

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

Audit and Governance Committee – 1st June 2022

STRATEGIC CONCERNS / RISK REGISTER

1. Purpose of the report

- 1.1 It was agreed at the Audit and Governance Committee meeting in March 2021 that the Committee will have a regular opportunity for a “deep dive review” of some of the strategic risks with the appropriate Executive Director / Service Director in attendance to update and assure the Committee on the management of their risks
- 1.2 Two strategic risks will be considered at this meeting:
 - Community Resilience – Executive Director Adults and Communities
 - Safeguarding Adults – Executive Director Adults and Communities

2. Recommendation

2.1 The Committee is asked to note the update.

3. Current Position

- 3.1 The Strategic Risk Register currently contains 15 risks. Using the system of risk assessment, SMT have determined that 6 risks be classified as **high** (red response rating*) 9 risks be classified as **medium** (amber rating) and no risks are classified as **low** (green rating) in relation to the level of response and intervention required.

* The response rating reflects the degree of urgency and importance of the interventions and management oversight rather than the inherent risk.

- 3.2 The Community Resilience risk has recently been reclassified by SMT from a medium rating to a high rating risk reflecting the pressures on communities of the cost-of-living crisis and the Government’s ask regarding migration and humanitarian assistance.
- 3.3 The actions associated with the 2 risks to be considered in the meeting are included in the attached summary in Appendix 1.
- 3.4 The risk register system will be shown in the meeting.

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Date: 11th May 2022

Strategic Risks to be reviewed in the meeting – June 2022

Risk Title	Risk Description	Impact	Status	Response Rating	SMT Owner
Community Resilience	<p>That individuals and families experience increased strain as a consequence of economic, social, health or other factors.</p> <p>Action 1 Continued development of the Welfare advice offer in partnership with Area Councils ensuring consistent insight is captured to inform councils plans and those of our partners.</p> <p>RAG rating – Green</p> <p>Action 2 Development of Early Help Plan for Children, and Prevention Plan for Adults as part of the Health & Care Plan</p> <p>RAG rating – Amber</p> <p>Action 3 Ensure that support offers are well communicated and accessible to the public.</p> <p>RAG rating – Amber</p> <p>Action 4 Community level early interventions through the Area Council and Ward Alliance</p> <p>RAG rating – Green</p> <p>Action 5 Continue to develop alliances (Good Food Partnership / Age Friendly / Homelessness Alliance / Foodbank Partnerships / Rose Vouchers Scheme / Healthy Holidays / Household Support Grant etc.) to offer support to those most in need or likely to be at risk of heading into crisis.</p> <p>RAG rating – Green</p>	Actual	Actual	High	ED Adults & Communities

Risk Title	Risk Description	Impact	Status	Response Rating	SMT Owner
	<p>Action 6 Respond to the governments ask regarding migration, humanitarian assistance etc.</p> <p>RAG rating – Green</p>				
<p>Potential for a safeguarding failure in Adult Social Care</p>	<p>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.</p> <p>Action 1 Assurance regarding the suite of policies and procedures are in place and regularly reviewed (schedule of review in place).</p> <p>RAG rating – Amber</p> <p>Action 2 Suite of metrics, indicators and data exists to be able to monitor risks</p> <p>RAG rating – Green</p> <p>Action 3 Staff workloads are adequately monitored to ensure consistency and the adherence to good practice.</p> <p>RAG rating – Amber</p> <p>Action 4 Changes in working arrangements due to Covid 19 are fully assessed to ensure the continuity of services and that they remain effective</p> <p>RAG rating – Green</p>	Potential	Potential	Medium	ED Adults & Communities

Risk Title	Risk Description	Impact	Status	Response Rating	SMT Owner
	<p>Action 5 Multi-agency arrangements are robust, adequately governed, and effective and the Safeguarding Board arrangements overseeing the arrangements are fit for purposed and regularly reviewed.</p> <p>RAG rating – Green</p> <p>Action 6 Staffing levels within the Council and care homes are being closely monitored (options for monitoring homecare absences are being looked at) at the SITREP meetings. If these breach agreed levels within the contingency plan, mitigation measures will be recommended for consideration by managers at the appropriate governance forum.</p> <p>RAG rating – Green</p> <p>Action 7 Volume of caseloads within social care</p> <p>RAG rating – Green</p> <p>Action 8 People are placed in an inappropriate setting creating unnecessary safeguarding risks</p> <p>RAG rating – Green</p>				