

# Appendix A

Profile of Current Strategic Risk Scores

<b>RED</b>	4, 4c, 40, 49, 50, 52
<b>AMBER</b>	6a, 6b, 21a, 22a, 27, 38a, 42a, 45, 47, 48, 51
<b>GREEN</b>	44

## Summary Strategic Risk Register @ October 2018



**Ambition 1**  
High aspirations



**Ambition 2**  
Healthy lives



**Ambition 3**  
Skills



**Ambition 4**  
High quality education



**Ambition 5**  
Safe communities



**Ambition 6**  
Excellent and affordable public transport



**Ambition 7**  
Housing to meet needs



**Ambition 8**  
Community life, leisure centres & entertainment



**Ambition 9**  
Location of choice for business and growth



**Ambition 10**  
Reputation for getting things done

[IL1: PROTECT]

Risk Ref	Risk Title and Description	Previous score (Jun 2018)	Direction of travel	Current score (Oct 2018)	Target score and date	Comment																															
4 07/2012	<p><b>Children's Social Care</b></p> <p>If the council does not put in place robust arrangements and receive appropriate assurances to ensure that the Sandwell Children's Trust addresses the areas of poor or inconsistent performance, as outlined by Ofsted, with rigour and pace, then the council will fail in its responsibilities to:</p> <ul style="list-style-type: none"> <li>Safeguard vulnerable children</li> <li>Promote and improve the outcomes of children in its care</li> <li>Manage any adverse financial consequences arising from the failure to create favourable outcomes for children within the resources available to it</li> <li>Improve the continued adverse affect on the council's reputation.</li> </ul> <p>Risk owner – Lesley Hagger Cabinet Member – Councillor Hackett</p> <p><b>Ambitions impacted: 1, 2, 3, 4 and 5</b></p>	12 (red)		12 (red)	8 (amber)  April 2019  Requires Improvement by 2020 Good by 2022	<p>Since the last update, the following actions have taken place and arrangements put in place to mitigate this risk as follows:</p> <ul style="list-style-type: none"> <li>Meetings for the Strategic Partnership Board (SPB) which meets quarterly and an Operational Partnership Board (OPB) which meets monthly have continued to take place to review the Trust's operations and performance, based upon the interim performance indicators in place.</li> <li>New arrangements for an Improvement Board which is chaired by the Chief Executive of the Doncaster Children's Trust – the Trust's improvement Partner, are in place.</li> <li>Prior to the Children's Services Commissioner's departure in July, the Commissioner submitted his final quarterly report to the Minister. This noted that: <i>'the Trust had made an encouraging start. The Board has set an ambitious vision and senior leaders are working at pace to deliver the long overdue improvements. The open culture and approach to quality and performance is a step change from what went before it and so long as the Council and the Trust remain focussed on tackling the risks and delivering the improvement programme I remain optimistic that Sandwell's children's social care services can be good or even better by 2022'.</i></li> <li>An Ofsted monitoring visit took place on 5-6 September. The theme of the visit was cases being managed within the Public Law Outline (PLO) and care proceedings and concluded that: <i>'Sandwell Children's Trust is making some progress in improving services for children involved in the Public Law Outline (PLO) and pre-proceedings work,</i></li> </ul>																															
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						<i>but overall some deficits in services remain. Senior managers and leaders understand the scale of change required and have put in place some of the foundations for social work practice to improve. It is too soon to see the impact of the recent initiatives but the continued focus on performance, quality assurance and workforce development demonstrates an improved management grip on services’.</i>																																
<b>4c 02/18</b>	<p><b>Demand for Children’s Social Care</b></p> <p>If the rate of demand and pressures on children’s social care (experienced nationally and locally) continue to increase at the same or at a higher rate than that experienced during 2017/18, then without a national funding solution and improved children’s social care services, this will have a detrimental impact on the financial resilience of Sandwell Children’s Trust</p> <p>Risk owner – Lesley Hagger Cabinet Member – Councillor Hackett</p> <p><b>Ambitions impacted: All Ambitions 1-10</b></p>	16 (red)		16 (red)	8* (amber)	<p>The risk recognises the national increased pressures and demands on children’s social care services over recent times and the detrimental impact this is having on the financial resilience of councils with children’s social care services. As such, this is not just a risk in Sandwell with pressures being widely reported in the media for other councils across the country. The failure to put in place a national solution to this national problem is presenting a risk to all councils.</p> <p>The Contract Sum that has been agreed between the council and the Trust put in place significant additional funding to address budgetary pressures experienced during 2017/18. Demand has continued to increase and discussions are ongoing about how this will be managed now that the Trust is an operationally independent company.</p>																																
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6a 10/2007	<p><b>Emergency Planning</b></p> <p>If the council does not put in place effective arrangements to plan and mitigate against national, regional or local emergencies as defined by Part 1 of the Civil Contingencies Act 2004 (CCA) then this will result in:</p> <ul style="list-style-type: none"> <li>Actual or anticipated failure to adequately protect vulnerable persons</li> <li>Failure to support the emergency services</li> <li>Loss of public confidence in the council</li> <li>Failure to fulfil Civil Contingencies Act responsibilities</li> </ul> <p>Risk owner – Alison Knight Cabinet Member – Councillor Costigan</p> <p><b>Ambitions impacted: 2, 5, 10</b></p>	8 (amber)		8 (amber)	4 (green)  March 2019	<p>The previous update reported that the newly appointed Resilience Manager had undertaken a review of the suite of emergency plans in place and had identified some gaps</p> <p>Since this time, the following actions have taken place:</p> <ul style="list-style-type: none"> <li>A transport plan has been drafted and is being reviewed by the interim transport manager</li> <li>The corporate emergency plan has been reviewed and signed off by the Executive Management Team and a full desk top live incident test is being planned for the early 2019.</li> <li>The emergency accommodation plan is being drafted</li> <li>A review of the Local Resilience Forum's communication plan is being undertaken which will be used by Sandwell to inform its local plan.</li> <li>A full debrief of the Leabrook Road incident has taken place and shared with the wider management team. The actions from the lessons learned are on track to be completed by March 2019.</li> <li>Following Grenfell, the council reviewed its building fire packs and confirmed all are in place. No specific changes resulting from the Grenfell incident have needed to be made to the plans, although the council continues to give close attention to the ongoing inquiry.</li> </ul>																															
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<b>6b</b> <b>04/18</b>	<p><b>Business Continuity Management (BCM)</b></p> <p>If the council does not develop, review, monitor and test plans and capabilities (including the resilience of its supply chains and the power supply arrangements for the data centre at the council house) that seek to maintain the continuity of key functions in the event of an unplanned disruptive incident, then it will be unable to perform critical business functions which will impact the provision of council services and result in potential financial loss and loss of public confidence in the council.</p> <p>Risk owner – Alison Knight/ Alan Caddick  Cabinet Member – Councillor Costigan</p> <p><b>Ambitions impacted: All Ambitions 1- 10</b></p>	<p>9 (Amber)</p>		<p>9 (Amber)</p>	<p>6 (green)  March 2019</p>	<p>Since last reported, the following actions have taken place:</p> <ul style="list-style-type: none"> <li>Improved governance arrangements around the oversight and monitoring of this risk have been introduced by the risk owner, with regular performance reporting to the directorate’s business excellence manager.</li> <li>A presentation on resilience arrangements was made to the wider management team in August 2018.</li> <li>The preparation of business continuity plans continues through engagement by service managers. At present, most priority 1 and 2 services have completed plans in place, with a view to having a full suite of updated priority 1 and 2 plans in place by March 2019. The updating of plans will be monitored annually at directorate management level and biannually by the wider corporate management team.</li> <li>Testing of business continuity plans has commenced using different test scenarios. Neighbourhoods and Education’s test plans will be completed in October. Adult Services tests are planned for December and Resources in early 2019.</li> <li>In terms of power supply for the data centre, the Work Place Vision Project has identified work to be undertaken to replace the main switch panel in early 2019 (for which enabling works have commenced) and uninterrupted power supply (which is being designed and costed).</li> <li>In terms of supply chain risk, officers from procurement services and risk services recently discussed the current arrangements. The Procurement team will be carrying out an exercise to identify where there may be a high dependency on critical service suppliers and following completion of this, they will look at the arrangements in place to manage any significant risks identified.</li> </ul>																																	
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21a 06/2015	<p><b>Compliance with the Data Protection Act 2018 (DPA 2018) and the General Data Protection Regulations (GDPR)</b></p> <p>If the council does not ensure it has a robust framework in place to comply with the DPA 2018 and GDPR then it faces significant external action from the Information Commissioner's Office for failing to undertake its statutory duty. Further, failing to comply will result in negative public reaction and reputational damage, significant monetary penalties, loss of confidential data and potentially legislative action against the Chief Executive.</p> <p>Risk owner – Surjit Tour Cabinet Member – Councillor Trow</p> <p><b>Ambitions impacted: 5 and 10</b></p>	8 (amber)		8 (amber)	4 (green)  December 2019	<p>This risk is overseen by the council's Data Protection Officer.</p> <p>Since last reported, the Information Governance Manger has transferred to the Sandwell Children's Trust and interim arrangements have been put in place to oversee the day to day project work, whilst a redesign of the Legal and Governance services take place for implementation from 1 April 2019.</p> <p>The council's service areas continue to work on mapping their information flows, looking at the reason (lawful basis) for collection, sharing (and associated reason for sharing), how it is used and for how long it is retained.</p> <p>Work also continues on key systems that have been identified that require additional steps to be taken to ensure that they are GDPR compliant.</p> <p>In addition to the corporate team, resources have been allocated to service areas to increase their understanding of their requirements under the Act.</p> <p>A key project currently underway which links in with this work and risk is the NHS Information Governance (IG) toolkit which requires the council to have completed its assessment of its IG arrangements by 31 March 2019 in order to enable it to take advantage of easier connectivity with government and health networks and data. A project team has been established to lead this work.</p> <p>The council is working with its neighbouring authorities to ensure shared learning and consistency across the region.</p>																																
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<b>The 22a</b> 01/2016	<p><b>CONTEST</b></p> <p>Whilst the national threat level remains 'severe' there is no known significant specific or particular threat for Sandwell. If the council does not work with partners to put in place suitable arrangements with the aim of preventing terrorism and radicalisation in Sandwell then it will be unable to effectively discharge its statutory duties.</p> <p>Risk owner – Jan Britton Cabinet Member – Councillor Costigan</p> <p><b>Ambitions impacted: 5</b></p>	8 (amber)		8 (amber)	8* (amber)	<p>This risk continues to be managed by the CONTEST Board. Although there has been no change in the risk or threat level for Sandwell, the actions that have/ are being taken to manage this risk include:</p> <ul style="list-style-type: none"> <li>Quarterly meetings of the CONTEST Board take place with partners.</li> <li>Understanding extremism training has this been delivered to all key partners. All Sandwell schools have received 'Prevent' training and ongoing support is provided through the Prevent Education Officer.</li> <li>Other areas of work include, working with unregulated education settings; engagement with community, faith and youth groups to increase their understanding; working closely with the Hate Crime group to cross reference and provide support to individuals known to Youth Offending Service and providing online safety training for parents.</li> </ul>																															
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<b>27</b> 06/2009	<p><b>Funding and Resource Allocation</b></p> <p>Local Government continues to operate in an uncertain financial environment arising from reducing central government funding, increasing demand for services and planned changes to the local government funding formula to be implemented in 2020. Failure to put in place the necessary processes and actions to manage these uncertainties may impact on our ability to deliver services to the people of Sandwell and our statutory responsibility to set a balanced budget.</p> <p>Risk owner – Darren Carter Cabinet Member – Councillor Eling</p> <p><b>Ambitions impacted: All Ambitions 1-10</b></p>	9 (amber)		9 (amber)	9* (amber)	<p>In common with all other local authorities, Sandwell continues to face the ongoing challenge of reducing central government funding combined with increasing demand for our services.</p> <p>The council has an outstanding track record in managing these risks and will continue to use the lessons learned over the last eight years to deliver a balanced budget and protect front line services for the people of Sandwell.</p> <p>The council's Executive Management Team met in September and have agreed a way forward and have detailed plans in place to deliver a balanced budget for 2019/20, which require additional savings that will be discussed at a Cabinet Summit in November.</p> <p>In respect of the medium term plan, there remain significant uncertainties and lack of clarity over local government funding and plans for 2020/21 and beyond will be considered once there is clarity over the arrangements.</p>																															
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38a 03/2018	<p><b>Health and Social Care Reforms</b></p> <p>If appropriate arrangements are not made to effectively manage the implications and the impact of the health and social care reforms including the Social Care Green Paper and the change in delivery from acute / primary care to social care led intervention, then the outcomes for adult social care users will be adversely affected.</p> <p>Risk owner – David Stevens Cabinet Member – Councillor Shackleton</p> <p><b>Ambitions impacted: 2, 5, 7</b></p>	8 (amber)		8 (amber)	8* (amber)	<p>This risk continues to be included in the strategic risk register as a result of the uncertainties that flow from the Green Paper on social care for older people that is due to be published in Autumn 2018, and is intended to set out the government's plans for improving care and support for older people and tackle the challenges presented by an ageing population.</p> <p>Once published, the paper will be subject to a full public consultation at which point the council will consider the implications it has for its adult social care services.</p>																																
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40 01/2015	<p><b>School Place Planning</b></p> <p>If the Department for Education is unable to provide sufficient funding and if the council is unable to identify suitable solutions to schools' place planning and deliver these solutions on time and to scope then it will fail to discharge its statutory duties to provide sufficient school places.</p> <p>Risk owner – Lesley Hagger/ Chris Ward Cabinet Member – Councillor Hackett</p> <p><b>Ambitions impacted: 1, 3 and 4</b></p>	12 (red)		12 (red)	8 (amber)  April 2019	<p>This risk is concerned with ensuring that there are sufficient primary and secondary school places available in future years. The current focus is on secondary schools where an additional 480 places are required by September 2020.</p> <p>It was previously reported that the Department for Education (DfE) had announced a nil allocation of Basic Need Funding for Sandwell in 2020/21, which was expected for the phased completion of the schools at Kelvin Way and Q3 Langley. The council has since had discussions about the allocations with the DfE and Education and Skills Funding Agency and at present, the options to manage this risk include:</p> <ul style="list-style-type: none"> <li>Challenging the Secretary of State on the funding formula for the schools</li> <li>Increasing the size of year 7 cohort in every secondary school without any associated capital works</li> <li>The government accelerates the building of the two free schools currently in the pipeline</li> </ul> <p>The council is currently considering its options and as such the risk score remains red.</p>																																
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42a 02/2017	<p><b>Cyber Security</b></p> <p>If the council does not have a co-ordinated approach and understanding of its existing cyber security controls or those available to it, together with an analysis of identifiable gaps, then this could expose the council to cyber-attack resulting in:</p> <ul style="list-style-type: none"> <li>The inability of the council to deliver services, particularly critical services for a significant period of time</li> <li>The loss of corporate and sensitive personal data (including bank details)</li> <li>Enforcement action</li> <li>Significant financial loss and</li> <li>Reputational loss</li> </ul> <p>Risk owner – Darren Carter Cabinet Member – Councillor Trow</p> <p><b>Ambitions impacted: 5, 10</b></p>	8 (amber)		8 (amber)	8 (amber)	See separate briefing note																														
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44 05/16	<p><b>Land Sales and Other Matters</b></p> <p>If the council does not put in place a robust system of assurance around the new and/or updated policies and procedures that have been put in place to address the findings from the land sales, legacy land matters and other matters investigated, then it will be unable to ensure compliance with these new arrangements and evidence robust and effective corporate governance arrangements are in place across the council.</p> <p>Risk owner – Alison Knight Cabinet Member – Councillor Eling</p> <p><b>Ambitions impacted: 5, 7, 8, 9 and 10</b></p>	6 (green)		6 (green)	4 (green)  April 2019	<p>The following has taken place since the last update:</p> <ul style="list-style-type: none"> <li>A report setting out details of previous and current complaints in respect of Elected members conduct was considered by the Ethical Standards and Member Development Committee in September 2018.</li> <li>The appointment of a Service Manager over the service area is in progress and the restructure implemented.</li> <li>The Executive Director Neighbourhoods and Director regeneration and Growth continue to oversee and approve all land transactions</li> <li>A review of voluntary sector lease arrangements is currently being undertaken by Internal audit and the outcomes of the review will be reported to the Committee in due course.</li> </ul>																														
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45 07/16	<p><b>Apprenticeship levy</b></p> <p>If the council (including schools) does not put in place effective arrangements to use the resources it will have available from the introduction of the apprenticeship levy, then it will be unable to maximise benefits and its use of resources and will miss out on the opportunities available through the fund.</p> <p>Risk owner – Chris Ward Cabinet member – Councillor Hackett and Councillor Moore</p> <p><b>Ambitions impacted: 1, 3, 4, 9, and 10</b></p>	9 (amber)		9 (amber)	6 (green)  April 2019	<p>The Apprenticeship Levy introduced on 1 April 2017 requires all public sector bodies with a workforce of 250 or more, to provide apprentice opportunities equating to at least 2.3% of their workforce. For 2018/19 this equates to an annual target of 215 apprenticeships for the council. In the last update to the Apprenticeship Board, the actual performance for the six months to September showed that 111 apprenticeships were in place against a profiled public sector target of 95.</p> <p>Actions to mitigate this risk include:</p> <ul style="list-style-type: none"> <li>Further procurement is taking place to widen the offer of apprenticeships and contracts.</li> <li>Career pathways for existing staff continue to be developed across the council's service areas.</li> </ul>																										
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47 07/17	<p><b>Maximising Opportunities from the West Midlands Combined Authority</b></p> <p>If the Council does not actively participate in the West Midlands Combined Authority (WMCA) then it will be unable to maximise the benefits and opportunities available to it.</p> <p>Risk owner – Alison Knight Cabinet Member – Councillor Eling and Councillor Moore</p> <p><b>Ambitions impacted: All Ambitions 1-10</b></p>	9 (amber)		9 (amber)	9* (amber)	<p>The work of the WMCA is based around various key areas including, productivity and skills, mental health, housing and land regeneration and transport. Since last reported, the following has taken place:</p> <ul style="list-style-type: none"> <li>The establishment of internal WMCA meetings whereby Cabinet and directors meet prior to each meeting of the WMCA Board, to consider and agree Sandwell's approach on the decisions being sought.</li> <li>Sandwell has been allocated approximately £960,000 as part of the government's Housing First pilot and has committed to delivering 20 Housing First units.</li> <li>Sandwell is also participating in the 5G mobile technology pilot.</li> <li>Continued efforts are being made to ensure there is Member representation on all of the Boards and Committees within the WMCA.</li> </ul>																										
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48 07/17	<p><b>Vision 2030</b></p> <p>If the council does not put in place arrangements to monitor and assure itself of the delivery against its 2030 vision, then this will result in the Sandwell's ambitions and Vision 2030 not being met.</p> <p>Risk owner – Darren Carter Cabinet Member – Councillor Eling and Councillor Trow</p> <p><b>Ambitions impacted: All Ambitions 1-10</b></p>	8 (amber)		8 (amber)	8* (amber)	<p>Since last reported, the following has been implemented in the management of this risk:</p> <ul style="list-style-type: none"> <li>Officers from the council have met with the Joseph Rowntree Foundation to discuss and consider suggested approaches to measuring inclusive and economic growth across the borough and the development of a Vision 2030 tracker.</li> <li>A Sandwell barometer entailing a biannual survey will be conducted to seek how people feel about the borough.</li> </ul>																																
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49 01/18	<p><b>Delayed Transfer of Care (DTC)</b></p> <p>If we do not reduce DTC to national level, then we risk government intervention leading to a reduction in grant and potential financial clawback and reputational impact.</p> <p>Risk owner – David Stevens Cabinet member – Councillor Shackleton</p> <p><b>Ambitions impacted: 2, 5, 8, 10</b></p>	12 (red)		12 (red)	8 (amber)  April 2019	<p>Since the last update to the Committee, as a result of Sandwell's success in managing the previous DTC targets set by government, it has been set a revised and significantly lower target level of DTC. Since this time, whilst Sandwell continues to operate within this revised target (as a result of the warmer weather encountered over recent months), it is expected that this revised target will be under significant pressure over the winter. As such, work continues on the project that has been set up for the DTC improvement plan and broadly involves the delivery of a single social care and health hub pathway. The council in consultation with the Clinical Commissioning Group Partnership Board has prepared a draft business case for the health and social care hub and approval for the resources to proceed is currently being sought from the joint Health and Social Care Partnership Board, after which a paper will be taken to Cabinet in December 2018.</p>																																
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50 01/18	<p><b>Commonwealth Games Aquatic Centre</b></p> <p>If the council fails to deliver this project to scope, timescales and cost, then this will result in significant reputational damage to the council.</p> <p>Risk owner – Alison Knight Cabinet member – Councillor Gavan</p> <p><b>Ambitions impacted: 2, 6, 8, 9, 10</b></p>	12 (red)		12 (red)	4 (green)  April 2021	<p>This risk continues to be managed through the project management arrangements which have been put in place. Since the last update to the Committee the following key actions have been taken</p> <ul style="list-style-type: none"> <li>All positions within the project team have been filled and are scheduled to be in post by the end of 2018.</li> <li>Further consultation is underway with residents who are local to Londonderry Playing Fields, the proposed site. The response to date has been very positive.</li> <li>The council is working closely with all major stakeholders to agree on the design solution for the new aquatics centre with a decision to be made soon.</li> <li>The project is on target to be delivered in time for the Commonwealth Games 2022.</li> </ul> <p>Given the reputational importance of the project and the multi-faceted nature of the stakeholders involved, at this time it is prudent for the project risk to remain assessed as red.</p>																										
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51 03/18	<p><b>Peer Review Recommendations</b></p> <p>If the council does not accept, put arrangements in place and implement the recommendations made in the LGA Corporate Peer Review on a timely basis then this will not support the council's continuous improvement and have a significant negative reputational impact.</p> <p>Risk owner – Jan Britton Cabinet member – Councillor Eling</p> <p><b>Ambitions impacted: All Ambitions 1-10</b></p>	8 (amber)		8 (amber)	6 (green)  November 2018	<p>The LGA Corporate Peer Challenge process involves a lighter touch follow up visit to take place within two years to demonstrate progress made. The council has been proactive and has signed up for a further visit to conduct the follow up review in early 2019. As such, a report was presented to the Executive Management Team in October and is being considered by a Cabinet and Scrutiny workshop in November, setting out the progress made on each of the recommendations made. In summary, the report shows that the council is on track to mitigate the risk to the target score with good progress made on most of the recommendations. Whilst some of the recommendations will take at least 12 months to fully deliver, the target risk score and date reflects the progress in putting in place the necessary arrangements.</p>																										
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<b>52 05/18</b>	<p><b>Better Care Fund (BCF) and Public Health Grant</b></p> <p>If the government fails to confirm or extend grant funding for the Better Care Fund and for Public Health, then the council will be unable to discharge its key statutory functions in this respect.</p> <p>Risk owner – David Stevens Cabinet member – Councillor Shackleton</p> <p><b>Ambitions impacted: 2, 5, 10</b></p>	12 (red)		12 (red)	8 (amber)  When funding sources and levels confirmed	<p>This risk is a subset of risk 27 and is relevant to all councils across the country and identifies the key issues of social care and public health services 'falling over' if there is a lack of clarity over how public health services will be funded and the levels of funding available, as well as the future of the BCF programme.</p> <p>The currently ringfenced public health grant (which for Sandwell in 2018/19 is approx. £24.7 million) is confirmed until March 2019. However, thereafter the government's intention is to fund public health from business rates retention and for this not to be ring fenced. As such this will be dependent upon the council's ability to generate business rate income through economic growth and with a confirmed equalisation process will result in uncertainties around the levels of public health funding and therefore extend health inequalities that currently exist within the borough.</p> <p>In terms of the improved BCF, this too is confirmed until March 2019.</p>																														
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\* These are risks which are likely to remain amber over the medium term due to the longer term nature of these risks and the continued uncertainties. As such these risks do not have target dates.