

Improvement Plan Risk Register

July 2022



1. Best start in life for children and young people



2. People live well and age well



3. Strong resilient communities



4. Quality homes in thriving neighbourhoods



5. A strong and inclusive economy



6. A connected and accessible Sandwell

Risk Ref	Risk Title and Description	Current risk score (July 2022)	Target risk score	Progress to Date (incl. current risk mitigating controls and further actions to be taken to manage risk)	Key Sources of Assurance
IP1	<p>Improvement Plan objectives and member / officer engagement in those objectives</p> <p>If programme objectives are not clearly defined to ensure they are within scope, deliverable, understood and agreed then the programme will proceed with no clear direction and may become unmanageable and/or scope creep may take place.</p>	6 (Green)	3 (Green)	<p>Current and Ongoing Controls</p> <ul style="list-style-type: none"> Engagement as part of the development of the Improvement Plan - sharing themes and workstreams with staff and members Communications Plan implemented for governance review, CPC and Statutory Notice Communications Approach set out in Draft Improvement Plan Objectives for each Theme within the Improvement Plan identified Set of key messages for stakeholders in place and issued to all Directors Council approval of Improvement Plan All Member briefing held (incl. newly elected Members) <p>Further Actions</p> <ul style="list-style-type: none"> Communications Plan delivered Staff and member engagement through Organisational Culture change programme 	<p>Across all risks, sources of assurance are:</p> <ul style="list-style-type: none"> Leadership Team Improvement Review Meetings Cabinet Audit and Risk Assurance Committee Scrutiny Commissioners PMF indicators External Assurance – Grant Thornton, CIPFA, LGA Peer Challenge
IP2	<p>Programme management arrangements</p> <p>If appropriate programme management arrangements are not put in place then there is a risk that:</p>	8 (Amber)	4 (green)	<p>Current and Ongoing Controls</p> <ul style="list-style-type: none"> Improvement Plan approved by Council 07/06/22 PMO support being provided by existing experienced resources within Service Improvement 	As above

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	<ul style="list-style-type: none"> The project will not be delivered to scope The required improvements will not be made within the necessary timescales The government may lose confidence in the council's ability to improve and intervention may be extended The borough's residents may lose confidence in the council ability to deliver effective services Inefficient use of limited resources Continued reputational damage 			<ul style="list-style-type: none"> Processes around progress monitoring and change control established for Governance Improvement Plan Risk register in place and will be reported to Leadership Team monthly and Cabinet quarterly Establishment of PMO Site Approach and processes for change control and issues in place <p>Further Actions</p> <ul style="list-style-type: none"> Terms of Reference for internal Improvement Plan Review Meeting updated to reflect government intervention, single Improvement Plan and assurance framework Establishment of dedicated Programme Management Office Exception reporting format to be confirmed via highlight report standard template 	
IP3	<p>Allocation of sufficient resources to project management and project delivery/ maintaining Business as Usual while delivering the Improvement plan</p> <p>If sufficient resources (capacity and capability) and where necessary additional resources are not allocated to the</p>	8 (Amber)	4 (green)	<p>Current and Ongoing Controls</p> <ul style="list-style-type: none"> PMO support being provided by existing experienced resources within Service Improvement Resource gaps / pressures associated with actions within the Improvement Plan have been identified Council on 07/06/22 approved Use of Improvement & Capacity Reserve and 	As above

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	management and delivery of the improvement plan then this may result in officer fatigue, loss of motivation and the programme will fail to deliver all of its objectives.			<p>2021/22 underspend allocated to Improvement Plan actions</p> <ul style="list-style-type: none"> Resource issues and risks associated with the Improvement Plan to reviewed monthly by Leadership Team and Register maintained <p>Further Actions</p> <ul style="list-style-type: none"> Establishment of dedicated Programme Management Office Recruitment to posts following allocation of funding 	
IP4	<p>Project and risk governance assurance arrangements</p> <p>If a robust assurance framework is not put in place to in respect of project assurance, including detailing roles and responsibilities of various stakeholders (eg Cabinet, Scrutiny, ARAC, partners, IB, etc) then the council may be unable to effectively monitor and evidence the improvement required.</p>	6 Green	3 (green)	<p>Current and Ongoing Controls</p> <ul style="list-style-type: none"> Terms of Reference for Improvement Plan Review Meeting in place Governance approach included within Council report 07/06/22 Risk identification has taken place Agreement for Grant Thornton, LGA and CIPFA to review progress regularly Improvement Plan Risk Register in place GT visit September, LGA October Roles of Cabinet, Scrutiny and Audit agreed with Chairs <p>Further Actions</p> <ul style="list-style-type: none"> Update Terms of Reference for internal Improvement Plan Review Meeting following agreement of Cabinet/Scrutiny/Audit arrangements Reports to Cabinet, Scrutiny and Audit 	As above

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				<ul style="list-style-type: none"> Review update visit by Grant Thornton arranged for Autumn 2022 	
IP5	<p>Communication Strategy</p> <p>If a robust communications strategy is not put in place detailing how, when and what information is shared with the various internal and external stakeholders, then not everyone will be aware of their respective roles and responsibilities for delivering the improvement plan and effective service delivery. In addition, the DLUHC may lose confidence in the council's ability to improve resulting in extended/ additional intervention.</p>	8 (Amber)	4 (green)	<p>Current and Ongoing Controls</p> <ul style="list-style-type: none"> Communications Approach set out in Improvement Plan approved by Council 07/06/22 Key messages document for stakeholders in place <p>Further Actions</p> <ul style="list-style-type: none"> Communications plan prepared including specific activities e.g. Live event, Improvement Plan briefings Communication with stakeholders to share details of Improvement Plan 	As above
IP6	<p>Investment and Financial Resources</p> <p>If sufficient/ additional financial resources are not made available, and the IP is expected to be delivered from</p>	12 (Red)	8 (Amber)	<p>Current and Ongoing Controls</p> <ul style="list-style-type: none"> Resource gaps / pressures associated with actions within the Improvement Plan identified Council on 07/06/22 approved use of Improvement & Capacity Reserve and 	As above

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	existing budgets then the IP may not be delivered within the necessary timescales or to scope.			<p>2021/22 underspend allocated to Improvement Plan actions</p> <ul style="list-style-type: none"> Resource issues and risks associated with the Improvement Plan to be reviewed regularly by Leadership Team and register maintained <p>Further Actions</p> <ul style="list-style-type: none"> Recruitment to posts following allocation of funding 	
IP7	<p>Organisational Culture</p> <p>If the organisational culture does not change including improvement of member and officer relationships and political relationships, then this will impact the delivery of the IP objectives and the timescales within which delivery is achieved and may result in extended government intervention.</p>	8 (Amber)	4 (green)	<p>Current and Ongoing Controls</p> <ul style="list-style-type: none"> Specific theme in place within Improvement Plan Corporate Governance Theme timescales revised to allow for additional engagement activity around Corporate Governance changes <p>Further Actions</p> <ul style="list-style-type: none"> Actions agreed for organisational culture theme 	As above plus Employee Engagement Survey
IP8	<p>Impact of Covid 19 on the Project Resources</p> <p>If there is a continued impact of Covid 19 on resource availability, then this will impact the programme delivery plan.</p>	6 (Green)	3 (green)	<p>Current and Ongoing Controls</p> <ul style="list-style-type: none"> PMO resourcing in place from within Service Improvement Resource gaps / pressures associated with actions within the Improvement Plan are being identified <p>Further Actions</p> <ul style="list-style-type: none"> Single dependencies to be identified within resourcing plan 	As above

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IP9	<p>Constitutional Changes</p> <p>If key governance documents and procedures (such as the Financial Regulations, Land and Asset Disposal Policy, Procurement and Contract Procedure Rules, Scheme of Delegation, Code of Corporate Governance, etc) are not reviewed and updated to reflect the changes required then foundations for change will not be in place and progress will be limited.</p>	9 (Amber)	3 (green)	<p>Current and Ongoing Controls</p> <ul style="list-style-type: none"> • Key corporate Governance Documents are being reviewed and are scheduled for approval in July 2022 and Autumn 2022 • Engagement with Constitutional Working Group established as part of changes to governance arrangements • Alignment of workstream with organisational culture theme through Officer participation <p>Further Actions</p> <ul style="list-style-type: none"> • Engagement with Members around proposed changes 	As above
IP10	<p>Performance Management Framework (PMF) and Data Quality</p> <p>If a robust PMF is not put in place and appropriate quality data captured then the council will be unable to effectively monitor and evidence improvement, delivery of the Improvement Plan and delivery of the Corporate Plan resulting</p>	12 (Red)	8 (amber)	<p>Current and Ongoing Controls</p> <ul style="list-style-type: none"> • Performance Management Framework approved in April 2022 • Evidence of success outlined within each of the Improvement Plan themes focusing on outcomes for each theme • Improvement Plan Monitoring approach approved by Council • Resources approved by Council to address staffing resources required to sustain PMF 	As above

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	in a failure to achieve the Council's objectives.			<p>Further Actions</p> <ul style="list-style-type: none"> Evidence framework to be produced to support IP Q1 Performance Report made to start to consolidate and embed PMF Performance Management System options appraisal and procurement to provide capability for performance management Recruitment to posts 	
IP11	<p>Continued focus and resources allocated to historic issues</p> <p>If the council does not focus on the Improvement plan and corporate plan priorities and continues to focus and allocate resources on historic issues, then this will impact the timely delivery of both the Improvement Plan and Corporate Plan.</p>	8 (Amber)	4 (green)	<p>Current and Ongoing Controls</p> <ul style="list-style-type: none"> Improvement Plan contains activity to be concluded, and lessons learnt embedding from historic issues Cabinet and Leadership Team approach to historic issues Regular monitoring of improvement plan is in place <p>Further Actions</p> <ul style="list-style-type: none"> Lessons learnt framework to be introduced. Lessons learnt to be collated relating to historic issues and shared across organisation Grant Thornton review of progress against historical issues 	As above

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IP12	<p>Risk approach and progress monitoring (optimism bias):</p> <p>If the approach taken to risk scoring and/or progress monitoring against the delivery plans is unrealistic (e.g. being overly optimistic around progress and timescales or likelihood and severity of a risk) then there will be a failure to appropriately manage the programme and a loss of confidence in its delivery.</p>	9 (Amber)	6 (Green)	<p>Current and Ongoing Controls</p> <ul style="list-style-type: none"> • Corporate risk scoring definitions applied • Definition in place for progress monitoring Red/Amber/Green progress monitoring for Improvement Plan • Roles of Scrutiny and Audit confirmed <p>Further Actions</p> <ul style="list-style-type: none"> • Assurance to be provided through monitoring approach (including consistent use of RAG rating) to ensure that progress monitoring is presenting a realistic view and reflecting risk associated with actions as well as progress against plans • External Reviews to provide assurance 	As above