

AUDIT COMMITTEE – 20th April 2016

STRATEGIC RISK REGISTER – Full Review March 2016

1. Purpose of the Report

1.1 This brief covering note presents the draft Cabinet Report for the latest review of the Strategic Risk Register (SRR), which has been programmed for consideration by Cabinet on the 18th May 2016.

1.2 This report forms part of the Audit Committee's assurance process where it was agreed that following the completion of each review of the SRR, the Audit Committee considers the latest iteration of the SRR, and where appropriate, provides comment.

2. Recommendation

2.1 It is recommended that the Audit Committee:

- I. **Considers, and comments accordingly on the outcomes of the recent review of the SRR, in relation to the management, challenge and development of the SRR;**
- II. **Considers whether any further information regarding the SRR review process is required from the Risk and Governance Manager;**
- III. **Considers whether any further information is required from specific Risk Owners, or Risk Mitigation Action Owners regarding the progress towards managing and mitigating SRR risks; and,**
- IV. **Confirms whether the Committee wishes to continue to receive periodic updates as to the progress of the actions taken and their impact on the SRR, or whether the Committee requires a deeper level of assurance that could be provided through the provision of a more detailed or focused report.**

Contact Officer: Risk and Governance Manager
Telephone: 01226 77 3119
Date: 30th March 2016

CABINET – 18th May 2016

STRATEGIC RISK REGISTER – Full Review March 2016

1. Purpose of the Report

- 1.1 The Strategic Risk Register (SRR) contains those high level risks which are considered to be significant potential obstacles to the overall achievement of the Council's corporate objectives.
- 1.2 Like all risk registers, it is important that the SRR remains up to date and is reviewed regularly in order to accurately reflect the most significant risks to the achievement of corporate objectives and facilitate timely and effective mitigations of those risks.
- 1.3 Following a review of the SRR in October 2015, a further review of the SRR was undertaken in March 2016. The outcomes of that review are detailed in the body of this report.

2. Recommendation

2.1 It is recommended that:

- i. Cabinet confirms that the high level strategic risks articulated within the SRR fully reflect the current position of the Council; and,**
- ii. Cabinet considers the content of this report, and continues to commit to support the Corporate Risk Management process and the embedding of a Risk Management culture within the organisation.**

3. Introduction and Background

- 3.1 The Introduction and background to the SRR is now included as Appendix One to this report. This details:
- The context of the SRR in relation to the broader governance arrangements in place;
 - The importance of the SRR in relation to embedding Risk Management within the Council;
 - The management of the SRR;
 - The content of the SRR; and,
 - The review process to ensure the SRR remains a vibrant and dynamic document;

4. Risk Profile

- 4.1 The table below sets out the distribution of the SRR risks across the six concern rating classifications:

Risk Concern Rating	Number of Risks (as at Mar 2016)	Percentage (as at Mar 2016)	Number of Risks (as at Oct 2015)	Percentage (as at Oct 2015)
1	0	0%	0	0%
2	3	16%	2	12%
3	7	37%	6	35%
4	8	42%	8	47%
5	1	5%	1	6%
6	0	0%	0	0%
Total	19	100%	17	100%

4.2 The total number of risks logged in the SRR has changed since the last review in October 2015. However, the current review identified one risk (risk 3034 – ‘Failure to deliver the Medium Term Financial Strategy (Failure of the Future Council to be able to deliver the required level of savings)’) that required upgrading from a ‘concern rating’ of ‘4’ (amber) to ‘3’ (amber). This increase relates directly to the uncertainties that remain regarding the impact of the recent Comprehensive Spending Review and Autumn Statement by the Chancellor of the Exchequer in November 2015 and in particular, the potential to impact on future cuts arising from savings yet to be identified from the Chancellors statement in March 2016.

4.3 It has been proposed to remove risk 3030 (‘Failure to be prepared for an emergency response or business continuity threat’) which was a risk that included two discrete elements:

- Uncertainties relating to the Council’s ability to respond to an emergency response as a result of statutory responsibilities arising from the Civil Contingencies Act 2004; and,
- The ability of the Council to respond to emergency events that could effect the ability of the organisation to deliver services in an effective and efficient manner.

Risk 3792 (‘Failure to be prepared to assist in the event of an emergency resilience event in the region’) and risk 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’) have been prepared and included in the SRR to provide a clear distinction between the two activities and mitigations being proposed.

4.4 Risk 3794 (‘Failure to influence the governance arrangements underpinning and controlling the emerging City Region Deal Devolution Deal enable an appropriate blend of risk and reward for the Council’) has been developed following a recommendation made at the last review of the SRR in October 2015.

4.5 Details of the average risk category score for the SRR, from the ‘zero-based’ review in March 2013 are detailed below:

	Period						
	Mar 2013	Oct 2013	Feb 2014	Sept 2014	Feb 2015	Oct 2015	Mar 2015
Average Risk Concern Rating	3.70 →	3.47 ↓	3.47 →	3.35 ↓	3.5 ↑	3.47 ↓	3.37 ↓

4.6 The slight variance in the average concern rating is directly attributable to the changes to risk 3034, detailed in section 4.2 of this report and the inclusion of new risks, as detailed in sections 4.3 to 4.4 and 5.3 of this report.

5. Outcomes of the March 2016 Review

5.1 The significant outcomes that are detailed in this document focus on:

- Significant / 'Red' Risks; and,
- New / Emerging Risks.

5.2 Significant / 'Red' Risks:

Risk:	Risk Owner:
Risk 3026 – Failure to achieve a reduction in health inequalities within the Borough.	Director of Public Health
Consequences:	
Health inequalities persist. Life expectancy in Barnsley remains well below the national average. 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. <i>For more information, see Appendix Eight.</i>	

As per previous reports, this risk is currently logged as having a 'Concern Rating' of 2. It is important to note that despite this risk having been allocated a 'red' concern rating, it is recognised that population based outcome measures are often slow and difficult to change.

The Risk Mitigation Actions for this risk focus on:

- Developing the Public Health distributed Model to include sector led improvement recommendations;
- Developing the governance arrangements regarding the Public Health Strategy to ensure Service Directors are held to account for public health outcomes vested with Business Units;
- Identification of priority areas regarding the use of the Public Health Grant; and,
- Developing options regarding innovative commissioning and partnership working with the CCG regarding pooled budgets.

Risk:	Risk Owner:
Risk 3792 – Failure to be prepared to assist in the event of an emergency resilience event in the region.	Director, Human Resources, Performance and Communications
Consequences:	
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. <i>For more information see Appendix Eight.</i>	

The Risk Mitigation Actions for this risk focus on:

- Providing SMT with improvement opportunities to consider in terms of resourcing and pump-priming;
- Working with Information Services to assist in identifying IT related business continuity issues within individual Business Units; and,
- Liaison with colleagues within Environment and Transport regarding community flood resilience plans.

Risk:	Risk Owner:
Risk 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	Director, Finance, Assets and IS
Consequences:	
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 for customers to be able to access services and a lack of access to IT systems to enable employees to undertake their duties effectively. <i>For more information see Appendix Eight.</i>	

The Risk Mitigation Actions for this risk focus on:

- Working with the Health, Safety and Emergency Resilience Unit to assist in identifying IT related business continuity issues within individual Business Units;
- Formalising and testing plans; and,
- Developing agreements for out of hours support.

5.3 New / Emerging Risks:

Details of risk 3792 ('Failure to be prepared to assist in the event of an emergency resilience event in the region') and 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') are detailed within section 5.2 of this report.

A further new risk was identified during the March 2016 review, as follows:

Risk:	Risk Owner:
Risk 3794 – Failure to influence the governance arrangements underpinning and controlling the emerging City Region Devolution Deal enable an appropriate blend of risk and reward for the Council	Director, Legal and Governance

Further liaison with the Director, Legal and Governance is required to identify appropriate risk mitigation actions for this new risk.

- 5.4 There are no risks logged on the SRR that have improved since the last review of the SRR.
- 5.5 Details of the risks logged on the SRR that have worsened since the last review of the SRR are logged in Appendix Two to this report.
- 5.6 There are no risks logged on the SRR that are proposed to be closed since the last review of the SRR.
- 5.7 Details of all SRR risk concern ratings, including a direction of travel indicator to provide details of the 'trend' of the SRR risk profile are included as Appendix Three to this report.

6. Risk Mitigation Actions

- 6.1 Appendix Four details the completed risk mitigation actions following the March 2016 review.

6.2 Appendix Five details those risk mitigation actions that have been allocated a 'red' status following the March 2016 review.

6.3 Appendix Six details those risk mitigation actions that are new following the March 2016 review.

7. Other Significant Changes to the SRR

7.1 Other significant changes to the SRR have been highlighted in bold text, and included within Appendix Seven of this report.

8. Assurance

8.1 This report and the SRR (which is attached to this report as Appendix Seven) itself will be submitted to the Audit Committee at their meeting of 20th April 2016, in order to provide assurances that these significant risks are being managed appropriately.

8.2 The Audit Committee have expressed a clear interest in receiving assurance from Cabinet that appropriate challenge and scrutiny of corporate risk management arrangements take place, and engagement with significant risks through reports on the SRR will be a key source of assurance. The Audit Committee will be informed of the outcomes of Cabinet's consideration of the SRR.

9. Future Review of the SRR

9.1 Future review of the SRR are now programmed with other governance related reports such as those relating to Corporate Finance and Performance Management in order for Cabinet to receive and consider these governance related reports as a broad suite of documents.

10. Delivering Corporate Plan Ambitions

10.1 The SRR lists those significant risks which could impact upon the delivery of the Council's priorities and objectives, as set out in the Council's Corporate Plan. Risks within the SRR are directly linked to the Corporate Plan in order to ensure that the register is focused upon those risks which are considered to be significant potential obstacles to the achievement of corporate objectives.

11. Risk Management Issues

11.1 The report focuses on the further development of the SRR and the contribution this will make to the embedding of a risk management culture throughout the Council.

11.2 Failure to develop the SRR will present a significant risk to the successful implementation of the required Risk Management culture within the Council.

12. Financial Implications

12.1 There are no specific financial implications arising directly from this report, although there is often a cost in taking (or not taking) specific action that was identified through the risk management process. Most individual Cabinet Reports have financial implications and so the application of good risk management practices is vital to ensure the most effective use of resources.

13. Appendices

Appendix One:	SRR Introduction and Background
Appendix Two:	Worsened SRR Risks
Appendix Three:	Direction of Travel / Trend Report
Appendix Four:	Completed Risk Mitigation Actions
Appendix Five:	'Red' Risk Mitigation Actions
Appendix Six:	New Risk Mitigation Actions
Appendix Seven:	Full SRR as at March 2016

14. Background Papers

14.1 Various papers and electronic files and risk registers are available for inspection at the Westgate Plaza One offices of the Council.

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Date: 30th March 2016

1. Introduction

- 1.1 The embedding of a culture where Risk Management is considered a part of normal business process is crucial to the delivery of the Risk Management Policy and Strategy and the implementation of good governance arrangements.
- 1.2 A robust and dynamic SRR sets the culture and tone for Risk Management across and throughout the Council. The engagement of the Senior Management Team (SMT) in the Risk Management process through their ownership and review of the SRR demonstrates a strong commitment to lead and champion Risk Management 'from the top' and to further reinforce the continuing development of a Risk Management culture.
- 1.3 The risks in the SRR are owned by SMT, with the management of individual risks being allocated to a Risk Manager (a member of SMT) and measures to mitigate risks allocated to Risk Mitigation Action Managers (being those senior managers best placed to take responsibility to drive the implementation of those actions).
- 1.4 SMT is also responsible for ensuring that the SRR continues to express those high level risks which have a significant bearing upon the overall achievement of corporate objectives and that they are being appropriately managed.
- 1.5 In order to provide assurances that the SRR is being appropriately managed, reviews of the register are facilitated by the Risk and Governance Manager on a six monthly cycle. The results of these reviews are then presented to the Council's Directorate Risk Champions, and reported to SMT for further consideration and challenge. The outcomes of these processes are then reported to the Audit Committee, and subsequently, Cabinet.
- 1.6 This report provides a summary to Cabinet of the recent review, and highlights specific issues and actions for consideration. This ensures Senior Elected Members are aware of the SRR and can contribute to its development. The consideration of the SRR by Cabinet also contributes towards the role of Elected Members in assisting in the development of strategy and contributing to the identification of high level strategic risks, rather than simply monitoring the management of the Risk Management process.

2. Background and Context to the March 2016 Review

- 2.1 The review that has recently been completed is the fifth review of the SRR, which was significantly refreshed, following a 'zero-based' review of the SRR in March 2013.
- 2.2 The current review included:
 - **Consideration of the current expression of the Risk:**
Risk Owners are encouraged to consider risks in terms of Event > Consequence > Impact, and these are logged within the 'Risk Title' and 'Risk Consequences' fields.
 - **Consideration of links between Corporate Priorities, Outcomes and Risks:**
Each Risk is clearly linked to a Corporate Priority, and these are logged in the 'Priority' field.

Clear links between Corporate Outcomes and Risks have been identified and logged in the 'Existing Control Measures' field, to demonstrate the relevance of risks to the Council's performance management framework.

- **Consideration of the level of 'Concern' for each Risk:**

Clearly, all risks logged in the SRR are significant. A 'traditional' quantitative risk assessment of all SRR risks has been undertaken, and all of the risks logged in the SRR have been assessed as being 'red' due to their high rating in terms of probability and / or impact.

Whilst risk mitigation actions are in place, and efforts are being made to ensure the intended benefits of such risk mitigation actions are realised, the actual positive impact of these mitigations can often be hard to express in terms of the risk assessment itself, and ultimately, what are contextually small positive impacts on such significant risks may simply result in the *maintenance* of the assessment, rather than actually *improving* it.

As part of the 'zero-based' review of the SRR in March 2013, the use of a 'Concern Rating' was implemented. This qualitative assessment gives the Risk Owner, or SMT collectively, the opportunity to consider the following dynamic elements of the risks, rather than focusing on the traditional probability and impact based assessments:

Concern Rating	Description
1 - Red	Little confidence the Risk can be improved; Unachievable Objective; Difficult to Influence; or, Out of Tolerance.
2 - Red	Concern is between Rating 1 and Rating 3.
3 – Amber	Some confidence the risk can be improved; Moderately achievable Objective; Possible to Influence; or, Barley Tolerable.
4 – Amber	Concern is between Rating 3 and Rating 5.
5 – Green	Confident the Risk can be improved; Achievable Objective; Easily Influenced; or, Tolerable.
6 – Green	Concern Rating is less than 5.

- **Consideration regarding *existing* Risk Mitigation Actions, as well as consideration of any *new* Risk Mitigation Actions:**

Each risk mitigation action is allocated a red, amber or green rating, on a similar basis as the Risk Concern rating. Risk mitigation action owners are asked to provide an assessment as to the overall progress and achievement of each of these actions. Of note is the fact that some risks may be logged as being 'amber' or in some circumstances, 'red' in terms of the overall 'Concern Rating', but risk mitigation actions may be logged as 'green'. The implication of this is that the actions being taken are on track, but due to factors such as the 'long-tail' nature of some risks, the action may be something that is aimed at *maintaining* the risk, rather than *improving* it.

Similarly, some risks may be logged as having a 'Concern Rating' of 'green', with actions logged as being 'amber' or in some circumstances, 'red'. This reflects that whilst the risk itself may be acceptable, the actions themselves may be less so. In these circumstances, attention should be given to ensuring the action is resourced to ensure it is able to deliver the intended outcomes. This is in addition to the '% complete' field which is included within the register.

- **Consideration of Future Council Activity:**

As part of the current review, SRR Risk Owners were asked to consider the implications of the transition to the Future Council model, in terms of the ownership and positioning of the risk, along with any issues arising that may affect the delivery of risk mitigation actions.

2.3 Consideration was also given during each update meeting with Risk Owners regarding any new or emerging risks that should be considered, or any risk areas that may be developing that could influence the consideration of exiting risks.

Appendix Two: Worsened SRR Risks

Risk Number	Risk Name	Reason for Improvement
3034	Failure to deliver the medium Term Financial Strategy ('Failure of the Future Council to deliver the required level of savings')	<p>This increase from a concern rating of '4' (amber) to '3' (amber) relates directly to the uncertainties that remain regarding the impact of the recent Comprehensive Spending Review and Autumn Statement by the Chancellor of the Exchequer in November 2015.</p> <p>The subsequent Local Authority settlement is envisaged to assist in identifying a clearer financial position for the Council.</p>

Appendix Three: Direction of Travel / Trend Report

Risk Number	Risk Title	Mar 2016	Sept 2015	Feb 2015	Sept 2014	Feb 2014	Oct 2013	June 2013
3021	Failure to build the Economy of Barnsley	Closed -	Closed -	Closed -	3 ↕	3 ↕	3 ↕	3 -
3022	Inability to direct Corporate Strategy	3 ↕	3, 2 ↕	3 ↕	3 ↕	3 ↕	3 ↕	3 -
3023	Failure to engage with Stakeholders	3 ↕	3 ↕	3 ↑	2 ↓	3 ↕	3 ↕	3 -
3024	Lack of Educational Attainment	3	3 ↓	4 ↕	4 ↕	4 ↕	4 ↑	3 -
3025	Failure to Safeguard Vulnerable Service Users	4 ↕	4 ↕	4 ↕	4 ↕	4 ↕	4 ↕	4 -
3026	Failure to achieve a reduction in health inequalities within the Borough	2 ↕	2 ↕	2 ↕	2 ↕	2 ↕	2 ↕	2 -
3027	Failure to manage Organisational Change ('Risk of destabilisation of the Organisation')	5 ↕	5 ↕	5 ↕	5 ↕	5 ↕	5 ↕	5 -
3028	Workforce planning issues	3 ↕	3 ↕	3 ↕	3 ↕	3 ↕	3 ↓	4 -
3029	Failure to Safeguard Information	4 ↕	4 ↕	4 ↑	3 ↕	3 ↕	3 ↓	4 -
3030	Failure to be prepared for an emergency response or business continuity threat	Closed -	2 ↕	2 ↕	2 ↓	3 ↕	3 ↓	4 -
3031	Strategic Performance, Governance or Compliance failure	4 ↕	4 ↕	4 ↕	4 ↕	4 ↕	4 ↕	4 -
3032	Failure of Partnership Working / Supply Chains	Closed -	Closed -	Closed -	4 ↕	4 ↕	4 ↕	4 ↕
3033	Failure to adapt the Authority into a sustainable organisation ('Failure to maintain current Services)	4 ↕	4 ↕	4 ↑	3 ↕	3 ↕	3 ↓	4 -
3034	Failure to deliver the Medium Term Financial Strategy ('Failure of the Future Council to be able to deliver the required level of savings')	3 ↓	4 ↓	5 ↕	5 ↕	5 ↕	5 ↕	5 -
3035	Loss of assets and resources as a result of one-off incident of fraud / corruption / bribery or a sustained or widespread occurrence	3 ↕	3 ↕	3 ↕	3 ↓	4 ↕	4 ↓	5 -
3047	Failure to protect the population from preventable health threats	3 ↕	3 ↕	3 ↕	3 ↕	3 ↕	3 ↕	3 -
1630	Equal Pay Claims	Closed -	Closed -	3 ↕	3 ↕	3 ↕	3 ↑	2 -
3514	Failure to be able to deliver the ambitions and outcomes associated with the Customer Service Organisation (CSO) Programme	4 ↕	4 ↕	4 -	-	-	-	-
3543	Failure to ensure the adequate supply of land for housing and commercial property growth	4 ↕	4 ↑	3 -	-	-	-	-
3699	Failure to ensure the Council's commercial / trading arm is effective in its operations, and is a well governed organisation	4 ↕	4 -	-	-	-	-	-

Risk Number	Risk Title	Mar 2016	Sept 2015	Feb 2015	Sept 2014	Feb 2014	Oct 2013	June 2013
3792	Failure to be prepared to assist in the event of an emergency resilience event in the region	2 -	-	-	-	-	-	-
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	2 -	-	-	-	-	-	-
3794	Failure to ensure the governance arrangements underpinning and controlling the emerging City Region Deal Devolution Deal enable an appropriate blend of risk and reward for the Council	4 -	-	-	-	-	-	-

Appendix Four: Completed / Closed Risk Mitigation Actions

Risk Number	Risk Name	Risk Mitigation Action
3023	Failure to engage with stakeholders	<p>Community Offer now included in Community Wellbeing - to include and bring together Think Family, Anti Poverty and Engagement themes. Need to build infrastructure and governance arrangements.</p> <p>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'.</p>
3030	Failure to be prepared for an emergency response or business continuity threat	<p>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</p> <p>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</p> <p>Undertake weekend (minor incident) testing, and undertake annual (major incident) testing of IT resilience - currently mapping priority disaster recovery systems against BMBC Resilience Plans</p> <p>Development of a business case to recruit to the Humanitarian Assistance Officer role</p> <p>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)</p> <p>Encouraging Ward Alliances to consider and develop Community Resilience Plans - Head of H&S visiting Ward Alliances</p>
3027	Failure to manage organisational change - 'Risk of Destabilisation of the Organisation'	<p>(13) Employee Engagement: 'Tell US What You Think' month (September 2015) with further Employee Survey - analysis and consideration of results and feedback</p> <p>(20) Communications: Revised Communications Strategy to be reviewed</p>
3028	Workforce planning issues	(12) Organisational Development: Monitoring OD Strategy via Corporate Plan

Risk Number	Risk Name	Risk Mitigation Action
		with subsequent reports to Scrutiny and FC Board to ensure managers are promoting the correct message regarding FC to employees
3029	Failure to safeguard information	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)
3031	Strategic performance, governance or compliance failure	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
3033	Failure to adapt the Authority into a sustainable organisation - 'Failure to maintain current services'	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
3034	Failure to deliver the MTFs - 'Failure of Future Council to achieve the required level of savings'	Financial monitoring (15/16) to ensure delivery is in line with plan
3035	Loss of assets and resources as a result of a one-off incident of fraud / corruption / bribery or sustained or widespread occurrences	<p>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>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>Creation of Corporate Fraud Team within Internal Audit from April 2015. Undertake mid-year review of progress / success</p>
3514	Failure to be able to deliver the ambitions and outcomes associated with the Customer Services Organisation Programme (CSO)	<p>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</p> <p>CSO strategy drafted and due for submission to Cabinet September 2015</p>

Appendix Five: 'Red' Risk Mitigation Actions

Risk Number	Risk Name	Risk Mitigation Action
3026	Failure to achieve a reduction in health inequalities within the Borough	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 - developing options regarding innovative commissioning and partnership working

Appendix Six: New / Updated Risk Mitigation Actions

Risk Number	Risk Name	Risk Mitigation Action
3024	Lack of Educational Attainment	Development of SEND strategy to meet the Council's accountability requirements - to be discussed at TEG
		Corporate Parenting Panel - delivery of Service Improvement Plan which is monitored by the Safeguarding Governance Board and reported to Education Steering Group chaired by Cllr Cheetham
3025	Failure to safeguard vulnerable service users	Personalisation - new Target Operating Model (TOM) in place, implementing IA recommendations re Direct Payments, new Brokerage team in place, new CAT Team in place resolving majority of cases and Vulnerable Adults Risk Management Model being embedded
		Refresh of 'Making Safeguarding Personal' programme
3047	Failure to protect the health of the population from preventable health threats	Liaison with Public Health Communicable Disease representative - need to update key plans and report these to the Health Protection Board
3023	Failure to engage with stakeholders	Refresh of Health and Wellbeing Strategy to improve Health and Wellbeing Board governance arrangements
		Review of engagement and participation arrangements as part of the Health and Wellbeing Strategy refresh
3792	Failure to be prepared to assist in the event of an emergency resilience event in the region	Report to SMT which identifies a number of improvements to the Council's emergency resilience arrangements based on analysis undertaken against SOLACE Best Practice
		Top 5 service Business Continuity Plans passed to IS to identify IT implications and requirements
		Await feedback from SD BU 6 following analysis of Community Flood Plans by Head of H&S
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	Analysis of top 5 service Business Continuity Plans which have been passed to IS to identify IT implications and requirements from H&S - initial analysis undertaken which suggests that the level of detail required is lacking - feeding back to H&SERU
		Undertake weekend (minor incident) testing, and undertake annual (major incident) testing of IT resilience - currently mapping priority disaster recovery systems against BMBC Resilience Plans
		Formalise testing plans that will focus on systems and people / behaviour
		Development of a formalised agreement for out of hours support for areas such as Helpdesk
3027	Failure to manage organisational change - 'Risk of	Consideration of organisational change requirements following the development

Risk Number	Risk Name	Risk Mitigation Action
	Destabilisation of the Organisation'	<p>of the Council's MTFS</p> <p>Talkabout sessions being developed for May 2016 with Chief Executive and Leader</p> <p>Staff Survey including Employee Preference Questionnaire and changing working patterns (which will be used to assist in the planning for longer term Future Council requirements</p> <p>Encouraging the greater use of Social Media for information purposes, and greater use of the Internet for interactive requirements</p>
3028	Workforce Planning issues	Development of Future Council Strategy and Workforce Development Plan to align them to the Corporate Plan to 2018
3031	Strategic performance, governance or compliance failure	Monitoring of AGS Action Plan which includes the improvement requirement regarding the recording of Officer decisions 16/17
3033	Failure to adapt the Authority into a sustainable organisation - 'Failure to maintain current services'	<p>Development of Future Council Strategy and Workforce Development Plan to align them to the Corporate Plan to 2018</p> <p>Development of Talkabout sessions for Chief Executive and Leader regarding MTFS, Service and Financial Planning and Business Plans</p> <p>Consideration of organisational change requirements following the development of the Council's MTFS</p>
3034	Failure to deliver the MTFS - 'Failure of Future Council to achieve the required level of savings'	<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 along with assumptions regarding the Council's Capital Programme to feed into 17/18 4 year plan (16/17)</p> <p>Monitoring of the situation regarding Business rates which links to the broader discussions regarding the regional devolution deal</p>
3699	Failure to ensure the Council's commercial / trading arm is effective in its operations, and is a well governed organisation	Development of processes to enable the support services recharges to be clear and transparent within future bids or tenders that may be made by the trading company