

Appendix A

Profile of Current Strategic Risk Scores

RED	
AMBER	3, 25, 26, 30, 32, 36, 38
GREEN	11, 37

Summary Directorate Risk Register @ November 2019



Ambition 1
High aspirations



Ambition 2
Healthy lives



Ambition 3
Skills



Ambition 4
High quality
education



Ambition 5
Safe
communities



Ambition 6
Excellent and
affordable public
transport



Ambition 7
Housing to meet
needs




Ambition 8
Community life,
leisure centres
& entertainment





Ambition 9
Location of choice
for business and
growth




Ambition 10
Reputation
for getting
things done



Risk Ref	Risk Title and Description	Previous risk score (Oct 2017)	Movement in risk score	Current risk score (Nov 2019)	Target risk score and date	Comment
003 04/11	<p>Strategic Workforce Development</p> <p>A workforce strategy is in place and links directly with workforce planning and training. This offers existing staff training opportunities to ensure that they are qualified and competent to face service needs. If recruitment and retention are not prioritised within the service and amongst service providers, then there will not be the skilled staff necessary to deliver appropriate social care.</p> <p>Risk owner – Nicola Plant Cabinet Member – Councillor Shaeen</p> <p>Ambitions impacted: 2 and 3</p>	9 (amber)		9 (amber)	6 (green) March 2020	<p>The measures in place to manage this risk include:</p> <ul style="list-style-type: none"> Created a career development pathway which will support retention, career development and succession planning within social work. An Occupational Therapist student programme in place that works to secure university placements. For social workers we have a student programme and the Assessed and Supported Year in Employment. A quality team that delivers bespoke training to providers of social care services Apprenticeships within the Directorate utilising the Apprenticeship Levy to access accredited qualifications. Use of the National Minimum Data Set for social care which is an online system used as a tool to collect intelligence on workforce data An updated Workforce Development Strategy to reflect the diverse workforce in the Directorate. Qualification Sponsorship scheme to support employees to obtain recognised qualifications to enhance their work performance and skills. An annual Training Needs Analysis (TNA) is completed to identify learning, development and mandatory needs of the workforce.


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011 04/10	<p>Employee relations</p> <p>There is a risk that there will be industrial relations and staff deployment issues associated with the changes that are being brought about as a consequence of budget reductions and service transformation.</p> <p>Risk owner – Christine Guest Cabinet Member – Councillor Shaeen</p> <p>Ambitions impacted: 1, 3 and 10</p>	6 (green)		2 (green)	2 (green) Achieved	<p>This risk was first identified in the directorate risk register a number of years ago when major transformation in the adult services sector was identified as necessary to deal with challenges such as national policy changes including the Care Act 2014 and the Better Care Fund, and significant austerity measures were being introduced.</p> <p>Since this time the assessment of this risk has been amber due to the significant impact these changes could have on the workforce and employee relations.</p> <p>The reduction in the risk is as a result of the completion of a number of the key actions that were required to manage these challenges. The changes to date have all been effectively managed through regular meetings with members, unions and staff briefings.</p> <p>Despite the above, the service continues to face transformational change and financial pressures. As a result, the risk will be maintained on the risk register to ensure it continues to be effectively managed.</p>																																
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025 05/12	<p>Supply chain resilience</p> <p>If appropriate ongoing assurances regarding the financial and operational viability of companies commissioned by the Authority to provide services are not obtained, then there could be significant implications and unplanned financial consequences for the Authority if the operators of those services cease operations.</p>	12 (red)		8 (amber)	8 (amber) April 2020	<p>This risk is concerned with the financial viability of social care providers which has a potential for the provider to be unable to continue operating, thereby existing the market and handing back contracts for the provision of care services to the council. In recent times the risk has become more significant due to increased cost pressures providers are facing which include, the introduction of the National Living Wage; apprenticeship levy; auto enrolment and increased pension costs and care worker travel and sleep in costs, and this is reflected in the assessment of this risk.</p>																																


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	<p>Risk owner – Colin Marsh Cabinet Member – Councillor Shaeen</p> <p>Ambitions impacted: 2 and 5</p>	<table><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="5">Impact</td><td></td></tr></table>			Likelihood	4					3					2				8	1						1	2	3	4	Impact						<p>To mitigate the risk, the service has the following measures in place:</p> <ul style="list-style-type: none">• The levy of the adult social care precept on council tax• Financial and supply chain risk assessments are undertaken at tender and pre qualification stages of the procurement process• Robust performance and contract management arrangements are in place for individual contracts• Reports have been approved by Cabinet over recent months to increase rates of pay to certain types of providers• A care home closure policy is in place setting out the procedures to follow should a provider become operationally unviable <p>Actions to mitigate the risk further include:</p> <ul style="list-style-type: none">• Further report to Cabinet to consider rates of pay to non residential care providers• Ongoing collation and review of ‘soft information’ on providers to identify any providers of concern prior to becoming operationally unviable.
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<p>026 05/12</p>	<p>Safeguarding</p> <p>If partners in the Sandwell Safeguarding Adults Board (SSAB) and other related Boards fail to engage in the Safeguarding agenda then they will fail to meet their obligations, and vulnerable adults will not be effectively safeguarded.</p> <p>Risk owner – Nicola Plant</p>	<p>8 (amber)</p>		<p>8 (amber)</p>	<p>4 (green) September 2020</p>	<p>This risk is assessed as amber and reflects national safeguarding issues such as domestic violence, Prevent, human trafficking and modern slavery, all of which the SSAB and other partners and Boards including, Health and Well Being Board, the Police and Health Service are jointly responsible for managing.</p> <p>In terms of the measures that are in place to ensure partners are engaged in the safeguarding agenda, the following is in place:</p>																															

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	<p>Cabinet Member – Councillor Shaeen</p> <p>Ambitions impacted: 2, 5 and 10</p>	<table><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="5">Impact</td></tr></table>			Likelihood	4					3					2				8	1						1	2	3	4	Impact						<ul style="list-style-type: none">A Strategic plan is in place which sets out the key priorities for the Safeguarding Adults Board and member organisations, and the actions that will be taken to deliver the plan. This is due to be updated in October 2020.Multi agency procedures are in place that align to West Midlands agreed procedures as well as national guidance and legislation, including the Care Act 2014. Compliance with these procedures is monitored by the SSAB.Commissioning and delivery of multi agency training to ensure that safeguarding officers have the necessary skills.Learning and implementation of actions from Safeguarding Adult Reviews to ensure that improvements are made in the way organisations work together and share information.Attendance at meetings is recorded and monitored.A new chair was appointed in 2018. The SSAB Board membership and subgroups have been reviewed to ensure the Board is able to take forward key priorities.The SSAB works alongside the three other statutory Boards (Sandwell Safeguarding Children’s Board, Safer Sandwell Partnership and Health and Wellbeing Board to ensure joint working across key priorities.
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030 07/14	<p>Liberty Protection Safeguards</p> <p>If we do not identify sufficient funding and engage independent assessors to complete the number of Liberty safeguard protection assessments, then the authority will not discharge its statutory responsibility, putting vulnerable individuals at risk and placing the authority open to a legal challenge.</p> <p>Risk owner – Suki Sandhu Cabinet Member – Councillor Shaeen</p> <p>Ambitions impacted: 5 and 10</p>	12 (red)		8 (amber)	8 (amber) January 2021	<p>The Liberty Protections Safeguards provides a legal framework to protect those who lack the capacity to consent to the arrangements for their treatment and care which can be so extensive as to deprive them of their liberty. These protections are provided by advocacy support / paid representatives to enable a decision on care to be made in the best interests of the vulnerable person.</p> <p>The council has four advocacy contracts, including Independent Mental Capacity Assessor (IMCA) which will be impacted upon by LPS.</p> <p>The Liberty Protection Safeguards comes into effect in October 2020. Sandwell has commenced work/project in looking at the impact of the new legislation and is in the process of developing its approach, to be progressed January 2020 highlighting the key changes and resource implications. As such, the risk continues to be assessed as amber until January when a further assessment will be carried out once the full implications are understood.</p>
032 06/15	<p>Accommodation and support strategy</p> <p>If the service does not deliver an effective accommodation and support strategy, then the people of Sandwell will not have the appropriate options to support their independence and wellbeing and there will be increased and unsustainable demand and financial pressure on health and social care provision.</p> <p>Risk owner – Colin Marsh Cabinet Member – Councillor Shaeen</p> <p>Ambitions impacted: 2, 5 and 7</p>	8 (amber)		8 (amber)	4 (green) February 2021	<p>The risk reflects the delivery of the Accommodation and Support Strategy that was approved by Cabinet on 18 May 2016 and was developed to address the challenging transformation agenda and austerity measures. The Strategy focuses on the development of new approaches in providing vulnerable people with a choice of accommodation options, alongside the right care and support that enables them to stay in their own communities.</p> <p>Since its approval, the following has been delivered:</p> <ul style="list-style-type: none">• A number of consultations have taken place to seek stakeholder views on the options being considered• Needs analysis has been undertaken by cross departmental teams to inform decision making

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						<ul style="list-style-type: none"> • Development of the Oxford Road supported housing scheme which was delivered in 2018. A review of the scheme was commissioned with Changing Our Lives to offer scrutiny and overview to how the scheme has offered changes to people's lives. This has been delivered and a work plan has been established which will be linked to the ongoing allocations and running of the scheme. • Land secured for extra care scheme at Moor Lane. Cabinet approval for build to start which is now underway with an expected completion in February 2021. A report to consult on staffing and care provision proposals has been submitted to the November 2019 Cabinet meeting to seek approval. <p>The next iteration of the Accommodation and Support strategy is being developed and this is expected to have a wider remit to include people of all ages. This will also be developed in partnership with other Council departments and with Health to offer a more joined up approach. The strategy will also include 'Housing First' policy and is expected to be completed in January 2020.</p>
036 06/17	Integrated health and social care If there isn't a whole system approach to delivering health and social care services within Sandwell, then the required outcomes to meet government policy will	12 (red)		9 (amber)	8 (amber) April 2020	This risk is concerned with the Better Care Fund (BCF) which is a government programme spanning local government and the NHS which seeks to join up health and social care services so that people can manage

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	<p>not be achieved and the necessary financial efficiencies will not be delivered.</p> <p>Risk owner – Christine Guest Cabinet Member – Councillor Shaeen</p> <p>Ambitions impacted: 2, 3, 5 and 10</p>	<table><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="5">Impact</td><td></td></tr></table>			Likelihood	4					3			9		2					1						1	2	3	4	Impact						<p>their own health and wellbeing and live independently in their communities for as long as possible.</p> <p>The measures in place to manage this risk include:</p> <ul style="list-style-type: none">• The joint BCF partnership programme board with membership from the Clinical Commissioning Groups, public health and the council, which reports to the Health and well Being Board (HWBB) on a regular basis• Approval of the 2020/21plan in principle by NHS England (awaiting formal notification)• The joint appointment of a programme manager to support delivery of the programme• The provision of an agreed section 75 pooled budget. <p>The risk has been reduced to amber as although the above actions have been taken there are further actions required to deliver place based integrated health and care services.</p>
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037	<p>Delayed Transfer of Care (DTC)</p> <p>If we do not reduce DTC to national level, then we risk government intervention leading to a reduction in grant and potential financial clawback.</p>	12 (red)		4 (green)	2 (green) October 2020	<p>This risk is a key deliverable and workstream of the Better Care Plan Programme noted above at risk 036. Delayed Transfer of Care is a national issue and has been widely reported in the media over recent years (also referred to as ‘bed blocking’).</p> <p>For Sandwell, the key areas giving rise to the issue have centred around multiple and complex pathways;</p>																															

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	<p>Risk owner – Stuart Lackenby/Christine Guest</p> <p>Cabinet Member – Councillor Shaeen</p> <p>Ambitions impacted: 2, 5 and 10</p>	<table><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></td></tr><tr><td>1</td><td></td><td></td><td></td><td>4</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					1				4		1	2	3	4	Impact						<p>commissioners’ management of residential and domiciliary care and information sharing.</p> <p>As a result, to mitigate the risk a project has been set up for the DTOC improvement plan which broadly involves the delivery of a single social care and health hub pathway. The Better Care Fund Programme is being maximised to protect a number of vital prevention-focused services and a range of integrated services that support appropriate, timely and effective hospital discharges. This is governed by the BCF partnership Board.</p> <p>This risk has now been reduced as Sandwell, through a range of commissioning and service interventions has achieved a significant improvement in its DTOC and performance has been ranked best in the country and is number 1 in the West Midlands.</p> <p>The national BCF team have also confirmed that there will no clawback of monies or reduction in grant relating to performance.</p>
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<p>038</p> <p>04/19</p>	<p>Integrated Sexual Health Provision in Sandwell</p> <p>The Integrated Sexual Health Contract is with Sandwell & West Birmingham Hospitals NHS Trust (SWBHT). In the first nine months since contract commencement SWBHT reported that they made zero safeguarding referrals.</p>	<p>12</p> <p>(red)</p> <p>(April 2019)</p>		<p>8</p> <p>(amber)</p>	<p>4</p> <p>(green)</p> <p>December 2020</p>	<p>A remediation plan jointly drafted by Sandwell and West Birmingham Hospital NHS Trust and Sandwell Council is in place, some progress has been made by Sandwell and West Birmingham Hospital NHS Trust and key Safeguarding actions are being completed by Sandwell and West Birmingham Hospital NHS Trust. Safeguarding referrals were reported in the recent quarterly contract review report on 06.11.2019.</p>																															

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	<p>The contract is managed under Co-Operative Working. Within that framework, appropriate monitoring and performance measures are in place including ¼ contract review meetings and a formal Remediation Action Plan (RAP).</p> <p>There may be individuals or groups of individuals in Sandwell who are victims of exploitation and who are not being referred to appropriate bodies for support and to make safe. This presents a significant risk to them as individuals, the wider community and reputational risk to both Sandwell & West Birmingham Hospitals NHS Trust and Sandwell Metropolitan Borough Council.</p> <p>Risk owner – Valerie Unsworth Cabinet Member – Councillor Shaeen</p> <p>Ambitions impacted: 2, 5 and 10</p>					<p>A joint Safeguarding Audit has been completed and shared with Sandwell and West Birmingham Hospital NHS Trust. Some progress has been made but not all actions have been completed within agreed timescales.</p> <p>Better relationships and some progress has been made so the likelihood has reduced but the impact remains unchanged. Risk has decreased from red to amber.</p>

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