corporate Assurance Framework.

### **10.3 Annual Governance Review and Annual Governance Statement**

10.4 During 2015 / 16, the Risk and Governance Manager led on the application of the revised Annual Governance Review (AGR) process, and the subsequent production of the Council's statutory Annual Governance Statement (AGS).

10.5 The revised AGR process was reported to the Audit Committee at their meeting dated 20<sup>th</sup> April 2016, and the AGS itself at their meeting dated 23<sup>rd</sup> September 2016. The AGS was subsequently approved by full Council on the 29<sup>th</sup> September 2016.

10.6 Furthermore, the Audit Committee considered updates to the AGR Action Plan for 2016 / 17 at their meeting dated 7<sup>th</sup> December 2016.

### **10.7 Performance Management**

10.8 Details of performance as at quarter three is attached as Appendix One to this report.

### **10.9 Benchmarking**

10.10 The Council subscribed to the CIPFA / ALARM Local Authority Risks Management benchmarking club for 2016 / 17.

10.11 An initial analysis of the benchmarking results has been undertaken, and these now contribute towards the measurement of performance for Risk Management activities. An Executive Summary of the benchmarking outcomes is attached as Appendix Two to this report.

## **11. Culture**

11.1 The prime objective of the Council's Risk Management framework is to facilitate the management of risks (and benefits or opportunities arising) in accordance with best practice, through a culture where responsible, informed and controlled risk taking is encouraged. In order to achieve this objective, activities designed to meet this ambition are included in the Risk Management Workplan (attached as Appendix Three to this report).

## **12. Risk Management Considerations**

12.1 The most significant risk to the Council arising from this report is the Council's failure to embrace Risk Management as a vehicle to help deliver objectives in a cost effective and efficient manner. Adopting and constantly improving the Risk Management arrangements for the Council is a clear mitigation against this risk.

## **13. Financial Implications**

13.1 Whilst there are no direct implications arising from this report, the impact of Risk Management should be recognised as a major contributor to overall value for money and the efficient use of resources.

## **14. Employee Implications**

14.1 Again, whilst there are no direct implications arising from this report, the Risk Management process relies entirely on all employees having a good awareness of their responsibilities for Risk Management, and for those specifically tasked with Risk Management functions, it is essential they are trained and supported to fulfil that role.

## **15. Appendices**

Appendix One: Risk Management Performance Indicators 2016 / 17 (as at Q3)

Appendix Two: Risk Management Benchmarking Executive Summary 2016 / 17  
Appendix Three: Risk Management Workplan 2016 / 17

## **16. Background Information**

Previous Audit Committee Reports  
Risk Management Framework  
Risk Registers  
Training Records and Feedback

Contact Officer: Risk and Governance Manager  
Telephone: 01226 77 3119  
Date: 6<sup>th</sup> January 2017

**Appendix One: Risk Management Performance Indicators (as at Q3)**

Indicator	Quarter One: 01/04/2016 – 30/06/2016	Quarter Two: 01/07/2016 – 30/09/2016	Quarter Three: 01/10/2016 – 31/12/2016	Quarter Four: 01/01/2017 – 31/03/2017
<b>PROCESS:</b>				
% of Business Units completing <b>Operational Risk Register Reviews on time</b>	82% (9/11) Completed within timescale  18% (2/11) Completed outside of timescale  0% (0/11) Incomplete	45% (4/9) Completed within Timescale  22.5% (2/9) Completed outside of Timescale  22.5% (2/9) Incomplete	-	-
Maintenance / improvement of ALARM / CIPFA Benchmarking scores relating to <b>Leadership and Management</b>	2015 / 16: Assessed Level – ‘5 – Driving’ (Actual Score 85)  <b>2016 / 17: Assessed Level – ‘5 Driving’ (Actual Score 86)</b>			
Maintenance / improvement of ALARM / CIPFA Benchmarking scores relating to <b>Policy and Strategy</b>	2015 / 16: Assessed Level – ‘5 – Driving’ (Actual Score 82)  <b>2016 / 17: Assessed Level – ‘5 – Driving’ (Actual Score 91)</b>			
Maintenance / improvement of ALARM / CIPFA Benchmarking scores relating to <b>People</b>	2015 / 16: Assessed Level – ‘4 – Embedded and Integrated’ (Actual Score 79)  <b>2016 17: Assessed Level – ‘4 – Embedded and Integrated’ (Actual Score 79)</b>			
Maintenance / improvement of ALARM / CIPFA Benchmarking scores relating to <b>Partnerships and Resources</b>	2015 / 16: Assessed Level – ‘3 – Working’ (Actual Score 64)  <b>2016 / 17: Assessed Level – ‘3 – Working’ (Actual Score 65)</b>			
Maintenance / improvement of ALARM / CIPFA Benchmarking scores relating to <b>Processes</b>	2015 / 16: Assessed Level – ‘4 – Embedded and Integrated’ (Actual Score 71)  <b>2016 / 17: Assessed Level – ‘4 – Embedded and Integrated’ (Actual Score 79)</b>			
<b>CHANGES TO RISK PROFILE:</b>				
Deviance from previous <b>Average Risk Category Score (ALL REGISTERS)</b>	3.50 <i>(no deviance)</i>	3.60 <i>(.05 improvement)</i>	-	-
<b>OUTCOMES:</b>				
Maintenance / improvement of ALARM / CIPFA Benchmarking scores relating to <b>Risk Handling</b>	2015 / 16: Assessed Level – ‘3 – Working’ (Actual Score 68)  <b>2016 / 17: Assessed Level – ‘3 – Working’ (Actual Score 68)</b>			
Maintenance / improvement of ALARM / CIPFA Benchmarking scores relating to <b>Outcomes and Delivery</b>	2015 / 16: Assessed Level – ‘4 – Embedded and Integrated’ (Actual Score 71)  <b>2016 / 17: Assessed Level – ‘Embedded and Integrated’ (Actual Score 72)</b>			

(Key: Level 1 – Awareness (<20%); Level 2 – Happening (20-40%); Level 3 – Working (45-70%); Level 4 – Embedded and Integrated (70-85%); Level 5 – Driving (>85%))



## Appendix Two: Risk Management Benchmarking Executive Summary 2016 / 17

### Risk Management Benchmarking 2016 / 17

#### Summary Report to BU13 Management Team – November 2016

#### 1. Introduction

1.1 A risk management benchmarking exercise was carried out in October 2016 in liaison with the Association of Local Authority Risk Managers (ALARM) and CIPFA. The results of this exercise have been received and are detailed below.

#### 2. Benchmarking Process

2.1 The Council was required to answer 39 qualitative questions relating to ‘Enablers’, (Leadership and Management, Policy and Strategy, People, Partnerships and Resources and Processes) and ‘Results’ (Risk Handling and Assurance and Outcomes and Delivery). The results of these question sets are detailed below.

2.2 It is important to note the subjective nature of this element of the benchmarking exercise, in so far as there are few, if any ‘hard’ metrics that allow for a more quantitative benchmarking exercise to be carried out.

2.2 A number of more quantitative questions were also included as part of the benchmarking exercise, relating to ‘Resources’, which are detailed below.

2.3 Where appropriate, the Council’s Risk Champions were consulted on questions where it was clear the opinion from a cross section of the Council’s employees was required. The remaining questions have been completed by the Council’s Risk and Governance Manager, with moderation being undertaken by the Head of Financial Services (Acting).

#### 3. Benchmarking Results

3.1 The results of the benchmarking exercise for the Council are detailed below:

Area		2013/14 Results	2014/15 Results	2015/16 Results	2016/17 Results
<b>Enablers</b>	Leadership and Management	Level 4 Embedded and Integrated -	Level 4 Embedded and Integrated →	Level 5 Driving ↑	Level 5 Driving →
	Policy and Strategy	Level 5 Driving -	Level 5 Driving →	Level 5 Driving →	Level 5 Driving →
	People	Level 5 Driving -	Level 4 Embedded and Integrated ↓	Level 4 Embedded and Integrated →	Level 4 Embedded and Integrated →
	Partnerships and Resources	Level 3 Working -	Level 3 Working →	Level 3 Working →	Level 3 Working →
	Processes	Level 4 Embedded and Integrated -	Level 4 Embedded and Integrated →	Level 4 Embedded and Integrated →	Level 4 Embedded and Integrated →
<b>Results</b>	Risk Handling and Assurance	Level 3 Working -	Level 3 Working →	Level 3 Working →	Level 3 Working →
	Outcomes and Delivery	Level 3 Working -	Level 3 Working →	Level 4 Embedded and Integrated ↑	Level 4 Embedded and Integrated →

(Key: Level 1 – Awareness (<20%); Level 2 – Happening (20-40%); Level 3 – Working (45-70%); Level 4 – Embedded and Integrated (70-85%); Level 5 – Driving (>85%))

3.2 A more detailed breakdown of the results for Barnsley Council is detailed in the following table, which includes a comparison against the average scores provided by other Local Authorities:

Area		BMBC Results	Average Results	Deviance
<b>Enablers</b>	Leadership and Management	86%	77.4%	8.6%
	Policy and Strategy	91%	76.4%	14.6%
	People	79%	72.1%	6.9%
	Partnerships and Resources	65%	70.7%	-5.7%
	Processes	79%	78.6%	0.4%
<b>Results</b>	Risk Handling and Assurance	68%	71.7%	3.7%
	Outcomes and Delivery	72%	69.5%	2.5%

#### 4. Benchmarking Outcomes

4.1 Any direct comparison between the current benchmarking results for 2015 / 16 with the results from previous years must be undertaken with a degree of caution, in so far as the question sets and scoring methodology for each year reflect an increasing awareness and maturity in terms of risk management arrangements. It is therefore impossible to provide an accurate analysis against previous years benchmarking results.

4.2 However, analysis of the benchmarking results for 2016 / 17 has enabled an action plan to be developed that is specific to the Council. This plan takes into account particular areas of weakness, and identifies proportionate opportunities to improve various elements of the Risk Management Framework. A copy of this action plan is attached as Appendix One to this report. Elements of this plan will be built into the existing Risk Management Workplan for 2016 / 17, which is monitored by, and regularly reported to the Council's Audit Committee.

4.3 Due to the subjective nature of the benchmarking exercise, the benchmarking outcomes should be used as a guide only, and therefore whilst an action plan has been developed, only those actions that will add a tangible value will be pursued.

#### 5. Actions Required / Recommendations

5.1 It is recommended that the outcomes of the benchmarking exercise are approved, and the Risk and Governance Manager is authorised to amend the exiting Risk Management Workplan to include appropriate benchmarking actions.

#### 6. Appendices

Appendix One: Risk Management Benchmarking Action Plan 2016 / 17

#### 7. Background Information

ALARM / CIPFA Benchmarking Action Plan  
BMBC Benchmarking Return 2016 / 17

**Officer Contact:** Risk and Governance Manager  
**Telephone:** 01226 77 3119  
**Date:** 28<sup>th</sup> October 2016

**Appendix One: Benchmarking Action Plan 2016 / 17**

<b>Ref.</b>	<b>Action</b>	<b>Comment</b>	<b>To Include in RM Workplan?</b>
4	As part of the annual Internal Audit review of Corporate Risk Management, Internal Audit could consider: <ul style="list-style-type: none"> <li>▪ Effectiveness of Controls; and,</li> <li>▪ Systems of Internal Control / Mitigations</li> </ul>	These issues are being considered as part of the developing Corporate Assurance Framework.	No – the development of the Council's Corporate Assurance Framework is already included.
6	Outstanding area of 'challenge' relates to the reporting of 'critical controls and control weaknesses'		
7	Outstanding area relates to the Risk and Governance Manager's job profile regarding 'ensuring adequate resources are allocated to Risk Management'	This responsibility lies with the Head of Financial Services (Acting).	No - this responsibility lies with the Head of Financial Services (Acting).
14	Outstanding area relates to the identification of Internal Control 'owners'  Some weakness identified regarding the ownership and accuracy of Business Continuity Plans (BCPs) following the transition to Future Council	This issue is being considered as part of the developing Corporate Assurance Framework.  The issue of BCP's is included within the SRR (Risk 3030) and the AGS Action Plan for 2016 / 17.	No – the development of the Council's Corporate Assurance Framework is already included.  No – already included in SRR and AGS Action Plan.
20	Outstanding areas relate to the development of a Partnership Governance Framework	The development of a Partnership Governance Framework is included in the AGS Action Plan for 2016 / 17	No – already included in AGS Action Plan.
21			
28	Outstanding area relates to the auditing of key Internal Controls	This issue is being considered as part of the developing Corporate Assurance Framework.	No – the development of the Council's Corporate Assurance Framework is already included.
35	Outstanding area relates to the assurances provided by key Internal Controls		

**Appendix Three: Risk Management Workplan 2016 / 17**

<b>Objective</b>	<b>Action</b>	<b>Date for Completion</b>	<b>Status</b>	<b>Notes</b>
Develop, implement and improve the Risk Management Framework	Review of Strategy	11/04/2016	Closed	All documents reviewed – no changes required; Report to AC 20/04/2016;
	Review of Policy Objective Statement			
	Review of Acceptance Model and Appetite Statement			
	Review of Risk Champion Role			
	Review of Risk Challenge Process			
	Review of Project Protocol			
	Review of Cabinet Writing Guidance			
	Review of Risk Training Strategy			
9Provision of assurance in relation to Corporate Governance and Internal Control responsibilities	RM Framework Report to AC	11/04/2016	Closed	All documents reviewed – no changes required; Report to AC 20/04/2016;
	RM Framework Report to Cabinet	11/04/2016	Closed	All documents reviewed – no changes required; Report to Cabinet 01/06/2016;
	RM Annual Report to AC	20/07/2016	Closed	Presented to AC 20/07/2016
	RM Update Report to AC	31/01/2017	Open	
	AGR Review and Local CoCG to AC	20/04/2016	Closed	AGR Review and Local CoCG report to AC 20/04/2016;
	AGS Draft to SMT	15/07/2016	Closed	Presented to SMT 19/07/2016;
	AGS Draft to AC	30/07/2016	Closed	Approved by 20/07/2016;
	AGS Final to AC	30/08/2016	Open	Approved by 23/09/2016;
	AGS Final to Full Council	31/10/2016	Open	Approved by 29/09/2016;
	AGS Action Plan Update to AC	31/12/2016	Open	Drafted – awaiting updates from action owners
	AGS Action Plan Update to AC	31/03/2017	Open	
	SRR Review (October 2016) Report to SMT	31/10/2016	Closed	Presented to SMT 15/11/2016;
	SRR Review (October 2016) Report to AC	15/12/2016	Open	Presented to AC 07/12/2016;
	SRR Review (October 2016) Report to Cabinet	31/01/2017	Open	Cllr G speaking note prepared; Due for presentation to Cabinet 11/01/2017;
SRR Review (March 2017) Report to SMT	31/03/2016	Open		
SRR Review (March 2017) Report to AC	15/04/2016	Open		
SRR Review (March 2017) Report to Cabinet	30/04/2016	Open		
Integration of Risk Management into	ORR Q1	31/03/2016	Closed	Opened via email 07/04/2016;

Objective	Action	Date for Completion	Status	Notes
corporate business processes	QA ORR Q1	30/06/2016	Closed	QA undertaken as part of engagement with ORR;
	ORR Q2	01/07/2016	Closed	Opened via email 15/07/2016;
	QA ORR Q2	30/09/2016	Closed	QA undertaken as part of engagement with ORR;
	ORR Q3	01/10/2016	Open	Opened via email 10/10/2016;
	QA ORR Q3	31/12/2016	Open	
	ORR Q4	01/01/2017	Open	
	QA ORR Q4	31/03/2017	Open	
	SRR Review (October 2016)	01/10/2016	Closed	Completed;
	SRR Review (March 2017)	01/03/2017	Open	
	Provision of information to feed Audit Planning	31/12/2016	Open	
Analysis of Internal Audit reports		31/03/2017	Open	<p><b><u>BMBC:</u></b></p> <ul style="list-style-type: none"> <li>▪ Finance – Income System 2015 / 16 Audit Report (07/06/2016);</li> <li>▪ Finance – SAP User Access Internal Audit Report (09/06/2016);</li> <li>▪ Information Services – Data Protection, Freedom of Information Regulations Data Requests Internal Audit Report (09/06/2016);</li> <li>▪ Finance – Council Tax and NNDR 2015 / 16 Audit Report (08/07/2016);</li> <li>▪ SY Fire – AGR review (11/07/2016);</li> <li>▪ SY Fire – Payroll and Lump Sums (08/07/2016);</li> <li>▪ Hunningley Primary School – Action Plan (25/07/2016);</li> <li>▪ Urbact Tech Town (01/09/2016);</li> <li>▪ Safeguarding overview and scrutiny (16/11/2016)</li> </ul> <p><b><u>FRA:</u></b></p> <ul style="list-style-type: none"> <li>▪ Stronger Safer Community Reserve (19/08/2016);</li> <li>▪</li> </ul>

Objective	Action	Date for Completion	Status	Notes
Support and encourage Risk Management activity throughout the Council, and its partners	Review of Berneslai Homes risk management arrangements	31/12/2016	Closed	Emailed BH Risk Manager 18/11/2016 requesting copies of risk register, policy, strategy etc. Analysed and corresponded with BH Risk Manager 06/12/2016.
	Review of Barnsley Premier Leisure risk management arrangements	30/09/2016	Open	Requested via AD 14/11/2016;
	Review of Norfolk Property Services risk management arrangements	30/09/2016	Closed	Requested at meeting dated 11/11/2016; Analysed and corresponded with NPS Business Manager 06/12/2016.
	Review of Barnsley Norse risk management arrangements	30/09/2016	Open	Requested at meeting dated 11/11/2016; Meeting arranged for 17/01/2017.
Development and delivery of training schemes to raise awareness of risk management and to develop competencies	Development of training offer for BMBC officers	31/03/2017	Open	Housing and Energy Risk Management Projects – 08/06/2016;
	Delivery of training for BMBC officers	31/03/2017	Open	Housing and Energy Risk Management Projects – 08/06/2016;
	Development of training offer for Members	31/03/2017	Open	Member training session for SY Fire and Pensions – 12/09/2016;
	Delivery of training for Members	31/03/2017	Open	See above;
	Development of training for external customers	31/03/2017	Open	Training / support requested from Greenacre School – meeting 24/11/2016; School to contact again in 2017.
	Delivery of training for external customers	31/03/2017	Open	See above;
	Development of E-Learning material	31/03/2017	Open	Review of BOLD offer (officers) and new ADAPT module to commence in January 2017; Review of BOLD offer (Members) to be reviewed in January 2017;
	Intranet Update – June 2016	30/06/2016	Closed	Completed;
	Intranet Update – September 2016	30/09/2016	Closed	Completed 13/09/2016;
	Intranet Update – December 2016	31/12/2016	Open	
Intranet Update – March 2017	31/03/2017	Open		
Delivery of a proportionate Corporate Governance framework for the Council	Corporate Assurance Group Meeting – April 2016	05/04/2016	Closed	Meeting held 05/04/2016 – minutes released 07/04/2016;
	Corporate Assurance Group Meeting – May 2016	26/05/2016	Closed	Meeting held 26/05/2016 – minutes released 15/06/2016;

Objective	Action	Date for Completion	Status	Notes
	Corporate Assurance Group Meeting – September 2016	30/09/2016	Closed	Agenda prepared – individual meetings with Internal Control lead officers during October 2016;
	Corporate Assurance Group Meeting – January 2017	31/01/2017	Open	January meeting to review CAF and begin embedding with ICGF Lead Officers;
	Development of Part One: All IA Recommendations	30/06/2016	Closed	
	Development of Part Two: Themed IA Recommendations	30/06/2016	Closed	
	Development of Part Three: Other Areas of Assurance	30/06/2016	Closed	
	AGR emails to SD's / ED's	30/06/2016	Closed	
	Development of AGS Action Plan	30/07/2016	Closed	
	Development of AGS (draft)	30/07/2016	Closed	
	Approval of AGS (final)	30/09/2016	Closed	
	Development of Corporate Assurance Map	30/09/2016	Open	Individual meetings with Internal Control lead officers during October 2016;