



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 risk score (Feb 2022)	Movement in risk score	Current risk score (June 2022)	Target risk score and date	Progress to Date (incl. current risk mitigating controls and further actions to be taken to manage risk)	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 <b>Objectives impacted: 1 and 3</b></p>	12 (red)		12 (red)	8 (amber)  Requires Improvement Outcome of ILACS inspection July 2022	<p><b>Current and Ongoing Controls</b></p> <ul style="list-style-type: none"> <li>• Performance against KPIs and the improvement plan has been good with areas continuing to improve.</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 measured to improve staffing levels and recruitment.</li> <li>• Contract review commenced in April 2022.</li> <li>• The Inspection of Local Authority Children's Services (ILACS) took place in May 2022 and the findings will be reported in July 2022 which will inform future risk assessments.</li> </ul> <p><b>Further actions</b></p> <ul style="list-style-type: none"> <li>• Action continue to be taken to recruit and retain social workers to fill vacant positions.</li> <li>• Implementation of actions in respect of SCT, arising from the recent Grant Thornton- Value for Money Governance Review 2021, including continuation of robust governance arrangements and joint working on areas such as Early Help and Corporate Parenting.</li> <li>• Review of the KPIs with a view to updating them in line with recent Ofsted inspections, monitoring and focussed visits and areas of improvement identified through data analysis.</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)		8 (amber)	4 (green)  September 2022	<p><b>Current and Ongoing Controls</b></p> <ul style="list-style-type: none"> <li>Continued governance arrangements and regular communications in place to oversee and support the Council's response to managing transmission of Covid-19</li> <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>Emergency plans in place including the Sandwell Emergency Plan; Rest Centre Plan; Humanitarian Assistance Centre Plan; Sandwell Flood Plan; Reservoir Plan; Extreme Weather Plan; Black Country Excess Deaths Plan; Sandwell Borough Evacuation Plan; and the Emergency Transport Plan.</li> <li>Emergency plans under review including Media Crisis Plan; Recovery Management Plan and Local Emergency Mortuary arrangements.</li> <li>A training, testing and exercising programme has been approved by the Leadership Team and has been delivered to the Leadership team in recent weeks.</li> </ul> <p><b>Further actions</b></p> <ul style="list-style-type: none"> <li>An update on emergency preparedness will be offered to Scrutiny and Cabinet with a testing and exercise programme also being offered to the new Cabinet in 2022/23.</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>	9 (amber)		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 18-24 months, through a shift to working remotely.</li> <li>Following an incident in the ICT suite in May 2022 (as a result of which the risk assessment has increased to red), 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.</li> </ul> <p><b>Further actions</b></p> <ul style="list-style-type: none"> <li>A lessons learned report will be prepared following the May 2022 ICT incident and will be shared with Leadership Team. A set of actions including consideration of an offsite server) will be agreed to mitigate this risk further.</li> <li>All directorate business plans need to be reviewed and updated as appropriate to reflect any learning from the recent incident.</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.</li> <li>The Council's data retention policy has been reviewed and updated and was approved by Cabinet on 23 February 2022. A programme of work to ensure compliance with the approved policy and Information Governance Framework has commenced 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 due course which will be completed over the next 12 months.</li> <li>Ensure continued improvement in response times of FOI requests.</li> </ul>	<p>Information Governance Board</p> <p>Information asset registers</p> <p>Information Commissioner's Office</p> <p>Internal Audit review 2019/20</p> <p>Information incident log</p> <p>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 and Covid-19. If the Council is unable to identify sufficient savings and put in place the necessary policies, processes and actions to manage pressures and manage its plans, then this will impact on the Council's ability to effectively discharge its statutory responsibility to set 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)		12 (red)	8 (amber)	<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 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.</li> <li>The review will also include an assessment of the impact the high levels of inflation currently being experienced, are having on the MTFP.</li> <li>The MTFP will be presented for approval by Cabinet in early summer. 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, alongside the impact of</li> </ul>	Budget and Corporate Scrutiny Board External Audit CIPFA financial management review

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						<p>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.</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 only providing local authorities with one year settlements, the health and social care reforms; government funding for school place planning and future funding for public health and the Better Care Fund.</p> <p>Due to the uncertainties that are currently prevalent around all of these funding sources, the risk is regularly monitored and 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.</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.</p>	

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27b 10/21	<p><b>Budget Monitoring and Management 2021/22</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)		8 (amber)	6 (green)  September 2022	<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.</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 will inform the risk assessment going forward.</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>	Budget and Corporate Scrutiny Board CIPFA financial management review External Audit Annual Internal Audit review- budgetary control

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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)  July 2022	<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> <ul style="list-style-type: none"> <li>Refreshing and replacing technology as it reaches end of vendor support</li> <li>Development of a second data centre to enhance business resilience.</li> <li>Procurement of new contact centre telephony to replace unsupported hardware and software.</li> <li>Certification of the Public Services Network which remains in deferred status at present.</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</li> <li>Developing and signing off a council wide Cyber Security Improvement Programme to enhance all elements of cyber security – Identification,</li> </ul>	<p>Cyber Board</p> <p>LGA Cyber Assessment</p> <p>NHS Digital</p> <p>PSN certification</p>

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						Protection, Detection, Response and Recover phases <ul style="list-style-type: none"> <li>Expanding the current cyber team in ICT to provide additional workforce capacity and skills to manage cyber security</li> <li>Utilising our Local Digital Cyber Fund capital award to address high priority improvements across the ICT infrastructure</li> <li>Supporting Resilience Team to improve all service area business continuity plans</li> </ul> Submission of the financial business cases over the coming months will enable these to be built into the budget planning for 2023/24 and as such a target date of July 2022 is appropriate.	
50 01/18	<b>Sandwell Aquatic Centre</b> If the Council fails to deliver this project to scope, timescales and cost, then this will result in significant reputational damage to the Council.  Risk Area – Regeneration Risk Owner – Director of Regeneration and Growth	8 (amber)		8 (amber)	4 (green)  Summer 2023	<b>Current and Ongoing Controls</b> <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 has been delivered on time and on budget 100 days before the Commonwealth Games starts. Two successful test events have been conducted in the facility. The Council and its partners have received positive media coverage of this achievement.</li> </ul>	Project Board Commonwealth Games Organising Committee

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	<b>Objectives impacted: 2, 5 and 6</b>					<ul style="list-style-type: none"> <li>A Venue Use Agreement, which is the contract between the Council and the Organising Committee has also been finalised. This sets out the obligations of both parties on the use of the facility during the period of the agreement.</li> <li>A 'Prep the Pool' test event was held by Birmingham 2022 Commonwealth Games in May. The event tested some elements of the local area traffic and parking plan proposed for the Games.</li> </ul> <p><b>Further actions</b></p> <ul style="list-style-type: none"> <li>The Legacy Phase of construction which starts after the Commonwealth Games finish is to provide the local leisure facilities for Sandwell residents and will complete in Summer 2023. Given current market pressures in the construction industry the risk of this project remains Amber.</li> </ul>	
53 04/18	<p><b>Oracle e-Business Suite (previously Business Management System)</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> <li>Inability to transform services that would enable processes to be more efficient</li> </ul>	12 (red)		12 (red)	8 (amber)  April 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 have been highlighted in the Grant Thornton governance review.</li> <li>At its meeting on 13 April 2022, Cabinet approved renewal of the existing contract for</li> </ul>	Project Board Grant Thornton – Value for Money Governance Review 2021

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	<ul style="list-style-type: none"> <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>Oracle business suite software until 30 April 2023.</p> <p><b>Further actions</b></p> <ul style="list-style-type: none"> <li>Implementation of the actions agreed from the Value for Money Governance Review for this project.</li> <li>Completion of the project review prior to restarting in July 2022.</li> </ul>	
54 05/21	<p><b>Special Educational Needs and Disabilities (SEND)</b></p> <p>If the Council is not able to appropriately support children with Special Educational Needs and Disabilities 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> <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>	12 (red)		12 (red)	8 (amber)  September 2022	<p><b>Current and Ongoing 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 was launched in May 2022.</li> </ul>	<p>SEND Strategic and Operational Groups</p> <p>SEND Transport Working Group</p> <p>Scrutiny Board</p> <p>Audit and Risk Assurance Committee</p> <p>Internal Audit Review</p> <p>Grant Thornton – Value for Money Governance Review 2021</p>

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						<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>Reviews into the procurement process for SEND transport have also been conducted by the Council's Internal Audit service and also by the Council's, Audit and Risk Assurance Committee (ARAC). The Council's external auditors Grant Thornton also considered this as part of their recent Value for Money Governance Review.</li> </ul>	
56 04/21	<p><b>Towns Fund Programme</b></p> <p>If the Council fails to get submit timely business cases for the towns fund programme by identifying suitable projects, preparing robust full business cases then this will result in 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>Risk area- Regeneration and Growth</p> <p>Risk owner – Director of Regeneration and Growth</p>	8 (amber)		Green  Closed	n/a	<p><b>Current and Ongoing Controls</b></p> <ul style="list-style-type: none"> <li>Robust governance in place to oversee the programme including a Town Deal Board (superboard) and three Local Boards aligning to the town deal areas.</li> <li>The Council is the Accountable Body for the Town Deal funding. The Director of Regeneration and Growth chairs a Towns Fund Accountable Body Officers Group (which is also attended by the Director of Finance 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.</li> <li>Regular engagement with advisors from DLUHC</li> <li>Programme management arrangements in place including appointment of a permanent programme manager, programme risk register</li> </ul>	<p>Town Deal Board</p> <p>Department Of Levelling Up, Housing and Communities (DLUHC)</p> <p>Audit and Risk Assurance Committee</p> <p>Deep Dive Jan 2022</p> <p>Scrutiny Reviews</p> <p>Towns Fund Assurance Panel</p>

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	<b>Objectives impacted – 2, 3, 4, 5 and 6</b>					<p>and project risk registers for agreed business cases.</p> <ul style="list-style-type: none"> <li>Towns Fund Assurance Panel in place</li> <li>All 16 business cases were submitted by the due date of 24 March 2022 and an outcome on each case is now awaited.</li> </ul> <p><b>Further actions</b></p> <ul style="list-style-type: none"> <li>Following approval of the business cases, the programme will move into a new phase and a new programme risk (risk 56a) will be identified for the next phase of the programme.</li> </ul>	
57 06/21	<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>	6 (green)		6 (green)	6 (green)  Achieved	<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>	Work Place Vision Board Employee Engagement Survey 2022

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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>Three Stakeholder Groups, also with Terms of Reference have been set up including an Ethnic group; LGBT+ group and a Disabilities stakeholder group. A fourth group in respect of Women has also now been set up.</li> <li>Funding has been secured for six posts and the recruitment process is underway, with five posts recruited to already.</li> <li>A review of the Equality policy will be carried out and will include the development of an equality strategy.</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> </ul>	Employee Engagement Survey 2022 Equalities Commission

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						<ul style="list-style-type: none"> <li>A robust governance framework to help monitor and review the objectives and actions in the plan are 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> <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	<b>Council's Improvement Plan</b> 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.	12 (red)		8 (amber)	8 (amber)  June 2022  4 (green)  tbc once phase 2 of the improvement plan agreed	<b>Current Controls</b> 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. <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.</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

Risk Ref	Risk Title and Description	Previous risk score (Feb 2022)	Movement in risk score	Current risk score (June 2022)	Target risk score and date	Progress to Date (incl. current risk mitigating controls and further actions to be taken to manage risk)	Key Sources of Assurance
	Risk area- All services Risk owner – Managing Director <b>Objectives impacted - All</b>					Funding to implement the actions and deliver the improvement plan has been set aside. The above measures have resulted in the reduction of the assessment of this risk. <b>Further actions</b> <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.</li> <li>Implementation and monitoring of the progress made against the plans.</li> </ul>	
60 04/20	<b>Health and Safety</b> If the Council does not allocate resources and put effective arrangements in place to support, protect its residents and workforce and the people they come into contact with then there is a potential risk to health, wellbeing and life, resulting in negative reputational impact and also potential for future litigation claims against the Council. Risk Area – Human Resources Risk Owner – Director of Business Strategy and Change <b>Objectives impacted: All</b>	4 (green)		4 (green)	4 (green)  Achieved	<b>Current and Ongoing Controls</b> <ul style="list-style-type: none"> <li>Monitoring through staff surveys and manager briefings the levels of wellbeing in the workforce and the borough.</li> <li>A suite of preventative measures which include the wellbeing hub for employees with information and assistance on various matters including mindfulness, stress management, physical activities, etc.</li> <li>Support measures the Council has put in place to ensure that people are signposted to pathways to seek self help and therapy as required. This includes existing mental health strategies such as CAMHS, providing capacity and funding through grants to the voluntary community sector to ensure local provision is available for all.</li> <li>A corporate Health and Safety Management Board has been established to provide leadership team a clear oversight of organisational performance on Health and Safety and the actions being taken to promotion of health and safety in the workplace.</li> </ul>	Staff surveys Team briefs HR data Scrutiny Mental Health Services review

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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>• Arrangements for scrutiny consideration of the Council's key contracts is in progress.</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> <li>• Annual review and update of contract significant contract key performance indicators.</li> <li>• Implementation of the recommendations from the Economy, Skills, Transport And Environment Scrutiny Board review of the performance and management of the waste partnership contract - 11 February 2022, which were reported to Cabinet on 23 February 2022.</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</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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						initiatives and the availability of financial resources which will be the key driver in achieving the Council's 2030 target.	
63 02/22	<p><b>Interim and Future Management of Nine of the Council's Leisure Centres</b></p> <p>The Council works closely with its partner Sandwell Leisure Trust and has terminated its management agreement governing this delivery through a Cabinet report, and notice served on 18<sup>th</sup> February 2022. There is a risk of service loss during the transitional period while a new operational model is established, along with the risks below:</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>	12 (red)		4 (green)	4 (green)  Achieved and closed	<p><b>Current Controls</b></p> <ul style="list-style-type: none"> <li>• SLT has agreed to continue to deliver services during the termination period and as such the risk is now closed.</li> <li>• The Council is reporting the options for leisure management of this portfolio of 9 leisure centres. The progress of this work is contained within the Council's single improvement plan.</li> <li>• Partnership working with SLT around communications and transition planning have removed the need to consider step in arrangements and have resulted in the reduction of the risk assessment and closure of the risk.</li> <li>• A series of workshops for Cabinet have taken place to progress an options report with a view to Cabinet selecting the preferred option in June 2022.</li> <li>• Retained consultant support around legal and leisure support.</li> </ul> <p><b>Further Actions</b></p> <ul style="list-style-type: none"> <li>• Implement project plan of preferred option.</li> <li>• Progress transition planning and communications with SLT.</li> <li>• Prepare full transition plan with inclusion of all data requirements from SLT.</li> </ul>	Grant Thornton – Value for Money Governance Review 2021 CIPFA Financial Management and Governance Review 2021 LGA peer Review 2022