



1. Best start in life for children and young people



2. People live well and age well



3. Strong resilient communities



4. Quality homes in thriving neighbourhoods




5. A strong and inclusive economy




6. A connected and accessible Sandwell


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4 07/12	<p>Children's Social Care</p> <p>If the council does not put in place robust arrangements and receive appropriate assurances to ensure that the Sandwell Children's Trust addresses the areas of poor or inconsistent performance, as outlined by Ofsted (and as required by the Statutory Direction served on the council by the Secretary of State on 6 October 2016), with rigour and pace, then the council will fail in its responsibilities to:</p> <ul style="list-style-type: none"> Safeguard vulnerable children Promote and improve the outcomes of children in its care Manage any adverse financial consequences arising from the failure to create favourable outcomes for children within the resources available to it Improve the continued adverse affect on the council's reputation. <p>Risk Area – Children's Services</p>	12 (red)		12 (red)	8 (amber) Requires Improvement Next full Ofsted inspection	<p>Since the last update, the following is noted:</p> <ul style="list-style-type: none"> Assurance on the performance of the Trust's operations against the Service Delivery Contract (SDC) continue to be overseen by the Operational and Strategic Partnership Boards. The 'relief clause' that was enacted as a result of Covid, in respect of performance against the SDC (reported to the Committee at the last meeting), is in place until 31 March 2021. Performance of the Trust's operations continue to be good. Virtual visits take place as appropriate, and the Contact Centre and the Wellman, which is partially open, allow physical visits to take place. Whilst, there was an increase in referrals when schools reopened in September, the surge that was anticipated did not materialise. Recent referrals appear to be more complex and centre around wellbeing, because of family issues, increased anxiety, withdrawal and young people being uncertain about the future. Appointments to the two posts of Strategic Partnerships & Commissioning role and the Senior Commissioning Manager (client side function) have been completed and have commenced. The Senior Commissioning Manager is responsible for the monitoring of the contract 																																
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	Objectives impacted: 1 and 3					<p>with the Trust and the contract with the Regional Adoption Agency.</p> <ul style="list-style-type: none"> The Chief Executive of the Trust is due to leave on 31 March 2021 and a recommendation for her replacement was approved as required by the Secretary of State and thereafter agreed by Cabinet in January, with handover arrangements in place to ensure a smooth transition. The focussed visit by Ofsted that was reported to the Committee at the last meeting, did not take place as a result of Ofsted visits being paused due to Covid. It is envisaged however, that a three day visit looking at the arrangements and measures put in place by the council and the Trust to ensure children and young people received appropriate support, care and protection during the emergency, may take place in early 2021. The findings will be published by Ofsted. This alongside a full Ofsted inspection (anticipated in the Spring) will provide the additional assurances on the management of this risk.
4c 02/18	<p>Demand for Children's Social Care</p> <p>If the rate of demand and pressures on children's social care (experienced nationally and locally) continue to increase at the same or at a higher rate than that experienced during 2017/18, then without a national funding solution and improved children's social care services, this will have a detrimental impact on the financial resilience of Sandwell Children's Trust</p> <p>Risk Area – Children's Services</p>	16 (red)		16 (red)	12 (red) April 2021	<p>The Trust is working with the Department for Education Advisor who is focussing on three areas of work including:</p> <ul style="list-style-type: none"> The achievability of the savings plans in place for the Trust Placement costs- with a view to making recommendations for innovative invest to save plans Number of children on child protection plans and the governance arrangements in place in this respect. <p>Funding from the Covid 19 support grant received by the council from central government, has been</p>



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	Objectives impacted: All					<p>allocated to the Trust to offset increased costs of working from Covid 19 in areas such as higher placement costs; costs of PPE; IT costs and increased costs of child protection plans.</p> <p>The contract sum for 2021/22 was agreed in principle at the Strategic Partnership Board in January and will be presented to Budget and Corporate Management Scrutiny Board on 9 February and then to Cabinet thereafter for approval as part of the overall 2021/22 budget for the council. Once approved, this will enable the Trust's Medium Term Financial Plan (MTPF) to be finalised, and a potential for the risk to reduce slightly.</p> <p>However, as noted above, as a result of Covid 19 and the economic downturn (which is likely to give rise to increased unemployment, deprivation, domestic violence and child poverty), it is envisaged that the number of children known to children's social care may increase and/ or the nature and complexity of issues will continue to increase. The impact of this may result in:</p> <ul style="list-style-type: none"> Increased costs for children known to children's social care (particularly child protection) Increased cost of social workers due to capacity issues resulting from increased volumes The Trust having to review and update its Medium Term Financial Strategy in light of new ways of working and delivering services, including increased costs by care providers Increased costs of support services for children e.g. mental health support <p>As a result of the above, the risk assessment is likely to remain high/ red over the medium term.</p> <p>Assurance on the management of risk therefore will continue to be sought via the governance arrangements in place (including OPB, SPB, scrutiny reviews, and the external audit review and opinion.</p>

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6a 10/07	<p>Emergency Planning</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"> Actual or anticipated failure to adequately protect vulnerable persons Failure to support the emergency services Loss of public confidence in the council Failure to fulfil Civil Contingencies Act responsibilities <p>Risk Area – Neighbourhoods</p> <p>Objectives impacted: All</p>	8 (amber)		8 (amber)	4 (green)	<p>The current emergency has tested and provided some assurance on the robustness and effectiveness of the council's emergency preparedness and planning arrangements. As a category 1 responder the local authority is required to:</p> <ul style="list-style-type: none"> Put in place emergency plans and business continuity management arrangements. Put in place arrangements to make information available to the public about civil protection matters and maintain arrangements to warn, inform and advise the public. Share information and cooperate with other local responders to enhance co-ordination. <p>The mitigations implemented include:</p> <ul style="list-style-type: none"> Continued governance arrangements being stood up to oversee and support the council's response to managing widespread community transmission of Covid19, including the Strategic Incident Management Team (Strategic IMT). Emergency response for the provision of food and medicines to those shielding, and ensuring the welfare of vulnerable people, by redeploying staff, volunteers and partners in critical areas. Regular communications to residents and businesses through various forms of media and via faith groups to ensure they understand the steps that need to be taken to control the spread of infection and also to understand and allay any concerns around vaccination. Monitor and enforce government directives on homelessness, social distancing and lockdown. <p>Whilst the council response has been extensive the risk continues to exist with infection rates continuing to increase in Sandwell.</p> <p>The recovery plan continues to be implemented and is informed by the lessons learned to date to see where further improvements can be made.</p>																															
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6b 04/18	<p>Business Continuity Management (BCM)</p> <p>If the council does not develop, review, monitor and test plans and capabilities that seek to maintain the continuity of key functions in the event of an unplanned disruptive incident, then it will be unable to perform critical business functions which will impact the provision of council services and result in potential financial loss and loss of public confidence in the council.</p> <p>Risk Area – Neighbourhoods</p> <p>Objectives impacted: All</p>	9 (Amber)		9 (amber)	6 (green) 2021/22 - once other emergencies have been tested again	<p>Council wide business continuity plans have been exercised over the last 10 months with a big shift to working remotely and the closure of a number of key operational council buildings.</p> <p>Exercise of the plans has allowed the adequacy of the council's ICT infrastructure, smart working and redeployment arrangements to be successfully tested and implemented.</p> <p>Whilst the council has continued to deliver critical services throughout the emergency response phase as noted above, the risk assessment is also informed by the adequacy of the council's recovery plans too. The effectiveness of the recovery plans to restore council wide service provision has also been tested during 2020 and 2021 with most council services fully restored and operational.</p> <p>Service risk assessments continue to be reviewed and updated to ensure operations remain safe and within permitted guidelines.</p> <p>Work is now underway to consider and explore new ways of working and delivering services, to encourage customers to interact and access council services in different ways.</p> <p>Despite the above, assurances in respect of other unplanned emergencies also need to be regularly tested to ensure the same level of responsiveness and preparedness is maintained for delivery of critical services in these cases. As such, the risk score is unchanged.</p>																																
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21a 06/15	<p>Compliance with the Data Protection Act 2018 (DPA 2018), the General Data Protection Regulations (GDPR) and Freedom of Information Act 2000 (FOIA)</p> <p>If the council does not ensure it has a robust framework in place to comply with the DPA 2018 (which includes GDPR) or FOIA then it faces significant external action from the Information Commissioner's Office for failing to undertake its statutory duty. Further, failing to comply will result in negative public reaction and reputational damage, significant monetary penalties, loss of confidential data and potentially legal action.</p> <p>Risk Area – Legal & Governance</p> <p>Objectives impacted: 3</p>	12 (red)		12 (red)	8 (amber) June 2021	<p>Since the last update to the Committee, the following has taken place:</p> <ul style="list-style-type: none"> The system for handling FOIs and Subject Access Requests has been updated and implemented and is showing improvements in response times for FOIs. Whilst the council has not experienced an increase in volume of FOIs or SARs, there has been an increase in the duration of response, which exceeds the statutory timeframe of one calendar month. This is partly due to the fact that paper records are not readily accessible due to the emergency and lockdowns experienced, and services have to organise for their retrieval over a longer period because of home working. This also makes the volume of information rights requests pending, appear much more than the standard volume at this time of year. Regular reporting of performance to the leadership team and service managers will ensure that any issues regarding response times can be monitored and mitigated. Nationally, there has been a significant rise in 'no win no fee' litigation for alleged data breach incidents which could result in Sandwell also experiencing a similar trend as 2021 progresses. Governance compliance support to organisations in Sandwell is expected to increase as requests for clarification are sought over expiry of extended EU dataflow arrangements ending in June 2021. Activity to ensure the data held by the council aligns with the council's corporate retention policy is underway. The submission of the NHS self assessment toolkit -NHS Digital was successfully submitted in September and work is underway to ensure compliance with the next submission which is due by 30 June 2021. 																																	
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The 22a 01/16	<p>CONTEST</p> <p>The national threat level was raised to 'severe' on 3rd November 2020.</p> <p>Whilst the national threat level remains 'severe' there is no known significant specific or particular threat for Sandwell.</p> <p>If the council does not work with partners to put in place suitable arrangements with the aim of preventing terrorism and radicalisation in Sandwell then it will be unable to effectively discharge its statutory duties.</p> <p>Risk Area – Neighbourhoods</p> <p>Objectives impacted: 3 and 5</p>	8 (amber)		8 (amber)	8* (amber)	<p>The main concern over the last year has been the potential impact that Covid 19 has had on this risk in terms of safeguarding, due to children and adults being online more during lockdown and restrictions.</p> <p>Whilst the risk still remains low for Sandwell, nationally and locally there has been evidence of increases in risk of radicalisation, online harms and crimes, and this has been evident in new referrals and pupil behaviours reported from schools in October after restrictions were lifted in September.</p> <p>Extensive communications to raise awareness and resources have been made available and shared with partners, Designated Safeguarding Leads in schools and on social media by the council's Prevent Team.</p> <p>The Prevent team is keeping in regular contact with Partners and Community partners by sending out relevant information and awareness raising messages through email and now also on Instagram and Twitter, to reach out to general public and partners.</p> <p>In addition, Prevent training during Covid 19 has also been delivered to council employees and partners online, and the team has trained approximately 300 staff each month since September 2020.</p> <p>Home Office project providers have also completed sessions in impact areas with some community groups and with most Pupil Referral Units across the borough.</p>																																
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27 06/09	<p>Funding and Resource Allocation</p> <p>Local Government continues to operate in an uncertain financial environment arising from reducing central government funding, increasing demand for services and planned changes to the local government funding formula. If the government does not provide local authorities clarity over future years funding and continues to make one year</p>	16 (red)		16 (red)	8 (amber)	<p>Appendix A of this report sets out the impact Covid 19 is having on the council's budgetary position.</p> <p>The government has provided emergency grant funding to the council and has also provided some funding relief for some aspects of loss of income. The extent to which it impacts the council's finances across the medium term however remains uncertain and continues to be monitored and reported to Budget and Corporate Scrutiny Management Board and Cabinet.</p>																																
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	<p>funding settlements then this inhibits local authorities to effectively manage medium term/ three year plans and put in place the necessary processes and actions to manage future pressures. This will impact on the council's ability to deliver sustainable services to the people of Sandwell and effectively discharge its statutory responsibility to set a balanced budget for future years.</p> <p>Risk Area – Finance & Resources</p> <p>Objectives impacted: All</p>					<p>With the government's focus on the pandemic and the uncertainties surrounding this and what a post Brexit Britain will look like, it announced a one year provisional funding settlement for local government on 17 December 2020. This is broadly in line with the prudent planning assumptions contained in the council's Medium-Term Financial Strategy. The revised draft MTFS is summarised below and will be finalised in due course and reported to Cabinet on 10 February 2021.</p> <table border="1"> <thead> <tr> <th></th> <th>2021/22</th> <th>2022/23</th> <th>2023/24</th> </tr> </thead> <tbody> <tr> <td>Total funding £m</td> <td>251.9</td> <td>257.3</td> <td>262.8</td> </tr> <tr> <td>Total expenditure</td> <td>260.8</td> <td>264.9</td> <td>268.3</td> </tr> <tr> <td>Deficit £m</td> <td>8.9</td> <td>7.6</td> <td>5.5</td> </tr> </tbody> </table> <p>The shortfall for 2021/22 is being addressed through one off balances and the council is confident of setting a balanced budget for 2021/22.</p> <p>The focus now will be on addressing the shortfall for subsequent years, which is made more difficult as the government has not provided councils the necessary clarity over future years funding to enable the council to effectively prepare a medium term plan.</p> <p>Uncertainty over the funding support available if any, for irrecoverable business rates and council tax collections in future years, the ability to plan effectively over the medium term and manage the risk down, continues to be reduced. It is for this reason only that the risk continues to be assessed as very high.</p> <p>In terms of the allocation of staffing resource, Phase 1 of the planned senior management restructure is underway to ensure that the council is futureproofed to deliver its long term corporate plan priorities. Plans, including external adverts for vacant posts, are in place to ensure that the majority of appointments to</p>		2021/22	2022/23	2023/24	Total funding £m	251.9	257.3	262.8	Total expenditure	260.8	264.9	268.3	Deficit £m	8.9	7.6	5.5															
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38a 03/18	<p>Health and Social Care Reforms</p> <p>If appropriate arrangements are not made to effectively manage the implications and the impact of the health and social care reforms including the Social Care Green Paper 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 Area – Adult Social Care, Health and Wellbeing</p> <p>Objectives impacted: 2 and 3</p>	8 (amber)		8 (amber)	4 (green)	This risk continues to be unchanged due to ongoing and further delays in the government setting out its plans to address the social care crisis. It is hoped that the pandemic may focus the minds of government to address what the future health and social care system should look like and focus not just on how it should be resourced to ensure funding is sustainable, but also for those working on reform, to widen their focus beyond care for older people.																																
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40 01/15	<p>School Place Planning</p> <p>If the Department for Education is unable to provide sufficient funding and if the council is unable to identify suitable solutions to schools' place planning and deliver these solutions on time and to scope then it will fail to discharge its</p>	8 (amber)		8 (amber)	4 (green)	<p>The current risk assessment continues to reflect the progress made on the three projects that have started and are on track for completion by September 2021.</p> <p>In addition, further progress has been made to progress work with the Department for Education on creating a new CBSO school in West Bromwich for 750 pupils, with the exchange of contracts for Providence Place in January 2021.</p>																																

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	statutory duties to provide sufficient school places. Risk Area – Education Objectives impacted: 1, 2 and 6					The future assessment of this risk will be dependent upon the basic needs allocation, which is expected around May 2021.																																
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42a 02/17	Cyber Security 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: <ul style="list-style-type: none"> The inability of the council to deliver services, particularly critical services for a significant period of time The loss of corporate and sensitive personal data (including bank details) Enforcement action Significant financial loss and Reputational damage Risk Area – Finance & Resources Objectives impacted: All	12 (red)		12 (red)	8 (amber) Dependent upon TMP and PSN completion	Since the last update, the following actions have been taken to manage the risk: <ul style="list-style-type: none"> A Cyber Board has been established and meets regularly to monitor the risk and actions required. A review of the process and procedures of backups of all critical systems is underway in response to the latest guidance from the National Cyber Security Centre (NCSC), following recent cyber attacks on local authorities (including Redcar & Cleveland and Hackney). Quarterly updates on all work being undertaken are provided to the Leadership Team and Corporate Scrutiny Board. Procurement of meta compliance software has been completed which will allow mandatory GDPR and cyber security training for all staff to be completed and monitored on a regular basis. The solution will also be used to raise awareness of cyber security across our workforce. Upgrades have been carried out to the latest generation of all firewalls and firewall analysers. Multi factor authentication work will be completed by the end of March 2021, providing a double layer of verification factors to gain access to a resource or system. Regular communications continue to be sent to employees around the risks of remote working, password security, etc. 																																
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						<p>The council's PSN certification continues to be in a 'deferred' status although the number of unsupported systems has reduced significantly during the last 12 months. At present this is not impacting the council's operations and ability to work with other service providers and share resources, as the governing body recognises the challenges involved.</p> <p>The Technology Modernisation Programme (TMP) which will implement new governance and revised security settings to Office 365 and Azure has been amended to take account of current working arrangements and service area priorities/pressures.</p> <p>The new Windows 10 build being delivered through TMP requires all users to 'drop off' their laptop devices for the new version to be installed and then collect the updated device. Due to Covid 19, this now needs to be approached very differently to ensure the safety of all employees.</p> <p>The risk assessment remains red.</p>
50 01/18	<p>Commonwealth Games Aquatic Centre</p> <p>If the council fails to deliver this project to scope, timescales and cost, then this will result in significant reputational damage to the council.</p> <p>Risk Area - Neighbourhoods</p> <p>Objectives impacted: 2, 5 and 6</p>	8 (amber)		8 (amber)	4 (green) April 2022	<p>Work on site has progressed well since main construction commenced in January 2020.</p> <p>All pool tanks are now complete and have been tested with exception of the dive pool as the test is currently ongoing in line with the programme. Structural steelwork commenced and is continuing on programme. The installation of the cladding, roofing and masonry has commenced as well as the installation of the dive tower and associated spring board plinths, with the latter completing by the end of January 2021.</p> <p>The project also remains on target for delivery within the allocated budget.</p> <p>While COVID-19 has had and continues to have an impact on all construction projects in the country, a proactive approach with the contractor, Wates Construction Limited, has seen the impact on the Aquatics Centre project kept to a minimum.</p>

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						<p>During lockdown one, the site was only closed for 24 hours while health and safety measures were checked to make sure that they were sufficient. Social distancing is in place on site and the site is being managed in line with Government guidelines. The health and safety measures on site have been independently audited and verified.</p> <p>As the impact of COVID-19 has been minimised and an action plan to move forward has been developed, the Project Team are confident that the project will be delivered in line with the programme.</p>																															
52 05/18	<p>Better Care Fund (BCF) and Public Health Grant</p> <p>If the government fails to confirm or extend grant funding for the Better Care Fund and for Public Health, then the council will be unable to discharge its key statutory functions in this respect.</p> <p>Risk Area – Adult Social Care, Health & Well Being and Public Health</p> <p>Objectives impacted: 2 and 3</p>	12 (red)		12 (red)	4 (green) When longer term funding is confirmed	<p>As with risk 27 above, the government has only announced a one year settlement for the improved Better Care Fund (iBCF) grant.</p> <p>The provisional funding settlement announced by the government has replicated the 2020/21 iBCF in both value and distribution for 2021/22.</p> <p>The settlement provided no information on the national total, or individual council allocations, of the public health grant for 2021/22.</p> <p>As a result of the above, the risk continues to be assessed as red.</p>																															
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53 04/18	<p>Business Management System</p> <p>If the appropriate project governance arrangements are not put in place to ensure that the project is delivered to</p>	12 (red)		12 (red)	8 (amber) September 2021	<p>The current system used by the council becomes unsupported from 31 December 2021.</p> <p>The first phase of the project plan was to go live in September 2020 and subsequent phases / sprints</p>																															

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	<p>time, scope and budget, then this may result in:</p> <ul style="list-style-type: none"> The council's business system being unsupported Inability to transform services that would enable processes to be more efficient Non compliance/ misalignment with other council policies and projects such as Organisational development, the digital strategy, Work Place Vision and the IT transformation programme. <p>Risk Area – Chief Executive, Finance & Resources</p> <p>Objectives impacted: All</p>			<table border="1" data-bbox="875 248 1294 443"> <tr> <td rowspan="4" 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; 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>1</td> <td>2</td> <td>3</td> <td>4</td> <td></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						<p>were planned to carry out service improvement and system functionality improvement works thereafter.</p> <p>As a result of the pandemic, the completion of the first phase has been delayed as the project plan had little slippage. However, as long as the delay of the first phase of go live does not go beyond December 21 then there is no risk of an unsupported system.</p> <p>Following a full review of the project, the go live date has been deferred to the weekend of 31 July/ 1 August 2021. In addition, governance processes have been refined, and there is greater emphasis on stakeholder engagement/change management activity. The Board has also agreed that additional project resources are made available.</p> <p>The risk as currently worded however, is about having an unsupported system and ensuring service transformation to enable efficient processes and digital transformation. As the pandemic continues however it remains as an ongoing risk to the delivery of the project.</p>
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