

## Report of the Head of Internal Audit, Anti-Fraud and Assurance

**Audit and Governance Committee – 17th November 2021**

### **STRATEGIC CONCERNS / RISK REGISTER**

#### **1. Purpose of the report**

- 1.1 As agreed at the Audit and Governance Committee meeting in March 2021 the committee will have a regular opportunity for a “deep dive review” of some of the strategic risks with the appropriate Executive Director in attendance to update and assure the Committee on the management of their risks
- 1.2 The Director of Public Health and the Executive Director Core Services will provide the committee with a review of three strategic risks:
  - Health Protection Emergency
  - Organisational Resilience
  - Partnership and Collaboration Governance

#### **2. Recommendation**

- 2.1 **The Committee is asked to note the update.**

#### **3. Current Position**

- 3.1 The Strategic Risk Register currently contains 14 risks. Using the new system of risk assessment, SMT have determined that 3 risks be classified as **high** (red rating) 9 risks be classified as **medium** (amber rating) and 2 risks be classified as **low** (green rating) in relation to the level of response and intervention required.
- 3.2 All strategic risks have a number of actions identified to minimise/mitigate the risks. All actions have review/completion dates, status updates, progress RAG ratings and identified Action Owners.
- 3.3 The actions associated with the 3 risks to be considered in the meeting are included in the attached summary in Appendix 1.
- 3.4 Appendix 2 provides a high-level summary of all the other strategic risks which includes the high-level risk description, risk impact, status, and response ratings.
- 3.5 The risk register system will be shown in the meeting.

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Date: 8<sup>th</sup> November 2021

## Strategic Risks to be reviewed in the meeting – November 2021

Risk Title	Risk Description	Impact	Status	Response Rating	SMT Owner
<b>Health Protection Emergency</b>	<p>Need to ensure that robust arrangements in place, are understood by all stakeholders and complied with, to deal with any health protection emergencies which may arise, and which require a Business Continuity response e.g., Covid 19 Pandemic.</p> <p><b>Action 1</b> All Health Protection Plans are reviewed and tested and reflect health protection issues.</p> <p>RAG Rating – Green Completion/review dates – review annually October</p> <p><b>Action 2</b> Ensure Health Protection Plans reflect necessary multi-agency arrangements to deal with health protection emergency and that these are communicated and tested</p> <p>RAG rating - Green Completion/review dates – review annually October</p> <p><b>Action 3</b> At suitable points in the planning, response and recovery process undertake proportionate debriefing and evaluation with a view to developing “lessons learnt” from both exercises and incidents and track progress against any actions identified as part of the process. As necessary share lessons learnt with both South Yorkshire and Bassetlaw Health Resilience Partnership and South Yorkshire Local Resilience Forum</p> <p>RAG rating – Amber Completion/review dates – review quarterly</p>	Actual	Actual	High	ED Public Health

Risk Title	Risk Description	Impact	Status	Response Rating	SMT Owner
<b>Organisational Resilience</b>	<p>There is a need to ensure that at the Council's core we have robust mechanisms in place to deal with external issues such as Brexit, Cyber Security, Terrorism or any other external impact requiring a Business Continuity response.</p> <p><b>Action 1</b> Business Continuity and Emergency Resilience Plans exist for all services and functions of the Council and these plans are reviewed and tested. The Council has a Corporate Resilience Plan which covers general response to incidents. The principles of this plan have been used to manage the response to Covid 19. A report is scheduled for SMT in December 2021 to increase the robustness of the plan and refresh and restart the general training and exercising programme following the 18 months focus on the Covid 19 response. Due to initial feedback from Core DMT and other BLT members the report has been delayed from October 2021 to allow inclusion of additional recommendations</p> <p>RAG rating – Amber Completion/review dates – 31 December 2021</p> <p><b>Action 2</b> Maintaining adequate governance and controls in respect of cyber security</p> <p>RAG rating – Green Completion/review dates – 28 February 2022</p> <p><b>Action 3</b> Subject specific plans are developed for specific capabilities or risks including evacuation and shelter (due for review), flooding (reviewed summer 2021), reservoir emergencies offsite emergency plan (reviewed summer 2021 with a full review of the onsite emergency plans for Elsecar and Wombwell initiated November 2021), adverse weather (reviewed winter 2020 and to be reviewed autumn 2021), large scale evacuation (reviewed summer 2021) and the death of a member of the royal family (reviewed summer 2021)</p>	Actual	Potential	Medium	ED Core

Risk Title	Risk Description	Impact	Status	Response Rating	SMT Owner
	<p>RAG rating – Green Completion/review dates – 31 January 2022</p> <p><b>Action 4</b> The Council is one of eight core partners in the South Yorkshire Local Resilience Forum (SYLRF) and current chair of the SYLRF's Strategic Group and co-chair of the Tactical Group. The Council works with the Forum on developing training and exercising multi-agency arrangements</p> <p>RAG rating – Green Completion/review dates – review quarterly</p> <p><b>Action 5</b> All services have business continuity plans in place with the response to Covid 19 increasing the robustness of these. These are due to be refreshed in autumn 2021 accompanied by a Power BI dashboard that allows SMT to see the relative priority of services along with their operational status in the event of a business interruption</p> <p>RAG rating - Green Completion/review dates – 31 January 2022</p>				
<p><b>Partnership and Collaboration Governance</b></p>	<p>Many public services are delivered through partnerships or collaboration as well as emerging devolution arrangements; these must be robust, well governed but flexible and responsive to ensure objectives are met. Weak partnerships or collaborative working can lead to the failure of services, significant financial difficulties, and reputational damage. Key partnerships are: Integrated Care Partnership Board, Barnsley FC, BCVS, SCRMCA.</p> <p><b>Action 1</b> Development of a corporate framework and guidance to support partnership and collaborative working</p> <p>RAG rating – Amber Completion/review dates – 30 November 2021</p>	Potential	Potential	Medium	ED Core

Risk Title	Risk Description	Impact	Status	Response Rating	SMT Owner
	<p><b>Action 2</b> Assurance is required regarding the arrangements in place for each partnership and collaboration covering matters such as the makeup of boards and their supporting governance, performance management arrangements, concerns, and issues (risk) management, exit arrangements etc. utilising the new framework</p> <p>RAG rating – Amber Completion/review dates – 31 December 2021</p> <p><b>Action 3</b> Financial monitoring and reporting for Boards and Partnerships are included in the quarterly budget management process for DMT's/BU's</p> <p>RAG rating – Green Completion/review dates – quarterly</p> <p><b>Action 4</b> Ensure the new framework for the management and governance of partnerships and collaborations is woven into the annual governance review process for 2021/22</p> <p>RAG rating – Amber Completion/review dates – 31 March 2022</p>				

## All Other Strategic Risks – High Level Summary - November 2021

Risk Title	Risk Description	Impact	Status	Response Rating	SMT Owner
Responsibilities under the Care Act 2014	Inability to fulfil our statutory responsibilities under the Care Act 2014. Adult social care is experiencing higher levels of need as a consequence of earlier discharges from hospital, this alongside the investments for the NHS to recover faster will create further pressures on services. Recruitment and retention issues in the care sector and the inadequacy of funding from national government will compound the situation.	Actual	Actual	High	ED Adults and Communities
Glassworks	As a key strategic investment for the Council there is a need to ensure the successful delivery of the Glassworks. There are clear financial and reputational implications should the project not be delivered on time, to budget and fail to have the intended economic and social outcomes. The impact of the Covid 19 pandemic will exacerbate the challenges to the High Street/town centre retail sector which could impact on the uptake of retail lettings.	Potential	Actual	Medium	ED Place
Serious Economic Downturn in the Local Economy	The impact of Covid 19 will have a significant impact on the local economy with the potential for reduced NDR and CT collection. There is likely to be a continued or accelerated downturn in the retail and visitor economy sector and the collapse of businesses adding to the pressure on the Council and partners' services. As well as the potential impact on the Glassworks and the town centre there are wider community implications for Barnsley, its principal towns and other urban centres	Actual	Actual	Medium	ED Place
Potential death of a child/safeguarding failure in children's services	A need to continually appraise the controls to minimise the potential for death of a child or safeguarding failure in children's services - need to be able to identify any changes which may weaken current levels of assurance. Factors which may impact should be assessed include: the impact of Covid 19 upon both families and workforce capacity, increasing poverty which could impact on demands for services and increases in caseloads, future financial settlements which could impact on service provision, awareness of system pressures e.g., workload. If systems break down there is potential for huge reputational damage - seen across a number of UK authorities - including	Potential	Potential	Medium	ED Children's Services

Risk Title	Risk Description	Impact	Status	Response Rating	SMT Owner
	removal of Director of Children's Services, and government imposition of Commissioners to run services until improvements are made.				
Educational outcomes progress	Concerns that educational outcomes progress for all children across Barnsley may not be sufficient, with particular concern around improving outcomes for vulnerable groups and boys	Potential	Potential	Medium	ED Children's Services
Financial sustainability	The Comprehensive Spending Review (CRS), Fair Funding Review, and Business Rates Retention all take place in the national policy context of significantly impaired national finances which present challenges to the Medium-Term Financial Strategy (MTFS) and to the certainty and level of financial resources available to the Council with the loss of funding streams. Additional pressures from Business Continuity events e.g. Covid 19, plus the added impact of the year on year reduction in funding available to the Authority which inevitably creates pressures on the financial position which can undermine the Council's ability to fulfil its strategic priorities and longer-term aspirations	Actual	Actual	Medium	SD Finance
Potential for a safeguarding failure in vulnerable adults service	Whilst we are confident that controls are in place to minimise the potential for safeguarding failures there remains a need to continually appraise these and be able to identify any changes which may weaken current levels of assurance. Factors which may impact and should be assessed include the impact of Covid 19 upon families and workforce capacity which could increase workload pressures, increasing incidence of poverty which could impact on demands for services and lead to increases in caseloads, future financial settlements could impact on service provision, awareness of pressures in the system e.g., workload pressures leading to decrease in staff attendance at meetings etc. If the system breaks down potential for huge reputational damage.	Potential	Potential	Medium	ED Adults & Communities
External market provision in Adult Social Care provision	Concerns exist regarding the capacity and sustainability of the external market in adult social care provision. There remains a continuing decline in the ability to recruit into the external care market and sustain safe levels of care. There is no clear market shaping plan and limited capacity to develop it with the potential consequences of people being placed in inappropriate settings with the wrong services. High levels of voids in the market will also significantly threaten capacity and longer-term financial sustainability.	Actual	Actual	Medium	ED Adults & Communities

Risk Title	Risk Description	Impact	Status	Response Rating	SMT Owner
	The impact of Covid 19 has and will continue to significantly influence the external market and must be fully understood and assessed.				
Community Cohesion	This remains a key area of focus to ensure that we build and support a tolerant and inclusive community across the Borough.	Potential	Potential	Medium	ED Adults & Communities
SEND	Although a new set of controls are in place and the Oversight Board has been developed to ensure that issues identified in the Peer Review Challenge are in place - there remains a need to focus on whether the systems established will be able to support improvements at pace and to the satisfaction of service users and reduce the need to send children out of area which is very expensive and attracts poor satisfaction rates	Potential	Potential	Low	ED Children's Services
Consistency of decision-making process	<p>In the current climate of needing to take effective and often urgent decisions (particularly relating to Covid 19) it is essential that the decision-making arrangements across the Authority are clear, robust but flexible, transparent and consistently complied with.</p> <p>Consideration is needed to balance the need for effective decision making with the information required to support it to ensure that the decision-making process is efficient. This must also incorporate the need for effective consultations, whether that is within the Council or with external partners and stakeholders.</p> <p>There also needs to be an appropriate and effective scheme of delegation where Service Directors and Heads of Service are able to take decisions through a simple governance framework but that provides assurances to SMT.</p>	Potential	Potential	Low	ED Core