

# 07a Appendix A

Profile of Current Strategic Risk Scores

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


## Summary Strategic Risk Register @ December 2017





[IL1: PROTECT]




| Risk Ref     | Risk Title and Description  | Previous score<br>(September 2017) | Direction of travel | Current score<br>(December 2017) | Target score and date | Comment |  |   |  |  |  |    |   |  |  |  |  |   |  |  |  |  |  |   |   |   |   |        |  |  |  |  |  |             |  |             |                               |   |
|--------------|---|------------------------------------|---------------------|----------------------------------|-----------------------|---------|--|---|--|--|--|----|---|--|--|--|--|---|--|--|--|--|--|---|---|---|---|--------|--|--|--|--|--|-------------|--|-------------|-------------------------------|---|
| 4<br>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<br/>Cabinet Member – Councillor Hackett</p> <table border="1"> <tr> <td rowspan="5">Likelihood</td> <td>4</td> <td style="background-color: #90EE90;"></td> <td style="background-color: #FFD700;"></td> <td style="background-color: #FF0000;"></td> <td style="background-color: #FF0000;"></td> </tr> <tr> <td>3</td> <td style="background-color: #90EE90;"></td> <td style="background-color: #90EE90;"></td> <td style="background-color: #FFD700;"></td> <td style="background-color: #FF0000; color: red;">12</td> </tr> <tr> <td>2</td> <td style="background-color: #90EE90;"></td> <td style="background-color: #90EE90;"></td> <td style="background-color: #90EE90;"></td> <td style="background-color: #FFD700;"></td> </tr> <tr> <td>1</td> <td style="background-color: #90EE90;"></td> <td style="background-color: #90EE90;"></td> <td style="background-color: #90EE90;"></td> <td style="background-color: #90EE90;"></td> </tr> <tr> <td></td> <td>1</td> <td>2</td> <td>3</td> <td>4</td> </tr> <tr> <td colspan="6" style="text-align: center;">Impact</td> </tr> </table> | Likelihood                         | 4                   |                                  |                       |         |  | 3 |  |  |  | 12 | 2 |  |  |  |  | 1 |  |  |  |  |  | 1 | 2 | 3 | 4 | Impact |  |  |  |  |  | 12<br>(red) |  | 12<br>(red) | 8<br>(amber)<br><br>June 2018 | <p>Since last reported, further assurances are available on the management of this risk. The Children's Services Commissioner has submitted his fourth quarterly report to the Department for Education (DfE) and an Ofsted monitoring visit has also taken place in September. These reviews noted positive progress in a number of areas, including:</p> <ul style="list-style-type: none"> <li>Front door arrangements and improved capacity resulting in timely assessments being made</li> <li>Changes to the senior leadership reported previously, and excellent corporate communications which have assisted in building a more inclusive culture and morale</li> <li>Infrastructure including improved IT facilities and planned accommodation for the Trust</li> <li>Improved resources (both financial and social care workforce capacity) to address caseload, recruitment, retention and placement cost issues.</li> </ul> <p>Despite the above, further improvement and work is still required in a number of key areas including:</p> <ul style="list-style-type: none"> <li>The quality of assessments and quality assurance</li> <li>Governance of the improvement programme</li> <li>The progress on establishing a regional adoption agency</li> <li>Looked after children and permanence planning.</li> </ul> |
| Likelihood   | 4   |                                    |                     |                                  |                       |         |  |   |  |  |  |    |   |  |  |  |  |   |  |  |  |  |  |   |   |   |   |        |  |  |  |  |  |             |  |             |                               |   |
|              | 3   |                                    |                     |                                  |                       | 12      |  |   |  |  |  |    |   |  |  |  |  |   |  |  |  |  |  |   |   |   |   |        |  |  |  |  |  |             |  |             |                               |   |
|              | 2   |                                    |                     |                                  |                       |         |  |   |  |  |  |    |   |  |  |  |  |   |  |  |  |  |  |   |   |   |   |        |  |  |  |  |  |             |  |             |                               |   |
|              | 1   |                                    |                     |                                  |                       |         |  |   |  |  |  |    |   |  |  |  |  |   |  |  |  |  |  |   |   |   |   |        |  |  |  |  |  |             |  |             |                               |   |
|              |   | 1                                  | 2                   | 3                                | 4                     |         |  |   |  |  |  |    |   |  |  |  |  |   |  |  |  |  |  |   |   |   |   |        |  |  |  |  |  |             |  |             |                               |   |
| Impact       |   |                                    |                     |                                  |                       |         |  |   |  |  |  |    |   |  |  |  |  |   |  |  |  |  |  |   |   |   |   |        |  |  |  |  |  |             |  |             |                               |   |


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|-------------|--|------------------------------------|---------------------|----------------------------------|-----------------------|---------|--|---|--|--|--|--|---|--|--|--|---|---|--|--|--|--|--|---|---|---|---|--|--------|--|--|--|--------------|---|--------------|-----------------------------------|--|
| 4b<br>10/16 | <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<br/>Cabinet Member – Councillor Eling and Councillor Hackett</p> <table border="1"> <tr> <td rowspan="5">Likelihood</td> <td>4</td> <td style="background-color: #90EE90;"></td> <td style="background-color: #FFD700;"></td> <td style="background-color: #FF0000;"></td> <td style="background-color: #FF0000;"></td> </tr> <tr> <td>3</td> <td style="background-color: #90EE90;"></td> <td style="background-color: #90EE90;"></td> <td style="background-color: #FFD700;"></td> <td style="background-color: #FF0000;"></td> </tr> <tr> <td>2</td> <td style="background-color: #90EE90;"></td> <td style="background-color: #90EE90;"></td> <td style="background-color: #90EE90;"></td> <td style="background-color: #FFD700; text-align: center;">8</td> </tr> <tr> <td>1</td> <td style="background-color: #90EE90;"></td> <td style="background-color: #90EE90;"></td> <td style="background-color: #90EE90;"></td> <td style="background-color: #90EE90;"></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></td> <td colspan="4" style="text-align: center;">Impact</td> </tr> </table> | Likelihood                         | 4                   |                                  |                       |         |  | 3 |  |  |  |  | 2 |  |  |  | 8 | 1 |  |  |  |  |  | 1 | 2 | 3 | 4 |  | Impact |  |  |  | 8<br>(amber) |  | 8<br>(amber) | 4<br>(green)<br><br>by April 2018 | <p>The Statutory Direction served on the council in October 2016 directed the council to work with the Children's Services Commissioner, to transfer the council's children's social care services to a newly created children's trust. As part of the quarterly update to the DfE noted above, the Commissioner has reported on the continued good progress and excellent council support on this project.</p> <p>Since the previous risk review, further actions have taken place in the mitigation of the key project risk areas as follows:</p> <ul style="list-style-type: none"> <li>• The Trust name has been considered and agreed as Sandwell Children's Trust. The critical steps relating to this dependency have now been initiated to progress the project further</li> <li>• Further appointments to the Trust Board have been made which now include the Chief Executive and two additional non executive directors. The remaining vacant non executive director position is being re advertised</li> <li>• Work on the Wellman and Metsec buildings that will be used for the Trust's operations has commenced with a view to complete in March 2018</li> <li>• Arrangements to develop the vision and the strategic direction have been put in place and involve engagement of staff and stakeholders</li> <li>• Good progress on constructing the budget and the scoping of the services to transfer to the Trust has been made</li> <li>• Progress continues to be made on drafting the Articles of Association and the Service Delivery Contract</li> <li>• Further work has commenced to identify the strategic functions that will carried out by the council via service level agreements.</li> </ul> |
| Likelihood  | 4  |                                    |                     |                                  |                       |         |  |   |  |  |  |  |   |  |  |  |   |   |  |  |  |  |  |   |   |   |   |  |        |  |  |  |              |   |              |                                   |  |
|             | 3  |                                    |                     |                                  |                       |         |  |   |  |  |  |  |   |  |  |  |   |   |  |  |  |  |  |   |   |   |   |  |        |  |  |  |              |   |              |                                   |  |
|             | 2  |                                    |                     |                                  |                       | 8       |  |   |  |  |  |  |   |  |  |  |   |   |  |  |  |  |  |   |   |   |   |  |        |  |  |  |              |   |              |                                   |  |
|             | 1  |                                    |                     |                                  |                       |         |  |   |  |  |  |  |   |  |  |  |   |   |  |  |  |  |  |   |   |   |   |  |        |  |  |  |              |   |              |                                   |  |
|             |  | 1                                  | 2                   | 3                                | 4                     |         |  |   |  |  |  |  |   |  |  |  |   |   |  |  |  |  |  |   |   |   |   |  |        |  |  |  |              |   |              |                                   |  |
|             | Impact   |                                    |                     |                                  |                       |         |  |   |  |  |  |  |   |  |  |  |   |   |  |  |  |  |  |   |   |   |   |  |        |  |  |  |              |   |              |                                   |  |



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|---------------|--|------------------------------------|---------------------|----------------------------------|-----------------------|---------|--|---|--|--|--|--|---|--|--|---|--|---|--|--|--|--|--|---|---|---|---|--|--------|--|--|--|--|--------------|---|--------------|-------------------------------|--|
| 6a<br>10/2007 | <p><b>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 – Alison Knight/ Alan Caddick<br/>Cabinet Member – Councillor Khatun</p> <table border="1"> <tr> <td rowspan="5">Likelihood</td> <td>4</td> <td style="background-color: #90EE90;"></td> <td style="background-color: #FFD700;"></td> <td style="background-color: #FF0000;"></td> <td style="background-color: #FF0000;"></td> </tr> <tr> <td>3</td> <td style="background-color: #90EE90;"></td> <td style="background-color: #90EE90;"></td> <td style="background-color: #FFD700;"></td> <td style="background-color: #FF0000;"></td> </tr> <tr> <td>2</td> <td style="background-color: #90EE90;"></td> <td style="background-color: #90EE90;"></td> <td style="background-color: #90EE90; text-align: center;">6</td> <td style="background-color: #FFD700;"></td> </tr> <tr> <td>1</td> <td style="background-color: #90EE90;"></td> <td style="background-color: #90EE90;"></td> <td style="background-color: #90EE90;"></td> <td style="background-color: #90EE90;"></td> </tr> <tr> <td></td> <td>1</td> <td>2</td> <td>3</td> <td>4</td> </tr> <tr> <td></td> <td colspan="5" style="text-align: center;">Impact</td> </tr> </table> | Likelihood                         | 4                   |                                  |                       |         |  | 3 |  |  |  |  | 2 |  |  | 6 |  | 1 |  |  |  |  |  | 1 | 2 | 3 | 4 |  | Impact |  |  |  |  | 6<br>(green) |  | 6<br>(green) | 4<br>(green)<br><br>June 2018 | <p>This risk continues to be overseen by the council's resilience team which for a number of years has been managed via by a shared service arrangement with Walsall Council for the Resilience Manager. In order to strengthen arrangements, the council is in the process of appointing its own Resilience Manager in early 2018, who will be also be tasked with considering how the council deals with other unplanned incidences such as traveller encampments.</p> <p>Since last reported on this risk, the preparation of business continuity plans continues through engagement by directorates. At present, most priority 1 and 2 services have completed plans or draft versions in place, with a view to having a full suite of priority 1 and 2 plans in place by April 2018. The Neighbourhoods' plans have been tested and a plan will be developed to regularly test other plans in due course.</p> <p>Following national guidance, the Government and the Police encouraged all public bodies to review and consider their security arrangements. As a result, a team from emergency planning, HR and facilities management completed a review of security at the Council House and has carried out some measures to improve security.</p> <p>The Local Resilience Forum held a cyber security workshop and seminar where the council's ICT department attended and will take part in a multi-agency test exercise in December 2017.</p> <p>Following the power outage on 4 December, senior management and members have been briefed by service managers on the incident and a lessons learned report is being prepared from which an agreed action plan will be developed and implemented.</p> |
| Likelihood    | 4  |                                    |                     |                                  |                       |         |  |   |  |  |  |  |   |  |  |   |  |   |  |  |  |  |  |   |   |   |   |  |        |  |  |  |  |              |   |              |                               |  |
|               | 3  |                                    |                     |                                  |                       |         |  |   |  |  |  |  |   |  |  |   |  |   |  |  |  |  |  |   |   |   |   |  |        |  |  |  |  |              |   |              |                               |  |
|               | 2  |                                    |                     |                                  | 6                     |         |  |   |  |  |  |  |   |  |  |   |  |   |  |  |  |  |  |   |   |   |   |  |        |  |  |  |  |              |   |              |                               |  |
|               | 1  |                                    |                     |                                  |                       |         |  |   |  |  |  |  |   |  |  |   |  |   |  |  |  |  |  |   |   |   |   |  |        |  |  |  |  |              |   |              |                               |  |
|               |  | 1                                  | 2                   | 3                                | 4                     |         |  |   |  |  |  |  |   |  |  |   |  |   |  |  |  |  |  |   |   |   |   |  |        |  |  |  |  |              |   |              |                               |  |
|               | Impact   |                                    |                     |                                  |                       |         |  |   |  |  |  |  |   |  |  |   |  |   |  |  |  |  |  |   |   |   |   |  |        |  |  |  |  |              |   |              |                               |  |

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|----------------|--|------------------------------------|---------------------|----------------------------------|-----------------------|---------|--|---|--|--|--|----|---|--|--|--|--|---|--|--|--|--|--|---|---|---|---|--|--------|--|--|--|--|--------------|---|-------------|------------------------------|---|
| 21a<br>06/2015 | <p><b>Compliance with General Data Protection Regulations (GDPR)</b></p> <p>If the council does not ensure it has a robust framework in place to comply with the GDPR then it faces significant external action from the Information Commissioner's Office for failing to undertake its statutory duty. Further, failing to comply will result in negative public reaction and reputational damage, significant monetary penalties, loss of confidential data and potentially legislative action against the Chief Executive.</p> <p>Risk owner – Surjit Tour<br/>Cabinet Member – Councillor Trow</p> <table border="1"> <tr> <td rowspan="5">Likelihood</td> <td>4</td> <td style="background-color: #90EE90;"></td> <td style="background-color: #FFD700;"></td> <td style="background-color: #FF0000;"></td> <td style="background-color: #FF0000;"></td> </tr> <tr> <td>3</td> <td style="background-color: #90EE90;"></td> <td style="background-color: #90EE90;"></td> <td style="background-color: #FFD700;"></td> <td style="background-color: #FF0000; text-align: center;">12</td> </tr> <tr> <td>2</td> <td style="background-color: #90EE90;"></td> <td style="background-color: #90EE90;"></td> <td style="background-color: #90EE90;"></td> <td style="background-color: #FFD700;"></td> </tr> <tr> <td>1</td> <td style="background-color: #90EE90;"></td> <td style="background-color: #90EE90;"></td> <td style="background-color: #90EE90;"></td> <td style="background-color: #90EE90;"></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></td> <td colspan="5" style="text-align: center;">Impact</td> </tr> </table> | Likelihood                         | 4                   |                                  |                       |         |  | 3 |  |  |  | 12 | 2 |  |  |  |  | 1 |  |  |  |  |  | 1 | 2 | 3 | 4 |  | Impact |  |  |  |  | 8<br>(amber) |  | 12<br>(red) | 8<br>(amber)<br><br>May 2018 | <p>This risk is overseen by the council's Corporate Governance Board (CGB) which is chaired by the Monitoring Officer (also Senior Risk Information Officer and risk owner). The risk is primarily concerned with GDPR and</p> <p>The measures to manage the risk include:</p> <ul style="list-style-type: none"> <li>• The establishment of a GDPR project team and Information Governance Board (IGB which reports to the CGB), which meets monthly</li> <li>• The development of a detailed project plan, and risk register to focus the delivery of work and allocation of resources</li> <li>• The identification of information risk champions across all directorates and the provision of specialist GDPR training for these officers</li> <li>• Mapping of data flows to ensure appropriate information sharing agreements are in place and that fair processing notices accurately reflect the purpose for which data is being used</li> <li>• Engagement and training for elected members</li> <li>• E-learning training on information management which is being reviewed to ensure it remains appropriate to achieving the necessary outcomes and evidence of compliance</li> <li>• Information incidence logs of breaches and the resulting audits and agreed actions.</li> <li>• Obtaining assurances that the council's IT systems are GDPR compliant</li> </ul> <p>The increase in the assessment of this risk is as a result of the closer proximity of the implementation date. This will be reassessed once the detailed project plan is completed.</p> |
| Likelihood     | 4  |                                    |                     |                                  |                       |         |  |   |  |  |  |    |   |  |  |  |  |   |  |  |  |  |  |   |   |   |   |  |        |  |  |  |  |              |   |             |                              |   |
|                | 3  |                                    |                     |                                  |                       | 12      |  |   |  |  |  |    |   |  |  |  |  |   |  |  |  |  |  |   |   |   |   |  |        |  |  |  |  |              |   |             |                              |   |
|                | 2  |                                    |                     |                                  |                       |         |  |   |  |  |  |    |   |  |  |  |  |   |  |  |  |  |  |   |   |   |   |  |        |  |  |  |  |              |   |             |                              |   |
|                | 1  |                                    |                     |                                  |                       |         |  |   |  |  |  |    |   |  |  |  |  |   |  |  |  |  |  |   |   |   |   |  |        |  |  |  |  |              |   |             |                              |   |
|                |  | 1                                  | 2                   | 3                                | 4                     |         |  |   |  |  |  |    |   |  |  |  |  |   |  |  |  |  |  |   |   |   |   |  |        |  |  |  |  |              |   |             |                              |   |
|                | Impact   |                                    |                     |                                  |                       |         |  |   |  |  |  |    |   |  |  |  |  |   |  |  |  |  |  |   |   |   |   |  |        |  |  |  |  |              |   |             |                              |   |

[IL1: PROTECT]


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|-----------------------------------|--|------------------------------------|---------------------|----------------------------------|-----------------------|---------|--|---|--|--|--|--|---|--|--|--|---|---|--|--|--|--|--|---|---|---|---|--|--------|--|--|--|----------------------|---|----------------------|--|--|
| <p><b>The 22a</b><br/>01/2016</p> | <p><b>CONTEST</b><br/>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<br/>Cabinet Member – Councillor Carmichael</p> <table border="1" data-bbox="250 560 660 751"> <tr> <td rowspan="5" style="writing-mode: vertical-rl; transform: rotate(180deg);">Likelihood</td> <td>4</td> <td style="background-color: #90EE90;"></td> <td style="background-color: #FFD700;"></td> <td style="background-color: #FF0000;"></td> <td style="background-color: #FF0000;"></td> </tr> <tr> <td>3</td> <td style="background-color: #90EE90;"></td> <td style="background-color: #90EE90;"></td> <td style="background-color: #FFD700;"></td> <td style="background-color: #FF0000;"></td> </tr> <tr> <td>2</td> <td style="background-color: #90EE90;"></td> <td style="background-color: #90EE90;"></td> <td style="background-color: #90EE90;"></td> <td style="background-color: #FFD700; text-align: center;">8</td> </tr> <tr> <td>1</td> <td style="background-color: #90EE90;"></td> <td style="background-color: #90EE90;"></td> <td style="background-color: #90EE90;"></td> <td style="background-color: #90EE90;"></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></td> <td colspan="4" style="text-align: center;">Impact</td> </tr> </table> | Likelihood                         | 4                   |                                  |                       |         |  | 3 |  |  |  |  | 2 |  |  |  | 8 | 1 |  |  |  |  |  | 1 | 2 | 3 | 4 |  | Impact |  |  |  | <p>8<br/>(amber)</p> |  | <p>8<br/>(amber)</p> | <p>4<br/>(green)<br/><br/>September 2018</p> | <p>This risk continues to be managed by the CONTEST Board. In terms of the actions that have/are being taken to manage this risk, this includes:</p> <ul style="list-style-type: none"> <li>• Quarterly CONTEST meetings continue and includes external partners (Police; Health; Probation; etc.)</li> <li>• A revised Counter Terrorism Local Profile (CTLP) process is being implemented in January 2018 to produce the annual CTLP</li> <li>• Quarterly summaries are provided to the council which take account of any changes in risk and new intelligence. Over the last 6 months there has been no significant change in the threat or risk level to Sandwell</li> <li>• Delivery of advanced level training to support front line workers across the partnership to identify signs, vulnerabilities, support and referring concerns</li> <li>• Engagement with schools. Section 175 audits have identified that 114 of the 119 schools have updated their safeguarding policies to incorporate 'Prevent' and over 95% of Designated Safeguarding Leads have completed Prevent awareness training</li> <li>• The Home Office is providing funding for a Prevent Education Officer who starts in early 2018 and provide greater capacity to support schools, colleges and other education providers</li> <li>• A network of Police Sergeants and council Neighbourhood Managers across the six towns has been formed to support building community resilience, identification and support of communities/ individuals at risk</li> <li>• Strengthening of links and relationships with tension monitoring and hate crime groups</li> <li>• Promotion of national campaigns is shared locally e.g. 'Action Counters Terrorism' to increase awareness and resilience amongst communities and young people.</li> </ul> |
| Likelihood                        | 4  |                                    |                     |                                  |                       |         |  |   |  |  |  |  |   |  |  |  |   |   |  |  |  |  |  |   |   |   |   |  |        |  |  |  |                      |   |                      |  |  |
|                                   | 3  |                                    |                     |                                  |                       |         |  |   |  |  |  |  |   |  |  |  |   |   |  |  |  |  |  |   |   |   |   |  |        |  |  |  |                      |   |                      |  |  |
|                                   | 2  |                                    |                     |                                  |                       | 8       |  |   |  |  |  |  |   |  |  |  |   |   |  |  |  |  |  |   |   |   |   |  |        |  |  |  |                      |   |                      |  |  |
|                                   | 1  |                                    |                     |                                  |                       |         |  |   |  |  |  |  |   |  |  |  |   |   |  |  |  |  |  |   |   |   |   |  |        |  |  |  |                      |   |                      |  |  |
|                                   |  | 1                                  | 2                   | 3                                | 4                     |         |  |   |  |  |  |  |   |  |  |  |   |   |  |  |  |  |  |   |   |   |   |  |        |  |  |  |                      |   |                      |  |  |
|                                   | Impact   |                                    |                     |                                  |                       |         |  |   |  |  |  |  |   |  |  |  |   |   |  |  |  |  |  |   |   |   |   |  |        |  |  |  |                      |   |                      |  |  |

| Risk Ref             | Risk Title and Description   | Previous score<br>(September 2017) | Direction of travel | Current score<br>(December 2017) | Target score and date | Comment |  |   |  |  |   |  |   |  |  |  |  |   |  |  |  |  |  |   |   |   |   |        |  |  |  |  |  |              |   |              |               |   |  |             |             |             |                      |       |       |       |                  |       |       |       |                      |   |     |      |
|----------------------|--|------------------------------------|---------------------|----------------------------------|-----------------------|---------|--|---|--|--|---|--|---|--|--|--|--|---|--|--|--|--|--|---|---|---|---|--------|--|--|--|--|--|--------------|---|--------------|---------------|---|--|-------------|-------------|-------------|----------------------|-------|-------|-------|------------------|-------|-------|-------|----------------------|---|-----|------|
| 27<br>06/2009        | <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<br/>Cabinet Member – Councillor Eling</p> <table border="1"> <tr> <td rowspan="5">Likelihood</td> <td>4</td> <td style="background-color: #90EE90;"></td> <td style="background-color: #FFD700;"></td> <td style="background-color: #FF0000;"></td> <td style="background-color: #FF0000;"></td> </tr> <tr> <td>3</td> <td style="background-color: #90EE90;"></td> <td style="background-color: #90EE90;"></td> <td style="background-color: #FFD700; text-align: center;">9</td> <td style="background-color: #FF0000;"></td> </tr> <tr> <td>2</td> <td style="background-color: #90EE90;"></td> <td style="background-color: #90EE90;"></td> <td style="background-color: #90EE90;"></td> <td style="background-color: #FFD700;"></td> </tr> <tr> <td>1</td> <td style="background-color: #90EE90;"></td> <td style="background-color: #90EE90;"></td> <td style="background-color: #90EE90;"></td> <td style="background-color: #90EE90;"></td> </tr> <tr> <td></td> <td>1</td> <td>2</td> <td>3</td> <td>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 |  |  |  |  |  | 9<br>(amber) |  | 9<br>(amber) | 9*<br>(amber) | <p>This risk continues to be managed through the council's Medium Term Financial Strategy (MTFS). Since last reported, the following has taken place:</p> <ul style="list-style-type: none"> <li>The provisional Local Government Finance Settlement was announced on 19 December 2017. Whilst some details are still awaited, the figures based on the provisional settlement have been incorporated into the council's budget report 2018/19 to 2020/21. This will be presented to Council on 16 January 2018. One of the key headlines of the settlement was an increase in the council tax referendum limit from 2% to 3% meaning that local authorities can now increase council tax by 2.99% without requiring a referendum</li> <li>The council's projected financial position can be summarised as follows:</li> </ul> <table border="1"> <thead> <tr> <th></th> <th>18/19<br/>£M</th> <th>19/20<br/>£M</th> <th>20/21<br/>£M</th> </tr> </thead> <tbody> <tr> <td>Forecast expenditure</td> <td>243.9</td> <td>245.7</td> <td>249.6</td> </tr> <tr> <td>Forecast funding</td> <td>243.9</td> <td>240.5</td> <td>237.7</td> </tr> <tr> <td>Cumulative shortfall</td> <td>-</td> <td>5.2</td> <td>11.9</td> </tr> </tbody> </table> <p>There continue to be uncertainties and pressures arising from several areas including:</p> <ul style="list-style-type: none"> <li>The increase in the projected overspend in children's services for the current year and ensuring therefore that the budget transferred to the Sandwell Children's Trust is based on robust estimates.</li> <li>The continued uncertainty around Brexit and the impact on government spending and local government settlements, interest rates, inflation and growth.</li> </ul> |  | 18/19<br>£M | 19/20<br>£M | 20/21<br>£M | Forecast expenditure | 243.9 | 245.7 | 249.6 | Forecast funding | 243.9 | 240.5 | 237.7 | Cumulative shortfall | - | 5.2 | 11.9 |
| Likelihood           | 4  |                                    |                     |                                  |                       |         |  |   |  |  |   |  |   |  |  |  |  |   |  |  |  |  |  |   |   |   |   |        |  |  |  |  |  |              |   |              |               |   |  |             |             |             |                      |       |       |       |                  |       |       |       |                      |   |     |      |
|                      | 3  |                                    |                     |                                  | 9                     |         |  |   |  |  |   |  |   |  |  |  |  |   |  |  |  |  |  |   |   |   |   |        |  |  |  |  |  |              |   |              |               |   |  |             |             |             |                      |       |       |       |                  |       |       |       |                      |   |     |      |
|                      | 2  |                                    |                     |                                  |                       |         |  |   |  |  |   |  |   |  |  |  |  |   |  |  |  |  |  |   |   |   |   |        |  |  |  |  |  |              |   |              |               |   |  |             |             |             |                      |       |       |       |                  |       |       |       |                      |   |     |      |
|                      | 1  |                                    |                     |                                  |                       |         |  |   |  |  |   |  |   |  |  |  |  |   |  |  |  |  |  |   |   |   |   |        |  |  |  |  |  |              |   |              |               |   |  |             |             |             |                      |       |       |       |                  |       |       |       |                      |   |     |      |
|                      |  | 1                                  | 2                   | 3                                | 4                     |         |  |   |  |  |   |  |   |  |  |  |  |   |  |  |  |  |  |   |   |   |   |        |  |  |  |  |  |              |   |              |               |   |  |             |             |             |                      |       |       |       |                  |       |       |       |                      |   |     |      |
| Impact               |  |                                    |                     |                                  |                       |         |  |   |  |  |   |  |   |  |  |  |  |   |  |  |  |  |  |   |   |   |   |        |  |  |  |  |  |              |   |              |               |   |  |             |             |             |                      |       |       |       |                  |       |       |       |                      |   |     |      |
|                      | 18/19<br>£M  | 19/20<br>£M                        | 20/21<br>£M         |                                  |                       |         |  |   |  |  |   |  |   |  |  |  |  |   |  |  |  |  |  |   |   |   |   |        |  |  |  |  |  |              |   |              |               |   |  |             |             |             |                      |       |       |       |                  |       |       |       |                      |   |     |      |
| Forecast expenditure | 243.9  | 245.7                              | 249.6               |                                  |                       |         |  |   |  |  |   |  |   |  |  |  |  |   |  |  |  |  |  |   |   |   |   |        |  |  |  |  |  |              |   |              |               |   |  |             |             |             |                      |       |       |       |                  |       |       |       |                      |   |     |      |
| Forecast funding     | 243.9  | 240.5                              | 237.7               |                                  |                       |         |  |   |  |  |   |  |   |  |  |  |  |   |  |  |  |  |  |   |   |   |   |        |  |  |  |  |  |              |   |              |               |   |  |             |             |             |                      |       |       |       |                  |       |       |       |                      |   |     |      |
| Cumulative shortfall | -  | 5.2                                | 11.9                |                                  |                       |         |  |   |  |  |   |  |   |  |  |  |  |   |  |  |  |  |  |   |   |   |   |        |  |  |  |  |  |              |   |              |               |   |  |             |             |             |                      |       |       |       |                  |       |       |       |                      |   |     |      |



| Risk Ref             | Risk Title and Description   | Previous score<br>(September 2017) | Direction of travel   | Current score<br>(December 2017) | Target score and date | Comment  |  |   |  |  |  |  |   |  |  |  |   |   |  |  |  |  |  |  |   |   |   |   |        |  |  |  |  |  |              |   |              |               |   |
|----------------------|--|------------------------------------|---|----------------------------------|-----------------------|--|--|---|--|--|--|--|---|--|--|--|---|---|--|--|--|--|--|--|---|---|---|---|--------|--|--|--|--|--|--------------|---|--------------|---------------|---|
|                      |  |                                    |   |                                  |                       | Detailed plans will be developed to plan for the delivery of the savings of £5.2 million required for 2019/20. The MTFS will be presented to Cabinet in February 2018 and will include details of the council's key financial objectives as well as a number of strategic and operational principles which align to the 2030 Vision ambitions. |  |   |  |  |  |  |   |  |  |  |   |   |  |  |  |  |  |  |   |   |   |   |        |  |  |  |  |  |              |   |              |               |   |
| <b>38</b><br>03/2014 | <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<br/>Cabinet Member – Councillor Shackleton</p> <table border="1" data-bbox="248 874 660 1070"> <tr> <td rowspan="4">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></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<br>(amber) |  | 8<br>(amber) | 8*<br>(amber) | <p>This risk concerns the impact on services from the national challenges of significant budget cuts and an ageing population as well as dealing with the implementation of the Care Act and the Better Care Fund. Actions continue to take place to manage this risk and since last reported include the following:</p> <ul style="list-style-type: none"> <li>• A 3% adult social care precept was approved by Full Council for the 2017/18 budget to deal with the national pressure on adult services</li> <li>• The adult social care led partnership strategy for the long term transformation of accommodation and support for vulnerable and older people was approved by Cabinet in 2016. Construction of new build accommodation is underway. The development is for 93 additional homes and will be completed by April 18</li> <li>• Opportunities to support eligible social care services through Better Care Fund have been, and continue to be, progressed.</li> </ul> |
| Likelihood           | 4  |                                    |   |                                  |                       |  |  |   |  |  |  |  |   |  |  |  |   |   |  |  |  |  |  |  |   |   |   |   |        |  |  |  |  |  |              |   |              |               |   |
|                      | 3  |                                    |   |                                  |                       |  |  |   |  |  |  |  |   |  |  |  |   |   |  |  |  |  |  |  |   |   |   |   |        |  |  |  |  |  |              |   |              |               |   |
|                      | 2  |                                    |   |                                  |                       | 8  |  |   |  |  |  |  |   |  |  |  |   |   |  |  |  |  |  |  |   |   |   |   |        |  |  |  |  |  |              |   |              |               |   |
|                      | 1  |                                    |   |                                  |                       |  |  |   |  |  |  |  |   |  |  |  |   |   |  |  |  |  |  |  |   |   |   |   |        |  |  |  |  |  |              |   |              |               |   |
|                      |  | 1                                  | 2   | 3                                | 4                     |  |  |   |  |  |  |  |   |  |  |  |   |   |  |  |  |  |  |  |   |   |   |   |        |  |  |  |  |  |              |   |              |               |   |
| Impact               |  |                                    |   |                                  |                       |  |  |   |  |  |  |  |   |  |  |  |   |   |  |  |  |  |  |  |   |   |   |   |        |  |  |  |  |  |              |   |              |               |   |
| <b>40</b>            | <b>School Place Planning</b>   | 8                                  |  | 8                                | 4                     | This risk is concerned with ensuring that there are  |  |   |  |  |  |  |   |  |  |  |   |   |  |  |  |  |  |  |   |   |   |   |        |  |  |  |  |  |              |   |              |               |   |

[ILT: PROTECT]





| Risk Ref   | Risk Title and Description  | Previous score<br>(September 2017) | Direction of travel   | Current score<br>(December 2017) | Target score and date | Comment  |  |   |  |  |  |  |   |  |  |  |   |   |  |  |  |  |  |  |  |  |  |  |        |  |  |  |  |  |   |   |   |   |  |         |  |         |                            |  |
|------------|---|------------------------------------|---|----------------------------------|-----------------------|--|--|---|--|--|--|--|---|--|--|--|---|---|--|--|--|--|--|--|--|--|--|--|--------|--|--|--|--|--|---|---|---|---|--|---------|--|---------|----------------------------|--|
| 01/2015    | <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<br/>Cabinet Member – Councillor Hackett</p> <table border="1" data-bbox="248 488 660 683"> <tr> <td rowspan="5">Likelihood</td> <td>4</td> <td style="background-color: #90EE90;"></td> <td style="background-color: #FFD700;"></td> <td style="background-color: #FF0000;"></td> <td style="background-color: #FF0000;"></td> </tr> <tr> <td>3</td> <td style="background-color: #90EE90;"></td> <td style="background-color: #90EE90;"></td> <td style="background-color: #FFD700;"></td> <td style="background-color: #FF0000;"></td> </tr> <tr> <td>2</td> <td style="background-color: #90EE90;"></td> <td style="background-color: #90EE90;"></td> <td style="background-color: #90EE90;"></td> <td style="background-color: #FFD700; text-align: center;">8</td> </tr> <tr> <td>1</td> <td style="background-color: #90EE90;"></td> <td style="background-color: #90EE90;"></td> <td style="background-color: #90EE90;"></td> <td style="background-color: #90EE90;"></td> </tr> <tr> <td></td> <td style="background-color: #90EE90;"></td> <td style="background-color: #90EE90;"></td> <td style="background-color: #90EE90;"></td> <td style="background-color: #90EE90;"></td> </tr> <tr> <td></td> <td colspan="4" style="text-align: center;">Impact</td> <td></td> </tr> <tr> <td></td> <td>1</td> <td>2</td> <td>3</td> <td>4</td> <td></td> </tr> </table> | Likelihood                         | 4   |                                  |                       |  |  | 3 |  |  |  |  | 2 |  |  |  | 8 | 1 |  |  |  |  |  |  |  |  |  |  | Impact |  |  |  |  |  | 1 | 2 | 3 | 4 |  | (amber) |  | (amber) | (green)<br><br>End of 2018 | <p>sufficient school places available (primary and secondary) in future years, with a specific focus on secondary school places at present.</p> <p>Since last reported, 450 secondary places have been delivered across two schools, with a further 2,400 planned for September 2019, including a new school on Kelvin Way in West Bromwich.</p> <p>In addition, a number of secondary schools have agreed to take extra pupils in 2019 to assist the council in managing the delay encountered with a second new school being delivered by the Education and Skills Funding Agency (ESFA), which is scheduled to open in September 2020.</p> <p>A further 420 primary places will be delivered for September 2019 in Smethwick when Shireland Technology Primary opens.</p> <p>Inward migration has continued to increase across all areas of the borough placing additional pressure on the supply of mid-year school places.</p> <p>Measures in place to manage the risk include:</p> <ul style="list-style-type: none"> <li>• Officers continue to monitor borough wide demographics, using birth rate data, migration trends, etc. Forecasts were last produced with a 99.86% accuracy</li> <li>• The council continues to engage with all providers (free schools and academies) to actively secure new provision</li> <li>• Regular meetings are held with The Cabinet Member for Children’s Services and senior management to identify potential site solutions</li> </ul> <p>Achievement of the target score is dependent on a number of factors outside the council’s control including, future years’ basic need allocations, the ESFA delivering the new free school for September 2020 and the impact of increases in population.</p> |
| Likelihood | 4   |                                    |   |                                  |                       |  |  |   |  |  |  |  |   |  |  |  |   |   |  |  |  |  |  |  |  |  |  |  |        |  |  |  |  |  |   |   |   |   |  |         |  |         |                            |  |
|            | 3   |                                    |   |                                  |                       |  |  |   |  |  |  |  |   |  |  |  |   |   |  |  |  |  |  |  |  |  |  |  |        |  |  |  |  |  |   |   |   |   |  |         |  |         |                            |  |
|            | 2   |                                    |   |                                  |                       | 8  |  |   |  |  |  |  |   |  |  |  |   |   |  |  |  |  |  |  |  |  |  |  |        |  |  |  |  |  |   |   |   |   |  |         |  |         |                            |  |
|            | 1   |                                    |   |                                  |                       |  |  |   |  |  |  |  |   |  |  |  |   |   |  |  |  |  |  |  |  |  |  |  |        |  |  |  |  |  |   |   |   |   |  |         |  |         |                            |  |
|            |   |                                    |   |                                  |                       |  |  |   |  |  |  |  |   |  |  |  |   |   |  |  |  |  |  |  |  |  |  |  |        |  |  |  |  |  |   |   |   |   |  |         |  |         |                            |  |
|            | Impact  |                                    |   |                                  |                       |  |  |   |  |  |  |  |   |  |  |  |   |   |  |  |  |  |  |  |  |  |  |  |        |  |  |  |  |  |   |   |   |   |  |         |  |         |                            |  |
|            | 1   | 2                                  | 3   | 4                                |                       |  |  |   |  |  |  |  |   |  |  |  |   |   |  |  |  |  |  |  |  |  |  |  |        |  |  |  |  |  |   |   |   |   |  |         |  |         |                            |  |
| 42a        | <b>Cyber Security</b>   | 12                                 |  | 12                               | 8                     | This risk is linked with risk 6a and risk 21a and is |  |   |  |  |  |  |   |  |  |  |   |   |  |  |  |  |  |  |  |  |  |  |        |  |  |  |  |  |   |   |   |   |  |         |  |         |                            |  |

| Risk Ref   | Risk Title and Description   | Previous score<br>(September 2017) | Direction of travel | Current score<br>(December 2017) | Target score and date | Comment |  |   |  |  |  |    |   |  |  |  |  |   |  |  |  |  |  |   |   |   |   |  |        |  |  |  |  |       |  |       |                          |   |
|------------|--|------------------------------------|---------------------|----------------------------------|-----------------------|---------|--|---|--|--|--|----|---|--|--|--|--|---|--|--|--|--|--|---|---|---|---|--|--------|--|--|--|--|-------|--|-------|--------------------------|---|
| 02/2017    | <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<br/>Cabinet Member – Councillor Trow</p> <table border="1" data-bbox="248 874 660 1070"> <tr> <td rowspan="5">Likelihood</td> <td>4</td> <td style="background-color: #90EE90;"></td> <td style="background-color: #FFD700;"></td> <td style="background-color: #FF0000;"></td> <td style="background-color: #FF0000;"></td> </tr> <tr> <td>3</td> <td style="background-color: #90EE90;"></td> <td style="background-color: #90EE90;"></td> <td style="background-color: #FFD700;"></td> <td style="background-color: #FF0000; text-align: center;">12</td> </tr> <tr> <td>2</td> <td style="background-color: #90EE90;"></td> <td style="background-color: #90EE90;"></td> <td style="background-color: #90EE90;"></td> <td style="background-color: #FFD700;"></td> </tr> <tr> <td>1</td> <td style="background-color: #90EE90;"></td> <td style="background-color: #90EE90;"></td> <td style="background-color: #90EE90;"></td> <td style="background-color: #90EE90;"></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></td> <td colspan="4" style="text-align: center;">Impact</td> <td></td> </tr> </table> | Likelihood                         | 4                   |                                  |                       |         |  | 3 |  |  |  | 12 | 2 |  |  |  |  | 1 |  |  |  |  |  | 1 | 2 | 3 | 4 |  | Impact |  |  |  |  | (red) |  | (red) | (amber)<br><br>June 2018 | <p>being managed by ICT working alongside the Information Management team. Cyber security continues to attract increased media coverage as a result of cyber attacks taking place nationally and given the significant impact that this risk has on service delivery, reputation and potentially finance.</p> <p>In terms of managing this risk, the council has various measures in place including:</p> <ul style="list-style-type: none"> <li>The redesign of ICT services includes a cyber security lead officer who will be tasked with looking at cyber security, risk and compliance</li> <li>The annual Public Services Network (PSN) certification requires an independent health check to be undertaken before granting certification. The health check has been undertaken and the results of this are due by December 2017</li> <li>The monitoring of threats which are logged by existing technical controls such as firewalls and scanning of incoming emails</li> <li>The ICT infrastructure contains servers and software that are designed to protect the council from external threats</li> <li>The move to the Citrix environment as it is a centrally managed and secure platform</li> <li>Encryption of removable media devices, which are only accessible on a service needs basis</li> <li>As noted above, a multi agency regional test exercise around cyber security is being carried out in December and the lessons learned will be incorporated into an action plan</li> </ul> <p>Despite this, there are a number of areas where further work is required. This is being incorporated into the ICT strategy and business plan and includes:</p> <ul style="list-style-type: none"> <li>Conducting an assessment of the controls the council already has in place and where gaps exist</li> </ul> |
| Likelihood | 4  |                                    |                     |                                  |                       |         |  |   |  |  |  |    |   |  |  |  |  |   |  |  |  |  |  |   |   |   |   |  |        |  |  |  |  |       |  |       |                          |   |
|            | 3  |                                    |                     |                                  |                       | 12      |  |   |  |  |  |    |   |  |  |  |  |   |  |  |  |  |  |   |   |   |   |  |        |  |  |  |  |       |  |       |                          |   |
|            | 2  |                                    |                     |                                  |                       |         |  |   |  |  |  |    |   |  |  |  |  |   |  |  |  |  |  |   |   |   |   |  |        |  |  |  |  |       |  |       |                          |   |
|            | 1  |                                    |                     |                                  |                       |         |  |   |  |  |  |    |   |  |  |  |  |   |  |  |  |  |  |   |   |   |   |  |        |  |  |  |  |       |  |       |                          |   |
|            |  | 1                                  | 2                   | 3                                | 4                     |         |  |   |  |  |  |    |   |  |  |  |  |   |  |  |  |  |  |   |   |   |   |  |        |  |  |  |  |       |  |       |                          |   |
|            | Impact   |                                    |                     |                                  |                       |         |  |   |  |  |  |    |   |  |  |  |  |   |  |  |  |  |  |   |   |   |   |  |        |  |  |  |  |       |  |       |                          |   |

| Risk Ref    | Risk Title and Description  | Previous score<br>(September 2017) | Direction of travel   | Current score<br>(December 2017) | Target score and date | Comment   |  |   |  |  |  |  |   |  |  |   |  |   |  |  |  |  |  |   |   |   |   |        |  |  |  |  |  |              |   |              |                                    |  |
|-------------|---|------------------------------------|---|----------------------------------|-----------------------|---|--|---|--|--|--|--|---|--|--|---|--|---|--|--|--|--|--|---|---|---|---|--------|--|--|--|--|--|--------------|---|--------------|------------------------------------|--|
|             |   |                                    |   |                                  |                       | <p>so that further actions can be identified</p> <ul style="list-style-type: none"> <li>• Consideration of Cyber Essentials as part of the council's supply chain requirements and Procurement and Contract Procedure Rules</li> <li>• User mitigation via training and communications</li> <li>• Agreeing regular system downtime to carry out software patching.</li> </ul> |  |   |  |  |  |  |   |  |  |   |  |   |  |  |  |  |  |   |   |   |   |        |  |  |  |  |  |              |   |              |                                    |  |
| 44<br>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<br/>Cabinet Member – Councillor Eling</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>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 |  |  |  |  |  | 6<br>(green) |  | 6<br>(green) | 4<br>(green)<br><br>September 2018 | <p>This risk was identified for inclusion in the strategic risk register as a result of the findings and publication of the Gowling WLG report into land sales and other matters, and the independent Queen's Counsel advice sought by the council.</p> <p>The reports identified a number of issues relating to the council's risk, governance, internal control environment and member and officer conduct. The risk, governance and internal control matters are being dealt with and are being considered by the Audit and Risk Assurance Committee, in order for the Committee to seek to gain assurance that the issues identified are being comprehensively and promptly addressed. The Committee considered these issues at its August, September and December 2016 meetings and at the 26 January, 23 March and 17 August 2017 meetings.</p> <p>The council introduced a new Land Sales and Building Protocol in 2016 to strengthen the steps that are to be carried out in all land and building sales undertaken by the council. The target score reflects the period by when assurances will be obtained on whether the new protocol is firmly embedded into the council's processes.</p> <p>The member conduct matters are being dealt with separately, by the Standards Committee.</p> |
| Likelihood  | 4   |                                    |   |                                  |                       |   |  |   |  |  |  |  |   |  |  |   |  |   |  |  |  |  |  |   |   |   |   |        |  |  |  |  |  |              |   |              |                                    |  |
|             | 3   |                                    |   |                                  |                       |   |  |   |  |  |  |  |   |  |  |   |  |   |  |  |  |  |  |   |   |   |   |        |  |  |  |  |  |              |   |              |                                    |  |
|             | 2   |                                    |   |                                  | 6                     |   |  |   |  |  |  |  |   |  |  |   |  |   |  |  |  |  |  |   |   |   |   |        |  |  |  |  |  |              |   |              |                                    |  |
|             | 1   |                                    |   |                                  |                       |   |  |   |  |  |  |  |   |  |  |   |  |   |  |  |  |  |  |   |   |   |   |        |  |  |  |  |  |              |   |              |                                    |  |
|             |   | 1                                  | 2   | 3                                | 4                     |   |  |   |  |  |  |  |   |  |  |   |  |   |  |  |  |  |  |   |   |   |   |        |  |  |  |  |  |              |   |              |                                    |  |
| Impact      |   |                                    |   |                                  |                       |   |  |   |  |  |  |  |   |  |  |   |  |   |  |  |  |  |  |   |   |   |   |        |  |  |  |  |  |              |   |              |                                    |  |
| 45          | <b>Apprenticeship levy</b>  | 9                                  |  | 9                                | 6                     | The Apprenticeship Levy which was introduced on   |  |   |  |  |  |  |   |  |  |   |  |   |  |  |  |  |  |   |   |   |   |        |  |  |  |  |  |              |   |              |                                    |  |

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|------------|---|------------------------------------|---------------------|----------------------------------|-----------------------|---------|--|---|--|--|---|--|---|--|--|--|--|---|--|--|--|--|--|--|---|---|---|---|--------|--|--|--|--|--|---------|--|---------|-------------------------------|--|
| 07/16      | <p>If the council (including schools) does not put in place effective arrangements to use the resources it will have available from the introduction of the apprenticeship levy, then it will be unable to maximise benefits and its use of resources and will miss out on the opportunities available through the fund.</p> <p>Risk owner – Chris Ward<br/>Cabinet member – Councillor Hackett and Councillor Moore</p> <table border="1"> <tr> <td rowspan="4">Likelihood</td> <td>4</td> <td style="background-color: #90EE90;"></td> <td style="background-color: #FFD700;"></td> <td style="background-color: #FF0000;"></td> <td style="background-color: #FF0000;"></td> </tr> <tr> <td>3</td> <td style="background-color: #90EE90;"></td> <td style="background-color: #90EE90;"></td> <td style="background-color: #FFD700; text-align: center;">9</td> <td style="background-color: #FF0000;"></td> </tr> <tr> <td>2</td> <td style="background-color: #90EE90;"></td> <td style="background-color: #90EE90;"></td> <td style="background-color: #90EE90;"></td> <td style="background-color: #FFD700;"></td> </tr> <tr> <td>1</td> <td style="background-color: #90EE90;"></td> <td style="background-color: #90EE90;"></td> <td style="background-color: #90EE90;"></td> <td style="background-color: #90EE90;"></td> </tr> <tr> <td></td> <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 |  |  |  |  |  | (amber) |  | (amber) | (green)<br><br>September 2018 | <p>1 April 2017 involves an annual council contribution (including local authority schools) of approximately £1,047,600, as well as a target to provide 203 apprentice opportunities (2.3% of the workforce (including local authority maintained schools) in 2017/18.</p> <p>In order to progress and manage this risk the following has taken place:</p> <ul style="list-style-type: none"> <li>• A report was presented to Cabinet in February 2017 to raise awareness of the need to engage with directorates and schools to consider options for the allocation and use of the levy funds</li> <li>• The Apprenticeship project board also carried out consultation and communications with Joint Union Panel, Directorates, school's forum and primary and secondary schools</li> <li>• The digital apprenticeship service portal has been set up for Sandwell Council and local authority maintained schools</li> <li>• A dynamic purchasing system for the procurement of the training provision was approved at Cabinet on 30 August and work will begin in the New Year to register new apprentices with training providers</li> <li>• The project team meets regularly to assess progress and prioritise target areas and also report apprenticeship data to the Apprenticeship Board which meets quarterly and is chaired by the risk owner and also has Cabinet Member representation</li> <li>• At present, there are approximately 70 vacancies being recruited to with 40 being advertised for schools through engagement with the Think Sandwell Team.</li> </ul> |
| Likelihood | 4   |                                    |                     |                                  |                       |         |  |   |  |  |   |  |   |  |  |  |  |   |  |  |  |  |  |  |   |   |   |   |        |  |  |  |  |  |         |  |         |                               |  |
|            | 3   |                                    |                     |                                  | 9                     |         |  |   |  |  |   |  |   |  |  |  |  |   |  |  |  |  |  |  |   |   |   |   |        |  |  |  |  |  |         |  |         |                               |  |
|            | 2   |                                    |                     |                                  |                       |         |  |   |  |  |   |  |   |  |  |  |  |   |  |  |  |  |  |  |   |   |   |   |        |  |  |  |  |  |         |  |         |                               |  |
|            | 1   |                                    |                     |                                  |                       |         |  |   |  |  |   |  |   |  |  |  |  |   |  |  |  |  |  |  |   |   |   |   |        |  |  |  |  |  |         |  |         |                               |  |
|            |   | 1                                  | 2                   | 3                                | 4                     |         |  |   |  |  |   |  |   |  |  |  |  |   |  |  |  |  |  |  |   |   |   |   |        |  |  |  |  |  |         |  |         |                               |  |
| Impact     |   |                                    |                     |                                  |                       |         |  |   |  |  |   |  |   |  |  |  |  |   |  |  |  |  |  |  |   |   |   |   |        |  |  |  |  |  |         |  |         |                               |  |

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|-------------|---|------------------------------------|---------------------|----------------------------------|-----------------------|---------|--|---|--|--|---|--|---|--|--|--|--|---|--|--|--|--|--|--|---|---|---|---|--------|--|--|--|--|--|--------------|---|--------------|---------------|--|
| 47<br>07/17 | <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<br/>Cabinet Member – Councillor Eling and Councillor Khatun</p> <table border="1"> <tr> <td rowspan="4">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></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 |  |  |  |  |  | 9<br>(amber) |  | 9<br>(amber) | 9*<br>(amber) | <p>The work of the WMCA is based around various key areas including, productivity and skills, mental health, housing and land regeneration and transport. Measures to manage this risk include:</p> <ul style="list-style-type: none"> <li>• Member representation on the main Boards and Committees of the WMCA e.g. the WMCA Housing and Land Delivery Board; the Transport Delivery Committee and the WMCA Wellbeing Board</li> <li>• Regular attendance of senior officer/ management meetings to discuss specific matters e.g. WMCA Chief executive meetings; WMCA s151 meetings; WMCA regeneration directors, WMCA Heads of ICT meetings, etc. where information is shared, best practice, tools and collaborative ways of working are discussed</li> <li>• Submission of bids to the WMCA and Black Country LEP (who also receive funds from the WMCA) for new projects and pipeline of schemes, via the preparation of business cases. This has shown recent successes with the council being awarded grant monies via Local Growth Funding and council applications being made to the Land and Property Investment Fund.</li> </ul> <p>Areas of where further work is required is in respect of the capacity and resources available to maximise the funding received and to develop new projects for submission to the WMCA. This is in part due to the vacant Director of Regeneration and Growth post. Issues around capacity and information sharing are being considered by the Executive Director – Neighbourhoods.</p> |
| Likelihood  | 4   |                                    |                     |                                  |                       |         |  |   |  |  |   |  |   |  |  |  |  |   |  |  |  |  |  |  |   |   |   |   |        |  |  |  |  |  |              |   |              |               |  |
|             | 3   |                                    |                     |                                  | 9                     |         |  |   |  |  |   |  |   |  |  |  |  |   |  |  |  |  |  |  |   |   |   |   |        |  |  |  |  |  |              |   |              |               |  |
|             | 2   |                                    |                     |                                  |                       |         |  |   |  |  |   |  |   |  |  |  |  |   |  |  |  |  |  |  |   |   |   |   |        |  |  |  |  |  |              |   |              |               |  |
|             | 1   |                                    |                     |                                  |                       |         |  |   |  |  |   |  |   |  |  |  |  |   |  |  |  |  |  |  |   |   |   |   |        |  |  |  |  |  |              |   |              |               |  |
|             |   | 1                                  | 2                   | 3                                | 4                     |         |  |   |  |  |   |  |   |  |  |  |  |   |  |  |  |  |  |  |   |   |   |   |        |  |  |  |  |  |              |   |              |               |  |
| Impact      |   |                                    |                     |                                  |                       |         |  |   |  |  |   |  |   |  |  |  |  |   |  |  |  |  |  |  |   |   |   |   |        |  |  |  |  |  |              |   |              |               |  |

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|-------------|--|------------------------------------|---------------------|----------------------------------|-----------------------|---------|--|---|--|--|--|--|---|--|--|--|---|---|--|--|--|--|--|---|---|---|---|--------|--|--|--|--|--|--------------|---|--------------|---------------|--|
| 48<br>07/17 | <p><b>Vision 2030</b></p> <p>If the council does not put in place arrangements to monitor and assure itself of the delivery against its 2030 vision then this will result in reputational damage.</p> <p>Risk owner – Darren Carter<br/>Cabinet Member – Councillor Eling and Councillor Trow</p> <table border="1" data-bbox="250 560 663 751"> <tr> <td rowspan="5" style="writing-mode: vertical-rl; transform: rotate(180deg);">Likelihood</td> <td>4</td> <td style="background-color: #90EE90;"></td> <td style="background-color: #FFD700;"></td> <td style="background-color: #FF0000;"></td> <td style="background-color: #FF0000;"></td> </tr> <tr> <td>3</td> <td style="background-color: #90EE90;"></td> <td style="background-color: #90EE90;"></td> <td style="background-color: #FFD700;"></td> <td style="background-color: #FF0000;"></td> </tr> <tr> <td>2</td> <td style="background-color: #90EE90;"></td> <td style="background-color: #90EE90;"></td> <td style="background-color: #90EE90;"></td> <td style="background-color: #FFD700; text-align: center;">8</td> </tr> <tr> <td>1</td> <td style="background-color: #90EE90;"></td> <td style="background-color: #90EE90;"></td> <td style="background-color: #90EE90;"></td> <td style="background-color: #90EE90;"></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 |  |  |  |  |  | 8<br>(amber) |  | 8<br>(amber) | 8*<br>(amber) | <p>The following actions have/ are taking place in respect of this risk:</p> <ul style="list-style-type: none"> <li>• Vision 2030 was approved by full council on 18 July 2017</li> <li>• Following this approval, Vision 2030 was launched with staff engagement events taking place in September whereby staff had the opportunity to discuss the Vision face to face with directors and members and provided feedback, comments and ideas about how services could contribute to the delivery of the Vision. The feedback and ideas collated have been fed into business planning workshops that took place in October, and a corporate (and directorate) business plan(s) is now being developed to align the business and financial planning framework to Vision 2030. Following this, Cabinet will agree the new plans in February 2018</li> <li>• Work has commenced on developing an outcome based performance framework which will look at key borough wide performance measures</li> <li>• An ongoing review of council policies is also being undertaken and as part of this will consider whether these policies lend themselves to contributing to the partner Vision 2030, and to ensure that they do not conflict with the aims of Vision 2030</li> <li>• The recommendations from the corporate peer review that is scheduled to take place in January 2018, will also contribute to informing the development of the performance management framework</li> <li>• Governance arrangements for reporting delivery and performance against Vision 2030 will need to be considered and be in place by June 2018.</li> </ul> |
| Likelihood  | 4  |                                    |                     |                                  |                       |         |  |   |  |  |  |  |   |  |  |  |   |   |  |  |  |  |  |   |   |   |   |        |  |  |  |  |  |              |   |              |               |  |
|             | 3  |                                    |                     |                                  |                       |         |  |   |  |  |  |  |   |  |  |  |   |   |  |  |  |  |  |   |   |   |   |        |  |  |  |  |  |              |   |              |               |  |
|             | 2  |                                    |                     |                                  |                       | 8       |  |   |  |  |  |  |   |  |  |  |   |   |  |  |  |  |  |   |   |   |   |        |  |  |  |  |  |              |   |              |               |  |
|             | 1  |                                    |                     |                                  |                       |         |  |   |  |  |  |  |   |  |  |  |   |   |  |  |  |  |  |   |   |   |   |        |  |  |  |  |  |              |   |              |               |  |
|             |  | 1                                  | 2                   | 3                                | 4                     |         |  |   |  |  |  |  |   |  |  |  |   |   |  |  |  |  |  |   |   |   |   |        |  |  |  |  |  |              |   |              |               |  |
| Impact      |  |                                    |                     |                                  |                       |         |  |   |  |  |  |  |   |  |  |  |   |   |  |  |  |  |  |   |   |   |   |        |  |  |  |  |  |              |   |              |               |  |

\* These are risks which are likely to remain amber over the medium term due to the longer term nature of these risks and the continued uncertainties. As such these risks do not have target dates.