



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	Previous score (June 2022)	Movement in risk score	Current risk score (Aug 2022)	Target risk score and date	Progress to Date (incl. current risk mitigating controls and further actions to be taken to manage risk and action date)	Key Sources of Assurance
4 07/12	<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 (SCT) addresses the areas of poor or inconsistent performance, as outlined by Ofsted (and as required by the Statutory Direction served on the Council on 6 October 2016), 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 Area – Children's Services Risk Owners – Director of Children and Education</p> <p><b>Objectives impacted: 1 and 3</b></p>	12 (red)		8 (amber)  Requires Improvement	4 (green)  Good Outcome of ILACS inspection by 2025	<p><b>Current and Ongoing Controls</b></p> <ul style="list-style-type: none"> <li>• Performance and contract management against KPIs and the improvement plan. The KPIs are being reviewed (to take effect from 1 April 2023) as part of the contract review process and will take into account the Ofsted findings, as well as any findings from the recent national review by Josh McAllister around early help, children's social care and partner collaboration.</li> <li>• The most recent Ofsted inspection of the Fostering service, rated all areas as 'Good', demonstrating a positive direction of travel.</li> <li>• Completion of case file audits and learning from the audit and the resultant activity is used to ensure practice improvement.</li> <li>• Ongoing measures to improve staffing levels and recruitment.</li> <li>• The Inspection of Local Authority Children's Services (ILACS) took place in May 2022 and reported a judgement of 'Requires Improvement to be Good' and has informed the risk score.</li> <li>• Contract review commenced in April 2022 resulting in a recommendation being made to the Secretary of State not to invoke the break clause within the Service Delivery Contract.</li> </ul> <p><b>Further actions</b></p> <ul style="list-style-type: none"> <li>• Implementation of actions in respect of SCT, arising from the recent Grant Thornton- Value for Money Governance Review 2021, including joint working on areas such as Early Help and Corporate Parenting (ongoing).</li> <li>• Consideration of the impact of the government's full response to the Josh McAllister Care Review once published which government stated would be later this year.</li> </ul>	Operational Partnership and Strategic Partnership Boards Key Performance Indicators Ofsted monitoring visits Improvement Board Sandwell Local Safeguarding Children's Board Annual Report Grant Thornton – Value for Money Governance Review 2021 Reports to Scrutiny ILACS Ofsted inspection July 2022

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6a 10/07	<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 Area – Neighbourhoods and Communities Risk owner – Director of Borough Economy <b>Objectives impacted: All</b></p>	8 (amber)		4 (green)	4 (green)  Achieved	<p><b>Current and Ongoing Controls</b></p> <ul style="list-style-type: none"> <li>Participation in the West Midlands Local Resilience Forum (LRF).</li> <li>Contribution to the Community Risk Register (CRR) via the Risk Assessment Working Group. The CCR which is approved by the LRF, informs the capabilities and plans required of partners.</li> <li>The Council has plans in place for identified risks. These include the Sandwell Emergency Plan; Rest Centre Plan; Humanitarian Assistance Centre Plan; Sandwell Flood Plan; Reservoir Plan; Extreme Weather Plan; Black Country Excess Deaths Plan; h Evacuation Plan; media crisis plan; emergency mortuary Plan and the Emergency Transport Plan.</li> <li>These plans are continually reviewed and a training, testing and exercise programme approved by the Leadership Team informs the current risk score.</li> <li>The extreme weather plan was activated and no issues with the arrangements in place were identified.</li> <li>Exercise Shelby took place to validate elements of the Solvay Solutions emergency plan, including testing of the new incident room activation and functionality.</li> </ul> <p><b>Further actions</b></p> <ul style="list-style-type: none"> <li>An update of the civil contingencies legislation is due to be put forward in the current parliament. Once the legislation is published an update on the changes and what it means to the Council will be undertaken.</li> <li>Ongoing review, testing and exercise.</li> <li>Our Guidance for Elected Members will be reviewed with an aim to conduct a Cabinet Workshop by March 2023.</li> </ul>	Community Risk Register Risk assessments Emergency Committee Post incident reports Test exercises

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6b 04/18	<p><b>Business Continuity Management (BCM)</b></p> <p>If the Council does not develop, review, monitor and test plans and capabilities 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 Area – All Council services Risk owner – Director of Borough Economy</p> <p><b>Objectives impacted: All</b></p>	12 (red)		12 (red)	6 (green)  Dependent upon the actions required following the lessons learned report	<p><b>Current and Ongoing Controls</b></p> <ul style="list-style-type: none"> <li>Business continuity plans are in place to mitigate the denial of; staff (e.g. illness, industrial action), ICT (e.g. software failure, cyber attack), facilities (e.g. building closure), stakeholders (e.g. suppliers, partners). These plans identify the criticality of each council service and the arrangements in place to restore services in the event of an unplanned incident.</li> <li>The pandemic has continued to provide some assurances around the robustness and effectiveness of the continuity of key functions over the last two years, through a shift to working remotely.</li> <li>Following an incident in the ICT suite in May 2022 the council is revisiting its resilience arrangements- in particular in relation to its Oracle business system, to ensure robust measures are in place to reduce both the likelihood and impact of a similar risk materialising in the future. This also includes a review of the arrangements in place in respect of the management and supervision of the council's contractors. Further details in respect of the actions taken are being presented to the Committee as a separate agenda item.</li> </ul> <p><b>Further actions</b></p> <ul style="list-style-type: none"> <li>As noted in the separate briefing paper.</li> <li>All directorate business plans have been requested to review their Plans and incorporate any learning from the ICT incident noted above. Once completed and assurance has been sought, this will enable the risk assessment to be reduced.</li> <li>Support from the cyber team to work with the resilience team to further improve all service area business continuity plans (ongoing).</li> </ul>	Emergency Committee Resilience team reports to Leadership Team Post incident reports Test exercises including cyber exercise

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21a 06/15	<p><b>Compliance with the Data Protection Act 2018 (DPA 2018), the General Data Protection Regulations (GDPR) and Freedom of Information Act 2000 (FOIA)</b></p> <p>If the Council does not ensure it has a robust framework in place to comply with the DPA 2018 (which includes GDPR) or FOIA 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 legal action.</p> <p>Risk Area – Legal &amp; Governance Risk Owner- Director of Law and Governance <b>Objectives impacted: 3</b></p>	12 (red)		12 (red)	8 (amber)  March 2023 (officers)  June 2023 (members)	<p><b>Current and Ongoing Controls</b></p> <ul style="list-style-type: none"> <li>The Information Governance Board which is chaired by the Senior Information Risk Owner (SIRO) meets monthly to monitor progress of the information governance (IG) workplan.</li> <li>IG framework sets out the Council's policies, requirements, standards and best practice that apply to the handling of information.</li> <li>Information Asset Registers capture the information held by the Council service areas.</li> <li>Information champions disseminate, feedback, facilitate and co-ordinate IG activity.</li> <li>Annual completion of and compliance with the NHS self- assessment toolkit -NHS Digital which demonstrates the Council processes in place to meet the requirements of the NHS's data protection standards and sharing arrangements.</li> <li>Annual data protection and cyber security training for all staff which has been completed by over 90% of staff to date.</li> <li>Compliance with the Council's data retention policy which was approved by Cabinet on 23 February 2022 is being implemented across all directorates and should be completed by March 2023.</li> </ul> <p><b>Further actions</b></p> <ul style="list-style-type: none"> <li>A further programme of work to ensure compliance by elected members will also commence in January, which will be completed by June 2023.</li> <li>Ensure continued improvement in response times of FOI requests, with a target of 95% compliance by March 2023 for the Council.</li> </ul>	<p>Information Governance Board Information asset registers Information Commissioner's Office Internal Audit review 2019/20 Information incident log Cabinet Report and Resolutions</p>

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27 06/09	<p><b>Medium Term Financial Plan (MTFP) 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, Covid-19 and more recently the impact of the high levels of inflation being reported. If the Council is unable to identify sufficient savings and put in place the necessary policies, processes and actions to manage pressures, inflation and manage its plans, then this will impact on the Council's financial resilience and its ability to effectively discharge its statutory responsibilities including the setting of a balanced budget for future years.</p> <p>Risk Area – Finance &amp; Resources Risk owner- Director of Finance</p> <p><b>Objectives impacted: All</b></p>	12 (red)		16 (red)	8 (amber)  Dependent upon announcements of Comprehensive Spending Review	<p><b>Current and Ongoing Controls</b></p> <ul style="list-style-type: none"> <li>Local government settlement announced for one year only.</li> <li>A balanced budget for 2022/23 was approved by Council on 1 March 2022 and includes savings totalling £14.6m for implementation in 2022/23.</li> <li>Directorate and service business plans in place.</li> <li>The recent review by CIPFA on the Council's financial management and governance arrangements, noted that the Council is a progressive two-star (out of five) authority. The review also looked at financial resilience and concluded that the Council is financially stable and in recent years has been able to contribute towards reserves through achieving a balanced budget or an underspend.</li> <li>A fundamental review of the MTFP (in line with the CIPFA recommendations), is being undertaken and will be completed in September, to ensure the council understands the challenges ahead and to ensure that the MTFP matches the ambitions of the corporate plan and regeneration plans for Sandwell. A further review will then be undertaken once the local government settlement is announced.</li> <li>The review will also include an assessment of the impact the high levels of inflation currently being experienced and are forecast, are having on the MTFP and the mitigating measures that need to be considered to manage this pressure.</li> <li>The MTFP will be presented for approval by Cabinet in October. This will also form the basis for the 2023/24 budget and the transformation work required for the council's improvement journey.</li> </ul> <p><b>Further actions</b></p> <ul style="list-style-type: none"> <li>Further details on central government's proposed funding reform and consultations are awaited and this,</li> </ul>	Budget and Corporate Scrutiny Board External Audit CIPFA financial management review

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						<p>alongside the impact of inflation will be considered in 2022/23 to assess the impact on the MTFP.</p> <ul style="list-style-type: none"> <li>Finalisation and implementation of the action plan developed following the CIPFA review (as per the improvement plan timetable).</li> </ul>	
27a 06/21	<p><b>Future Government Policies and Funding Sources</b></p> <p>If the government does not provide local authorities clarity over the future plans for health and social care reforms, the public health grant, Better Care Fund, future years funding and continuing, with one year funding settlements then this inhibits local authorities to effectively manage medium term/ three year plans and put in place the necessary processes and actions to manage future pressures. This will impact on the Council's ability to deliver sustainable services to the people of Sandwell and effectively discharge its statutory responsibility to set a balanced budget for future years</p> <p>Risk Area – Finance Risk owner- Interim Chief Executive</p> <p><b>Objectives impacted: All</b></p>	16 (red)		16 (red)	8 (amber)  Dependent upon future government announcements	<p><b>Current and Ongoing Controls</b></p> <p>This risk was identified as a consolidation of previous risks within the strategic risk register and the Covid-19 risk register in respect of a national funding solution for children's social care; risks around the government providing local authorities with one year settlements, the health and social care reforms; government funding for school place planning and future funding plans for public health and the Better Care Fund.</p> <p>Due to the uncertainties that are currently prevalent around all of these funding sources, in addition to the national political uncertainties around central government leadership, policies and priorities as well as the issue of the high level of inflation, and whether this will be reflected in future funding policies, the risk continues to be assessed as very high.</p> <p><b>Further actions</b></p> <p>The Council continues to horizon scan and consider the impacts of potential government initiatives and policies on future funding sources and demand for council services. (Ongoing)</p> <p>The Department of Levelling Up, Housing and Communities (DLUHC) is expected to consult on reforms to Local Government in Spring/ Summer 2022 and this will inform the review of the MTFP and budget setting process for 2022/23. However, no consultation has been released and there is no update from DLUHC on plans for funding reform or the Local Government Finance Settlement for 2023/24.</p>	

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27b 10/21	<p><b>Budget Monitoring and Management 2022/23</b></p> <p>If the Council does not put in place effective arrangements to monitor and manage the current year's budget to ensure that planned savings are achieved and efficiencies realised, then it will result in overspends and the resilience of the Council's finances.</p> <p>Risk Area – Finance &amp; Resources</p> <p>Risk owner- Director of Finance</p> <p><b>Objectives impacted: All</b></p>	9 (amber)		12 (red)	6 (green)  March 2023	<p><b>Current and Ongoing Controls</b></p> <ul style="list-style-type: none"> <li>The financial management and monthly budgetary control processes in place</li> <li>Regular reporting of financial performance to Budget Board, Scrutiny and Cabinet.</li> <li>The year end 2021/22 position was expected to report an underspend after adjusting for reserves, corporate resources and the application of the centrally held Covid -19 grant. Whilst this would have informed a reduction in the current assessment to green, the underspend was higher than expected and as such, further work needs to be carried out to understand the reason for this and to consider any improvements that maybe required to the monthly budget monitoring process.</li> <li>As noted above, a review by CIPFA on the Council's financial management and governance arrangements was recently completed and an action plan is being developed to address the recommendations made. This is being monitored by the Corporate Improvement Board.</li> </ul> <p><b>Further actions</b></p> <ul style="list-style-type: none"> <li>The budgetary position for 2022/23 is now the focus for budget management and informs the risk assessment going forward. The current assessment reflects the impact of inflation.</li> <li>The council is currently forecasting an overspend as at Quarter 1, driven predominantly by high inflation. Leadership Team is working to identify corrective action to bring the budget back to a balanced position.</li> <li>Implementation of the action plan developed following the CIPFA review. This will include a review of budget monitoring processes and reporting and is being supported by an Interim Finance Improvement Manager to provide additional capacity to progress the action plan.</li> </ul>	<p>Budget and Corporate Scrutiny Board</p> <p>CIPFA financial management review</p> <p>External Audit</p> <p>Annual Internal Audit review- budgetary control</p>

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42a 02/17	<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 damage</li> </ul> <p>Risk Area – Information Governance and ICT</p> <p>Risk Owner – Director of Business Strategy and Change</p> <p><b>Objectives impacted: All</b></p>	12 (red)		12 (red)	8 (amber)  Mar 2023	<p><b>Current and Ongoing Controls</b></p> <ul style="list-style-type: none"> <li>Cyber Board in place which monitors progress against the cyber improvement plan.</li> <li>Quarterly updates on all work undertaken to the Leadership Team and Corporate Scrutiny Board.</li> <li>Training for all staff through the implementation of the meta-compliance annual training</li> <li>Regular communications continue to be sent to employees around the risks of remote working, password security, etc.</li> <li>Attendance at national C-TAG forum, DLUHC cyber clinics and West Midlands Warning, Advice and Reporting Point (WARP) where members can receive and share up-to-date advice on information security threats, incidents and solutions.</li> <li>Adoption of the Active Cyber Defence tools provided by the National Cyber Security Centre</li> <li>Modern technology is in place to assist in the mitigation of this risk</li> </ul> <p><b>Further actions</b></p> <p>Additional measures to manage the risk (some of which will be dependent upon securing additional budget allocation and/ or implementation partner timelines) include</p> <ul style="list-style-type: none"> <li>Refreshing and replacing technology as it reaches end of vendor support (ongoing)</li> <li>Development of a second data centre to enhance business resilience (Mar 23).</li> <li>Procurement of new contact centre telephony to replace unsupported hardware and software (Jan 23)</li> <li>Certification of the Public Services Network which remains in deferred status at present (Mar 23).</li> <li>Working with Leadership Team to develop business cases to enable risk based decisions to be made in respect of the purchase and implementation of further protective technologies (Oct 22).</li> </ul>	Cyber Board LGA Cyber Assessment NHS Digital PSN certification

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						<ul style="list-style-type: none"> <li>Developing and signing off a council wide Cyber Security Improvement Programme to enhance all elements of cyber security – Identification, Protection, Detection, Response and Recover phases (Oct 22).</li> <li>Expanding the current cyber team in ICT to provide additional workforce capacity and skills to manage cyber security (Oct 22).</li> <li>Utilising our Local Digital Cyber Fund capital award to address high priority improvements across the ICT infrastructure (Mar 23)</li> </ul> <p>Submission of the financial business cases will enable these to be considered for building into the budget planning for 2023/24 and as such a target date of March 23 is appropriate.</p>	
50 01/18	<p><b>Sandwell 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 Area – Regeneration</p>	8 (amber)		8 (amber)	4 (green)  Summer 2023	<p><b>Current and Ongoing Controls</b></p> <ul style="list-style-type: none"> <li>Project governance and management arrangements in place</li> <li>Work on site continues to progress well with handover of the site to the Council from the main contractor Wates completed in April 2022.</li> <li>The Aquatics Facility to date is being delivered on time and on budget and successfully hosted the Commonwealth Games in August 2022. starts.</li> </ul>	Project Board

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	<p>Risk Owner – Director of Regeneration and Growth</p> <p><b>Objectives impacted: 2, 5 and 6</b></p>					<ul style="list-style-type: none"> <li>The project now has moved into the legacy phase which involves the work to provide local leisure facilities for Sandwell residents which is expected to be completed by summer 2023.</li> </ul> <p><b>Further actions</b></p> <ul style="list-style-type: none"> <li>Completion of legacy phase (summer 2023).</li> </ul> <p>The project continues to be assessed as amber due to the impact of risks identified elsewhere in this report including:</p> <p>(a) Volatility in construction supply chains – there continues to be the ongoing risk of shortages in certain materials and this can lead to delays in construction. There are no significant issues currently identified, but this position can change. The construction partner does plan ahead to secure the necessary materials.</p> <p>(b) Increasing costs of utilities -The pools need to be kept to a minimum temperature and will cost more than originally planned due to significant increases in utility costs. All steps are being taken to minimise consumption.</p> <p>(c) It is critical that the LA Trading Company for Leisure Services is in place and operational in order that the Aquatics Centre can be transferred for operational use. This is a risk to the overall project until this entity is established. The Project team are working closely with Leisure Services to mitigate this risk.</p>	
53 04/18	<p><b>Oracle e-Business Suite</b></p> <p>If the appropriate project governance arrangements are not put in place to ensure that the project is delivered to time, scope and budget, then this may result in:</p> <ul style="list-style-type: none"> <li>The Council's business system being unsupported</li> </ul>	12 (red)		12 (red)	8 (amber)  August 2023	<p><b>Current and Ongoing Controls</b></p> <ul style="list-style-type: none"> <li>The project has been temporarily paused to enable the council to take stock and have a clearer understanding of where the project is at and to enable it to have the appropriate focus and resource for it to be implemented successfully.</li> <li>Project management and governance arrangements continue to be in place including a Project Board, team and a project sponsor.</li> <li>The project has experienced significant delays as well as significant cost overruns and a number of issues</li> </ul>	Project Board Grant Thornton – Value for Money Governance Review 2021

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	<ul style="list-style-type: none"> <li>Inability to transform services that would enable processes to be more efficient</li> <li>Non compliance/ misalignment with other Council policies and projects such as Organisational development, the digital strategy, Work Place Vision and the IT transformation programme.</li> </ul> <p>Risk Area – Finance &amp; Resources</p> <p>Risk Owners – Director of Finance</p> <p><b>Objectives impacted: All</b></p>					<p>have been highlighted in the Grant Thornton governance review.</p> <ul style="list-style-type: none"> <li>At its meeting on 13 April 2022, Cabinet approved renewal of the existing contract for Oracle business suite software until 30 April 2023.</li> <li>Health Check of the status of the previous implementation has been undertaken and the recommendations are being implemented by the Programme Board.</li> <li>Revised governance model with additional roles.</li> <li>The Council is receiving a package of support from Socitm Advisory to ensure the governance and project plans meet best practice.</li> </ul> <p><b>Further actions</b></p> <ul style="list-style-type: none"> <li>Contact is now awarded to Support Implementation Partner with mobilisation underway in September.</li> <li>Finalise recruitment to new governance model (end of August).</li> <li>Change and Benefit Realisation Plan being prepared with support from SOCITM (September).</li> </ul>	
54 05/21	<p><b>Special Educational Needs and Disabilities (SEND) Transport</b></p> <p>If the Council is not able to appropriately support children with Special Educational Needs and Disabilities transport within the budget available, the impact on their life chances will be affected, the Council will likely be subject to increased Tribunals, and the Council's reputation will be adversely impacted.</p>	12 (red)		8 (amber)	4 (green)  When budget for SEND transport managed	<p><b>Current Controls</b></p> <ul style="list-style-type: none"> <li>Programme Board and project team established to deliver the new framework to ensure new SEND Transport contracts are in place for September 2022</li> <li>The new framework encompasses recommendations from Children's Services and Education Scrutiny Board review and Grant Thornton's, Value for Money Governance review ensuring the focus remains on quality of provision for children and their families but builds in financial and service resilience.</li> <li>An action plan is in place and is monitored to ensure it delivers on the outcomes required.</li> <li>The procurement tender exercise for a new contract(s) to commence in September 2022 has</li> </ul>	SEND Strategic and Operational Groups SEND Transport Working Group Scrutiny Board Audit and Risk Assurance Committee

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	<p>Risk Area – Children’s Services</p> <p>Risk Owners — Director of Children and Education</p> <p><b>Objectives impacted: 1 and 3</b></p>					<p>been completed. Contracts have been awarded to suppliers and will commence in September 2022.</p> <ul style="list-style-type: none"> <li>The Council’s Children’s Services and Education Scrutiny Board carried out a review into SEND transport which was considered by the Board. Recommendations were made to Cabinet and responses have been received covering the commissioning of SEND Transport for the end of the current extended contract period, matters relating to the longer-term delivery of SEND Transport and other, more general, recommendations on the topic.</li> <li>Additional reviews into the procurement process for SEND transport were also conducted by the Council’s Internal Audit service and by the Audit and Risk Assurance Committee. The Council’s external auditors Grant Thornton reported on this as part of their recent Value for Money Governance Review.</li> </ul> <p><b>Further actions</b></p> <p>In the summer 2023, the procurement cycle will commence again in order that the two year contract has time to run whilst providing sufficient time to re-set the procurement process at the end of this period.</p>	<p>Internal Audit Review</p> <p>Grant Thornton – Value for Money Governance Review 2021</p>
<p><b>56a</b> 06/22</p>	<p><b>Towns Fund Programme (Delivery)</b></p> <p>If the Council does not manage the programme to ensure that all projects are delivered to scope, time and budget ,then this could result in financial implications, the inability to regenerate our town centres, create sustainable economic growth and create long term economic prosperity, and also reputational harm to the Council.</p>	<p>n/a</p>	<p>n/a</p>	<p>6 (green)</p>	<p>4 (green)</p> <p>Programme completion of all projects and delivery of intended outcomes</p>	<p>This is a new risk setting out the next phase of the programme following the ministerial approvals received by the Council for all 16 business cases that were submitted.</p> <p><b>Current and Ongoing Controls</b></p> <ul style="list-style-type: none"> <li>Robust governance in place to oversee the programme throughout the delivery phase including three Town Deal Boards (one per Town Deal Area), that have inherited Superboard roles and responsibilities. Revised governance arrangements for Delivery Phase were reviewed and approved by Cabinet in May 2022.</li> <li>The Council is the Accountable Body for the Town Deal funding. The Director of Regeneration and Growth chairs a Towns Fund Programme Board</li> </ul>	<p>Town Deal Boards</p> <p>Department Of Levelling Up, Housing and Communities (DLUHC)</p> <p>Audit and Risk Assurance Committee Deep Dive Jan 2022</p>

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	<p>Risk area- Regeneration and Growth</p> <p>Risk owner – Director of Regeneration and Growth</p> <p><b>Objectives impacted – 2, 3, 4, 5 and 6</b></p>					<p>(which is also attended by the Director of Finance/ representative and officers from procurement and legal as well as all project leads) to review risks and provide a forum for resolution of issues, as well as seeking assurances on the management of risk.</p> <ul style="list-style-type: none"> <li>Fortnightly engagement with advisors from DLUHC</li> <li>Programme management arrangements in place including appointment of a permanent programme manager, programme support officer, dedicated monitoring officer resource, programme risk register and project risk registers for agreed business cases, which are updated quarterly.</li> </ul> <p><b>Further actions</b></p> <ul style="list-style-type: none"> <li>Implement delivery phase of projects and programme plan.</li> <li>Ongoing reviews of financial profiles to manage supply chain issues and implications of cost inflation.</li> </ul>	<p>Scrutiny Reviews</p> <p>Monitoring and reporting of outcome indicators, with processes in place to manage changes and risks during delivery stage.</p>
<p><b>57</b> 06/21</p>	<p><b>New Operating Model</b></p> <p>If the Council does not put in place effective arrangements to support new working styles for employees this could result in a detrimental impact on the health, well-being and motivation of employees as well as having a negative impact on the productivity and attendance of the workforce and effective delivery of key frontline services.</p> <p>Risk area- Transformation</p> <p>Risk owner – Director of Business Strategy and Change</p> <p><b>Objectives impacted - All</b></p>	<p>6 (green)</p>		<p>6 (green)</p>	<p>6 (green)</p> <p>Achieved</p>	<p><b>Current and Ongoing Controls</b></p> <ul style="list-style-type: none"> <li>Staff, Managers and Trade Unions actively engaged and contributing to the new operating model.</li> <li>Regular communication and engagement with all stakeholders is ongoing.</li> <li>Existing HR policies and procedures are in place that provide the safety net and guidance, and where appropriate, a review of corporate policies in relation to working from home with amendments made as appropriate to ensure the right support is available to employees in the new operating model, is also underway.</li> <li>Clear and managed health and safety policies and practices and risk assessments being in place.</li> <li>The employee engagement survey was circulated to all employees in February 2022. Analysis of the employee responses is currently underway.</li> </ul> <p><b>Further actions</b></p>	<p>Work Place Vision Board</p> <p>Employee Engagement Survey 2022</p>

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						<ul style="list-style-type: none"> <li>Once the analysis is completed, the results will be reported to Leadership Team, directors and service managers and action plans will be drafted to implement any areas for improvement.</li> <li>Consideration of a corporate solution and policies to support ongoing working from home.</li> </ul>	
58 06/21	<p><b>Equalities</b></p> <p>If the Council fails to meet its legal obligations in respect of the Equality Act 2010 and the Public Sector Equality Duty ensuring fairness is adhered to and is unable to demonstrate and evidence compliance with its obligations, then this will result in potential legal consequences for non compliance, reputational harm to the Council as well as potential impact on recruitment and retention.</p> <p>Risk area- Legal</p> <p>Risk owner – Director of Law and Governance</p> <p><b>Objectives impacted - 5</b></p>	9 (amber)		9 (amber)	6 (green)  March 2023	<p><b>Current, Ongoing Controls and Further actions</b></p> <ul style="list-style-type: none"> <li>An Equalities Commission has been set up with agreed Terms of Reference and Chair.</li> <li>The Commission will report to the Leader of the Council and the interim Chief Executive.</li> <li>Four Stakeholder Groups, also with Terms of Reference have been set up including an Ethnic group; LGBT+ group, a Disabilities stakeholder group and a Women's group.</li> <li>Funding has been secured and posts have been recruited to.</li> <li>A review of the Equality policy has been carried out and will be considered by Cabinet on 12 October.</li> <li>An action plan has been developed based on feedback provided by employees across the Council along with gaps identified in the workforce diversity data as well as best practice put forward by other public-sector organisations.</li> <li>A robust governance framework to help monitor and review the objectives and actions in the plan is also in place.</li> <li>An Equalities Calendar has been developed and implemented that details many EDI events to raise awareness of the agenda.</li> </ul>	Employee Engagement Survey 2022 Equalities Commission

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						<ul style="list-style-type: none"> <li>Various events such as Black History Month, LGBTQ+ History Month have been successfully delivered leading to improved awareness and understanding.</li> <li>The council is engaging with WMCA in relation to its Race Equalities taskforce.</li> </ul>	
59a 02/22	<p><b>Council's Improvement Plan</b></p> <p>If the Council does not put in place and successfully implement an improvement plan to address the concerns raised by the Secretary of State in respect of the Council's best value duty and the recommendations made by the recent external reviews carried out by the Council's external auditors, Grant Thornton, CIPFA and the LGA Peer Review then this may result in a loss of confidence in the Council's corporate governance arrangements, government intervention, future audits providing a qualified opinion, a lack of trust in the Council's ability to deliver its corporate priorities and reputational harm to the Council.</p> <p>Risk area- All services</p> <p>Risk owner – Managing Director</p> <p><b>Objectives impacted - All</b></p>	8 (amber)		8 (amber)	4 (green)	<p><b>Current Controls</b></p> <p>This risk reflects and consolidates the government intervention as well as the findings and recommendations arising from recent reviews including the Grant Thornton – Audit Findings Report 2019/20, Grant Thornton - Value for Money Governance Review 2021, CIPFA Financial Management review and the LGA Peer review.</p> <ul style="list-style-type: none"> <li>Two Commissioners have been appointed to oversee the improvement journey and to address the longstanding issues identified by the Grant Thornton review. The Commissioners will report directly to the Secretary of State on the improvement progress, with the first report to be submitted within three months.</li> <li>A new performance management framework was approved by the council in April 2022 to help monitor performance and track progress on the delivery of the strategic outcomes in the Corporate Plan.</li> <li>A high level improvement action plan has been approved by full council on 7 June 2022. Funding to implement the actions and deliver the improvement plan has been set aside.</li> </ul> <p>The above measures have resulted in the reduction of the assessment of this risk.</p> <p><b>Further actions</b></p> <ul style="list-style-type: none"> <li>A further detailed report on the progress against the improvement plan to be submitted to the Secretary of State by December 2022</li> </ul>	Grant Thornton-Audit Findings Report 2019/20 Grant Thornton – Value for Money Governance Review 2021 CIPFA Financial Management and Governance Review 2021 LGA Peer Review 2022 Audit and Risk Assurance Committee

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						<ul style="list-style-type: none"> <li>Ongoing implementation and monitoring of the progress made against the plans.</li> </ul>	
61 10/21	<p><b>Partner Organisations / Contractors Service Delivery</b></p> <p>The Council works closely with partners and contractors to provide services to its residents and businesses.</p> <p>In the event Partner organisations or contractors do not provide the required level of service to the public this may result in:</p> <ul style="list-style-type: none"> <li>Efficient / good value for money / high quality services not being delivered</li> <li>Enforcement action</li> <li>Significant financial loss and</li> <li>Reputational damage</li> </ul> <p>Risk Area – All Services</p> <p>Risk Owner – Interim Chief Executive and Leadership Team</p> <p><b>Objectives impacted: All</b></p>	12 (red)		12 (red)	8 (amber)  Sept 2022	<p><b>Current Controls</b></p> <ul style="list-style-type: none"> <li>Leadership Team is progressing a reporting structure for the Council's key contracts and partnership arrangements.</li> <li>All actions from the recommendations of the Economy, Skills, Transport and Environment Scrutiny Board review (in Feb 22) of the performance and management of the waste partnership contract with Serco are being implemented and progress updated quarterly. The first contract quarterly report was presented to Leadership Team in July 2022.</li> <li>An annual report from Serco is due to be reported to Cabinet in September 22.</li> <li>Arrangements for scrutiny consideration of the Council's key contracts is in progress.</li> <li>An annual review of the Serco key performance indicators has concluded that the indicators remain appropriate.</li> <li>In respect of SCT, as noted above (in risk 4), the KPIs were reviewed as part of the contract review process.</li> </ul> <p><b>Further Actions</b></p> <ul style="list-style-type: none"> <li>Identification of the Council's key partners and contracts through the Council's procurement system.</li> <li>Establishment of consistent contract management for both significant capital and service contracts.</li> <li>Review of the current arrangements in place for each key contractor to ensure they remain fit for purpose and that the partnership objectives are aligned to the refreshed corporate plan.</li> </ul>	Grant Thornton – Value for Money Governance Review 2021 CIPFA Financial Management and Governance Review 2021 LGA Peer Review 2022 Economy, Skills, Transport And Environment Scrutiny Board review of the performance and management of the waste partnership contract - 11 February 2022

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62 01/22	<p><b>Climate Change</b></p> <p>Failure to achieve the Council's commitments in relation to Climate Change, including the pledge to make Council activities (corporate buildings (excluding housing and commercial estate), fleet, schools and street lighting) net-zero carbon by 2030 may result in:</p> <ul style="list-style-type: none"> <li>reputational damage</li> <li>financial impact</li> <li>increased demand for Council resources (in the event of extreme weather) and</li> <li>a loss in public confidence.</li> </ul> <p>In addition, managing the effects of climate change will also have significant financial impact which the Council will need to address.</p> <p>Risk Area – All Services</p> <p>Risk Owner – Director of Regeneration and Growth</p> <p><b>Objectives impacted: All</b></p>	12 (red)		12 (red)	8 (amber)  2023/24	<p><b>Current Controls</b></p> <ul style="list-style-type: none"> <li>Climate Change strategy 2020- 2041 in place which sets out the 2030 target for the Council.</li> <li>Member steering group in place to oversee implementation of the climate change action plan.</li> <li>Climate change champions in place (officer level) and a Cabinet Member and member advisor champions in place.</li> <li>An action plan for implementing the strategy was approved by Cabinet on 23 March 2022.</li> <li>Establishment of programme governance arrangements, including the Cabinet approval to the appointment of cross party membership to the Climate Change Committee to monitor the implementation of the action plan, A Climate Change Programme Board (represented by service managers from across the Council) will lead on measures within the action plan.</li> </ul> <p><b>Further Actions</b></p> <ul style="list-style-type: none"> <li>Gap analysis to be conducted to assess the councils' ability to implement the action plan, followed by a report on available options which will be addressed in 2023/24.</li> <li>The delivery of the action plan is the key measure that determines the current risk assessment. The deliverability of the Plan is heavily dependent upon future government initiatives and the availability of financial resources which will be the key driver in achieving the Council's 2030 target.</li> </ul>	Climate Change Programme Board Member Steering Group Economy, Skills, Transport And Environment Scrutiny Board review – Climate Change Implementation- March 2021

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63a 07/22	<p><b>Establishment of a Local Authority Trading Company (LATC) for the Management of Nine of the Council's Leisure Centres</b></p> <p>If the Council does not manage the project to establish a LATC in a timely and effective manner, then there is a risk of:</p> <ul style="list-style-type: none"> <li>• value for money / high quality services not being delivered</li> <li>• Significant financial loss and</li> <li>• Reputational damage</li> </ul> <p>Risk Area – Leisure and Sport</p> <p>Risk Owner – Director of Borough Economy and Leadership Team</p> <p><b>Objectives impacted: All</b></p>	n/a	n/a	8 (amber)	4 (green)  May 2023	<p>In June 2022, Cabinet agreed to the establishment of a LATC to provide leisure services in Sandwell and operate nine of its leisure centres from May 2023, when the current contract with Sandwell Leisure Trust ends.</p> <p><b>Current Controls</b></p> <ul style="list-style-type: none"> <li>• Project arrangements are in place which include, project board, project team, project sponsor, project plan and a risk register.</li> <li>• Project plan implementation has been in process since July 2022.</li> <li>• The project team involves representation from across the council including, Leisure Services, Finance, Legal and HR.</li> <li>• Partnership working with SLT around communications and transition planning,</li> <li>• Retained consultant support around legal and leisure support.</li> <li>• A detailed and full transition plan is in place.</li> </ul> <p><b>Further Actions</b></p> <ul style="list-style-type: none"> <li>• Progress transition planning and communications with SLT (This is in progress with regular meetings with SLT based on data requirements and delivery of the communication plan- ongoing to May 23).</li> </ul>	Project Board

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064 08/22	<p><b>Workforce Recruitment and Retention</b></p> <p>The council is required to recruit and retain a skilled, qualified and experienced workforce in order to provide and deliver services to Sandwell residents. If the council is unable to recruit and retain its workforce and deliver its statutory obligations to meet the needs of the community this could result in loss of reputation, penalties, litigation and in some cases imprisonment.</p> <p>Risk area – All council services Risk owner – Director of Business Strategy and Change</p> <p><b>Objectives impacted: All</b></p>	n/a	n/a	9 (amber)	6 (green)  March 2023	<p>This risk concerns issues that are largely a reflection of the regional and national position also and not unique to the council.</p> <p><b>Current and ongoing controls:</b></p> <ul style="list-style-type: none"> <li>Recruitment and selection refresher training for hiring managers in order to share best practice in recruiting qualified and skilled employees.</li> <li>Pre-employment checks are carried out in line with requirements for the job role including any statutory requirements.</li> <li>Regular 121 meetings (supervision) and annual appraisal process is in place to ensure employees are engaged and can raise any concerns.</li> <li>Regular employment engagement (full) and pulse surveys are undertaken and plans are developed and implemented to address any areas requiring further action.</li> <li>Directorates to continue to undertake comprehensive workforce planning at least annually, as part of business planning processes, with a focus on creating and nurturing talent pipelines.</li> <li>Pay benchmarking to ensure the council is competitive relative to the relevant job market in sectors where there are specific and critical challenges to recruitment and retention.</li> <li>Future Talent Strategy to be developed as part of the Organisational Development strategy – to build on current Apprenticeships and Graduates strategy and incorporate succession planning and talent development framework for all employees.</li> <li>Renew participation in Job Fairs and regional job promotions to raise the council's profile as an employer of choice.</li> </ul>	<p>Employee Engagement Survey</p> <p>Pulse surveys</p> <p>HR related KPIs and data</p> <p>Appraisal process</p>
065 08/22	<p><b>Inflation</b></p> <p>Risk that the high levels of inflation are having on the cost of living for residents and their</p>	n/a	n/a	12 (red)	9 (amber)	<p><b>Current and ongoing controls</b></p> <ul style="list-style-type: none"> <li>The council continues to offer its residents and businesses essential support to the cost of living</li> </ul>	

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	<p>financial wellbeing and the impact of this on the demand for council services and resources.</p> <p>Risk area – All council services Risk owner – Interim Chief Executive</p> <p><b>Objectives impacted: All</b></p>				March 2023	<p>crisis, responding to emerging needs and issues to support financial wellbeing and resilience.</p> <ul style="list-style-type: none"> <li>Continued distribution of government support packages and initiatives.</li> <li>A Working Group is being established to identify what further support can be offered to residents and businesses.</li> </ul>	