Improvement Plan Risk Register

June 2022

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

Risk Ref	Risk Title and Description	Current risk score (May 2022)	Target risk score	Progress to Date (incl. current risk mitigating controls and further actions to be taken to manage risk)	Key Sources of Assurance
IP1	**Improvement Plan objectives and member / officer engagement in those objectives** If programme objectives are not clearly defined to ensure they are within scope, deliverable, understood and agreed then the programme will proceed with no clear direction and may become unmanageable and/or scope creep may take place.	6 (Green)	3 (Green)	**Current and Ongoing Controls** • Engagement as part of the development of the Improvement Plan - sharing themes and workstreams with staff and members • Communications Plan implemented for governance review, CPC and Statutory Notice • Communications Approach set out in Improvement Plan • Objectives for each Theme within the Improvement Plan identified • Set of key messages for stakeholders in place and issued to all Directors • Council approval of Improvement Plan • All Member briefing held (incl. newly elected Members) **Further Actions** • Communications Plan delivered • Staff and member engagement through Organisational Culture change programme	Across all risks, sources of assurance are: • Leadership Team Improvement Review Meetings • Cabinet • Audit and Risk Assurance Committee • Scrutiny • Commissioners • PMF indicators • External Assurance – Grant Thornton, CIPFA, LGA Peer Challenge As noted in risk IP4 below roles of Cabinet, Scrutiny and Audit to be agreed with Chairs.
IP2	**Programme management arrangements** If appropriate programme management arrangements are not put in place then there is a risk that:	8 (Amber)	4 (green)	**Current and Ongoing Controls** • Improvement Plan approved by Council 07/06/22 • PMO support being provided by existing experienced resources within Service Improvement	As above

Risk Ref	Risk Title and Description	Current risk score (May 2022)	Target risk score	Progress to Date (incl. current risk mitigating controls and further actions to be taken to manage risk)	Key Sources of Assurance
	• The project will not be delivered to scope • The required improvements will not be made within the necessary timescales • The government may lose confidence in the council's ability to improve and intervention may be extended • The borough's residents may lose confidence in the council ability to deliver effective services • Inefficient use of limited resources • Continued reputational damage			• Processes around progress monitoring and change control established for Governance Improvement Plan • Risk register in place and will be reported to Leadership Team monthly and Cabinet quarterly **Further Actions** • Establishment of dedicated Programme Management Office • Terms of Reference for internal Improvement Plan Review Meeting updated to reflect government intervention, single Improvement Plan and assurance framework • Approach and processes for change control, issues, and escalations to be agreed and embedded	
IP3	**Allocation of sufficient resources to project management and project delivery/ maintaining Business as Usual while delivering the Improvement plan** If sufficient resources (capacity and capability) and where necessary additional resources are not allocated to the management and delivery of the improvement plan then this	8 (Amber)	4 (green)	**Current and Ongoing Controls** • PMO support being provided by existing experienced resources within Service Improvement • Resource gaps / pressures associated with actions within the Improvement Plan have been identified • Council on 07/06/22 approved Use of Improvement & Capacity Reserve and 2021/22 underspend allocated to Improvement Plan actions	As above

Risk Ref	Risk Title and Description	Current risk score (May 2022)	Target risk score	Progress to Date (incl. current risk mitigating controls and further actions to be taken to manage risk)	Key Sources of Assurance
	may result in officer fatigue, loss of motivation and the programme will fail to deliver all of its objectives.			**Further Actions** • Establishment of dedicated Programme Management Office • Recruitment to posts following allocation of funding • Resource issues and risks associated with the Improvement Plan to be reviewed regularly by Leadership Team and Register maintained	
IP4	**Project and risk governance assurance arrangements** If a robust assurance framework is not put in place to in respect of project assurance, including detailing roles and responsibilities of various stakeholders (eg Cabinet, Scrutiny, ARAC, partners, IB, etc) then the council may be unable to effectively monitor and evidence the improvement required.	6 Green	3 (green)	**Current and Ongoing Controls** • Terms of Reference for Improvement Plan Review Meeting in place • Governance approach included within Council report 07/06/22 • Risk identification has taken place • Agreement for Grant Thornton, LGA and CIPFA to review progress regularly • Improvement Plan Risk Register in place **Further Actions** • Update Terms of Reference for internal Improvement Plan Review Meeting following agreement of Cabinet/Scrutiny/Audit arrangements • Roles of Cabinet, Scrutiny and Audit agreed with Chairs • Reports to Cabinet, Scrutiny and Audit • Review update visit by Grant Thornton arranged for Autumn 2022 • Review update visits by CIPFA arranged for Autumn 2022 • Review update visits by LGA Corporate Peer Challenge arranged for Autumn 2022	As above

Risk Ref	Risk Title and Description	Current risk score (May 2022)	Target risk score	Progress to Date (incl. current risk mitigating controls and further actions to be taken to manage risk)	Key Sources of Assurance
IP5	**Communication Strategy** If a robust communications strategy is not put in place detailing how, when and what information is shared with the various internal and external stakeholders, then not everyone will be aware of their respective roles and responsibilities for delivering the improvement plan and effective service delivery. In addition, the DLUHC may lose confidence in the council's ability to improve resulting in extended/ additional intervention.	8 (Amber)	4 (green)	**Current and Ongoing Controls** • Communications Approach set out in Improvement Plan approved by Council 07/06/22 • Key messages document for stakeholders in place **Further Actions** • Communications plan prepared including specific activities e.g. Live event, Improvement Plan briefings • Communication with stakeholders to share details of Improvement Plan	As above
IP6	**Investment and Financial Resources** If sufficient/ additional financial resources are not made available, and the IP is expected to be delivered from existing budgets then the IP	12 (Red)	8 (Amber)	**Current and Ongoing Controls** • Resource gaps / pressures associated with actions within the Improvement Plan identified • Council on 07/06/22 approved use of Improvement & Capacity Reserve and 2021/22 underspend allocated to Improvement Plan actions	As above

Risk Ref	Risk Title and Description	Current risk score (May 2022)	Target risk score	Progress to Date (incl. current risk mitigating controls and further actions to be taken to manage risk)	Key Sources of Assurance
	may not be delivered within the necessary timescales or to scope.			**Further Actions** • Recruitment to posts following allocation of funding • Resource issues and risks associated with the Improvement Plan to be reviewed regularly by Leadership Team and register maintained	
IP7	**Organisational Culture** If the organisational culture does not change including improvement of member and officer relationships and political relationships, then this will impact the delivery of the IP objectives and the timescales within which delivery is achieved and may result in extended government intervention.	8 (Amber)	4 (green)	**Current and Ongoing Controls** • Specific theme in place within Improvement Plan • Corporate Governance Theme timescales revised to allow for additional engagement activity around Corporate Governance changes **Further Actions** • Actions agreed for organisational culture theme	As above plus Employee Engagement Survey
IP8	**Impact of Covid 19 on the Project Resources** If there is a continued impact of Covid 19 on resource availability, then this will impact the programme delivery plan.	6 (Green)	3 (green)	**Current and Ongoing Controls** • PMO resourcing in place from within Service Improvement • Resource gaps / pressures associated with actions within the Improvement Plan are being identified **Further Actions** • Single dependencies to be identified within resourcing plan	As above

Risk Ref	Risk Title and Description	Current risk score (May 2022)	Target risk score	Progress to Date (incl. current risk mitigating controls and further actions to be taken to manage risk)	Key Sources of Assurance
IP9	**Governance Policies and Procedures** If key council policies and procedures (such as the Financial Regulations, Land and Asset Disposal Policy, Procurement and Contract Procedure Rules, Scheme of Delegation, Code of Corporate Governance, etc) are not reviewed and updated to reflect the changes required then foundations for change will not be in place and progress will be limited.	9 (Amber)	3 (green)	**Current and Ongoing Controls** • Key corporate Governance Documents are being reviewed and are scheduled for approval in July 2022 and Autumn 2022 **Further Actions** • Engagement with Members around proposed changes • Sequencing of activity to be confirmed in light of engagement plans for organisational culture theme	As above
IP10	**Performance Management Framework (PMF) and Data Quality** If a robust PMF is not put in place and appropriate quality data captured then the council will be unable to effectively monitor and evidence improvement, delivery of the Improvement Plan and delivery of the Corporate Plan resulting in a failure to achieve the Council's objectives.	12 (Red)	8 (amber)	**Current and Ongoing Controls** • Performance Management Framework approved in April 2022 • Evidence of success outlined within each of the Improvement Plan themes focusing on outcomes for each theme • Improvement Plan Monitoring approach approved by Council • Resources approved by Council to address staffing resources required to sustain PMF **Further Actions**	As above

Risk Ref	Risk Title and Description	Current risk score (May 2022)	Target risk score	Progress to Date (incl. current risk mitigating controls and further actions to be taken to manage risk)	Key Sources of Assurance
				• Q1 Performance Report made to start to consolidate and embed PMF • Performance Management System options appraisal and procurement to provide capability for performance management • Recruitment to posts	
IP11	**Continued focus and resources allocated to historic issues** If the council does not focus on the Improvement plan and corporate plan priorities and continues to focus and allocate resources on historic issues, then this will impact the timely delivery of both the Improvement Plan and Corporate Plan.	8 (Amber)	4 (green)	**Current and Ongoing Controls** • Improvement Plan contains activity to be concluded, and lessons learnt embedding from historic issues • Cabinet and Leadership Team approach to historic issues **Further Actions** • Lessons learnt framework to be introduced. Lessons learnt to be collated relating to historic issues and shared across organisation • Regular monitoring of improvement plan to ensure that issues have been addressed	As above
IP12	**Risk approach and progress monitoring (optimism bias):** If the approach taken to risk scoring and/or progress monitoring against the delivery plans is unrealistic (e.g. being overly optimistic around progress and timescales or likelihood and severity of a risk) then there will be a failure to appropriately manage the	9 (Amber)	6 (Green)	**Current and Ongoing Controls** • Corporate risk scoring definitions applied • Definition in place for progress monitoring Red/Amber/Green progress monitoring for Improvement Plan **Further Actions** • Assurance to be provided through monitoring approach (including consistent use of RAG rating) to ensure that progress monitoring is	As above

Risk Ref	Risk Title and Description	Current risk score (May 2022)	Target risk score	Progress to Date (incl. current risk mitigating controls and further actions to be taken to manage risk)	Key Sources of Assurance
	programme and a loss of confidence in its delivery.			presenting a realistic view and reflecting risk associated with actions as well as progress against plans	