



Risk 'Concern' Rating:
The 'assessment' of the risk is based on:

- The confidence the Authority has that the Risk can be improved;
- The ability of the Authority to be able to achieve the objectives that are linked or implicit within the Risk ;
- The ability of the Authority to be able to influence or affect the Risk;
- The speed in which the organisation can change its direction and therefore control the velocity of the Risk; and,
- The willingness of the Authority to accept or tolerate the Risk

Priority	Risk No	Risk Title	Risk Consequences	Risk Owner	Existing Control Measures	Feb-14	Sep-14	Feb-15	Oct-15	Risk Mitigation Action	Owner	% comp	Review Date	Recovery Plan
THRIVING AND VIBRANT ECONOMY	3543	Failure to ensure the adequate supply of land for housing and commercial property growth	<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>	SMT SMT	<p>Local Plan Working with Sheffield City Region regarding SCRIF funding to facilitate the development of Strategic Business Park infrastructure; Housing Strategy 2014 - 2033 outlines the Council's ambitions for regeneration and building in the region and relies on the Local Development Plan to identify and obtain land, and SCR and LCR to assist in building developments; SY Superfast Broadband programme which is intended to improve the infrastructure in the Borough, to benefit both commercial and residential stakeholders; Property Investment Fund set up to facilitate the identification of land to build speculative developments to aid commercial growth; Enterprising Barnsley schemes focusing on attracting inward investment, investing in infrastructure, growing existing businesses and encouraging higher activity start ups; Skills Plans completed; Other strategies in place include Jobs and Business, Transport and Employment and Skills that aim to make the Borough a thriving and unique place to live, work, visit and trade; Local Plan consultation extended, due to the inclusion of new development sites, and is due to be reported back to Cabinet in September 2015; Positive approach to planning applications for housing on sustainable non-Green Belt sites that are yet to be allocated;</p> <p>Outcomes: 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>	n/a	n/a	3	4	Delivery of SCRIF programme 15/16	SD Economic Regenerati	0% Green	31/03/2016	
										Developer Forums 15/16	SD Economic Regenerati on	0% Green	31/03/2016	
										Progression of Devolution Deal - development of deal, consideration of impacts, strategic planning and governance issues and the duty to engage constructively, actively and on an ongoing basis in relation to planning of sustainable development	Director Place	0% Amber	31/03/2016	
										Consideration of funding opportunities regarding the delivery fo the Local Plan	Director Place	0% Amber	31/03/2016	
	3024	Lack of educational attainment	<p>Negative impact on pupils and parents in terms of health, economic, employment and life choices; Failure to meet DfE targets for educational attainment; Damage to reputation through poor performance in published league tables compared to the national average, and in poor inspection outcomes; Reputational damage from press; Potential adverse Annual Performance Assessment; Intervention by DfE; Potential pressure from DfE for closure of schools or transfer to Trust or Academy status;</p>	SMT SMT	<p>Performance Management Framework; CYPF Policies and Strategies; Close monitoring of Government grade boundaries to ensure the Authority remains aware of changing or improving performance targets; As at April 2013 Primary School results are above average, and increasing; As at April 2013 Secondary School results are improving, and expected to continue improving throughout 2013; As at February 2015, the main risk area relates to secondary educational outcomes; Barnsley Challenge Plan has been refreshed, and presented to the Challenge Board and SMT. The Plan has also been approved by Cabinet. The Challenge Plan is currently feeding into sector-led improvement, which is being led by the Alliance Board; Primary and secondary school attendance and persistentant absence has improved in 2013/14. Work with the Barnsley Governors Association to ensure strong governance within schools. Focused recruitment has secured the appointment of suitably qualified head teachers to all maintained schools in the borough, ready to start in September 2014. School Evaluation Team works to monitor, challenge and intervene in schools to improve standards and outcomes The Children, Young People and Families Integrated Inclusion Service, which supports families of children with Special Educational Needs & Disabilities; Children and Younger People's Plan 2013/16 was approved and adopted by TEG and Council Cabinet as the overall vision for improving outcomes for Children, Young People & Families. As at Feb 14, progress is almost at national average. 2014 KS1 and KS2 results at or above national average. KS4 initial results show 2% increase in 5A*- C in English and Maths;</p> <p>Outcomes: Every child attends a good school (AMBER)</p> <p>Early targeted support for those that need it (GREEN)</p>	4	4	4	3	(9) Children and Younger People's Plan: The plan has been presented at Childrens DMT, and was approved and adopted by TEG and Council Cabinet as the overall vision for improving outcomes for Children, Young People & Families. Validated National data due Dec/Jan	Director People	50% Amber	31/03/2016	
										Barnsley Alliance Board in place with representation at chair-person level from Primary and Secondary Schools - strategic view to be taken regarding opportunities to accelerate progress	Director People	0% Green	31/03/2016	
										Development of a revised approach to assessing performance in schools	Director People	0% Green	31/03/2016	

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CITIZENS ACHIEVING THEIR POTENTIAL	3025	Failure to safeguard vulnerable service users	<p>The risk of not safeguarding vulnerable adults who are either known or not known to the service; The risk is greatly enhanced due to a 98% increase in referrals within the Borough in recent years; Changes in demographics mean there are more 'older-older' people which means an increased demand for services; 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; 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; The risk is compounded by whether or not the children at risk are known to the service;</p> <p>Inability to manage and deliver the requirements and impact of the 'Cheshire West' judicial review decision for Adult Social Care in Barnsley;</p> <p>Inability to manage and deliver the requirements and impacts of the Care Bill - additional resources required to meet increasing workloads within Assessment & Care Management Teams and Financial Assessment Teams;</p> <p>The system that delivers to children, 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>Council Constitution; Equalities and Diversity Policy; Adults Safeguarding Board; Childrens Safeguarding Board; Service Delivery Plans; Management of Personalisation / Personal Care packages that require less regulated services, makes better use of commissioning resources and ensures opeopel are better placed to look after themselves; Safeguarding Improvement Board set up to manage and drive OFSTED Safeguarding Recommendations; Signposted Universal Information and Advice; Analysis of Ward Alliance activity suggests positive progress is being made - most safeguarding related factors are being achieved; Childrens Services Scrutiny Board up and running as at Feb 2014 with workplan in place; National guidance available regarding Cheshire West judicial review, regional forum attended, DMT briefed and additional resources requested and approved in priciple, assessors and support staff prioritising the additional assessment requirements, Action Plan in place, liaison with BMBC Legal Section; National Programme Board in place, implementation plan developed, Cabinet briefed, cost implications of Care Bill (esimated to exceed £1 million for Barnsley) included in MTFS as an 'assumption'; The 'Think Family' approach, including the help and support provided to turn around the lives of troubled families, will continue to identify children, young people and families in need of help. The service will intervene early to provide targeted support that will improve outcomes later in their lives. Monitoring of Barnsley Safeguarding Children Board Risk Register Improved Ofsted judgement Review of 'Front door' Work being undertaken by Multi Agency Thresholds Group, Stronger Families Teams, MACs and Family Panels Promotion of use of CAF/Early Help Assessments Safeguarding Board includes CSE Strategic Group which reports directly to the Safeguarding Board; Opportunities to undertake Lessons Learnt reviews are fully exploited by the Safeguarding Board (including regional and joint learning); Action Plan developed using OFSTED inspection framework; Area Council arrangements include the principle of community engagement to assist in supporting vulnerable people in the community; Restructing for Future Council complete; Local Welfare Scheme established; Rationalised Anti Poverty Programmes; Extra resources being applied to CAB - ongoing activity which includes the operation of a local scheme; Stronger Barnsley Together Programme Board in place with Expressions of interest made; Governance arrangements in place which includes the overseeing of the Executive Group being oversween by H&WB Board; Continuous Service Improvement Framework developed; Implementation and management of Personal Budgets programme, including building 'risk-enablement' into services users in place; Analysis of national guidance issued and full review now complete and new operating model is in place; Local Welfare Scheme established; Stronger Barnsley Together Programme Board in place;</p> <p>Outcomes: Children and Adults are safe from harm (AMBER)</p>	4	4	4	4	(11) Anti Poverty: Anticipating significant impacts following CSR in Autumn 2015; development of a Community Supermarket - reports drafted and partners committed to project. Need to unpick issues regarding Community Asset transfer.	Director Communities	60% Green	31/03/2016	
										(8) Stronger Barnsley Together: Programme infrastructure is to be updated, and will include a different approach, standing down and rationalising some structures and rebranding as 'Community Wellbeing', Actions Plan to be considered by OSC prior to Cabinet in September 2015.	Director People	50% Amber	31/03/2016	
										Adults Safeguarding - new development plan in place with revised performance management framework	Director People	30% Amber	31/03/2016	
										Implementation and management of Personal Budgets programme, including building 'risk-enablement' into services users considerations; Programme being reviewed and re-engineered as part of review of Assessment & Care Management; Risk Enablement and Risk Policy being developed; Piloted in 1 locality team. Assessment and Care Management Review has a target of	Director People	85% Green	31/03/2015	
										Consideration of Peer Review recommendations regarding Early Help and Support services	Director People	10% Green	31/03/2016	
										Consideration of IA report regarding Casey improvements	Director People	10% Green	30/09/2015	
										Consolidation of Adults Social Care peer review Action Plan	Director People	0% Green	31/03/2016	

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NG AND RESILIENT COMMUNITIES	3026	Failure to achieve a reduction in Health inequalities within the Borough.	Health inequalities persist. Life expectancy in Barnsley remains well below the national average and varies between different parts of the borough. Although life expectancy has increased, the gap between Barnsley and the rest of the country has continued to widen. Such 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. It is unacceptable that people's health and quality of life varies so much with the sort of work they do or where they live. The cost of health inequalities is borne not just by health and social care services and, of course, parents, carers and children, but by employers and the local economy. Good health is essential to the borough's economic regeneration. 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. All the available evidence shows that health is closely associated with people's standard of living, occupation, level of education and where they live - there are significant differences in terms of average life expectancy depending on where in the Borough one resides;	SMT SMT	Director of Public Health in post to provide leadership; 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; Health and Wellbeing Strategy identifies six key objectives - and within these, it is acknowledged that it is impossible to 'try and do everything' - the objectives and key deliverables identify the significant areas of concern; Oversight of Health and Wellbeing Strategy provided by partnering organisations and agencies that are best placed to deal with the issues (health - hospital, alcohol - police etc); Six-monthly reports to Health and Wellbeing Board; Structure and procedures in place - need to assess impacts / benefits to identify effectiveness; H&WB Board established JSNA undertaken and programme boards now in place; Public Health now intergrated into BMBC - Public Health Development Programme established; Outcomes: People are happier, healthier, independent and active (AMBER)	2	2	2	2	Development of PH Strategy and Implementation Plan to enable DPH to hold Service Directors to account regarding health outcomes that are now vested with service areas - building leadership team in Core PH, development of sustainable PH Strategy and development of governance arrangements in terms of accountability and assurance. Strategy being developed and due to be presented to SMT, H&WB Board and Cabinet by the end of 2015 Delivery of Public Health 'distributed model' including the monitoring and reviewing of impacts and outcomes on Future Council - provision of effective leadership within Core PH to ensure the effective delivery of the distributed model – all in place and now being monitored by PH Core Internal governance and assurance arrangements for the use of the Public Health Grant across the Council are necessary to assure PH England and the Department of Health that the grant is being used to improve public health outcomes – indicators in place and agreed across Directorates Investigation into issues raised by CCG regarding pooled budgets and the potential impact on vulnerable groups such as 0-5 services, health visitors and substance misuse services as a result of funding voids	Director Public Health Director Public Health Director Public Health	75% Green 75% Green 0% Red	31/03/2016 31/03/2016 31/03/2016	Revisions to policy - liaise with Leader, PH spokesperson and Cheif Executive - consideration of 'call to action'
	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	Liasion with NHS regarding large scale response; Health Protection Agency Framework in place; Maintenance of World Health Organisation targets; Currently Barnsley has above average coverage regarding public health related screening; Use of NHS England website and resources; Health Protection Assurance paper to Cabinet 12/02/2014; Health Protection Board established; Transition into BMBC complete;	3	3	3	3	Monitoring of Health Protection Board (HPB) to ensure any system issues associated with working with CCG and partners are identified and addressed - ongoing discussions with CCG regarding Health Protection arrangements. HPB established – good engagement from partners and proportionate systems are in place. Emerging links with Emergency Planning developing.	Director Public Health	50% Green	31/03/2016	
	3023	Failure to engage with stakeholders	Non ability to explain Authority's 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; Need to ensure that the 'right' opportunities for volunteers are available - broader roles and more accessible options;	SMT SMT	Revised Goverance Arrangements regarding Area Councils and the changing role of Elected Members; Using lessons learnt and general approach from Dearne LIS project as the basis for the implementation of Area Council Arrangements; Use of key partners and LSP to coordinate wider communication activity; Engagement of Clinical Commissioning Groups to assist in ensuring stakeholders receive the services that they require and need; Employer Supported Volunteering (ESV) Scheme in place - work is required to identify take of ESV scheme and also to identify impact of the scheme; Cabinet Report dated 09/10/2013: Dearne Approach - Findings of Community Research (Cab.9.10.2013 10.3); Funding that supports Volunteering Strategy is received via Citizaen Advice Bureau (CAB) - their own funding with Transforming Local Infrastructure (TLI) came to and end in November 2013 leaving a gap in funding that Area Councils may be expected to pick up; Volunteering Strategy now in place, including SLA with VAB to deliver core part of Strategy; ESV in place; H&WB Board approved creation of 'Engagement Hub' which is intended to align engagement opportunities across all statutory bodies; Nesta Programme completed and achieved targets in terms of developing volunteering capacity and capability in Barnsley; Love where you Live campaign embedded; Outcomes: People volunteering and contributing towards stronger communities (GREEN)	3	2	3	3	Community Offer now included in Community Wellbeing - to include and bring together Think Family, Anti Poverty and Engagement themes. Need to build infrastructure and goverance arrangements. Building Community Capacity event in February 2015 - intended to provide support to fledgling companies and assisting in supporting communities to develop. Community Capacity building is part of the VAB contract and this is being reviewed as part of the broader Voluntary Sector Review, which will be undertaken by 'Rocket Science'.	Director Communitie s Director Communitie s	50% Green 60% Green	31/03/2016 31/03/2016	

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STRO	3030	Failure to be prepared for an emergency response or business continuity threat	Recent emergencies relating to industrial actions and flooding proves there is still an inappropriate reliance on H&S&ERU to manage and lead on the management of emergency events;	SMT SMT	Business Unit/Service Business Continuity Plans developed using the template provided; Corporate Resilience Plan and supporting specific plans; Ongoing liaison with SMT regarding aspirations and expectations during emergency events; Analysis of AGS and sampling of returns; Formal on-call arrangements by the Health, Safety and Emergency Resilience Service (bronze/operational) and BLT (strategic/gold); Analysis of 'leavers' programmed to identify who is left to be able to step up in the event of an emergency event; Public Health now incorporated into Corporate Resilience Plan; 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 are not 'significant' but cause disruption nevertheless; Residual risk areas, as expressed in correspondence with External Audit in 2011 will be reviewed in 2015, including: • BCPs for Information Systems should be regularly tested; • The Council should perform an annual full test restore for critical systems; and, • The Council should undertake a review of its disaster recovery requirements in conjunction with BULL. This review will also roadmap issues for resolution following changes to the relationship between the Council and Bull;	3	2	2	2	Review of Corporate Resilience Plan to ensure it remains fit for purpose following FC activity - reinvigoration of Silver Team and options papers being developed for SMT regarding support required to attend and manage incidents	Director HR, Performance and Comms	0% Red	31/03/2016	
			In addition, the transition to Future Council will lead to established emergency response arrangements no longer reflecting the Council's operational structure. Compounding this is a lack of engagement by employees to volunteer for emergency response duties that will mean that currently expected responses in relation to flooding cannot at present be delivered. The extent of the transition to Future Council necessitates in many cases the complete review of Business Unit and Service Business Continuity Plans to reflect revised structures and resources if they are to be able to continue to deliver critical functions in the event of a business interruption. This risk also acknowledges the residual risk that remains regarding the Authority's own BCP, as expressed in correspondence with External Audit in 2011: • BCPs for Information Systems should be regularly tested; • The Council should perform an annual full test restore for critical systems; and, • The Council should undertake a review of its disaster recovery requirements in conjunction with BULL. Recent emergencies relating to industrial actions and flooding 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. Failing to be able to provide support to lone workers as a result of IT and telephony systems being unavailable for significant lengths of time, leaving over 200 HART support workers and Supported Living workers unable to contact the out of hours office. Without appropriate support mechanisms in place, these lone workers are at serious risk of being unable to escalate serious and significant safety and safeguarding concerns to management. Issues relating to the accessibility of IT and telephony for employees working more traditional, regular patterns mean that there is a significant amount of productive time lost as a result of sporadic outages of the IT and telephony within the Authority's main administration bases in WPO and GP. Issues relating to the accessibility of telephony for the public will mean that Central call will be unable to take calls relating to: • Highways; • Schools; • School Trips / Emergencies; • Dangerous Structures; • Adults Emergency Duty Team; • NPS Repairs and Maintenance; • Berneslai Homes Repairs and Maintenance; and, • Major Incident line.							Seek assurances from Business Units regarding their own business continuity planning and resilience arrangements to ensure they are robust and 'fit' with the Corporate Resilience Plan. Revised BCP template issued Jan 15; H&S audit programme supported by Internal Audit who have undertake specific reviews - performance indicator being developed for inclusion in corporate Performance Reports	Director HR, Performance and Comms	0% Amber	31/03/2016	
			Undertake weekend (minor incident) testing, and undertake annual (major incident) testing of IT resilience - currently mapping priority disaster recovery systems against BMBC Resilience Plans							Director Finance, Assets and IS	10% Amber	31/03/2016		
			Development of a business case to recruit to the Humanitarian Assistance Officer role							Director HR, Performance and Comms	0% Green	31/03/2016		
			Development of Community Flood Plans due for completion at end of September 2015 for river Dearne and Dove areas which link to EA flood warnings and will comprise escalating/incremental plans. These will be passed to relevant Area Councils for comment and will provoke further consideration regarding resourcing internally (flood liaison roles) and externally (community flood warden roles)							SD Environment and Transport	25% Green	31/03/2016		
			Encouraging Ward Alliances to consider and develop Community Resilience Plans - Head of H&S visiting Ward Alliances							Director HR, Performance and Comms	25% Green	31/03/2016		

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ONE COUNCIL	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; Local Code of Corporate Governance; Community Strategy for Barnsley (2011-2015); 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'; Purple 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; Revisions to Contract Standing Orders (CSOs) to enable flexibility; 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	3	<div>2</div> <div>3</div>	Monitor and Review Area Council activity (in terms of Area Council Coordinating Group, Area Council Commissioning Group and Area Council Chairperson Group) 15/16	Director Legal and Governance	75% Green	31/03/2016	Refer matter to Monitoring Officer for adjudication.
	3027	Failure to manage organisational change - 'Risk of Destabilisation of the Organisation'	Significant budget cuts are driving the 'Future Council' programme. This change programme is dramatically transforming the organisation's business model. For example, 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	HR Policies; Council Constitution; Service and Financial Planning Process; Service Delivery Planning Process; Partnership Governance Framework; Corporate Complaints Policy; Risk Management Policy; New Models of Business - departments and services considering and implementing new Trading Models; Changes to Employee Terms and Conditions; Employee Relations Forum with Trade Unions; Talkabouts Sessions with CX and Middle Manager Conference; BLT and SMT sessions to assist in communication; Restructure of Communications Division now with ACE HR, P&P and Comms; Investor in People accreditation; Future Council Steering Group being led by HR; Future Council Programme Board being led by CX; Programme and Project Management issues now being identified and mitigated at Directorate level; 'Excellence' acheived by Corporate Equalities Group;	5	5	5	5	(13) Employee Engagement: 'Tell US What You Think' month (September 2015) with further Employee Survey - analysis and consideration of results and feedback	Director HR, Performance and Comms	50% Green	31/03/2016	
										(20) Communications: Revised Communications Strategy to be reviewed	Director HR, Performance and Comms	0% Green	30/09/2015	
	3028	Workforce planning issues	The Authority is currently undergoing tremendous organisational change. This will create significant workforce issues around having the right skills, people and employee capacity. The Authority will require 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; PULSE Survey to measure progress in key areas since the last full employee survey in 2011; Development of Adobe Forms to assist management processes; As at October 2013 37% of employees benefit from a current PDR; HR Reorganisation completed; As at 31/03/2015 81% of employees benefit from a current PDR;	3	3	3	3	(12) Organisational Development: Monitoring OD Strategy via Corporate Plan with subsequent reports to Scrutiny and FC Board to ensure managers are promoting the correct message regarding FC to employees	Director HR, Performance and Comms	25% Amber	31/03/2016	

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	3029	Failure to safeguard information	<p>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 between supply chain partners, it becomes susceptible to loss, protection and privacy risks.</p> <p>Loss of personal and financial information held by Council employees and systems;</p> <p>Financial and non-financial penalties from Information Commissioners Office;</p> <p>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;</p> <p>Failure to maintain Government Connects compliance leading to the suspension of the Councils connection to the government secure network;</p> <p>Non compliance with Data Protection Act and Freedom of Information Act;</p> <p>Non compliance with Payment Card Industry Data Security Standards (PCI DSS) leading to the inability to process payment card transactions;</p> <p>Failure to ensure that unwanted data is cleared and disposed of, leading to non-compliance with DPA requirements;</p> <p>Inability to gather data from other agencies to strengthen and benefit the Authority's activities;</p> <p>Failure to have appropriate data sharing agreements with agencies and partners leading to vicarious liability in the event they lose or misplace sensitive information;</p> <p>Inability to ensure that partners that we share data with are in themselves compliant with appropriate guidance and legislation;</p>	SMT SMT	<p>Information Management and Governance Policies;</p> <p>ACX (Legal and Governance) has taken on the role of Senior Information Risk Officer (SIRO);</p> <p>Information Security and Computer Usage Policy in place;</p> <p>Information Governance Team in place to provide advice, guidance and training;</p> <p>Government Connects Code of Connection compliant;</p> <p>Records Management Team in place to provide advice, guidance and training;</p> <p>Information Governance Board refreshed and re-established and engaged in corporate risk management arrangements;</p> <p>Technical Architect role filled by consultant;</p> <p>Some initial actions have been taken as a result of IT Health Check to control, and restrict access:</p> <ul style="list-style-type: none">• Reduced permissions• Deactivated USB ports• Deactivated removeable media options• Implemented temporary changes to homeworking solutions. <p>The Authority's core infrastructure has benefitted from:</p> <ul style="list-style-type: none">• Patching• Protection. <p>Significant restructure of Information Services complete;</p> <p>Caldicott guardians in place within A&C and CYPF;</p> <p>A&C and Public Health have IG Steering Groups in place;</p> <p>IT Action Plan (2013) completed and delivered;</p> <p>Phase 1 of IG awareness training (via BOLD) completed;</p> <p>Review of technical architecture completed and action plan identified;</p> <p>BMBC Cabinet agreed to endorse the requirement to achieve Baseline Personell Security Standard (BPSS);</p> <p>IT business plan been through 'Check and Challenge' process;</p> <p>Technical refresh for those officers using third party equipment to enable them to use BMBC apparatus to connect with BMBC network;</p> <p>Information Governance Board confirmed engagement will be undertaken with DMTs to ensure actions arising from the IG Toolkit are completed;</p> <p>IT Business Plan produced and presented to 'check and challenge' session - analysis of other business plans to identify IT requirements and resourcing complete;</p> <p>Passed first phase of PSN compliance;</p> <p>Implementation of EGRESS secure email solution completed;</p>					<p>Develop, update and implement new Information Technology / Information Security Polices - once complete will be checked by Information Governance Board and SMT and then will be reviewed as part of AGR process (high level elements complete, low level elements outstanding)</p> <p>Phase 2 of Information Security Programme - roll out of guidance and training to partners such as BH, Bull, NPS etc - BH and Bull completed, NPS and Norse in development</p> <p>Programme of activity to assist in acheiving Baseline Personnel Security Standard (BPSS) - 2015 round of BPSS compliance included 1500 employees - 547 now complete, and 377 in hand / in progress - 576 not initiated</p> <p>Risk based Action Plan developed (following review of IT architecture)being delivered (all 'red' actions complete)</p> <p>Consideration of Cloud based infrastructure (on a case by case basis) to progress and enable a proportionate Electronic Content Management System</p>	<p>Director Finance, Assets and IS</p> <p>Director Finance, Assets and IS</p> <p>Director Finance, Assets and IS</p> <p>Director Finance, Assets and IS</p> <p>SD Information Services</p>	<p>90% Green</p> <p>66% Green</p> <p>62% Amber</p> <p>50% Green</p> <p>10% Green</p>	<p>31/03/2016</p> <p>31/03/2016</p> <p>31/03/2016</p> <p>31/03/2016</p> <p>31/03/2016</p>	Enable revisions to infrastructure that will allow limited communications.
	3031	Strategic Performance, governance or compliance failure	<p>Budgetary pressures to minimise back office functions may drive the Authority to downgrade the focus on meeting proper governance standards and ultimately, remaining 'safe'.</p> <p>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.</p>	SMT SMT	<p>Council Constitution;</p> <p>Local Code of Corporate Governance;</p> <p>Information Management and Governance Policies;</p> <p>ToR for Audit Committee;</p> <p>ToR for Scrutiny Committee;</p> <p>Internal Audit;</p> <p>Risk Management Policy;</p> <p>Performance Management Arrangements` including revised Corporate Plan Performance Report and 'We Will Statements';</p> <p>Terms of reference for all Overview and Scrutiny Committees reviewed;</p> <p>Scrutiny Committee workplans are now aligned to Corporate Priorities;</p> <p>Briefing for Elected Members relating to Performance Management of Area Council activity;</p> <p>Revised AGR process for 14/15;</p> <p>Analysis of Casey Rotherham Safeguarding Report undertaken - report to SMT in February 2015 including recommendations for Internal Audit activity;</p>					<p>(4) Revised Governance / Neighbourhood Working (including the increased resources available within the Governance team) - further review in June 2014 identified positive activity regarding commissioning but at Ward Alliance level, some members are still doing things in the 'old' way - monitor and review for further 6 months</p> <p>SMT to review processes relating to approvals and decision making to improve efficiencies - new processes implemented including raising of Officer and Delegated limits and a less rigid process in terms of delegated reports - need to review outcomes in light of new statutory requirement for the recording of Officer decisions which is now included in the 15/16 Internal Audit Plan and AGS Action Plan for 15/16</p>	<p>Director Legal and Governance</p> <p>Director Legal and Governance</p>	<p>75% Green</p> <p>75% Amber</p>	<p>31/03/2016</p> <p>31/03/2016</p>	Refer matter to Audit Committee / External Audit for consideration.
	3033	Failure to adapt the Authority into a sustainable organisation - 'Failure to maintain current services'	<p>The need to balance the books, gain efficiencies and meet new demands could lead the Authority into drastic measures that could increase long-term risks and costs, both to the organisation as well as to the community. The Authority 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.</p> <p>Need to ensure that the Authority has the right people to ensure sustainable opportunities are being exploited to their maximum.</p> <p>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;</p>	SMT SMT	<p>Council Constitution</p> <p>Performance Management Framework</p> <p>Community Strategy for Barnsley (2011 -2015)</p> <p>Growing Barnsley's Economy (2012-2033) - Economic Strategy</p> <p>Customer Services Organisation project;</p> <p>Integrating areas of work and consideration of new Service Delivery models such as traded services or social enterprise;</p> <p>Consideration of joint commissioning opportunities;</p> <p>First £15 million savings identified, and approved by Cabinet (need to monitor delivery);</p> <p>As at September 2014, all Service Director are in post (other than DPH and Education, Early Start and Prevention);</p> <p>Characteristics of Business Units have been included in 15/16 budget consideration;</p> <p>Savings of £28m identified and agreed by Cabinet - awaiting approval from Full Council in February 2015;</p> <p>Contract for Leadership and Mannagement training for all 4th tier and above officers agreed with IODA</p> <p>Training - other employee training offers currently outstanding;</p> <p>New Corporate Plan being developed which will not identify any new priorities, but will reflect Business Units, and provide milestones for delivery;</p> <p>Corporate Plan developed;</p>					<p>Delivery of new Corporate Plan 2015 - 2018</p> <p>Member Talkabout events to assist in improving the understanding of the role of an Elected Member to ensure there is a strong and positive relationship with Officers and a better understanding of community facilitation</p>	<p>Chief Executive</p> <p>Chief Executive</p>	<p>0% Green</p> <p>0% Green</p>	<p>31/03/2016</p> <p>31/03/2016</p>	

Priority	Risk No	Risk Title	Risk Consequences	Risk Owner	Existing Control Measures	Feb-14	Sep-14	Feb-15	Oct-15	Risk Mitigation Action	Owner	% comp	Review Date	Recovery Plan
	3034	Failure to deliver the MTFS - 'Failure of Future Council to acheive the required level of savings'	<p>Risks relating to the MTFS fall into two main areas:</p> <ul style="list-style-type: none"> - Agreeing a three year plan with Directorates and Members; and, - Ensuring delivery against the agreed plan, managing variances and areas of over / under spend to anable the budget to be balanced. <p>Adverse effect on the Council's reserves / prudential borrowing / Treasury Management activities;</p> <p>Council's reserves falling below minimum working balanace levels;</p> <p>Impact on service delivery and council policies;</p> <p>Adverse External Audit report / opinion;</p> <p>Government intervention;</p> <p>Inability to undertake robust planning in terms of Future Council activity;</p> <p>Non-achievement of KLoE savings and consequences on future years programmed or planned savings;</p> <p>Inability to develop and implement a 'Plan B' or contingency plan in the event of further savings being required;</p>	SMT SMT	<p>Budget Monitoring and Reporting;</p> <p>Financial Regulations;</p> <p>Corporate Debt Strategy;</p> <p>SAP / EBP / Financial Systems Procedures;</p> <p>Treasury Management Policy;</p> <p>Forecasting of expenditure and resources;</p> <p>Service Delivery Planning and Service and Financial Planning Processes;</p> <p>Prudential Borrowing Strategy and Indicators;</p> <p>Budgetary Control / Budget Monitoring Processes;</p> <p>Annual Governance Review Framework;</p> <p>Ongoing delvelopment of SAP;</p> <p>Management of Assumptions and Constraints within MTFS;</p> <p>Horizon Scanning in terms of changing legislation and policy that may affect MTFS;</p> <p>A range of budget saving options (KLoEs) have been developed and agreed to enable Future Council scenarios for 13/14 and 14/15 to be reflected in 15/16 budget;</p> <p>Asset Management Disposal Report approved by Cabinet;</p> <p>First £15 million of budget savings identified, and agreed by Cabinet (now need to monitor delivery);</p> <p>2 year financial plan now set - now need to monitor delivery against this;</p> <p>Monitoring of political situation following Election 2015 - Comprehensive Spending Review and Autumn Statement;</p>	5	5	5	4	<p>Use of BPC Business Objects by Executive Directors and Service Directors (16/17)</p> <p>MTFS (16/17) - budget savings agreed, need to refer back to Members for final approval</p> <p>Financial Monitoring (15/16) to ensure delivery is in line with plan</p> <p>Financial Monitoring (16/17) to ensure delivery is in line with plan</p> <p>Full review of MTFS to be undertaken following Autumn Statement - to ensure relevance, materiality and appropriateness, such as the provision for Care Act implementation, Equal Pay claims and the impact of Digital Region (16/17)</p>	<p>Director Finance, Assets and IS</p> <p>Director Finance, Assets and IS</p> <p>Director Finance, Assets and IS</p> <p>Director Finance, Assets and IS</p> <p>Director Finance, Assets and IS</p>	<p>0% Amber</p> <p>0% Amber</p> <p>75% Green</p> <p>0% Amber</p> <p>0% Amber</p>	<p>31/03/2016</p> <p>31/03/2016</p> <p>31/03/2016</p> <p>31/03/2016</p> <p>31/03/2016</p>	Re-negotiate with Cabinet to seek an agreed budget.
	3035	Loss of assets and resources as a result of a one-off incident of fraud / corruption / bribery or sustained or widespread occurrences.	<p>Occurence 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;</p> <p>Fraudulent transactions, contracts / payments and the like perpetrated by employees and / or third parties;</p> <p>External Audit public interest report;</p> <p>Loss of management time in undertaking investigations, be they 'real' incidents, or vexatious claims;</p> <p>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;</p> <p>Negative impact on employee morale either through actual incidents, or suspicions of incidents being perpetrated;</p> <p>Tensions and issues with morale within groups / teams as a result of changes within and to the organisation;</p> <p>Increased opportunities to commit fraud due to management attention being distracted by change programmes and increased workloads;</p> <p>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;</p> <p>Increased risk of third party IT attacks on BMBC systems such as hacking for personal data, general mischief and disruption or to faciliatate the transacting or processing of false documents;</p>	SMT SMT	<p>Anti Fraud, Corruption and Bribery Policy which is developed and refined following analysis of the Annual Fraud Risk Self Assessment (FRSA);</p> <p>Anti Money Laundering Policy which is developed and refined following analysis of the FRSA;</p> <p>Whistleblowing Policy which is developed and refined following analysis of the FRSA;</p> <p>Prosecutions Policy in place to ensure the Authority is open regarding censure relating to inappropriate behaviour;</p> <p>Council Constitution;</p> <p>Local Code of Corporate Governance;</p> <p>Member and Officer Codes of Conduct;</p> <p>Police involvement / criminal investigations;</p> <p>Annual Fraud Self Risk Assessment;</p> <p>NFI Data Matching;</p> <p>Membership of NAFN;</p> <p>IT usage policies and procedures (to be listed);</p>	4	3	3	3	<p>A) Develop governance arrangements around Area Councils and Ward Alliances (13/14): Raised at Member briefings and Member information sessions. Further review undertaken in June 2014 - appropriate controls are in place and the understanding and awareness of these controls appears robust - need to monitor their application</p> <p>B) Ensure there is an adequate and appropriate relationship between IA, HR, Legal and the Police to respond to any incident - to be refreshed as part of the establishment of the new BMBC Anti Fraud Team, led by the Corporate Anti-Fraud Team within IA</p> <p>C) Review corporate training programme utilising corporate PDR information and further development of BOLD training</p> <p>D) Contribute towards the development of a revised Annual Governance Review to assist in identifying areas of weakness within the Council (15/16) in relation to fraud, corruption and bribery - this area is likely to be included in AGR for 15/16</p> <p>E) BLT awareness of increased risks 15/16 - to be undertaken to feed into consideration of Fraud and Corruption as part of 15/16 AGR</p> <p>F) Creation of Corporate Fraud Team within Internal Audit from April 2015. Undertake mid-year review of progress / success</p> <p>G) Fundamental review of all corporate anti-fraud and corruption policies, procedures and guidance as part of the work of the Corporate Fraud Team</p>	<p>Director Legal and Governance</p> <p>Head of Internal Audit</p> <p>Head of Internal Audit</p> <p>Head of Internal Audit</p> <p>Director Finance, Assets and IS</p> <p>Head of Internal Audit</p> <p>Head of Internal Audit</p>	<p>75% Green</p> <p>0% Green</p> <p>25% Green</p> <p>0% Green</p> <p>75% Green</p> <p>75% Green</p> <p>25% Green</p>	<p>31/03/2016</p> <p>31/03/2016</p> <p>31/03/2016</p> <p>31/03/16</p> <p>31/03/2016</p> <p>31/03/2016</p> <p>31/03/2016</p>	Escalate matter to HR, Police etc. Undertake full systems review of affected area(s).

Priority	Risk No	Risk Title	Risk Consequences	Risk Owner	Existing Control Measures	Feb-14	Sep-14	Feb-15	Oct-15	Risk Mitigation Action	Owner	% comp	Review Date	Recovery Plan
	3514	Failure to be able to deliver the ambitions and outcomes associated with the Customer Services Organisation Programme (CSO)	Leading to... 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; Unable to resource certain elements of the programme such as ICT technical development to deliver smarter and more efficient processes; Lack of efficient and effective services; Services becoming unsustainable following the Council's journey to Future Council and future financial pressures facing local government; Savings target of £450K to be delivered in 2016/17 (£400K delivered 2015/16 by BensTax service improvements); 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;	Director Communities	Responsibility for Programme delivery now aligned to SD Customer Services; BU7 - new structure and resources; Head of Customer Support and Development in place; Business design, IT technical resources agreed; Lessons Learnt from other significant change programmes such as SAP; Phase One: Overdue to issues regarding Kana (see SMT report 17/02/2015) - phase delivered with successful implementation of new CRM system and refreshed Eforms 13/07/2015 - lessons learnt review of Phase One to be completed to inform next phase delivery; Phase Two: Service priorities agreed with SMT, detailed discussions and planning for delivery currently in train. Detailed programme in place for Phase Two to be in place by end of September 2015; Assessment of capacity within Council (particularly IT) to deliver CSO outcomes undertaken (in light of changes to relationship with Bull) - all priorities have been considered and a revised IT strategy had been developed - paper to SMT for consideration; Note that speed and scope of delivery of future phases will be developed in conjunction with Directorates and ICT to ensure resource requirements and capacity are not overestimated; Phase One completed and signed off; New website in place; Outcomes: Customers can contact us easily and use more services online (AMBER)	n/a	n/a	4	4	Customer Care / Customer Contact training to be provided to employees who have a high level of contact with the public linking to organisational-wide OD training. HR Workforce development have developed 'customer offer' training programme to begin roll-out in September 2015. Focus on customer facing staff and range of options available from on-line course (BOLD) to accredited qualifications. Take up to be promoted through P&DR process. (NEW) Restructure and consolidation of programme resources into permanent structure completed 01/04/2015 as part of Future Council implementation. Two year fixed term Programme Management resource agreed at Board - to be recruited to support delivery of next phases. IT Projects support to be committed from wider ICT envelope of resources following transfer of TCL staff back to the Council. (NEW) Lessons Learned session for Phase One delivery to be arranged to include all relevant stakeholders. Findings will inform plans for delivery of Phase Two and later Phases. Planning for this session is in progress, Board have agreed and are proposing attendees and contributors CSO strategy drafted and due for submission to Cabinet September 2015 Delivery of CSO Strategy through the adoption of 'customer standards' for in-house and external customers Seek assurances regarding the review by services / business units as to how they intend to adopt and embed Customer Services activities within their individual business units	Director Communities SD Customer Services SD Customer Services SD Customer Services	50% Green 80% Green 90% Green 0% Green 0% Green	31/03/2016 	
	1630	Failure to manage and make appropriate budgetary flexibility for Equal Pay Claims.	Significant financial/budget consequences of successful claims; Changing working practices in one service, such as moving to traded services may result in employees within other services feeling that they may be due compensation;	SMT SMT	Payment of compensation to reduce risk of successful claims as appropriate, engagement of specialist legal advice to defend claims. A number of local claims relating to 'female to male' parity have been settled, on budget; Settlements being negotiated on best terms; 13/14 claims completed - no further claims emerging; Consideration of 'living wage' issues, and potential for further claims; No further claims currently outstanding; No further claims on horizon relating to legislation; Claims under minimum wage may emerge;	3	3	3	n/a	Monitor and review 15/16	Director HR, Performance and Comms	0% Green	30/09/2015	
	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;	n/a	n/a	n/a	4	Increase the availability of commercial skills and awareness within BMBC Workforce Development of skills and organisational discipline within BMBC to vet Business Cases 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 Development of shareholder role (SMT and Member / Cabinet level) to ensure the appropriate oversight of the trading / commercial activities is in place Consideration of pump-priming opportunities to ensure the right resources and infrastructure is in place to sustain meaningful	Director HR, Performance and Director HR, Performance and Board of Directors Director HR, Performance and Comms Director Finance, Assets and IS	 	31/03/2016 31/03/2016 31/03/2016 31/03/2016 31/03/2016	