Sandwell
Metropolitan Borough Council

Directorate/ Project Risk Register as at November 2022

Probability / Impact matrix:

Probability \ Impact	1	2	3	4
4	4	8	12	16
3	3	6	9	12
2	2	4	6	8
1	1	2	3	4

Version	Date	Changes made to risk	Risks to be removed	New risks added	Changes made by
Version 1	25.11.21	First draft of Directorate RR Created due to creation of new Directorate	New Register	All	CN/NC
v2.00	20.1.22	Register updated	None	None	CN/NC
v3.00	1.11.22	Register Updated	BSC 07 de escalated from Strategic Risk and added here	BSC 10 BSC 11 BSC 12 BSC 07	CN/NC/VL/TH

Directorate/ Project Risks:

Ref	Risk Title	Dec-21	Nov-22
DRR BSC01	Corporate Plan	New	Updated with further actions
DRR BSC02	Corporate and Directorate Performance Management	New	Updated with further actions and risk level increased to 9 due to need to recruit and resource
DRR BSC03	Corporate Transformation	New	Updated with current position
DRR BSC04	Establishment of Directorate	New	Removed
DRR BSC05	Budgetary Pressures	New	Updated
DRR BSC06	Workforce Health & Wellbeing/new ways of working/Agile Working	New	Updated with further actions and increased risk
DRR BSC07	Health and Safety		New - included on DRR following de escalation from Strategic risk
DRR BSC08	Open Housing Contract	New	Updated
DRR BSC09	ICT Increased/new demand on the service	New	Removed from Register as mitigations have removed risk
DRR BSC10	Customer Journey	New	New
DRR BSC11	Organisation Culture	New	Updated
DRR BSC12	Customer Journey - customer feedback	New	New
DRR BSC13	Customer Journey - sql	New	New

Directorate/ Project Risks:

Ref	Risk Title and Description	Risk Owner	Service/ Workstream Area	Current and Ongoing Measures in Place to Manage Risk	Current Risk Score			What else do we need to do / Further actions required to manage the Risk	Responsibility for Action	Date for completion of Action(s)	Target Risk Score			Directorate Plan Priority
					Likelihood	Impact	Total				Likelihood	Impact	Total	
BSC 01	**Corporate Plan.** If Corporate Plan strategic objectives are not embedded in service planning across the council, then we will fail to deliver the strategic outcomes for the council and the borough "	Strategic Lead: Service Improvement	Service Improvement	Engagement Strategy in place with stakeholders throughout development of Plan to ensure key priorities are incorporated: - workshops with Leadership Team and Cabinet - Briefings and discussion with Scrutiny, Town Leads, All Members - Working Groups with H Grade and above managers - Children & Young People through schools, Care Leavers, SHAPE - Partners and VCS - All Staff briefings Staff across Service Improvement involved in events to ensure capacity in the team, cover and sharing of knowledge. All documents are located on shared drives or 'shared' with team members so have latest versions	1	4	4	Develop service business planning framework that demonstrates the 'golden thread' of the strategic priorities at all levels of the organisation	Strategic Lead: Service Improvement	Summer 2023	1	4	4	11
				Service Planning framework in place that demonstrates the 'golden thread' of the strategic priorities				Ensure continued dialogue across team to share updates and availability		Ongoing				
				Business Planning Co-ordinators identified in all directorates to develop consistent approach to business plans and monitor progress				Develop programme of events/activities that encourage cross-council working to embed the Fairer Sandwell Principles further		Summer 2023				
BSC 02	**Corporate and Directorate Performance Management (PMF).** Designing a Robust and Relevant Performance Management Framework If the Performance Management Framework is not developed with key stakeholders and does not include robust measures, then it will not provide intelligence to inform progress against strategic outcomes and future decision making and the allocation of limited resources for the council Similarly, if sufficient and appropriately skilled staff are not in place to manage Corporate PMF on an ongoing basis, then the council will not have corporate oversight of progress against the Strategic Outcomes or the intelligence to drive future decision making to improve performance.	Strategic Lead: Service Improvement	Service Improvement	Corporate Performance Management Framework in place with key measures to provide Leadership Team and members with oversight of key operational and strategic measures	3	3	9	Continue to develop relationship with Better Use of Intelligence Group to ensure full engagement with corporate PMF and continued development	Strategic Lead: Service Improvement	Mar-23	1	3	3	11
				Engagement with Better Use of Intelligence Group to ensure measures are robust and to share intelligence				Work with Customer Journey Transformation Programme to develop KPIs on customer experience to build into the PMF	Strategic Lead: Service Improvement	Mar-23				
				Regular reporting mechanism in place to Leadership Team, Cabinet and Scrutiny.				Recruit to posts and establish function	Strategic Lead: Service Improvement	Mar-23				
				Resources approved by Council in June 2022 to appoint to corporate performance team										
				PMF developed and managed by members of SI team alongside other responsibilities										
BSC 03	**Corporate Transformation** If insufficient and appropriately skilled programme management resource is not allocated to managing the Corporate Transformation Board (CTB), then Leadership Team will not have the desired oversight of transformation activity and limited resources will not be allocated to agreed priorities leading to the council not achieving its transformational outcomes or maximising the benefits from opportunities for collaborative working.	Assistant Director - Corporate and Business Services/Corporate Transformation Manager	Corporate Transformation	Experienced Corporate Transformation Board resourced from external agency whilst recruitment takes place. Permanent CT Manager has now commenced.	3	3	9	Recruit and allocate experienced dedicated resource for managing CTB and driving agenda with Leadership Team buy in	Director/Assistant Director, Corporate Transformation Manager	Mar-23	2	3	6	3
				Reporting mechanisms being developed with CTB to ensure appropriate information shared when relevant. Approach signed off by leadership team and workshops ongoing										
BSC 05	**Budgetary pressures and identification of savings** Local Government continues to operate in an uncertain financial environment arising from reducing central government funding, increasing demand for services and Covid-19. If the Council is unable to identify sufficient savings and put in place the necessary policies, processes and actions to manage pressures and manage its plans, then this will impact on the Council's ability to effectively discharge its statutory responsibility to set a balanced budget for future years.	Director/Assistant Directors	All	Regular budget monitoring meetings with Management Team and allocated accountant to ensure an up to date understanding of the budget on an ongoing basis	3	3	9	Continuous budget monitoring at a local and Directorate level	All Managers	Ongoing	3	2	6	3
				All Team Managers requested to identify budget saving potential options for discussion at Leadership Team				Further identification of potential efficiencies and budget saving opportunities for discussion with Leadership Team.	All Managers	Ongoing				
				Identification of appropriate budget allocations across the new Directorate in line with formation and realignment of teams following the creation of the Directorate.										
BSC 06	**Workforce Health & Wellbeing/new ways of working/Agile Working - Increased/New Demand on the Service** If the service fails to understand the new and increased workloads as a result of increased reliance on technology, the Council's new operating model and changing technologies it will fail to meet demand and lack the skills required to deliver quality services to users. Alongside this, if the importance of positive workforce Health & Wellbeing is not embedded into the organisation in line with the new ways of working, and if there are inadequate resources to support this, levels of absenteeism and presenteeism may increase	AD - HR	Organisational Risk	An established 'wellbeing approach' with complimentary interventions including free to access employee EAP	2	4	8	New Occupational Health accommodation that will encourage and facilitate greater workplace support	AD - HR	Mar-23	2	4	8	10
				Extensive online resource, including dedicated mental health and wellbeing support				Continue to encourage time and focus on the inclusion of wellbeing in employee activities across the organisation		On-going				
				Wellbeing conversations have been incorporated into 1-2-1 and appraisal documentation with associated guidance.				Look to develop the current wellbeing offering following the introduction of changes to the organisation's operating practices		On-going				
				Wellbeing Wednesdays actively encourage employees to invest in their wellbeing on a regular basis				Generate ideas, coordinate events and interventions to help provide connection to the whole workforce		On-going				
BSC07	**Corporate Health and Safety** Lack of awareness/ownership of H&S legislation/statutory requirements, and individual roles & responsibilities of whole workforce; leading to incidents, enforcement/interventions from HSE, Civil claims and reputational damage.	AD - HR alongside Leadership Team	AD - HR alongside Leadership Team	Mitigations continue to include: Corporate H&S team give competent advice, support and guidance as required by Management Regulations against the corporate HSMS carried out by completion of inspections/audits and processing of incident report forms.	2	3	6	Ensure all Leaders, managers & employees are aware of their roles and responsibilities as defined in the corporate policy/HSMS	Leadership Team	Ongoing	2	3	6	6,10 and 11
				A corporate Health and Safety Management Board has been established to provide leadership team a clear oversight of organisational performance on Health and Safety and the actions being taken to promotion of health and safety in the workplace.				Recommend that all Directorate Risk Registers include all risks around Health and Safety that are specific to their service areas and premises.						
				Appropriate processes and procedures in place via the development and continued maintenance of the corporate health & safety management system (HSMS), facilitating suitable training, and monitoring of H&S performance in relation to premises, plant and equipment etc				Ensure Risk Assessments continue to be undertaken and reviewed across all Directorates in a timely and appropriate manner						

Ref	Risk / Description	Owner	Category	Controls	L	I	Score	Mitigating Actions	Action Owner	Target Date	L	I	Score	Linked
				Continued auditing procedures in place, in line with the HSMS system to monitor and report on performance against corporate policy, to enable Leadership Team to have comprehensive oversight across all Directorates.			🟩						🟩	
BSC 08	**Open Housing Contract** The current Housing System - 'Open Housing' contract runs out in March 2023, an extension to this contract has now been approved by Cabinet in March 2023. Sandwell purchased Capita's GDPR premium module in 2018 but due to on-going performance issues, there has been a delay in implementing this module.	Strategic Improvement Manager	Business Excellence & Housing Management	Current Contract has 2 x 1 year extensions that has now been approved for enaction.	3	3	9	Market leaders in Housing Solution models need to be engaged and analysis of options is required. All Stakeholders need to be fully engaged and involved in process. Agreement needs to be reached on the best way forward. Take project to CTB and explore budget resource implications. Dependant on the above link with Procurement & develop appropriate Specification if required.	Strategic Improvement Manager	On-going	2	2	4	16
				Issues are being discussed and escalated at monthly service review meetings with Capita	3	3	9	Research is being undertaken to understand how other Capita user sites address performance issues	Strategic Improvement Manager	On-going				
				Capita held a workshop Oct 21, with users to identify areas for concern				Continue to escalate concerns at monthly service review meetings						
				An action plan has been developed and a further workshop has taken place to prioritise areas for improvement				Discussion has taken place with IMU to share concerns (22/02/22)			2	2	4	
				An analysis of time taken to run the application across all personal data has been undertaken and a plan agreed to run daily / weekly updates to ensure we are progressing with anonymising and or deleting data within the agreed retention periods				SIRO has been informed and regular monthly updates will be provided						
BSC10	**Customer Journey** One Stop Shop must meet the demand and needs of Customers, in order to avoid reputational damage to the Council.	Strategic Improvement Manager/Corporate Transformation Manager	Business Excellence Customer Services, Corporate Transformation	New Operating Model continuing to be reviewed and discussions with supporting services held.	3	4	12	Continued stakeholder engagement of both customers and supporting Directorates, specifically within the OSS.	Strategic Improvement Manager/Corporate Transformation Manager	Mar-23	1	2	1	16
				Recruitment campaign underway to fill vacancies.			🟥	Continued Leadership Team focus and spotlight to ensure collaborative working						
				Customer Journey is now a vital project in the Corporate Transformation Programme with buy in required from all Directorates.				Additional capacity and resources to be identified to meet current demand for face to face services						
				Relationship building with key stakeholders, to ensure any issues that arise are dealt with in a timely manner.				Customer Journey work to remain a high focus for the Corporate Transformation Office to ensure consistency across the council and inform future decisions relating to `customer`						
				Issues and concerns raised with Leadership Team and several focus sessions on Customer Journey have taken place.										
BSC11	**Organisational Culture** If there is a poor organisational culture and the desired values and behaviours are not exhibited, there will be a significant impact on employee engagement and the council's ability to demonstrate effective people management / diversity and inclusion practices will be weak and could result in demotivated employees leaving the organisation.	AD - HR	Organisational Risk owned by Leadership Team	Values and Behaviours are in place but not fully embedded and embraced across the organisation	3	3	9	Senior Leadership Team to revisit values and Behaviours and ensure that they reflect the organisation that we want to evolve - There is currently a piece of work being done as part of the Single Improvement Plan to improve organisational culture. A number of listening groups are planned across the organisation. The information captured will be translated into a desired organisational culture along with a set of behaviours that will support the organisation in achieving this	AD - HR	Mar-23	3	3	12	11 and 14
				Diversity and Inclusion workstream in development				Senior Leadership Team and Senior managers across the organisation to refresh teams with the Values and Behaviours	AD - HR	Mar-23				
								Decide the culture we want to develop and change this by consistently role modelling the Behaviours and actions that are conducive to the desired culture.	AD - HR	Mar-23				
								Develop Diversity and Inclusion action plan and implement positive action initiatives	AD - HR	On-going				
BSC12	**Customer Feedback** If there is not a robust system in place to manage and respond to Customer Feedback within the Organisation then the Council will fail to improve the customer journey which could have reputational consequences for the Council	Strategic Improvement Manager	Business Excellence	Data collection and reporting is in place, but this could be developed further. Dedicated Customer Feedback Team is in place. Ombudsman Complaints are collated and reported on weekly.	3	3	9	Customer Feedback review is currently being undertaken by Service Improvement. Performance data needs to be reviewed and dashboards developed for each Directorate so that Directors can see their own areas performance in relation to Complaints and any common themes/trends.	Strategic Improvement Manager	On-going	2	2	4	5, 11 and 16
BSC13	**SQL server DataWarehouse** Sandwell developed it owns BI solution following the implementation of Open Housing in 2008. All reporting requirements for Open Housing are delivered through Microsoft SQL development platform using tools: SSRS/SSIS/SSAS. At the time the reporting solution offered by IBS systems was not deemed suitable for the business needs. Whilst the solution delivers the needs of the business; it remains unsupported technically. The integration work that has been undertaken with Advance & Firmstep, mean there is more reliance on the solution, therefore more risk if an issue arises where we do not have the skills to resolve.	Strategic Improvement Manager	Business Excellence	Daily monitoring of the system to identify issues early on, including process in place to update all stakeholders	2	3	6	Review of OH currently being undertaken, BI solution will be included in this scope for review	Theresa Smith / Helen Green	On-going	2	2	4	16
				Auto alerts set up to identify possible failures points										
				Daily back up of data taken to ensure we have a roll back option in case of a failure										
				Knowledge bank of previous issues documented and used to train system team										

Priority No	Directorate Priority/Objective
	Short Term
1	Review HR Budget
2	Review ICT Budget
3	Directorate Realignment
4	Review HR staffing structure
5	Repurpose existing resource to support management of Corporate Transformation
	Medium Term
6	Oversight of Corporate Systems
7	Organisation Design Principles
8	Employee Recognition scheme
9	Analyse and take action results from the 2022 Staff Survey
10	Continued focus on Occupational Health Service
11	Strategic Planning
	Long Term
12	Providing corporate ICT access to approx. 500 staff who do not use a computer as part of their day to day role
13	Review of sickness absence management process
14	Review of people policies
15	Review of corporate `enabler` functions within the Directorate and how these are prioritised
16	Customer journey workstream

Score	Impact Higher of			Likelihood (the proximity of the risk at the time of assessment)
	Financial	Reputation	Service Delivery	
4 (High)	>20% of budget	National media coverage – permanent impact on reputation	**>80%** Serious service or programme failure directly affecting vulnerable groups, requiring intervention by Members.	**Almost certain** It is reasonable to expect that the event will undoubtedly happen or recur, possibly frequently or at least within the next six months A more than 50%,chance of the risk occurring
3 (Medium)	11% to 20% of budget	Local media and TV coverage- long term local reputation affected	**50%-80%** Significant service or project disruption requiring intervention by Corporate Directors / Management Board	**Probably / likely** The event is more than likely to occur. It will probably happen in the next year but is not a persisting issue. The chance of the event occurring is between a 25% to 50% likelihood
2 (Low)	5% to 10% budget	Local newspaper coverage – reputation affected temporarily	**25%-49%** Noticeable disruption to outputs requiring intervention by a relevant Director / Service Manager	**Possible** Little likelihood of the event occurring. It might happen in the next 18 months or recur occasionally. The chance of the event occurring is between a 10% to 24% likelihood.
1 (Very Low)	<5% of budget	Local gossip/ reputation affected internally	**<25%** Short term service disruption requiring intervention by a unit or project manager or equivalent	**Unlikely** The event is not expected, There is no expectation that the event will occur, but it is possible that it might do so. The chance of the event occurring is less than 10%.

Risk Categorisation

Impact
(Higher of financial, reputation and service delivery)

Red risks are those that require immediate action to reduce their likelihood and/or impact. These risks should be monitored on at least a monthly basis to ensure that the further actions necessary to reduce the level of risk are completed within appropriate timescales. These risks should be escalated / reported as appropriate to ensure that they are brought to the attention of the Management Board and members.

Amber risks are those that require action to ensure that the effectiveness of existing control measures are monitored and improvements made if required to reduce the likelihood and/or impact to green. These risks should be reviewed on at least a quarterly basis.

Green risks are those that should be monitored on a less frequent basis, either six monthly or annually, to ensure that existing control measures continue to be effective.