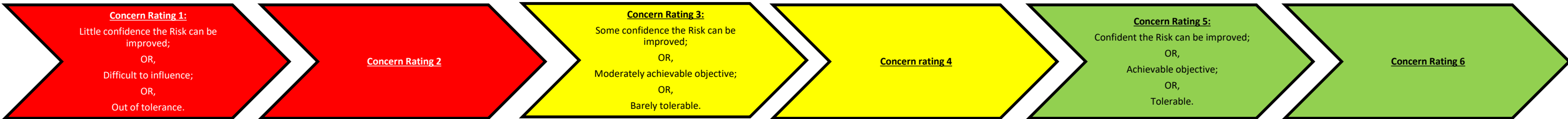


Strategic Risk Register - as at March 2018



Priorit y	Risk No	Risk Title	Risk Consequences	Risk Owner	Existing Control Measures	Oct-16	Mar-17	Oct-17	Mar-18	Risk Mitigation Action	Owner	% comp	Review Date
THRIVING AND VIBRANT ECONOMY	3543	Failure to ensure the adequate supply of land for housing and commercial property growth	<p>Without an adequate supply of land, the Council will face:</p> <ul style="list-style-type: none"> • A decline in the Town Centre; • Decline in the value and quality of available housing stock; • A Decline on the overall Council Tax base available; • Lack of a conducive environment for developers; • Negative impact on Jobs and Business Growth Plan; • Lack of overall positive impact on the local Economy. <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> <p>Schemes that have been successful in obtaining external funding must be able to demonstrate adequate progress towards achieving their ambitions within appropriate timescales or face the risk of having the external funding removed;</p>	SMT SMT	<p>Local Plan - Examination in public (May, July and October 2017) followed by adoption in early Spring 2018. Examination and consultation process underway;</p> <p>Strategic Business Park - Working with Sheffield City Region regarding SCRIF funding to facilitate the development of Strategic Business Park infrastructure;</p> <p>Property Investment Fund - Working with Sheffield City Region regarding JESSICA funding to facilitate the identification of land to build speculative developments to aid commercial growth;</p> <p>Glassworks Programme - Ambitious programme of redevelopment with Barnsley Town centre which includes new developer led retail offer;</p> <p>SY Superfast Broadband programme which is intended to improve the infrastructure in the Borough, to benefit both commercial and residential stakeholders;</p> <p>Enterprising Barnsley schemes focusing on attracting inward investment, investing in infrastructure, growing existing businesses and encouraging higher activity start ups;</p> <p>Strategies in place include Jobs and Business Growth Plan, Transport and Employment and Skills that aim to make the Borough a thriving and unique place to live, work, visit and trade;</p> <p>Quarterly Developer Forums in place to ensure the Council is engaging with regional developers;</p> <p>Outcomes:</p> <p>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 (GREEN)</p> <p>Strengthen our visitor economy (GREEN)</p> <p>Create more and better housing (AMBER)</p> <p>Protecting the Borough for future generations (AMBER)</p>	4	4	4	4	<p>Refresh of Local Plan and approval by Cabinet in March 2016;</p> <p>Consultations complete and Cabinet approved in November 2016 - plans was submitted to Planning Inspectorate December 2016 who will measure extent of representations made before re-running numbers over two or three phases - likely to feedback in December 2017;</p> <p>Feedback re Stage 2 received and now progressing the Local Plan to Stage 3 in early October 2017 - likely to received further modifications which will require further consultation;</p> <p>The timescale for the adoption of the Local Plan is to be confirmed, however the current estimate is Spring 2018;</p>	ED Place	90% Green	30/09/18
										<p>Delivery of 3 year SCRIF programme (2015-18) :</p> <p>J36 Business Park: Road infrastructure completed, business park development held up by Local Plan (is benefiting from SCR Jessica funding);</p> <p>J37 Business Park: Business Plan submitted to Cabinet, followed by significant consultation including Planning. Phase II of scheme likely to be held up by Local Plan;</p> <p>Capitol Park;</p> <p>Ashroyd Business Park;</p> <p>PIF2: On schedule (is benefiting from SCR Jessica funding);</p> <p>Looking to accelerate spending and delivery on certain schemes to reduce delays and ensure funding is not pulled or reduced.</p>	ED Place	85% Green	30/09/18
CITIZENS ACHIEVING THEIR POTENTIAL	3024	Lack of educational attainment	<p>Negative impact on pupils and parents in terms of health, economic, employment and life choices;</p> <p>Negative OFSTED inspection findings;</p> <p>Failure to meet DfE targets for educational attainment;</p> <p>Damage to reputation through poor performance in published league tables compared to the national average, and in poor inspection outcomes;</p> <p>Reputational damage from press;</p> <p>Potential adverse Annual Performance Assessment;</p> <p>Intervention by DfE;</p> <p>Poor educational outcomes will result in skills gaps and a negative impact on the development of the Boroughs economy;</p>	SMT SMT	<p>Performance Management Framework;</p> <p>CYPF Policies and Strategies;</p> <p>Barnsley Alliance established and reports to DMT and SMT;</p> <p>Work with the Barnsley Governors Association to ensure strong governance within schools;</p> <p>School Evaluation Team works to monitor, challenge and intervene in schools to improve standards and outcomes despite limited capacity;</p> <p>Overview and Scrutiny Arrangements;</p> <p>Children and Younger People's Plan 2016 - 2019 refreshed and adopted by TEG and Cabinet with aspirational targets;</p> <p>Corporate Parenting Group in place to delivery Service Improvement Plan which is monitored by the Safeguarding Governance Board and reported to Education Steering Group chaired by Cllr Cheetham - governance structures for 'virtual school' in place and working effectively;</p> <p>Outcomes:</p> <p>Every child attends a good school and is successful in learning and work (AMBER)</p> <p>Reducing demand through improving access to early help (GREEN)</p>	3	4	4	4	<p>Development of plans to ensure Barnsley Schools are in a strong position to implement the Progress 8 framework which is designed to encourage schools to offer a broad and balanced curriculum with a focus on an academic core at key stage 4, and reward schools for the teaching of all their pupils, measuring performance across 8 qualifications. This will also include:</p> <ul style="list-style-type: none"> • Developing a Communications Strategy to ensure stakeholders understand the framework; • Continued liaison with schools via the Barnsley Alliance construct to ensure Progress 8 is embedded in BMBC maintained schoolsand, • Use of limited capacity within BMBC in terms of Schools Improvement activities. <p>Now reviewing impact on Barnsley maintained schools</p>	ED People	60% Green	30/09/18
										Development of School Places Plan which will be designed to influence and build external markets - plan approved by SMT and Cabinet - now implementing plan	ED People	60% Green	30/09/18
	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 made more significant due to a rise in the number of referrals (a 21% increase in the last 12 months) along with many cases having high levels of complexity which is affecting the overall capacity of the Service;</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, vulnerable adults, 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>Opportunities to undertake Lessons Learnt reviews are fully exploited by the Safeguarding Board (including regional and joint learning);</p> <p>Service Delivery Plans / Business Plans;</p> <p>Service Improvement Plan (Children's) developed to deliver OFSTED Safeguarding Recommendations;</p> <p>Overview and Scrutiny arrangements;</p> <p>Action Plan developed using OFSTED inspection framework;</p> <p>Adults Social Care Peer review - outstanding actions consolidated into Business Plan;</p> <p>Making Safeguarding personal programme - outstanding actions consolidated into Business Plan;</p> <p>Adults and Childrens Safeguarding Business Plans refreshed 2018;</p> <p>Review of Governance and Performance Arrangements undertaken for Stronger Community Partnership who own the Early Help workstream;</p> <p>Self Evaluation undertaken against the OFSTED Framework in October 2017 - action plan developed;</p> <p>Outcomes:</p> <p>Children and Adults are safe from harm (AMBER)</p>	3	3	3	3	<p>Adults Safeguarding - development of outcome based Performance Framework - use of qualitative data to improve outcomes</p>	ED People	30% Green	30/09/18
										Delivery of Action Plan following self-assessment against OFSTED Framework	ED People	20% Green	30/09/18
										Safeguarding Awareness Week 2018 (09/07/2018 - 14/07/2018) planning underway to develop a successful Safeguarding Awareness Week that builds on the successes from 2017 and 2016 - likely to be a further week that will cover the regional / South Yorkshire area	ED People	20% Green	30/09/18

Priorit y	Risk No	Risk Title	Risk Consequences	Risk Owner	Existing Control Measures	Oct-16	Mar-17	Oct-17	Mar-18	Risk Mitigation Action	Owner	% comp	Review Date
STRONG AND RESILIENT COMMUNITIES	3026	Failure to achieve a reduction in Health inequalities within the Borough.	Life expectancy in Barnsley remains well below the national average and varies between different parts of the borough; 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; The cost of health inequalities is borne not just by health and social care services and parents, carers and children, but by employers and the local economy; 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; Available evidence shows that health is closely associated with people's standard of living, occupation, level of education and where they live;	SMT SMT	Various plans and strategies in place with key partners aimed at addressing health inequality; 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; Public Health Strategy and Implementation Plan has been considered by H&WB Board and includes references the Sustainability Transformation Plan (STP); Tobacco and Alcohol prevention plans link to STP and the local Barnsley Plan feeds into this also; Barnsley Place Based Plan has been developed and feeds into the STP (which acts as the delivery vehicle for the health and Wellbeing Partnership); Local Accountable Care Partnership (which includes representation from BMBC) developed which is responsible for delivery of the Place Based Plan and includes responsibility for delivering Place based elements of the STP and Health Lives workstream; Outcomes: People are happier, healthier, independent and active (AMBER)	2	2	2	2	Renewing of Public Health Stratgy - refresh due in 2018	Director Public Health	15% Green	30/09/18
	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 and Public Health England regarding large scale response; Currently Barnsley has above average coverage regarding public health related screening and vaccinations; Health Protection Board functioning well; BMBC DPH is co-chair of Local Health Resilience Partnership; HPB established – good engagement from partners at local and regional meetings and proportionate systems are in place;	3	3	3	3	Audit of Health Protection Arrangements undertaken - national audit programme has identified a number of improvement opportunities, but some rely on national guidance to implement	Director Public Health	25% Green	30/09/18
	3023	Failure to engage with stakeholders	Non ability to explain Councils 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; Increased community tensions as a result of Brexit decision resulting in a loss of community cohesion and increased incidents of hate crime;	SMT SMT	Community Engagement Strategy; Barnsley 'Deal' - making clear exactly what the Council offers and sets out what support is needed from people living and working in Barnsley; Supported by the Love Where You Live campaign (3,500+ volunteers have stepped forward to support their communities in different ways, and the work of all of our communities was recognised in March 2017 when Barnsley won the Local Government Chronicle Award for Community Involvement). Residents' survey - 20% of residents would like to get involved in their local community and to improve their neighbourhood; Outcomes: People volunteering and contributing towards stronger communities (AMBER)	3	4	4	5	Refresh of Community Engagement Strategy that underpins Stronger Communities Partnership and Community Safety Partnership (council, not multi-agency) - revised Community Engagement Strategy to be considered by Cabinet in March 2017 - following approval, an implementation plan will be developed to underpin the 'deal' between the Council and its stakeholders - now developing an Implementation Plan Conclusion of voluntary, community and social enterprise infrastructure review - report due to Cabinet in February 2018 Development of 'Town Spirit' as part of Barnsley Deal aiming to recast relationship between the Council and Communities Recommissioning of U-Engage system Development of Strategic Commissioning Group with partners including CCG, Barnsley Hospital and SWYPFT	ED Communiti es ED Communiti es ED Communiti es ED Communiti es	40% Green 90% Green 10% Green 25% Green 15% Green	30/09/18 30/09/18 30/09/18 30/09/18
	3792	Failure to be prepared to assist in the event of an emergency resilience event in the region	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; Recent responses to emergency events 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 and reviewed in 17/18; 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'; Ward Alliances encouraged to consider and develop Community Flood plans - Dodworth, Darfield and Penistone visited; Corporate Resilience Plan reviewed following transition to Future Council; Exercise Refresh - October 2018	2	2	2	2	Busienss Unit / Service continuity plans reviewed in 17/18 - some gaps identified which are to be highlighted to SMT in Spring 2018 which will include a 'check and challenge' session with relevants business units / services Flooding report being developed for SMT in Spring 2018 - will be asking Ward Alliances for copies to their own Flood Plans which will then feed into the Overview and Scrutiny task and finish group analysis which will be reported to Cabinet in Autunn 2018	Executive Director, Core Services Executive Director, Core Services	50% Green 25% Green	30/09/18 30/09/18
	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 systems to enable employees to undertake their duties effectively;	SMT SMT	Working with Health and Safety and Emergency Resilience Service; Data Centre located at Beevor Court; Working with Business Units to understand their requirements; Informal testing programme in place; Power supplies tested on a weekly basis; Infrastructure Team in place to support out of hours / weekend activities;	2	2	2	2	Immediate / 24 hour priority services identified and aligned with IT systems with the external data centre. This has now being mapped by the Enterprise Architect team and the 'top' 30% technical dependent systems identified - the recovery order has now been agreed, resilience arrangements are now being considered Following development of recovery order, consider testing arrangements	Executive Director, Core Services Executive Director, Core Services	60% Green 0% Green	30/09/18 30/09/18
	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; Local commissioning activity not being undertaken correctly resulting in legal challenges and reputational damage;	SMT SMT	Council Constitution; 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'; Private / informal 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; 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	3	3	3	4	Monitor and Review Area Council activity (in terms of Area Council Coordinating Group, Area Council Commissioning Group and Area Council Chairperson Group) (17/18) Monitor and Review Area Council activity (in terms of Area Council Coordinating Group, Area Council Commissioning Group and Area Council Chairperson Group) (18/19) Monitor and review the implementation and effectiveness of revised Contract Procedure Rules to deal with commissioning of internal services from Area Council budgets (17/18) Monitor and review the implementation and effectiveness of revised Contract Procedure Rules to deal with commissioning of internal services from Area Council budgets (18/19)	Executive Director, Core Services Executive Director, Core Services Executive Director, Core Services Executive Director, Core Services	75% Green 0% Green 75% Green 75% Green	30/09/18 31/03/19 30/09/18 31/03/19
	3028	Workforce planning issues	The Council requires 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; Organisational Development Strategy monitoring reports to Scrutiny; Regular progress reports against Future Council characteristics to SMT; NW Employers session - workforce planning now a more important element of Business Planning processes; Workforce Planning arrangements now embedded into Business Planning activities;	3	3	3	3	Delivery of Organisational Improvement Strategy including oversight and governance arrangements being delivered by Organisational and Improvement Board 18/19	Executive Director, Core Services	25% Green	30/09/18

Priorit y	Risk No	Risk Title	Risk Consequences	Risk Owner	Existing Control Measures	Oct-16	Mar-17	Oct-17	Mar-18	Risk Mitigation Action	Owner	% comp	Review Date
ONE COUNCIL	3029	Failure to safeguard information	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; 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 PSN compliance leading to the suspension of the Councils connection to the government secure network; Non compliance with General Data Protection Regulations, 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 Council'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;	SMT SMT	Information Management and Governance Policies; Executive Director of Core Services - Senior Information Risk Officer (SIRO); Information Governance Team in place to provide advice, guidance and training; Records Management Team in place to provide advice, guidance and training; Information Governance Board in place; Three Caldicott guardians established within Public Health and People (Adults and Childrens services) Directorates; Proactive Phishing campaign to identify risk areas; Proactive approach to PSN compliance - addressing lower risk issues that may become bigger in future years; SharePoint being rolled out across Council during 2016 - 2019; Head of Internal Audit assumed role of DPO in order to achieve GDPR compliance and completed DPO accredited training in 2018; ICO Consensual Audit 2017 - concluded the Council had provided 'reasonable assurance'; Action Plan with progress updates on GDPR being presented to the Audit Committee; Sharepoint intranet portal for IS and GDPR resources in place;	4	4	4	3	Removal of Citrix from personal computers due to PSN constraints	Executive Director, Core Services	90% Green	30/09/18
										Review of IG Toolkit - aiming for L3 compliance in 2018/19	Executive Director, Core Services	60% Green	31/03/18
										ICT systems access system access, review policy and simplify process for new starters, movers and leavers - is being progressed as part of IT Services pursuit of ITIL compliance and Digital First.	Executive Director, Core Services	15% Green	31/03/18
										Activities to ensure compliance with General Data Protection Regulations 2018: • high level action plan monitored weekly; • quick reference guides drafted (consent, processing child data, individual rights and privacy notices; • Review of all policies underway; • Elected Members mandatory training underway; • Data Protection Officer job profile drafted and waiting evaluation; • Corporate GDPR training course being re-written and published to all staff and third parties, once IG Policies have been approved; • Cyber security software tender awarded – project manager established and ready to implement software.	Executive Director, Core Services	65% Green	
										PSN Compliance review undertaken in December 2017 - review completed and not successful. Now awaiting confirmation regarding certification which may be delayed until the next review in March 2018	Executive Director, Core Services	75% Amber	30/09/18
										Procurement of Perimeter Defence System - current arrangements expire in September 2018 - likely to be a four month window where the Council is exposed to attempts to penetrate the Councils IT systems - affecting connections to Council Tax, Health, Education and Social Care. In order to mitigate the Councils exposure, extra monitoring of perimeter activity is in place and a reduction in the timescale for the tender exercise has been agreed	Executive Director, Core Services	25% Amber	30/09/18
	3031	Strategic Performance, governance or compliance failure	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.	SMT SMT	Council Constitution; Local Code of Corporate Governance; Information Management and Governance Policies; ToR for Audit Committee; ToR for Scrutiny Committees; 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; Improvements to the recording of officer delegated decisions to ensure this is in line with legislation completed via AGS Action Plan;	4	4	4	4	Monitoring and reviewing commissioning activities at Ward Alliance level 17/18 - progress being made in adapting to new governance arrangements	Executive Director, Core Services	75% Green	30/09/18
										Monitoring of AGS Action Plan (17/18)	Executive Director, Core Services	75% Green	30/09/18
	3033	Failure to adapt the Authority into a sustainable organisation - 'Failure to maintain current services'	The need to balance the books, gain efficiencies and meet new demands could lead the Council into drastic measures that could increase long-term risks and costs, both to the organisation as well as to the community; The Council 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; Need to ensure that the Council has the right people to ensure sustainable opportunities are being exploited to their maximum.; 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.	SMT SMT	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; Contract for Leadership and Management training for all 4th tier and above officers agreed with IODA Training completed. Second and third wave of leadership training underway; Future Council Strategy and Workforce development refreshed and approved by Cabinet in March 2017; New Corporate Plan 2017-2020 developed and published; Talkabout sessions delivered May and June 2017 led by Executive Directors which aimed to link new Corporate Plan to Business Plan via 'golden thread';	4	4	4	4	Corporate Talkabouts being developed for Spring / Summer 2018	Executive Director, Core Services	10% Green	30/09/18
										Delivery of Key Drivers (growth, early help, local devolution, behaviour change and digital first) as detailed in the Future Council 2020 Improvement, Growth and Sustainability report 2018	Chief Executive	25% Green	30/09/18
	3034	Failure to deliver the Medium Term Financial Strategy and its underlying financial assumptions	Unsustainable financial position for the Council; Requirement for further KLOE process and consequential impact on front line services; Adverse effect on the Council's reserves and possibly falling below minimum working balances; Adverse External Audit report / opinion and possible Government intervention with impact on Council flexibility;	SMT SMT	Strong service and financial planning processes in place reported to SMT/ Cabinet to assess the impact and deal with it; Robust MTFS in place - eg 3 year balanced position through to 2020 and refreshed on a regular basis to reassess the underlying assumptions and incorporate national and local focus; Strong governance framework including refreshed Financial Regulations, Annual Governance Action Plan and other supporting strategies; Implementation of the Future Council model based on a Business Unit model; Financial Services structure and systems set up to support the above framework and business partnering model; Robust governance of savings, efficiencies and improvements; Strong Financial Monitoring and Performance Management Framework in place; Working groups established to specifically review any major over spending services eg. between Finance and People (ASC) to understand issues that are now stabilising - eg. specific review of BU6 with collaboration between Finance and Service staff;	3	4	4	4	Working with Budget Managers to further embed and exploit SAP Business Planning and Consolidation (BPC). New guidance being developed got imminent roll-out to encourage the further use of BPC by Budget Managers	Executive Director, Core Services	50% Green	30/09/18
										Working with Budget Managers to develop SAP Business Objects - proof of concept developed and agreed with Service Directors and Budget Managers - now working with BU15 (Business Improvement and Communications) and BU12 (Information Technology) to identify a solution - blueprinting and road mapping being developed	Executive Director, Core Services	15% Amber	30/09/18
										Financial Services at the forefront of understanding and influencing major government changes proposed in next 2 years such as 75% business rate retention and Fair Funding review. Reports to be submitted to SMT and Cabinet as required	Executive Director, Core Services	0% Green	30/09/18
										Financial Services at the forefront of understanding and influencing any local / regional / national issues including Devolution and Brexit including its impact on Barnsley and its partners	Executive Director, Core Services	0% Green	30/09/18

Priorit y	Risk No	Risk Title	Risk Consequences	Risk Owner	Existing Control Measures	Oct-16	Mar-17	Oct-17	Mar-18	Risk Mitigation Action	Owner	% comp	Review Date
	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	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; 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; BOLD Elearning modules in place; Relationship in place between Internal Audit, Human Resources, Legal Services and the Police which was refreshed as part of the development of the Corporate Anti-Fraud Team;	3	3	3	3	Review corporate training programme utilising corporate PDR information and further development of POD online training - trialling a pilot package Prosecution Policy and Whistleblowing Policy to be reviewed and considered by the Audit Committee and Cabinet Communication of arrangements via training and awareness sessions regarding anti fraud and corruption arrangements to publicise these throughout the Council - main focus will be new POD training package Reinstatement of annual Fraud Risk Self Assessment at Business Unit level	Executive Director, Core Services Executive Director, Core Services Executive Director, Core Services Executive Director, Core Services	90% Green 85% Green 65% Green 50% Green	30/09/18 30/09/18 30/09/18 30/09/18
	3514	Failure to be able to deliver the ambitions and outcomes associated with the Customer Strategy Implementation Programme	Leading to... Negative impact on savings plans 2018 - 2020; 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; Lack of efficient and effective services; Services becoming unsustainable following the Council's journey to Future Council and future financial pressures facing local government; 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;	SMT SMT	Robust working relationship with Information Services in place, and now part of the same Directorate; New website in place with continuing improvement plan in place; Emergence of Digital Board to include Customer Services workstream; Outline Business Case for Digital First Agenda approved by SMT - Cabinet have also agreed a £2M investment for Digital First agenda; Business Units embracing Digital First principles within their own individual Business Plans; Outcomes: Customers can contact us easily and use more services online (AMBER)	4	4	4	4	Development of reflective 'look-back' report to examine progress made in 17/18 which will be considered by Cabinet Customer Care / Customer Contact training to be provided to employees who have a high level of contact with the public - Organisational Improvement Board now leading on the embedding of digital skills / smart working / agile working arrangements into the broader Organisational Improvement Project Plan - also includes the provision of digital training, maximising the equipment provided and building a new digital-based 'culture' Establishment of a Project Manager role for Digital First programme	Executive Director, Communities Executive Director, Communities Executive Director, Communities	25% Green 15% Green 10% Green	30/09/18 30/09/18 30/09/18
	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; Elements of company being wound up including Barnsley HR Services and Barnsley Financial Services; ILAH Action Plan completed and lessons learnt reported to Cabinet; Commercial Strategy now in place; Commercial Awareness Sessions delivered; Commercial Toolkit developed; Leadership Programme included consideration of Commercial skills; Director of Core Services attended course on governance arrangements for Trading Organisations	4	4	4	4	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 deferred in light of reduced level of trading activity - reviewed and considered further controls - not required at this stage due to reduced levels of direct trading through company structure Development of shareholder role (SMT and Member / Cabinet level) to ensure the appropriate oversight of the trading / commercial activities is in place - reviewed and considered further controls - not required at this stage due to reduced levels of direct trading through company structure	Board of Directors Executive Director, Core Services	0% Green 0% Green	30/09/18 30/09/18
	3794	Lack of certainty regarding the outcome of wider Yorkshire devolution deal and the city region devolution	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; Significant reputational damage in the event the devolution model fails or is seen to fail as a result of BMBC support;	SMT SMT	Development of protocols for dealing with potential conflicts of interest; Escalation of issues through Chief Executives; De-briefs following significant interaction with the Combined Authority; Ongoing collaborative work with Yorkshire Authorities to progress Yorkshire Mayoral Combined Authority to reflect community preferences as expressed in the Community Poll in late 2017;	4	4	3	3	Ensuring that the Authority is able to learn from its experiences in terms of conflicts that may have arisen and identifying areas of potential improvement in terms of how conflict are identified, handled and addressed (17/18)	Executive Director, Core Services	75% Green	30/09/18
	4154	Failure to achieve the full benefit of our change work to date and to ensure it is sustainable for the future. (OPENED AS PER FUTURE COUNCIL 2020 CABINET / SMT AWAYDAY report dated 27/07/2016 (see Michael Potter))	Lack of improved service provision; Scant resources being targeted on inappropriate areas; Significant budget cuts have driven the 'Future Council' programme which has dramatically transformed the organisation's business model; 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	Future Council Steering Group in place to track KLOE activity; Organisational Improvement Board in place to oversee the delivery of organisational development and change programmes; SMT responsible for the Delivery of the Councils Corporate Plan 2017 - 2020; Forward look for Corporate Plan 2020 - 2022 underway; Delivery of Digital First agenda which cuts across Council and aims to modernise the Councils IT estate and change ways of working to ensure the Council; has a 'digital first' mind-set when considering improvements to processes, transactions, communications etc. Development of plans in terms of organisational development, despite not having a clear understanding of the financial context in which the Council will operate as a result of uncertainties relating to devolution and Fail Funding arrangements; Programmes of activity include: Facilitating and accelerating growth, Supporting Early Help, Developing local Devolution Models, Supporting behaviour change within communities, Brexit Implications and Technology;	N/A	N/A	N/A	4	Monitor and review the progress made 18/19	Chief Executive	0% Green	30/09/18
THRIVING AND VIBRANT ECONOMY	4170	Failure to ensure the Glassworks Programme delivers the appropriate levels of retail, market and leisure space with the agreed resource envelope that enables a robust level of return on investment to be made - allowing the Council to obtain the best deal possible in terms of being able to recover its borrowing within a suitable timescale and deliver the positive impacts on the Town Centre and wider economic landscape	Inability to recover borrowings in a timely and cost effective manner; Lack of improvement for Town Centre; Disruption to Town Centre businesses; Inability to let space resulting in the failure of the business case;	SMT SMT	Programme Management arrangements in place, including joint board / joint governance arrangements for Phases 1 and Phase 2; Nearing completion of Phase One works; DMO tender underway;	N/A	N/A	N/A	3	Working with DMO to identify and secure high end retailers to ensure scheme is cost effective and has strong public support Working with architects, designers and DMO to ensure new builds are high quality, aspirational and draw in the correct type of retailers Working with stakeholders to consult and collaborate on the scheme and to ensure there is a high level of awareness in place	ED Place ED Place ED Place	40% Green 75% Green 50% Green	30/09/18 30/09/18 30/09/18