

Strategic Risk Register Summary @ June 2021

Appendix A

Profile of Current Strategic Risk Scores

RED	4, 21a, 27, 27a, 42a, 53, 54, 59
AMBER	6a, 6b, 50, 55, 56, 58, 60
GREEN	57





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 Risk Owner – Executive Director of Children's Services Objectives impacted: 1 and 3</p>	12 (red)		16 (red)	8 (amber) Requires Improvement Next full Ofsted inspection	<p>Assurance on the performance of the Trust's operations against the Service Delivery Contract continues to be overseen by the Operational and Strategic Partnership Boards.</p> <p>Performance against KPIs has been good and some areas have continued to improve, however, staffing levels and high vacancies remain a significant issue.</p> <p>The last Ofsted visit in March 2021 identified continued improvements, but ongoing serious weaknesses in three areas that were previously highlighted in the 2016 inspection. The improvement plan is being refreshed to address these areas specifically, in addition to other areas of continuous improvement. The Department for Education chaired Improvement Board also continues to have oversight of these matters.</p> <p>The new CEO has settled into role quickly and has demonstrated a good grip of the key issues</p> <p>The full Ofsted inspection could be later in 2021 but is more likely to be early in 2022. The contractual obligation to reach a judgement of 'Requires Improvement' cannot be met due to the impact of the coronavirus pandemic and the cessation of full inspections. This will also impact the contractual obligation to secure a judgement of 'good' by 2022.</p> <p>As a result of the above, given the staffing issues and the ongoing impact of Covid-19 on the ability to deliver business as usual, the risk has increased.</p>																															
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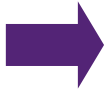
Risk Ref	Risk Title and Description	Previous risk score (Jan 2021)	Movement in risk score	Current risk score (Jun 2021)	Target risk score and date	Risk Comments																															
6a 10/07	<p>Emergency Planning</p> <p>If the council does not put in place effective arrangements to plan and 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 Risk owner – Chief Executive Objectives impacted: All</p>	8 (amber)		8 (amber)	4 (green) When a full review of the response is conducted after the emergency ends and an action plan implemented to deal with the lessons learned	<p>The Covid-19 pandemic continues to test and provide assurance on the robustness and effectiveness of the council's emergency preparedness and planning arrangements.</p> <p>Mitigations implemented since the last update 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 Covid-19, including the Strategic Incident Management Team. Ongoing redeployment of staff in critical areas. Regular communications to residents and businesses 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. Participation in the West Midlands Local Resilience Forum (LRF) including Chief Officers, General Working and Operational Groups. Contribution to the Community Risk Register (CRR) via the Risk Assessment Working Group. The CCR informs the capabilities and plans required of partners and is approved by LRF. Ongoing review and maintenance of other emergency plans including the Sandwell Emergency Plan; Rest Centre Plan; Humanitarian Assistance Centre Plan; Sandwell Flood Plan; Extreme Weather Plan; Black Country Excess Deaths Plan; Sandwell Borough Evacuation Plan; and the Emergency Transport Plan. <p>Whilst the council response has been extensive the risk continues to exist. 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 Risk owner – All directors Objectives impacted: All</p>	9 (Amber)		9 (amber)	6 (green) Once other emergencies have been tested again	<p>Business continuity plans are in place to mitigate the denial of; staff (e.g. illness, industrial action), ICT (e.g. software failure, cyber attack), facilities (e.g. building closure), stakeholders (e.g. suppliers, partners).</p> <p>As noted above, the Covid-19 pandemic has continued to provide some assurances around the robustness and effectiveness of the continuity of key functions over the last 16 months, whereby Council wide business continuity plans have been tested through a shift to working remotely and the closure of a number of key operational council buildings.</p> <p>Activation of the plans has allowed the adequacy of the council's ICT infrastructure, smart working and redeployment arrangements to also be successfully tested and implemented.</p> <p>An interim lessons learned report was drafted in October 2020 and progress on the implementation of the recommendations is presented to the leadership team quarterly.</p> <p>A formal review of all service plans is required to reflect organisational structure changes, new ways of working and capture learning from this emergency response phase.</p> <p>Consideration for plans to be stored and shared in a business continuity management system e.g. MS Teams will be given over the coming months.</p> <p>Under Procurement and Contract Procedure Rules some suppliers are required to evidence compliant business continuity plans. Suppliers may be listed in service level plans but at present the plans do not detail compliance.</p> <p>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 Risk Owner- Director of Law and Governance</p> <p>Objectives impacted: 3</p>	12 (red)		12 (red)	8 (amber) June 2022	<p>Since the last update to the Committee, the following has taken place:</p> <ul style="list-style-type: none"> The NHS self assessment toolkit -NHS Digital was successfully submitted at the end of June which demonstrate the processes the council has in place to meet the requirements with the NHS's data protection standards and data sharing arrangements. All Information Asset Registers are undergoing an annual review in line with the commitments within the council's information governance framework. The council's data retention policy has been reviewed and updated and will be presented to Scrutiny and thereafter to Cabinet for approval in August. Work continues to be progressed to ensure the records held by the council align to the retention policy. Information governance has been included as a standing item on directorate management team meetings to ensure that the progress of this work is monitored and also to ensure that directors fully understand the position of data held. The target date reflects the timescales to complete this work. 																																
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27 06/09	<p>Medium Term Financial Strategy 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 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.</p> <p>Risk Area – Finance & Resources Risk owner- Director of Finance Objectives impacted: All</p>	16 (red)		12 (red)	8 (amber) Dependent upon announcements of Comprehensive Spending Review	<p>Managing the council's financial position over the medium term remains extremely challenging, the forecasted position reported to Cabinet on 10 February 2021 identified funding gaps in each year, as summarised in the following table:</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>247</td> <td>259</td> <td>264</td> </tr> <tr> <td>Total expenditure £m</td> <td>261</td> <td>267</td> <td>271</td> </tr> <tr> <td>Deficit £m</td> <td>14</td> <td>8</td> <td>7</td> </tr> </tbody> </table> <p>The 2021/22 deficit has been managed in the short term by using one-off balances, providing time and space to develop a sustainable MTFS. All services have been allocated indicative savings targets for implementation by 2022/23, however, given continuing uncertainty over post Covid-19 operations and vacancies within the senior management structure there has been limited progress in developing specific proposals to deliver the budget reductions.</p> <p>The development of proposals during 2021/22 will be undertaken with the active involvement of Cabinet Members, be overseen by the Corporate Budget Board and the results will be incorporated into reports</p>		2021/22	2022/23	2023/24	Total funding £m	247	259	264	Total expenditure £m	261	267	271	Deficit £m	14	8	7
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27a 06/21	<p>Future Government Policies and Funding Sources</p> <p>If the government does not provide local authorities clarity over the future plans for health and social care reforms, the public health grant, Better Care Fund, future years funding and continuing, with one</p>	red		16 (red)	8 (amber) Dependent upon future government announcements	This risk has been identified as a consolidation of previous risks within the strategic risk register and the Covid-19 risk register in respect of a national funding solution for children's social care; risks around the government only providing local authorities with one year settlements, the health and social care reforms;																																

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	<p>year 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 Risk owner- Chief Executive Objectives impacted: All</p>	<table border="1"> <tr> <td rowspan="4">Likelihood</td> <td>4</td> <td></td> <td></td> <td></td> <td>16</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></td> </tr> <tr> <td></td> <td>1</td> <td>2</td> <td>3</td> <td>4</td> <td></td> </tr> <tr> <td colspan="6">Impact</td> </tr> </table>			Likelihood	4				16	3					2					1						1	2	3	4		Impact						<p>government funding for school place planning; future funding for public health and the Better Care Fund.</p> <p>These risks, most of which were previously assessed as red have been consolidated as the council has little if any control over the management of these funding risks.</p> <p>Due to the uncertainties that are currently prevalent around all of these funding sources, the risk continues to be assessed as very high.</p>
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42a 02/17	<p>Cyber Security</p> <p>If the council does not have a co-ordinated approach and understanding of its existing cyber security controls or those available to it, together with an analysis of identifiable gaps, then this could expose the council to cyber-attack resulting in:</p>	12 (red)		12 (red)	8 (amber) Dependent upon TMP completion and PSN certification	<p>Since the last update, the following actions have been taken to manage the risk:</p> <ul style="list-style-type: none"> The Cyber Board meets monthly to monitor progress against the Cyber Improvement Action Plan Quarterly updates on all work being undertaken are provided to the Leadership Team and Corporate Scrutiny Board. 																																

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	<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 <p>Risk Area –</p> <p>Risk Owner – Director of Business Strategy and Change</p> <p>Objectives impacted: All</p>			<table border="1" data-bbox="875 288 1294 483"> <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; color: white; 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						<ul style="list-style-type: none"> Training for all staff through the implementation of the meta-compliance annual training Regular communications continue to be sent to employees around the risks of remote working, password security, etc. Attendance at national C-Tag forums and West Midlands Warning, Advice and Reporting Point (WARP) where members can receive and share up-to-date advice on information security threats, incidents and solutions. <p>Further actions to manage the risk include:</p> <ul style="list-style-type: none"> A review of the process and procedures for backups of all critical systems is being completed in response to the latest guidance from the National Cyber Security Centre (NCSC), following cyber attacks on other local authorities Metacompliance –commencement of phishing tests to gauge awareness of and provide assurance on cyber security across our workforce. The results will be used to improve training and target areas of concern with additional training. Multi factor authentication will be introduced to all users by the end of December 2021, providing a double layer of verification factors to gain access to a resource or system. A gap analysis will be conducted against the Cyber Essentials standard. This will identify the improvements we need to make to achieve the accreditation. <p>The council's Public Sector Network (PSN) certification continues to be in a deferred' status although the number of unsupported systems has reduced. 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>
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						The Technology Modernisation Programme (TMP) was abandoned due to the pandemic and the plan will now be approached differently and include the roll out of a new Windows 10 build and an upgrade of the VM Ware and NetApp infrastructure.
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>	8 (amber)		8 (amber)	4 (green) April 2022	Work on site has progressed well since main construction commenced in January 2020. The dive tower has now been installed, the building is approaching being weathertight, and work has commenced on the 1 st fix mechanical and electrical services. All pool tanks are completed, are within FINA (International Swimming Federation) dimensional tolerances, and do not leak. Tiling has commenced on the studio and competition pools. The project also remains on target for delivery within the allocated budget.

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	Risk Owner – Interim Director of Regeneration and Growth Objectives impacted: 2, 5 and 6		<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></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> <td></td> </tr> <tr> <td></td> <td colspan="5">Impact</td> </tr> </table>	Likelihood	4					3					2				8	1						1	2	3	4			Impact								<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> <p>During lockdown one, the site was only closed for 48 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>
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53 04/18	Business Management System If the appropriate project governance arrangements are not put in place to ensure that the project is delivered to	12 (red)		12 (red)	8 (amber) October 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>Risk Owner – Chief Executive</p> <p>Objectives impacted: All</p>					<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>Delays in the build of the Payroll element have necessitated a delay in go live to the first weekend in October 2021, in order to allow sufficient time to fully test the payroll system.</p> <p>The build of the new solution has been completed by the implementation partner, with the project at the stage of User Acceptance Testing this build. Initial issues around data migration are currently being addressed which may compress the testing phase or potentially push back go live by a further month.</p> <p>Change Management and stakeholder engagement has commenced in earnest raising visibility of the project with the wider organisation.</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>
54 05/21	<p>Special Educational Needs and Disabilities (SEND)</p> <p>If the council is not able to appropriately support children with Special Educational Needs and Disabilities within the budget available, the impact on their life chances will be affected, the council will likely be subject to increased Tribunals, and the council's reputation will be adversely impacted.</p>	n/a	n/a	12 (red)	8 (amber)	<p>This risk has been included in the strategic risk register as a result of the consolidation and escalation of risks from the directorate risk register in respect of SEND, SEND transport and High Needs Block and the significant overspend against budget on SEND transport.</p> <p>The management of the risk includes:</p> <ul style="list-style-type: none"> The SEND Strategic Group which is chaired by the Executive Director of Children's Services and oversees the risk.

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	<p>Risk Area – Children’s Services</p> <p>Risk owner – Executive Director of Children’s Services</p> <p>Objectives impacted: 1 and 3</p>				the Autumn consultation on the High Needs Block budget	<ul style="list-style-type: none"> Assurance is also provided from the Operational Group which is chaired by the Group Head for Inclusive Learning. An action plan is in place and is being closely monitored to ensure it delivers on the outcomes required.. A SEN Transport working group is in place. This group has corporate membership from across the council and is chaired by the Group Head for Education Support Services. The council’s Children’s Services and Education Scrutiny Committee has oversight. There are close links with Ofsted and the DfE to ensure quality and sufficiency. 																																
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55 03/21	<p>Implementation of External Audit Recommendations</p> <p>If the Council does not put in place and successfully implement an action plan on a timely basis to address the recommendations made by the Council’s external auditors in its Audit Findings Report (AFR), then this may result in future audits providing a qualified opinion, additional audit costs being incurred and reputational harm to the Council.,</p>	n/a	n/a	9 (amber)	6 (green) September 2022	<p>This is a new risk that has been included as a result of the Council’s external Auditor’s Audit Findings Report 2019/20 which was presented to the Committee at its meeting on 18 March 2021.</p> <p>At this meeting, members requested that regular updates on the progress on the implementation of the recommendations made be presented to the Committee. A separate agenda item for this matter has been included and as such the mitigations in place and progress details are presented within that update.</p>																																
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	Risk area- Finance Risk owner – Chief Executive Objectives impacted - All																																					
56 04/21	Towns Fund Programme If the Council fails to deliver the towns fund programme by identifying suitable projects, preparing robust full business cases and ensuring effective delivery then this will result in the inability to regenerate our town centres, create sustainable economic growth and create long term economic prosperity, and also reputational harm to the Council. Risk area- Regeneration and Growth Risk owner – interim Director of Regeneration and Growth	n/a	n/a	9 (amber)	6 (green) Once PMO is established and projects underway	This is a new risk that has been identified following the announcement by government in the March budget of the £67.5m regeneration boost to Sandwell and the merger of the strategic and Covid-19 risk registers. The towns fund programme has robust governance in place to oversee the programme including a Town Deal Board (superboard) and three Local Boards aligning to the town deal areas. Each Board level has clear responsibilities set out in the Governance arrangements approved by Cabinet on 16th June 2021. The responsibilities of the Town Deal Board align with the requirements of Government. The Council is the Accountable Body for the Town Deal funding. The Director of Regeneration and Growth chairs a Towns Fund Accountable Body																																
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	<p>Objectives impacted – 2, 3, 4, 5 and 6</p>					<p>Officers Group (which is also attended by the Director of Finance/s.151 Officer and officers from procurement and legal as well as all project leads) to review risks and provide a forum for resolution of issues not requiring Board agreement as well as seeking assurances on the management of risk.</p> <p>Each project will be appraised in line with Council processes for capital schemes including a Capital Appraisal carried out by the Strategic Investment Unit. Towns fund and MHCLG advisors are regularly engaged to ensure that the programme is progressing well.</p> <p>Further actions that are necessary to ensure continued management of the risk include:</p> <ul style="list-style-type: none"> • A Towns Fund Programme Manager post to be formalised by August 2021. • The Council and Project Partners to enter into Advance Funding Agreements • Funding to be agreed and a Project Management Office (PMO) to be established for the duration of Towns Fund Programme <p>Assurances on the management of the risk will also be sought through Internal Audit reviews of the programme and to date no compliance issues have been identified.</p>
<p>57 06/21</p>	<p>New Operating Model</p> <p>If the council does not put in place effective arrangements to support new working styles for employees this could result in a detrimental impact on the health, well-being and motivation of employees as well as having a negative impact on the productivity and</p>	<p>n/a</p>	<p>n/a</p>	<p>6 (green)</p>	<p>3 (green)</p> <p>March 2022</p>	<p>This is a new risk that has been identified given the new ways in which the Council will be operating in the future.</p> <p>Measures already in place to manage the risk include:</p> <ul style="list-style-type: none"> • Staff, Managers and Trade Unions being actively engaged in both recognising the current pressures and difficulties the workforce are facing as well as

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	<p>attendance of the workforce and effective delivery of key frontline services.</p> <p>Risk area- Transformation</p> <p>Risk owner – Director of Business Strategy and Change</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;"></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> <td></td> </tr> <tr> <td colspan="6" style="text-align: center;">Impact</td> </tr> </table>	Likelihood	4					3					2			6		1						1	2	3	4		Impact								<p>being able to contribute to how the new operating model will look.</p> <ul style="list-style-type: none"> Regular surveys are being undertaken and engagement with all stakeholders is ongoing. Existing HR policies and procedures are in place that provide the safety net and guidance. Clear and managed health and safety policies and practices and risk assessments being in place. <p>In order to further mitigate this risk actions will include:</p> <ul style="list-style-type: none"> The reallocation of office space in consultation with Managers and Trade Unions A review of corporate policies in relation to working from home with amendments made as appropriate to ensure the right support is available to employees in the new operating model. <p>Assurances are being provided to the Work Place Vision Board and subsequently the Corporate Transformation board. Success will be judged on the basis of the engagement scores the Council achieves in the pulse surveys that are being undertaken.</p>
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<p>58 06/21</p>	<p>Equalities</p> <p>If the Council fails to meet its legal obligations in respect of the Equalities Act 2010 and Public Sector Equality Duty ensuring fairness is adhered to and is unable to demonstrate and evidence compliance with its obligations, then this will result in potential legal consequences</p>	n/a	n/a	9 (amber)	TBC once healthcheck completed and work programme agreed	<p>This is a risk that has been identified for inclusion in the strategic risk register.</p> <p>Whilst Equality, Diversity and Inclusion continue to remain a key priority for the Council this has been made even more evident by the 'Me Too' challenge and 'Black Lives Matter' movement. In addition, these issues have been further exacerbated by the pandemic, starkly highlighting the socioeconomic crisis that persists.</p>																																	

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	<p>for non compliance, reputational harm to the Council as well as potential impact on recruitment and retention.</p> <p>Risk area- Legal</p> <p>Risk owner – Director of Law and Governance</p> <p>Objectives impacted - 5</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: #FF0000; 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></td> <td></td> <td colspan="4" style="text-align: center;">Impact</td> </tr> </table>	Likelihood	4					3			9		2					1							1	2	3	4			Impact					<p>To ensure the continued management of this risk the following measures are in place:</p> <ul style="list-style-type: none"> An Equalities Commission has been set up with agreed Terms of Reference that was approved by the Emergency Committee in November 2020 and is chaired by Cllr Bostan. The Commission will report to the Leader of the Council and the Chief Executive. Three Stakeholder Groups, also with Terms of Reference have been set up including an Ethnic group; LGBT+ group and a Disabilities stakeholder group and are due to meet shortly. A fourth group in respect of Women is also being set up following request from Trade Unions. Funding has been secured for 5 full time posts to support work in this area. Officers are working with the Council's HR team to develop job descriptions with a view to carrying out a recruitment exercise shortly. An action plan (also approved by the Emergency Committee) has been developed based on feedback provided by employees across the council along with gaps identified in the workforce diversity data as well as best practice put forward by other public-sector organisations. A robust governance framework to help monitor and review the objectives and actions in the plan are also in place. <p>Further analysis is now required to understand some of the matters raised previously by these forums and once fully analysis has been carried out the action plan will be further updated and shape the work programme for the Commission. It is envisaged that the Council will have a good understanding of its equalities healthcheck by mid autumn. At this time, the risk assessment will be reviewed and updated.</p>
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59 04/21	<p>Corporate governance</p> <p>If the Council fails to undertake and conduct its business in accordance with necessary governance principles and practices to ensure that its actions remain lawful and consistent with best practice and are sufficiently open and transparent, then this will result in challenges being made to the Council, reputational harm and loss of confidence in the Council</p> <p>Risk area- Governance</p> <p>Risk owner – Director of Law and Governance</p> <p>Objectives impacted - All</p>	n/a	n/a	12 (red)	8 (amber) March 2022	<p>Members of the Committee will be aware that the Council over the last few years has faced a number of issues and concerns relating to various matters which have had an adverse impact on the Council's governance arrangements and their robustness and effectiveness.</p> <p>Despite efforts to address these issues and efforts to move the Council forward there remain concerns over the Council's governance. These concerns have also been raised by the Council's external auditors.</p> <p>Additional actions being taken include:</p> <ul style="list-style-type: none"> • The Council's external auditors will be conducting a governance review during 2021/22 with a focus on the Council's perceived inability to move forward from historic/ legacy matters and the impact that this is having on the Council being able to move forward. As noted in the audit plan, the review will look at how the Council's governance ensures that there is an effective focus on future plans and services and that member behaviour is appropriate. • The Council has put in place mechanisms to ensure lessons are being implemented including: <ul style="list-style-type: none"> ○ The review of the members code of conduct ○ Review of the ethical framework arrangements ○ New arrangements for dealing with member complaints and a revised social media policy and gifts and hospitality policy ○ The Council has embarked upon a scrutiny review which is expected to be completed this municipal year ○ Upgraded audio visual systems in chamber ○ The Council is upgrading its Committee Management Information System to aid and support more open and transparent decision making 																																
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						<ul style="list-style-type: none"> ○ A review will be undertaken to update the Council's decision making arrangements including the forward plan, report templates and report writing. ○ A review of the Council's Constitution to ensure remains fit for purpose. This will be overseen by the Governance and Constitution Review Committee. ○ Ensuring there is an effective role for Scrutiny particularly around pre decision making and policy development. 																															
60 04/20	<p>Health and Safety</p> <p>If the council does not allocate resources and put effective arrangements in place to support, protect its residents and workforce and the people they come into contact with then there is a potential risk to health, wellbeing and life, resulting in negative reputational impact and also potential for future litigation claims against the council.</p>	8 (amber)		8 (amber)	4 (green)	<p>This is a risk transferred from the Covid-19 risk register. Mitigations include:</p> <ul style="list-style-type: none"> • Monitoring through staff surveys and manager briefings the levels of wellbeing in the workforce and the borough • Preventative measures which include self help, mindfulness, etc. • Support measures the council has put in place to ensure that people are signposted to pathways to seek self help and therapy as required. This includes existing mental health strategies such as CAMHS, providing capacity and funding through grants to the voluntary community sector to ensure local provision is available for all. 																															
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