



Sandwell  
Metropolitan Borough Council

## Strategic Risk Register Summary @ September 2017



# Appendix A

## Profile of Current Strategic Risk Scores

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

### Summary Strategic Risk Register @ September 2017



Risk Ref	Risk Title and Description	Current score (September 2017)	Target score and date																																
<b>4</b> 07/2012	<p><b>Children's Social Care</b></p> <p>If the council does not continue to build on the progress it has made in the delivery of children's social care and to address the areas of poor or inconsistent performance, as outlined by Ofsted and the children's services commissioner, with rigour and pace, then the council will fail in its responsibilities to:</p> <ul style="list-style-type: none"> <li>Safeguard vulnerable children</li> <li>Promote and improve the outcomes of children in its care</li> <li>Manage any adverse financial consequences arising from the failure to create favourable outcomes for children within the resources available to it</li> <li>Improve the continued adverse affect on the council's reputation.</li> </ul> <p>Risk owner – Jim Leivers Cabinet Member – Councillor Hackett</p> <table border="1"> <tr> <td rowspan="5">Likelihood</td> <td>4</td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td>3</td> <td></td> <td></td> <td></td> <td>12</td> </tr> <tr> <td>2</td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td>1</td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td></td> <td>1</td> <td>2</td> <td>3</td> <td>4</td> </tr> <tr> <td colspan="6">Impact</td> </tr> </table>	Likelihood	4					3				12	2					1						1	2	3	4	Impact						12 (red)	8 (amber)  June 2018
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<b>4b</b> <b>10/16</b>	<p><b>Children's Trust</b></p> <p>If the council does not put appropriate and effective arrangements in place to set up the Children's Trust (to include agreement of the budget, staff and services to be transferred, accommodation, etc.) then it will delay the establishment and operations of the Trust in line with the Statutory Direction and impede the improvements required in the delivery of children's social care in Sandwell.</p> <p>Risk owner – Jan Britton/ Tara Malik Cabinet Member – Councillor Eling and Councillor Hackett</p> <table border="1"> <tr> <td rowspan="5">Likelihood</td> <td>4</td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td>3</td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td>2</td> <td></td> <td></td> <td></td> <td>8</td> </tr> <tr> <td>1</td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td></td> <td>1</td> <td>2</td> <td>3</td> <td>4</td> </tr> <tr> <td colspan="6">Impact</td> </tr> </table>	Likelihood	4					3					2				8	1						1	2	3	4	Impact						8 (amber)	4 (green)  by December 2017
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<p><b>6a</b> 10/2007</p>	<p><b>National, Regional and Local Emergency Preparedness</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 the vulnerable</li> <li>Failure to support the emergency services</li> <li>Failure to continue to perform critical business activities</li> <li>Loss of credibility and reputational damage to the council</li> <li>Failure to fulfil Civil Contingencies Act responsibilities</li> <li>Major financial loss to the council.</li> </ul> <p>Risk owner – Ajman Ali Cabinet Member – Councillor Costigan</p> <table border="1" data-bbox="245 748 660 943"> <tr> <td rowspan="5">Likelihood</td> <td>4</td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td>3</td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td>2</td> <td></td> <td></td> <td>6</td> <td></td> </tr> <tr> <td>1</td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td></td> <td>1</td> <td>2</td> <td>3</td> <td>4</td> </tr> <tr> <td colspan="6">Impact</td> </tr> </table>	Likelihood	4					3					2			6		1						1	2	3	4	Impact						<p>6 (green)</p>	<p>4 (green)</p> <p>June 2018</p>
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<p><b>21a</b> 06/2015</p>	<p><b>Compliance with General Data Protection Regulations (GDPR) and Freedom of Information Act (FOIA)</b></p> <p>If the council does not ensure it has a robust framework in place to comply with the GDPR and 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 legislative action against the Chief Executive.</p> <p>Risk owner – Darren Carter Cabinet Member – Councillor Trow</p> <table border="1" data-bbox="245 1357 660 1552"> <tr> <td rowspan="5">Likelihood</td> <td>4</td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td>3</td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td>2</td> <td></td> <td></td> <td></td> <td>8</td> </tr> <tr> <td>1</td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td></td> <td>1</td> <td>2</td> <td>3</td> <td>4</td> </tr> <tr> <td colspan="6">Impact</td> </tr> </table>	Likelihood	4					3					2				8	1						1	2	3	4	Impact						<p>8 (amber)</p>	<p>4 (green)</p> <p>May 2018</p>
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<p><b>22a</b> 01/2016</p>	<p><b>CONTEST</b></p> <p>If the council does not work with partners to put in place suitable arrangements with the aim of preventing terrorism and radicalisation in Sandwell then it will be unable to effectively discharge its statutory duties.</p> <p>Risk owner – Jan Britton Cabinet Member – Councillor Costigan</p> <table border="1" data-bbox="245 1843 660 2038"> <tr> <td rowspan="5">Likelihood</td> <td>4</td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td>3</td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td>2</td> <td></td> <td></td> <td></td> <td>8</td> </tr> <tr> <td>1</td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td></td> <td>1</td> <td>2</td> <td>3</td> <td>4</td> </tr> <tr> <td colspan="6">Impact</td> </tr> </table>	Likelihood	4					3					2				8	1						1	2	3	4	Impact						<p>8 (amber)</p>	<p>4 (green)</p> <p>September 2018</p>
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<p><b>27</b> 06/2009</p>	<p><b>Funding and Resource Allocation</b></p> <p>Failure to put in place appropriate processes and actions necessary to accommodate the significant reductions in public expenditure (both specific and general funding) over the medium term may result in potential budgetary shortfalls, inappropriate or ineffective efficiencies, deterioration in priority services and incorrect alignment of scarce resources and the council's key priorities.</p> <p>Risk owner – Darren Carter Cabinet Member – Councillor Eling</p> <table border="1" data-bbox="245 607 660 801"> <tr><td rowspan="5">Likelihood</td><td>4</td><td></td><td></td><td></td><td></td></tr> <tr><td>3</td><td></td><td></td><td>9</td><td></td></tr> <tr><td>2</td><td></td><td></td><td></td><td></td></tr> <tr><td>1</td><td></td><td></td><td></td><td></td></tr> <tr><td></td><td>1</td><td>2</td><td>3</td><td>4</td></tr> <tr><td colspan="6">Impact</td></tr> </table>	Likelihood	4					3			9		2					1						1	2	3	4	Impact						<p>9 (amber)</p>	<p>9* (amber)</p>
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<p><b>38</b> 03/2014</p>	<p><b>Health and Social Care Reforms and Transforming Adult Social Care</b></p> <p>If appropriate arrangements are not made to effectively manage the impact of the health and social care reforms including the Care and Support Act and the change in delivery from acute / primary care to social care led intervention, then the outcomes for adult social care users will be adversely affected.</p> <p>Risk owner – David Stevens Cabinet Member – Councillor Shackleton</p> <table border="1" data-bbox="245 1216 660 1411"> <tr><td rowspan="5">Likelihood</td><td>4</td><td></td><td></td><td></td><td></td></tr> <tr><td>3</td><td></td><td></td><td></td><td></td></tr> <tr><td>2</td><td></td><td></td><td></td><td>8</td></tr> <tr><td>1</td><td></td><td></td><td></td><td></td></tr> <tr><td></td><td>1</td><td>2</td><td>3</td><td>4</td></tr> <tr><td colspan="6">Impact</td></tr> </table>	Likelihood	4					3					2				8	1						1	2	3	4	Impact						<p>8 (amber)</p>	<p>8* (amber)</p>
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<p><b>40</b> 01/2015</p>	<p><b>School Place Planning</b></p> <p>If the council is unable to identify deliverable solutions to schools place planning then it will fail to discharge its statutory duties to provide sufficient school places.</p> <p>Risk owner – Chris Ward Cabinet Member – Councillor Hackett</p> <table border="1" data-bbox="245 1753 660 1948"> <tr><td rowspan="5">Likelihood</td><td>4</td><td></td><td></td><td></td><td></td></tr> <tr><td>3</td><td></td><td></td><td></td><td></td></tr> <tr><td>2</td><td></td><td></td><td></td><td>8</td></tr> <tr><td>1</td><td></td><td></td><td></td><td></td></tr> <tr><td></td><td>1</td><td>2</td><td>3</td><td>4</td></tr> <tr><td colspan="6">Impact</td></tr> </table>	Likelihood	4					3					2				8	1						1	2	3	4	Impact						<p>8 (amber)</p>	<p>4 (green)  End of 2018</p>
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<b>42a</b> 02/2017	<p><b>Cyber Security</b></p> <p>If the council does not have a co-ordinated approach and understanding of its existing cyber security controls or those available to it, together with an analysis of identifiable gaps, then this could expose the council to cyber-attack resulting in:</p> <ul style="list-style-type: none"> <li>• The inability of the council to deliver services and in particular critical services for a significant period of time</li> <li>• The loss of personal and other corporate data</li> <li>• Enforcement action</li> <li>• Significant financial loss and</li> <li>• Reputational loss</li> </ul> <p>Risk owner – Darren Carter Cabinet Member – Councillor Trow</p> <table border="1" data-bbox="245 763 660 958"> <tr><td rowspan="5">Likelihood</td><td>4</td><td>Green</td><td>Yellow</td><td>Red</td><td>Red</td></tr> <tr><td>3</td><td>Green</td><td>Green</td><td>Yellow</td><td>12</td></tr> <tr><td>2</td><td>Green</td><td>Green</td><td>Green</td><td>Yellow</td></tr> <tr><td>1</td><td>Green</td><td>Green</td><td>Green</td><td>Green</td></tr> <tr><td></td><td>1</td><td>2</td><td>3</td><td>4</td></tr> <tr><td colspan="5">Impact</td></tr> </table>	Likelihood	4	Green	Yellow	Red	Red	3	Green	Green	Yellow	12	2	Green	Green	Green	Yellow	1	Green	Green	Green	Green		1	2	3	4	Impact					12 (red)	8 (amber)  March 2018
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<b>44</b> 05/16	<p><b>Land Sales and Other Matters</b></p> <p>If the council does not put in place a plan and implement timely actions to address the findings of the independent investigation into Land Sales and other matters, then this may result in reputational damage to the council.</p> <p>Risk owner – Jan Britton Cabinet Member – Councillor Eling</p> <table border="1" data-bbox="245 1279 660 1473"> <tr><td rowspan="5">Likelihood</td><td>4</td><td>Green</td><td>Yellow</td><td>Red</td><td>Red</td></tr> <tr><td>3</td><td>Green</td><td>Green</td><td>Yellow</td><td>Red</td></tr> <tr><td>2</td><td>Green</td><td>Green</td><td>6</td><td>Yellow</td></tr> <tr><td>1</td><td>Green</td><td>Green</td><td>Green</td><td>Green</td></tr> <tr><td></td><td>1</td><td>2</td><td>3</td><td>4</td></tr> <tr><td colspan="5">Impact</td></tr> </table>	Likelihood	4	Green	Yellow	Red	Red	3	Green	Green	Yellow	Red	2	Green	Green	6	Yellow	1	Green	Green	Green	Green		1	2	3	4	Impact					6 (green)	4 (green)  September 2018
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<b>45</b> 07/16	<p><b>Apprenticeship levy</b></p> <p>If the council (including schools) does not put in place effective arrangements to use the resources it will have available from the introduction of the apprenticeship levy, then it will be unable to maximise benefits and its use of resources and will miss out on the opportunities available through the fund.</p> <p>Risk owner – Darren Carter and Chris Ward Cabinet member – Councillor Trow and Councillor Moore</p> <table border="1" data-bbox="245 1850 660 2045"> <tr><td rowspan="5">Likelihood</td><td>4</td><td>Green</td><td>Yellow</td><td>Red</td><td>Red</td></tr> <tr><td>3</td><td>Green</td><td>Green</td><td>9</td><td>Red</td></tr> <tr><td>2</td><td>Green</td><td>Green</td><td>Green</td><td>Yellow</td></tr> <tr><td>1</td><td>Green</td><td>Green</td><td>Green</td><td>Green</td></tr> <tr><td></td><td>1</td><td>2</td><td>3</td><td>4</td></tr> <tr><td colspan="5">Impact</td></tr> </table>	Likelihood	4	Green	Yellow	Red	Red	3	Green	Green	9	Red	2	Green	Green	Green	Yellow	1	Green	Green	Green	Green		1	2	3	4	Impact					9 (amber)	6 (green)  March 2018
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<p><b>47</b> 07/17</p>	<p><b>Maximising opportunities from the West Midlands Combined Authority</b></p> <p>If the Council does not put in place effective arrangements to utilise the opportunities available from being part of West Midlands Combined Authority (WMCA) then it will be unable to maximise the benefits and opportunities available to it.</p> <p>Risk owner – Alison Knight Cabinet Member – Councillor Eling and Councillor Costigan</p> <table border="1" data-bbox="245 533 660 725"> <tr> <td rowspan="5" style="writing-mode: vertical-rl; transform: rotate(180deg);">Likelihood</td> <td>4</td> <td style="background-color: #92d050;"></td> <td style="background-color: #ffc107;"></td> <td style="background-color: #dc3545;"></td> <td style="background-color: #dc3545;"></td> </tr> <tr> <td>3</td> <td style="background-color: #92d050;"></td> <td style="background-color: #92d050;"></td> <td style="background-color: #ffc107; text-align: center;">9</td> <td style="background-color: #dc3545;"></td> </tr> <tr> <td>2</td> <td style="background-color: #92d050;"></td> <td style="background-color: #92d050;"></td> <td style="background-color: #92d050;"></td> <td style="background-color: #ffc107;"></td> </tr> <tr> <td>1</td> <td style="background-color: #92d050;"></td> <td style="background-color: #92d050;"></td> <td style="background-color: #92d050;"></td> <td style="background-color: #92d050;"></td> </tr> <tr> <td></td> <td style="text-align: center;">1</td> <td style="text-align: center;">2</td> <td style="text-align: center;">3</td> <td style="text-align: center;">4</td> </tr> <tr> <td colspan="6" style="text-align: center;">Impact</td> </tr> </table>	Likelihood	4					3			9		2					1						1	2	3	4	Impact						<p>9 (amber)</p>	<p>9* (amber)</p>
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<p><b>48</b> 07/17</p>	<p><b>Vision 2030</b></p> <p>If the council does not put in place arrangements to monitor and assure itself of the delivery against its 2030 vision then this will result in reputational damage.</p> <p>Risk owner – Darren Carter Cabinet member – Councillor Eling and Councillor Trow</p> <table border="1" data-bbox="245 1012 660 1205"> <tr> <td rowspan="5" style="writing-mode: vertical-rl; transform: rotate(180deg);">Likelihood</td> <td>4</td> <td style="background-color: #92d050;"></td> <td style="background-color: #ffc107;"></td> <td style="background-color: #dc3545;"></td> <td style="background-color: #dc3545;"></td> </tr> <tr> <td>3</td> <td style="background-color: #92d050;"></td> <td style="background-color: #92d050;"></td> <td style="background-color: #ffc107;"></td> <td style="background-color: #dc3545;"></td> </tr> <tr> <td>2</td> <td style="background-color: #92d050;"></td> <td style="background-color: #92d050;"></td> <td style="background-color: #92d050;"></td> <td style="background-color: #ffc107; text-align: center;">8</td> </tr> <tr> <td>1</td> <td style="background-color: #92d050;"></td> <td style="background-color: #92d050;"></td> <td style="background-color: #92d050;"></td> <td style="background-color: #92d050;"></td> </tr> <tr> <td></td> <td style="text-align: center;">1</td> <td style="text-align: center;">2</td> <td style="text-align: center;">3</td> <td style="text-align: center;">4</td> </tr> <tr> <td colspan="6" style="text-align: center;">Impact</td> </tr> </table>	Likelihood	4					3					2				8	1						1	2	3	4	Impact						<p>8 (amber)</p>	<p>8* (amber)</p>
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\* These are risks which are likely to remain amber over the medium term due to continued uncertainties and as such these risks do not have target dates.