

Strategic Risk Register - as at October 2018



Priority	Risk No	Risk Title	Risk Consequences	Risk Owner	Existing Control Measures	Mar-17	Oct-17	Mar-18	Oct-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 consultations throughout 2016 and 2017 - plans were submitted to Planning Inspectorate in December 2016 - feedback provided in December 2017 - Plan progressed to Stage 3 in early October 2017;</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 (GREEN)</p>	4	4	4	4	<p>The timescale for the adoption of the Local Plan is to be confirmed, however the current estimate is Winter 2018 - Internal verification process with Inspector prior to publication;</p>	ED Place	90% Green	31/03/19	
										<p>Delivery of SCRIF Programme:</p> <ul style="list-style-type: none"> M1 J36 Phase One Business Park - infrastructure completed, development of business park has been held up by Local Plan M1 J36 Phase Two Business Park - full business case has been submitted to Sheffield City Region for approval (subject to Local Plan adoption) M1 J37 Business Park - Outline business case approved by Sheffield City Region Phase One - full business case approval is in negotiation Phase Two - full business case is in development and subject to Local Plan approval 	ED Place	85% Green	31/03/19	
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	<p>Inability to recover borrowings in a timely and cost effective manner;</p> <p>Lack of improvement for Town Centre;</p> <p>Disruption to Town Centre businesses;</p> <p>Inability to let space resulting in the failure of the business case;</p>	SMT SMT	<p>Programme Management arrangements in place, including joint board / joint governance arrangements for Phases 1 and Phase 2;</p> <p>Nearing completion of Phase One works;</p> <p>DMO tender underway;</p>	N/A	N/A	3	3	<p>Working with DMO to identify and secure high end retailers to ensure scheme is cost effective and has strong public support</p>	ED Place	40% Green	30/09/18	
										<p>Working with architects, designers and DMO to ensure new builds are high quality, aspirational and draw in the correct type of retailers</p>	ED Place	75% Green	30/09/18	
											<p>Working with stakeholders to consult and collaborate on the scheme and to ensure there is a high level of awareness in place</p>	ED Place	50% Green	30/09/18
ACHIEVING THEIR POTENTIAL	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 a 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 (which looked at the use of resources) - outstanding actions consolidated into Business Plan for 2019;</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>More capacity in place to be able to assess quality in Adult Services;</p> <p>Regional Self Assessment undertaken against the OFSTED Framework in October 2017 - action plan developed;</p> <p>More forensic self-evaluation undertaken in March 2018 and this has been provided to OFSTED as part of their unplanned visit in October 2018 which has confirmed Barnsley's self-assessment to be accurate and valid;</p> <p>Safeguarding Week 2018 successful;</p> <p>Outcomes:</p> <p>Children and Adults are safe from harm (GREEN)</p>	3	3	3	4	<p>Adults Safeguarding - development of outcome based Performance Framework - use of qualitative data to improve outcomes</p>	ED People	40% Green	31/03/19	
											<p>Delivery of Action Plan following self-assessment against OFSTED Framework</p>	ED People	90% Green	31/03/19
											<p>Planning for Safeguarding Awareness Week 2019</p>	ED People	0% Green	31/03/19
											<p>Outcomes of OFSTED evaluation of self-assessment will feed into next iteration of Business Plans</p>	ED People	0% Green	31/03/19

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PEOPLE AC	4248	Lack of adequate qualifications at L3 and above to progress through to further and higher education	Negative impact on pupils and parents in terms of health, economic, employment and life choices; Insufficient number of learners progressing to higher and further education; Damage to reputation through poor performance in published league tables compared to the national average, and in poor inspection outcomes; Reputational damage from press and social media; Poor educational outcomes will result in skills gaps and a negative impact on the development of the Boroughs economy;	SMT SMT	Performance Management Framework; People related Policies and Strategies; Barnsley Alliance established with reporting lines to DMT and SMT; Overview and Scrutiny arrangements - regular review of CYPF Annual Report; Children's and Younger Peoples Plan 2016 - 2019 refreshed; KS2 and KS4 attainment now globally at national average; KS5 3.63 below national average; Now 120th (out of 151) for L3 results (was 96th in previous years); Barnsley College OFSTED rating of 'Outstanding'; Penistone Grammar School 6th Form College in top tier for ALPS and 97th (out of 151) for 'A' Level results (was 137th in previous years); Outcomes: Every Child attends a good school and is successful in learning (GREEN) Reducing demand through improving access to early help (GREEN)	N/A	N/A	N/A	3	Refresh of Barnsley Alliance Strategy	ED People	0% Green	31/03/19	
									3	Refreshed Children's and Younger Peoples Plan 2016 - 2019 to be approved and adopted by TEG	ED People	0% Green	31/03/19	
										3	Development of strategies to improve KS4 issues	ED People	0% Green	31/03/19
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); Current Life Expectancy data justifies the maintenance of this this risk rating - refreshed life expectancy data is published in December 2018, with local electoral ward level analysis scheduled for Qtr4 of 2018 - the analysis of this data may justify a review of the risk rating at that time; Outcomes: People are happier, healthier, independent and active (AMBER)	2	2	2	2	Public Health Strategy 2018 - 2021 - Cabinet approval in 2018 - Delivery of Action Plan which provides a focus on three key areas: • Resilience; • Food; • Alcohol; Which complement the existing strands of Tobacco, Oral Health and Physical Activity.	Director Public Health	25% Green	31/03/19	
										2	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 - ongoing development in this area include working across whole health system and ensuring health issues have a suitably high profile within the group 18/19	Director Public Health	50% Green	31/03/19
											2	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 - ongoing development in this area include working across whole health system and ensuring health issues have a suitably high profile within the group 18/19	Director Public Health	50% Green
	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 - Good practice is in place and regular training exercises are designed to test Health Protection Arrangements	Director Public Health	50% Green	31/03/19	
	3023	Failure to consult and 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; Town Spirit - 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; Review of voluntary, community and social enterprise infrastructure undertaken; Smart Survey arrangements in place to replace U-Engage; Outcomes: People volunteering and contributing towards stronger communities (GREEN)	4	4	5	5	Refresh of Community Engagement Strategy that underpins Stronger Communities Partnership and Community Safety Partnership (council, not multi-agency) - revised Community Engagement Strategy and Implementation Plan developed to underpin the 'deal' between the Council and its stakeholders - strengthening of relationship between Council, Partners and Stakeholders	ED Communities / ED Core	65% Green	31/03/19	
										5	Development of 'Town Spirit' as part of Barnsley Deal aiming to recast relationship between the Council and Communities - specific Talkabouts in place for 2018 and will be included within future Induction Training	ED Communities / ED Core	75% Green	31/03/19
	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; All Business Unit / Service continuity plans reviewed in 17/18 - some gaps identified which were highlighted to SMT in Spring 2018 which will include a 'check and challenge' session with relevant business units / service representation; Business Units now have the appropriate skills to be able to develop their own BCPs and resilience arrangements;	2	2	2	3	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 is currently in draft and will be published in 2018	Executive Director, Core Services	50% Green	31/03/19	
	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; The Council could be held to ransom by third parties demanding financial compensation on return for our data;	SMT SMT	Working with Health and Safety and Emergency Resilience Service; Data Centre located at Beavor 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 provide limited support out of hours / weekend activities; In the event of ransom, seek advice and guidance from the National Cyber Security Centre and Yorkshire and Humber Cyber Crime Unit (police) - general advice is do not pay ransoms - issue will be escalated to ED Core and CX; Exercise 'Refresh' in 2018 focused on an IT outage incident, and was complemented by an actual IT outage incident in September 2018;	2	2	2	3	Immediate / 24 hour priority services identified and aligned with IT systems with the external data centre. This has now been mapped by the Enterprise Architect team and the 'top' 30% technical dependent systems identified - the recovery order is yet to be agreed	Executive Director, Core Services	60% Green	31/03/19	
										3	Following development of recovery order, consider how best to undertake a 'safe' test of arrangements in place - likely to be a recommendation to the Information Governance Board as to whether a test could be undertaken in a manner that can guarantee a speedy and robust recovery	Executive Director, Core Services	0% Green	31/03/19

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	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;	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 effectively;	3	3	4	5	Monitor and Review Area Council activity (in terms of Area Council Coordinating Group, Area Council Commissioning Group and Area Council Chairperson Group) and revised Ward Alliance Arrangements (18/19)	Executive Director, Core Services	50% Green	31/03/19
										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	50% Green	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; New P&DR Arrangements in place;	3	3	3	3	Delivery of Organisational Improvement Strategy (2017 - 2020) including oversight and governance arrangements being delivered by Organisational and Improvement Board 18/19 - monitoring arrangements undertaken via Organisational Improvement Board	Executive Director, Core Services	60% Green	31/03/19
										Delivery of SAP Success Factors - in relation to succession and development and workforce planning - 3rd phase 2020 - 2021	Executive Director, Core Services	0% Green	31/03/19
	3029	Failure to safeguard personal , identifiable information	Breaches of GDPR / DPA legislation; Potential ICO fines and censure; Poor relationship with ICO; Embarrassment or personal loss to the customer; Reputational damage to the Council; Poor data quality; Missed opportunity to link Council records with partners to improve data quality and preventative services; Considerations have not formally been assessed for peoples privacy impacts;	SMT SMT	Policies all reviewed and published; ICO consensual Audit 2017 - concluded that the Council had provided 'reasonable assurances'; Engaged with an external health check auditor / advisor with annual audit support; PSN achieved on 16/08/2018; Monitoring of all denial of service attacks; Training released to all employees regarding the importance of records management and retention periods; Annual GDPR training undertaken; Incident reporting processes in place, and easy to inform; Caldicott Guardian, DPO and SIRO are all actively involved when a serious breach is identified; Incidents are all reported into the Information Governance Board and Audit Committee; Administrative procedures, contain the breach and collect documentation; Phishing and vishing are regularly (4x per year) undertaken across all users and reported into the Information Governance Board and Service Directors; All systems administrators and those using cloud technology always use multi-factor authentication; Phase 1 - Information Flow Mapping has been undertaken capturing all the risks, information sharing agreements etc. Phase 2 - to include systems, security considerations and business data; IT Project Management includes DPIA's within both business cases and project initiation documents; Corporate Business Cases include DPIA template; Training has been deployed (GDPR) which includes DPIA's and why they are required; DPO role assigned; DPO trained to a basic level; Internal Audit days included in plan to support DPO; DPO attending IS Board and IG Team meetings; DPO undertaking continuous training;					All GDPR outcomes to be monitored and reviewed during 2018/19 by DPO and Internal Audit Action Plan; Line managers to discipline those employees who regularly breach the Act; Undertake regular audits with previous comparisons of similar exercises to check for 'offenders'ion Flow Mapping revisited and regularly reviewed with Business Units; Existing Governance and Security policies to be reviewed annually, and amended as appropriate;	Executive Director, Core Services	75% Amber	31/03/19
										Cyber Essentials Plus to be submitted on behalf of the Council (31/12/2018)	Executive Director, Core Services	85% Amber	31/03/19
						4	4	3	3	Monitor and review 2018/19 with external health check partners	Executive Director, Core Services		
										Build into HR and ITIL processes for movers, changers and leavers for the management of user access to council systems	Executive Director, Core Services	30% Amber	31/03/19
										Provide Service Directors with assurances regarding their customer / client information being considered for privacy impacts - IT projects 100%, other projects delivered within the Council unsure percentage, but is likely to be low	Executive Director, Core Services	70% Amber	31/03/19
										DPO work / action plan being developed ; Reporting arrangements to be determined;	Executive Director, Core Services	60% Amber	31/03/19
	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;					Monitoring of AGS Action Plan (18/19)	Executive Director, Core Services	50% Green	31/03/19
										Development of Managers Toolkit and Accountability Framework	Executive Director, Core Services	15% Green	31/03/19
						4	4	4	4	Monitoring the effectiveness of revised Standing Orders (18/19)	Executive Director, Core Services	50% Green	31/03/19

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ONE COUNCIL	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; BMBC Digital First Programme; Integrating areas of work and consideration of new Service Delivery models such as traded services or social enterprise; Significant investment in leadership and management training throughout the Council, including the 'Future Leaders' apprenticeship programme; Future Council Strategy and Workforce development refreshed and approved by Cabinet in March 2017; New Corporate Plan 2017-2020 developed and published; Talkabout sessions throughout 2017 (business planning and 'golden thread') and 2018 (Town Spirit); Organisational Improvement Strategy 2017 - 2020 in place and being monitored;	4	4	4	4	Corporate Talkabouts being developed for Spring / Summer 2019	Executive Director, Core Services	10% Green	31/03/19
										Development of Performance Management Arrangements for 2018 and beyond - new reporting arrangements	Chief Executive	25% Green	31/03/19
	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 and timely service and financial planning processes in place reported to SMT/ Cabinet to assess the impact and deal with it; Robust MTFS in place refreshed on a regular basis to reassess the underlying assumptions and incorporate national and local focus - subject to approval; Balanced MTFS through to 2020/21 and plans in place to manage a small remaining deficit in 2021/22; 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 and Q2 currently reporting £0.5M underspend on services; 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;	4	4	4	4	Working with Budget Managers to further embed and exploit SAP Business Planning and Consolidation (BPC). New guidance and accompanying training developed for imminent roll-out to encourage the further use of BPC by Budget Managers	Executive Director, Core Services	60% Green	31/03/19
										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 with compliance arrangements being developed via the Managers Toolkit and subsequent Accountability Framework	Executive Director, Core Services	15% Amber	31/03/19
										Robust processes in place to monitor the delivery of Service savings over the next thw years including regular reports into SMT and Cabinet on progress	Executive Director, Core Services	15% Amber	31/03/19
										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	31/03/19
										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	31/03/19
	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 BMBC could be guilty by association;	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	Executive Director, Core Services	90% Green	31/03/19
										Prosecution Policy and Whistleblowing Policy to be reviewed and considered by the Audit Committee and Cabinet	Executive Director, Core Services	85% Green	31/03/19
										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	Executive Director, Core Services	65% Green	31/03/19
									Reinstatement of annual Fraud Risk Self Assessment at Business Unit level	Executive Director, Core Services	50% Green	31/12/19	
									Fraud Awareness Week (17-24 September 2018) - follow up work to create internet pages for public information	Executive Director, Core Services	50% Green	31/03/19	
									Review of outcomes arising from Fraud Awareness Week to enhance internal awareness of fraud risks and engage with other BMBC services	Executive Director, Core Services	50% Green	31/03/19	
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; Mayor in office as at May 2018;	4	3	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 (18/19)	Executive Director, Core Services	50% Green	31/03/19	

Priority	Risk No	Risk Title	Risk Consequences	Risk Owner	Existing Control Measures	Mar-17	Oct-17	Mar-18	Oct-18	Risk Mitigation Action	Owner	% comp	Review Date
ONE COUNCIL	4154	Failure to achieve the full benefit of our change work to date and to ensure it is sustainable for the future.	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	BLT responsible for tracking 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 Fair 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	4	4	Monitor and review the progress made in 18/19 against key strategies such as: • Organisational Improvement Board; • Barnsley Leadership Team; • Digital First; • Other key boards	Chief Executive	50% Green	31/03/19
	4249	Failure to ensure that the Council is able to fully understand the implications of BREXIT, and is able to ensure that opportunities that may arise are fully understood and exploited, and that risks arising from BREXIT are understood and mitigated	Missed opportunities that may be present within the agreed BREXIT package; Risks arising from BREXIT that may affect the Council, its partners, stakeholders and other interested parties;	SMT SMT	Initial BREXIT Impact Assessment undertaken; BLT focussed session on BREXIT issues;	N/A	N/A	N/A	3	Further development of BREXIT strategy following BLT session - focussing on main areas such as People, Communities, Finance and Funding	Executive Director, Core Services	0% Green	31/03/19