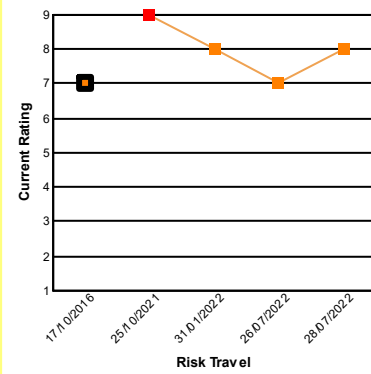


Appendix B - Corporate Risk Register

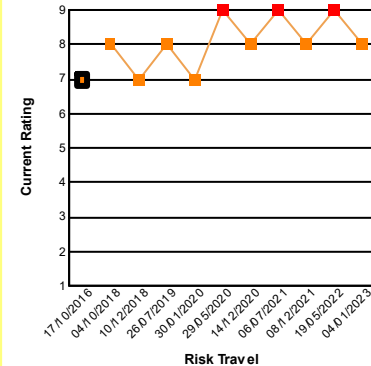
Risk Title	Risk Ref	Risk Owner	Created	Last Review	Next Review				
Avoidable death, serious harm or abuse of a child where the Council has a duty of care; Child safeguarding practice review or Domestic Homicide Review publication leading to adverse publicity	SMBCC0149	Pete Campbell	13/07/2010	15/12/2022	15/03/2023				
Potentially Caused by	Potentially Leading to	Gross Risk Level	Mitigating Actions	Action Status	Target Date	Net Risk	Previous Net Risk Level		
<ul style="list-style-type: none"> - Negligent action or failure to take action or excessive delay in taking action - Poor quality assessment and planning - Inexperienced staff - Poor supervision - Failure of systems including partnership information sharing - Failure to follow safeguarding procedures and processes 	<ul style="list-style-type: none"> - The Council being held liable for a death or serious injury to a child - Increased risk of litigation, prosecution and compensation claims - Loss of confidence and damage to reputation - Future recruitment challenges - Cost pressures 	<p style="background-color: red; color: white; text-align: center; padding: 2px;">Red</p> <p style="text-align: center; font-weight: bold;">9</p>	• Multi-Agency Improvement Board established	In Place		<p style="text-align: center; font-weight: bold;">Amber</p> <p style="text-align: center; font-weight: bold;">8</p> <p style="text-align: center; font-weight: bold;">Medium Likelihood</p> <p style="text-align: center; font-weight: bold;">High Impact</p>	New Record	17/10/2016	7
			• Quarterly Executive and Lead Member briefings on exploitation	In Place			Profile Change	25/10/2021	9
			• Additional capacity added through a fourth head of service	In Place			Profile Change	31/01/2022	8
			• Childrens Services Improvement plan in development	Complete			Profile Change	26/07/2022	7
			• Childrens Statement of Action, Childrens Improvement Plan	In Place	31/05/2022		Profile Change	28/07/2022	8
			• Development of Workforce Strategy	In progress	31/03/2023				
			• Recruitment drive is ongoing	In progress					
• Following Ofsted inspection in Nov 22, a revised action plan is being created for Children's Social Care and also for Partners	In progress								
• Following Ofsted inspection in November 2022, a revised action plan is being created for Children's Social Care and for Partners	In progress	31/03/2023							
Strategic Objectives Impacted		Safeguarding / Safety Legal/ Reputational CORPORATE PRIORITY 1 - Improving outcomes for children and young people in Solihull							
Review Comments		Following Ofsted inspection in November 2022, a revised action plan is being created for Children's Social Care and also for Partners 15/12/2022							



Risk Register - Corporate Risk Register

Risk Title	Risk Ref	Risk Owner	Created	Last Review	Next Review
Risks to MTFS delivery due to pressures in Children's Services, Social Care Reforms and inflationary pressures	SMBCC0133	Paul Johnson	06/01/2011	13/02/2023	02/04/2023

Potentially Caused by	Potentially Leading to	Gross Risk Level	Mitigating Actions	Action Status	Target Date	Net Risk	Previous Net Risk Level Event	Previous Net Risk Level Date	Previous Net Risk Level Rating
- Significant demand in Children's services - JTAI (joint targeted area inspection) of Children's Services leading to improvement plan - Adult Social care reforms - High Inflation Levels - Higher than budgeted pay award - Cost of living impact	- Council may not be able to deliver all its priorities. - Reductions in services - The Council may not be able to pursue investment opportunities.	Red 9	• Strict monitoring of Budget Delivery by CLT	In Place		Amber 8 Medium Likelihood High Impact	New Record	17/10/2016	7
			• Budget Strategy Reserve	In Place			Profile Change	04/10/2018	8
			• Business Rates Windfall	In Place			Profile Change	10/12/2018	7
			• Regular lobbying of government for further funding	In progress			Profile Change	26/07/2019	8
			• Some service specific reserves are in place	Complete			Profile Change	30/01/2020	7
			• The provisional local government finance settlement for 2023/24 was better than anticipated	Complete			Profile Change	29/05/2020	9
			• Budget Strategy Group will make a Budget recommendation to Cabinet in January 2023	Complete	31/01/2023		Profile Change	14/12/2020	8
			• February 2023 Full Council will need to approve a balanced budget	In progress	28/02/2023		Profile Change	06/07/2021	9
							Profile Change	08/12/2021	8
							Profile Change	19/05/2022	9
			Profile Change	04/01/2023	8				



Strategic Objectives Impacted Financial
Sound finance and management of assets

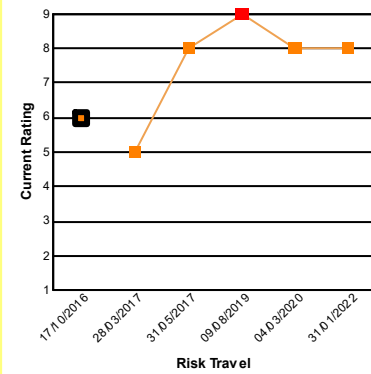
Review Comments Risk reviewed by Paul Johnson, progress on mitigations updated 13/02/2023

Risk Register - Corporate Risk Register

Risk Title	Risk Ref	Risk Owner	Created	Last Review	Next Review				
A serious information breach requiring notification and a fine from the Information Commissioners Office	SMBCC0134	Paul Johnson	09/01/2013	26/01/2023	26/04/2023				
Potentially Caused by	Potentially Leading to	Gross Risk Level	Mitigating Actions	Action Status	Target Date	Net Risk	Previous Net Risk Level Event	Date	Rating
<ul style="list-style-type: none"> - Personal or sensitive information being sent to the wrong person by using an incorrect email or postal address - Sending or attaching the wrong personal or sensitive information to a communication - Personal or sensitive information being lost or stolen when taken out of the office 	<ul style="list-style-type: none"> - Distress to individuals concerned - Loss of public confidence in Council's ability to keep personal and sensitive information secure - Increased complaints to Local Government Ombudsman and /or Information Commissioner (ICO) - Increased possibility of regulatory enforcement action including the potential for significant fines - Reputation damage to the Council. 	Red 9	<ul style="list-style-type: none"> • Ongoing communication strategy to re-enforce good practice. • Details of poor training take up is sent to each member of CLT • Comprehensive suite of Information security policies that are periodically updated • Ongoing series of core brief items to stress the importance of information security • Take-up of training on information security monitored by the Corporate Safeguarding Board • Implement follow up to corrective actions using Directorate leads & monthly data breach measure scorecard to CLT • Mandatory training for all staff on Information Security, with all staff being up to date with their training • Full CLT review of any information security incident assessed as medium or high impact 	<ul style="list-style-type: none"> In Place In Place In Place In Place In Place In Place In progress In Place 		Amber 8 Medium Likelihood High Impact	New Record	17/10/2016	8
Strategic Objectives Impacted		Legal/ Reputational							
Review Comments	Risk reviewed by Paul Johnson, progress on mitigation updated 26/01/2023								

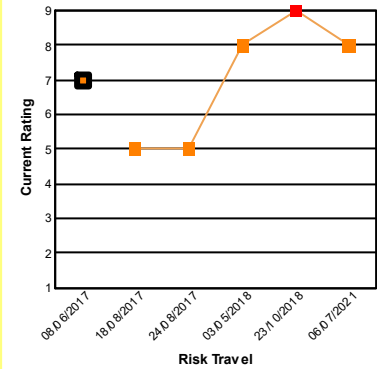
Risk Register - Corporate Risk Register

Risk Title	Risk Ref	Risk Owner	Created	Last Review	Next Review					
Failure to meet statutory requirements within Children & Families Act relating to SEND	CSS0214	Pete Campbell	02/09/2014	06/02/2023	06/05/2023					
Escalated from : Children's Services & Skills Directorate				Tim Browne						
Potentially Caused by	Potentially Leading to	Gross Risk Level	Mitigating Actions	Action Status	Target Date	Net Risk	Previous Net Risk Level Event	Date	Rating	
- Poor financial controls - Insufficient staff resources - Lack of agreed process and procedures - Failure to issue educational health care plans within 20 week timescale and failure to comply with legal requirements to provide education placements	- Impact on outcomes for children and young people - Children's needs not met - Reputational damage, e.g. Quality / number of complaints - Tribunals - Judicial Review - Written statement of action	Red 9	• Ongoing review of Educational Health Care Plan (EHCP) timescale	Complete		Amber	New Record	17/10/2016	6	
			• Statutory Assessment process and resources in place to meet timescales.	In Place		8	Profile Change	28/03/2017	5	
			• Establish Joint Additional Needs Board, Strategy and Delivery Plan	In Place		Medium Likelihood	Profile Change	28/03/2017	5	
			• Fully recruit to SEND (including StART) team structure per 2019/20 budget	Complete		High Impact	Profile Change	31/05/2017	8	
			• Fully revise SEND performance scorecard in line with audit recommendations	In Place			Profile Change	09/08/2019	9	
			• Monitor impact of new provider and new procedures on controls over direct payments	In Place			Profile Change	04/03/2020	8	
			• Recruit new Head of SEND (0-25)	Complete			Profile Change	31/01/2022	8	
			• Implement all advice from Legal Service SEND specialist including further additional training for StART team	In Place			Profile Change	31/01/2022	8	
			• Review High Needs Block Recovery Plan and strands	Complete						
			• Implement new casework management system (Liquidlogic)	Complete						
Strategic Objectives Impacted		Legal/ Reputational CORPORATE PRIORITY 1 - Improving outcomes for children and young people in Solihull								
Review Comments		Additional specialist capacity being brought on line. EHCP processes are now well embedded and 20 week timeline exceeding the national and local. 06/02/2023								



Risk Register - Corporate Risk Register

Risk Title	Risk Ref	Risk Owner	Created	Last Review	Next Review				
Failure to secure sufficient funding to deliver the UK Central Programme	SMBCC0144	Mary Morrissey	08/06/2017	25/01/2023	25/04/2023				
Potentially Caused by	Potentially Leading to	Gross Risk Level	Mitigating Actions	Action Status	Target Date	Net Risk	Previous Net Risk Level Event	Date	Rating
- Lack of funding in the West Midlands Combined Authority (WMCA) Investment Programme - Pace at which the UK Central Programme needs to progress compared to when funding might be available - Date by which funding commitments need to be given to HS2 Limited for them to change their base scheme.	- The full economic growth potential of UK Central is not realised. - SMBC does not get HS2 Limited to change its base scheme. - The Council's vision for a world class Health & Innovation Campus at the Arden Cross site is not delivered. - Infrastructure and wider projects in the UK Central programme do not get funded.	Red 9	<ul style="list-style-type: none"> Regular communication with WMCA Finance Director and Investment Director on funding position of the CA Investment Programme. Quarterly funding claims are made to WMCA Detailed Masterplan in place for the Arden Cross site. The Council's UGC is in regular dialogue with HS2 Limited and the DfT about funding requirements for the UKC hub site. UGC/SMBC Director level Board in place to monitor progress and review and refine Funding Strategy (ExCom) Governance through the Council's Urban Growth Company Board to approve and monitor project progress and financial commitments Contributions from other funding bodies and partner contributions being pursued as an alternative funding source. Pipeline of projects being developed to access grant funding for wider UKC objectives. Build strong business cases, including securing resources for delivery and resilience. Chancellor's March 2021 budget approved £50 million funding towards the multi-storey car park at the hub site. June 2021 CA Board approved £45 million loan to provide the remaining funding for the Multi-Storey car park. Finalise Collaboration and Land Value Capture Agreements with the Arden Cross consortium 	<ul style="list-style-type: none"> In progress In progress In Place In progress In progress In progress In Place In Place In Place 		Amber 8 Medium Likelihood High Impact	New Record Profile Change Profile Change Profile Change Profile Change Profile Change	08/06/2017 18/08/2017 24/08/2017 24/08/2017 03/05/2018 23/10/2018 06/07/2021	7 5 5 5 8 9 8



Risk Register - Corporate Risk Register

		<ul style="list-style-type: none"> • Final funding commitments need to be given to HS2 by 2023, which allows some time for these to be developed and finalised. • On-going dialogue with (and support from) senior Health colleagues about the proposed Health & Innovation campus. • Rigorous project and financial management arrangements in place 	<p>Planned</p> <p>In progress</p> <p>In Place</p>		
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Strategic Objectives Impacted CORPORATE PRIORITY 6 - Maximising the opportunities of UK Central and HS2.

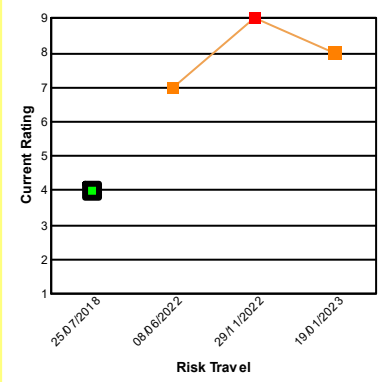
Review Comments Risk reviewed by Perry Wardle on 24/1/23. No changes at this time.
25/01/2023

Risk Register - Corporate Risk Register

Risk Title	Risk Ref	Risk Owner	Created	Last Review	Next Review
a. Failure to co-ordinate multi agency response to support Domestic Homicide Reviews (DHR's).	NHS0006	Mary Morrissey	25/07/2018	19/01/2023	25/03/2023
b. Failure of agencies to take action on agency and review recommendations and action plan.					

Escalated from : *Community Safety and Partnerships* Gill Crabbe

Potentially Caused by	Potentially Leading to	Gross Risk Level	Mitigating Actions	Action Status	Target Date	Net Risk	Previous Net Risk Level		
							Event	Date	Rating
a1 Insufficient capacity within Council and partnership to support the DHR process a2. lack of robust processes to manage DHRs a3. Agencies not engaging in the process or providing update information in a timely manner b1. Agencies not being able to implement change within agreed timeframe as expected. b2 Agencies organisational priorities conflict with outcomes of reviews. b3. Lack of oversight and escalation process	- Disruption to the DHR process - Reputational damage - Legal implications	Amber	<ul style="list-style-type: none"> Dedicated Community Safety Team to co-ordinate/support the DHR process 	Complete		Amber	New Record	25/07/2018	4
		8	<ul style="list-style-type: none"> Escalation process if responses are not received 	Complete		8	Profile Change	08/06/2022	7
			<ul style="list-style-type: none"> Regular engagement with the Home Office throughout the process and notification of any issues 	In Place		Medium Likelihood	Profile Change	29/11/2022	9
			<ul style="list-style-type: none"> Defined DHR process including roles and responsibilities 	Complete		High Impact	Profile Change	19/01/2023	8
			<ul style="list-style-type: none"> Scoping exercise is conducted with all agencies 	In Place					
			<ul style="list-style-type: none"> Process review and redesign 	Complete					
			<ul style="list-style-type: none"> Development of Executive Panel to have oversight of DHRs 	Complete					
			<ul style="list-style-type: none"> DHR case progress tracker 	Complete					
			<ul style="list-style-type: none"> DHR recommendation and action tracker 	In Place					
			<ul style="list-style-type: none"> Proposal re capacity and resourcing - administration, management, appointing chairs and funding of DHRs 	In progress		In progress	31/03/2023		

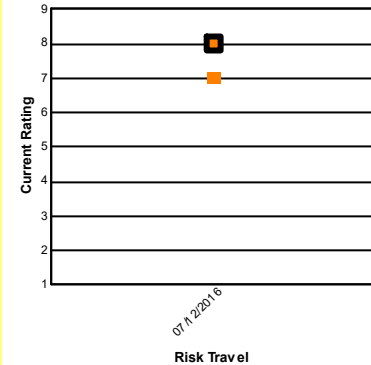


Strategic Objectives Impacted Legal/ Reputational
 CORPORATE PRIORITY 3 - Take action to improve life chances and health outcomes in our most disadvantaged communities.

Review Comments There is little change from the previous review. The partnership has a process in place to have oversight of the DHR process via the DHR Executive Group. Reports are made regularly into the CSP. The current challenge to the partnership is the appointment of Chairs to 2 DHRs that are outstanding. A meeting is planned in January with the new chair of the CSP to make a decision on these appointments.
 19/01/2023

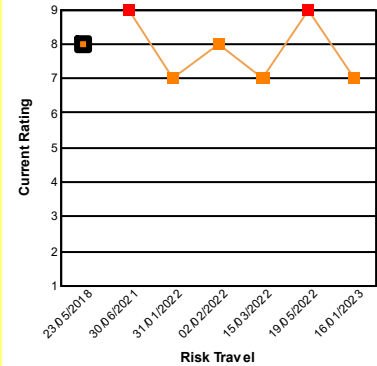
Risk Register - Corporate Risk Register

Risk Title	Risk Ref	Risk Owner	Created	Last Review	Next Review					
Failure to manage the structural deficiency at Mell Square Car Park	SMBCC0146	Paul Johnson	07/12/2016	06/01/2023	06/07/2023					
Potentially Caused by	Potentially Leading to	Gross Risk Level	Mitigating Actions	Action Status	Target Date	Net Risk	Previous Net Risk Level			
<ul style="list-style-type: none"> - Original construction of structure. - Lack of reinforcement in flat slab. - Deficiency in the original design code/ application of that code 	<ul style="list-style-type: none"> - Excess structural deflection. - Development and prorogation of cracking at highly stressed location of the structure - Financial implications - Negative publicity 	Amber 8	<ul style="list-style-type: none"> • New Structural Survey of Mell Square carried out to provide a new assessment of the structure and mitigating actions 	Complete		Amber 7 Low Likelihood High Impact	New Record	07/12/2016	8	
								Profile Change	07/12/2016	7
			<ul style="list-style-type: none"> • Redevelopment scheme of Mell Square to incorporate the replacement of the Multi-Storey Car Park 	In progress	31/03/2025					
			<ul style="list-style-type: none"> • PST to continue with a detailed weekly survey to confirm that the car park should remain open 	In Place						
			<ul style="list-style-type: none"> • Consulting Engineers have confirmed the car park can remain open for the next 2 years 	In Place						
	<ul style="list-style-type: none"> • Works to re-mark parking bays to reduce loading to decks agreed to be implemented 	Complete								
Strategic Objectives Impacted		Safeguarding / Safety								
Review Comments	Risk Reviewed - all remain the same and is still valid. 06/01/2023									



Risk Register - Corporate Risk Register

Risk Title	Risk Ref	Risk Owner	Created	Last Review	Next Review				
Failure to achieve a balanced budget in the context of unprecedented pressures, which could significantly limit the delivery of other services for Children	SMBCC0147	Pete Campbell	23/05/2018	16/01/2023	16/07/2023				
Potentially Caused by	Potentially Leading to	Gross Risk Level	Mitigating Actions	Action Status	Target Date	Net Risk	Previous Net Risk Level		
- Unprecedented demand for Children Social Care Services at national level - Unpredictable demand for looked after children placements - Increased demand for special school places which is of necessity, met with out of borough placements causing additional costs on the SEND transport budget	- Impact on outcomes for children and young people - Reduction in other areas of service delivery in order to cover cost of acute services - Financial implications - Legal implications - Reputational damage	Red	<ul style="list-style-type: none"> Joint Additional Needs Strategy and delivery plan in place 	In Place		Amber	New Record	23/05/2018	8
		9	<ul style="list-style-type: none"> Reshaping of Education services – completed 	Complete		7	Profile Change	30/06/2021	9
			<ul style="list-style-type: none"> Graduated approach for children and young people with additional needs 	In progress	31/10/2023	Low	Profile Change	31/01/2022	7
			<ul style="list-style-type: none"> Review of Specialist Commissioning Strategy 	Complete		Likelihood	Profile Change	31/01/2022	7
			<ul style="list-style-type: none"> Use of budget strategy reserve approved by full council. 	Complete		High Impact	Profile Change	02/02/2022	8
			<ul style="list-style-type: none"> Future Funding agreed as part of MTFs (as at 24.02.22) 	Complete		Profile Change	15/03/2022	7	
			<ul style="list-style-type: none"> Development of the Edge of Care Service linked to JTAI Action Plan 	In progress	31/12/2022	Profile Change	19/05/2022	9	
			<ul style="list-style-type: none"> Childrens Statement of Action, Childrens Improvement Plan 	In Place		Profile Change	16/01/2023	7	
			<ul style="list-style-type: none"> Solihull Improvement Board – Independently Chaired ,oversight of the JTAI (Joint Targeted Area Inspection) Statement of Action 	In Place					
			<ul style="list-style-type: none"> Ensure robust commissioning and procurement of appropriate cost effective education placements to meet children’s needs 	In Place					
	<ul style="list-style-type: none"> Financial Recovery Plan overseen by the Director of Children’s Services & reporting to the Chief Exec & Leader of the council 	In Place							
	<ul style="list-style-type: none"> SEND Improvement Board established 	In Place							
	<ul style="list-style-type: none"> Development of workforce Strategy 	In Place							
	<ul style="list-style-type: none"> Monthly Children's Social Care financial modelling 	Complete							



Risk Register - Corporate Risk Register

			• Review of Sufficiency Strategy completed	Complete		
Strategic Objectives Impacted		Financial				
		CORPORATE PRIORITY 1 - Improving outcomes for children and young people in Solihull				
Review Comments	MTFS planning includes significant investment in Children's services for 2023-24 and also includes provision to cover the anticipated 2022-23 shortfall. 16/01/2023					

Risk Register - Corporate Risk Register

Risk Title	Risk Ref	Risk Owner	Created	Last Review	Next Review				
Failure to meet statutory duties and deliver a balanced budget in the context of nationally recognised pressures facing Adult Social Care, including the impact of Covid 19 in 22/23.	SMBCC0158	Jenny Wood	13/05/2022	19/12/2022	19/06/2023				
Potentially Caused by	Potentially Leading to	Gross Risk Level	Mitigating Actions	Action Status	Target Date	Net Risk	Previous Net Risk Level		
		Red				Amber	Event	Date	Rating
<p>- Nationally recognised Adult Social Care challenges including financial and workforce, capacity and market fragility.</p> <p>- Demographic pressures, e.g., rising older population and younger adults with a disability living longer and needing social care.</p> <p>- Impact of Covid19, including impact on people's situations and choices, service impacts and uncertainty about financial impact and national funding models for longer term.</p> <p>- National legal and policy changes happening at pace, including implications of Health and Care Act 2022</p> <p>- Rising cost of the social care market in Solihull driven by a variety of factors, e.g., wage (see below), energy, materials and fuel cost rises.</p> <p>- Need for care wages to be competitive against other local sectors, to ensure adequate number of staff are attracted to sector.</p>	<p>- Detrimental service impact affecting those receiving support and services.</p> <p>- Inadequate delivery of service for individuals and associated factors such as increased complaints and/or legal challenges.</p> <p>- Reputational damage.</p> <p>- Adverse financial consequences, e.g., unavoidable demand-led spend to meet statutory needs, emergence of overspends.</p> <p>- Delay in delivery of new legislative or policy requirements.</p>	9	<ul style="list-style-type: none"> • Identification of, development and delivery of commissioning strategies/plans to improve services. • Utilisation of additional national funding / grants in line with national guidance, to mitigate for local pressures. • Utilise nationally required and local surveys to determine where improvements are needed and initiate and deliver action plans. • Implement MTFs plans with oversight of budget, performance & quality position via DLT and reporting to ARTOP and CLT as required • Undertake 'Fair Cost of Care' work as set out via national guidance. • Transformation Programme incorporates and delivers the relevant statutory and policy changes for the year • Ongoing communications, co-production and engagement with people with care and support needs and carers • Ongoing engagement with care providers to ensure appropriate responses developed to local market considerations. • Regular reporting arrangements (performance, practice quality, complaints, HR, activity etc) at DLT. • Development and delivery of BCF and integrated commissioning plans (where relevant) with CCG/ICS for 22/23. 	<p>In progress</p> <p>In progress</p> <p>In progress</p> <p>In progress</p> <p>In progress</p> <p>In Place</p> <p>In Place</p> <p>In Place</p>		<p>7</p> <p>Low Likelihood</p> <p>High Impact</p>	New Record	13/05/2022	7
							<p>A Risk Rating Matrix with a vertical axis labeled 'Current Rating' ranging from 1 to 9 and a horizontal axis labeled 'Risk Travel' with a date '13/05/2022'. A black square is plotted at the intersection of rating 7 and the date. The matrix is divided into four quadrants: Amber (top-right), Low Likelihood (top-left), High Impact (bottom-left), and High Likelihood (bottom-right).</p>		

Risk Register - Corporate Risk Register

		<ul style="list-style-type: none"> • DLT governance arrangements for oversight of all Directorate activity, to identify and implement mitigation plans where needed 	In Place			
Strategic Objectives Impacted		Financial				
		CORPORATE PRIORITY 2 - Good quality, responsive, and dignified care and support for Adults in Solihull when they need it.				
Review Comments	This risk has been reviewed by Jenny Wood and progress against mitigating actions updated .					
	19/12/2022					

Risk Register - Corporate Risk Register

Risk Title	Risk Ref	Risk Owner	Created	Last Review	Next Review				
Avoidable death, serious harm or abuse of an adult where the Council has a statutory duty of care in 2022/23	SMBCC0159	Jenny Wood	13/05/2022	19/12/2022	19/06/2023				
Potentially Caused by	Potentially Leading to	Gross Risk Level	Mitigating Actions	Action Status	Target Date	Net Risk	Previous Net Risk Level Event	Date	Rating
<p>Poor practice by staff due to lack of experience, competence issues, poor supervision, or inadequate training</p> <p>Failure to recognise risks</p> <p>Unable to commission appropriate services to meet needs, e.g. residential care, due to lack of market interest or presence</p> <p>Lack of appropriate quality assurance processes and systems</p> <p>Demand outstrips capacity leading to lack of timely responses by services</p> <p>Policy and guidance is not in place</p> <p>Lack of essential joint working with relevant partners</p>	<p>- Serious harm, neglect or death of an adult with care and support needs.</p> <p>- Loss of confidence in the Council as the lead agency for safeguarding.</p> <p>Reputational damage.</p> <p>Domestic Homicide Review.</p> <p>Safeguarding Adults Review.</p> <p>Complaints and legal challenge.</p>	<p>Red</p> <p>9</p>	<ul style="list-style-type: none"> • Arrangements in place for delivery of good quality, safety & good performance in independent sector with sufficient capacity. • Safeguarding Manager acts as subject matter expert to provide advice and coordinate delivery of Safeguarding Management Plan • Utilise Solihull Together and Health and Wellbeing Board as key forums to maintain effective working relations with key partners • Oversight of ASC activity and performance at DLT, inc. safeguarding, with mitigating actions agreed where improvement needed. • Practitioners and Managers are well trained and supported to ensure they understand and respond appropriately to situations • Appropriate local policy and guidance in place to deliver adult social care related responsibilities • SSAB facilitates a coordinated safeguarding approach across all key agencies and performance is regularly monitored. • Operational Safeguarding Champions Group in place and ACS representation on the Corporate Safeguarding Steering Group. • Appropriate workforce support in place to facilitate good practice in service delivery • Appropriate workforce support is in place to facilitate good practice in commissioning • Robust commissioning arrangements for the safe development, launch and full establishment of new services. 	<p>In progress</p> <p>In progress</p> <p>In progress</p> <p>In progress</p> <p>In progress</p> <p>In progress</p> <p>In progress</p> <p>In Place</p> <p>In Place</p>		<p>Amber</p> <p>7</p> <p>Low Likelihood</p> <p>High Impact</p>	New Record	13/05/2022	7
							<p>Current Rating</p> <p>13/05/2022</p> <p>Risk Travel</p>		

Risk Register - Corporate Risk Register

Strategic Objectives Impacted

Safeguarding / Safety

CORPORATE PRIORITY 2 - Good quality, responsive, and dignified care and support for Adults in Solihull when they need it.

Review Comments

This risk has been reviewed by Jenny Wood and progress against mitigating actions updated .

19/12/2022

Risk Register - Corporate Risk Register

Risk Title	Risk Ref	Risk Owner	Created	Last Review	Next Review				
Failure to meet the Council's duty to keep residents safe in high rise buildings (as landlord and regulator under the Building Safety Act 2022).	SMBCC0161	Mary Morrissey	03/08/2022	25/01/2023	25/07/2023				
Potentially Caused by	Potentially Leading to	Gross Risk Level	Mitigating Actions	Action Status	Target Date	Net Risk	Previous Net Risk Level Event	Date	Rating
<ul style="list-style-type: none"> - Lack of full understanding of legislation. - Complexity of determining which buildings are in scope. - Failure to appoint to key duty holder roles. - Governance failures leading to members not understanding roles and accountability. - Difficulties with integration and mapping of different legislation requirements. - Inadequate resources. - Unable to recruit and retain competent staff in a competitive market. - Inadequate/ incorrect data about buildings – drawings, historical works etc. - Lack of effective assurance and oversight of Solihull Community Housing to ensure the Council meets the requirements of the relevant legislation. 	<ul style="list-style-type: none"> - Serious harm or death - Reputational damage. - Legal and civil actions including corporate manslaughter. - Non-compliance with legal duties. 	Red 9	<ul style="list-style-type: none"> • Sprinkler Program to retrofit sprinklers in all 37 of the SMBC/SCH HRBs (Higher Risk Buildings) • Spandrel Program to install compliant spandrel panels in 16 HRB properties • Smoke and carbon monoxide detection device installation program for all SCH managed properties including HRBs • Review policy and procedures relating to Building Safety Act and Fire Safety Act once legislation is in place. • Preparation of Building safety cases, commissioning structural surveys on the high rise blocks. • Commissioning external organisations to carry out independent verification of the information held and practices. • New building high rise procurement process modified to include pre engagement of Building Safety Delivery Group. • SCH Head of Building Safety in post and recruiting Building Safety Managers and support staff within SCH structure. • Proposal to recruit SMBC Head of Building Safety to support Accountable Person and review structure of Building Control team • Training for all Building Control officers to enable registration with HSE Building Safety Regulator • Monthly meetings of Building Safety Delivery Group (BSDG) to ensure SCH work to 'in scope' buildings is compliant. 	<ul style="list-style-type: none"> In progress In progress In progress In progress In progress In progress Proposed In progress In progress In progress In Place 	<ul style="list-style-type: none"> 30/06/2023 30/06/2023 31/01/2023 31/03/2023 31/01/2024 28/02/2023 31/03/2023 31/03/2023 01/10/2023 	<ul style="list-style-type: none"> Amber 7 Low Likelihood High Impact 	New Record	03/08/2022	7
<p style="text-align: center;">Risk Travel</p>									

Risk Register - Corporate Risk Register

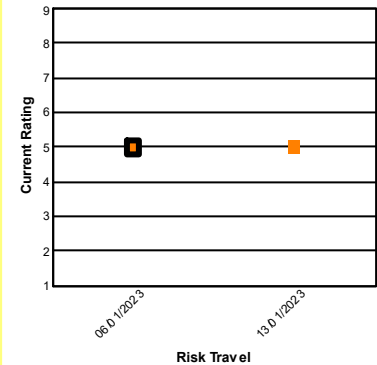
		<ul style="list-style-type: none"> • Assurance on mandatory reporting of fires and structural issues provided to BSDG. • Monthly Reporting of ongoing activity and progress to the Accountable Person. • Production of Building Safety Dashboard and robust reporting mechanism/detailed records of response to the Building Safety Act • Quarterly reports to Corporate Health & Safety Board • Report to Strategic Housing Board. • Report to Quarterly Monitoring Board. 	<p>In Place</p> <p>In Place</p> <p>Proposed</p> <p>In Place</p> <p>In Place</p> <p>In Place</p>	<p>30/06/2023</p>	
Strategic Objectives Impacted		Safeguarding / Safety			
Review Comments	Reviewed mitigating actions and updated dates to better reflect program timetable as agreed with MM- as of 24/1/23 25/01/2023				

Risk Register - Corporate Risk Register

Risk Title	Risk Ref	Risk Owner	Created	Last Review	Next Review						
Failure to achieve Compliance with new duties under the Domestic abuse act 2021 including duty for provision of domestic abuse safe accommodation for victims who need to leave their home	PHD0069	Ruth Tennant	22/07/2020	15/12/2022	05/03/2023						
Escalated from : Public Health Directorate				Donna Vines							
Potentially Caused by	Potentially Leading to	Gross Risk Level	Mitigating Actions	Action Status	Target Date	Net Risk	Previous Net Risk Level				
- New legislation - Competitive tender process for support on our primary 11 bed unit, will require current Provider to give notice to premises landlord, which will trigger a review of property usage. - Limitations to develop suitable accommodation locally	- Failure to meet new statutory responsibilities	Amber	<ul style="list-style-type: none"> Short term contract to be put in place to continue provision until 2024 Work to continue on improving our DA Safe Accommodation offer to enable it to better meet the accommodation needs of DA victims Update reports scheduled for DAPG, SSB, HWB, CKT and SCH committee DAPG transitioned into Domestic Abuse Partnership Board and able to meet statutory duty Needs assessment complete and strategy published New board in place to meet statutory duty DA Safe Accommodation group re-established with focus on improving our offer to those who are at risk or are homeless due to DA 	Complete		Amber	New Record	22/07/2020	5		
		5		In progress	30/03/2023	5	Profile Change	19/04/2022	4		
							Medium Likelihood	Profile Change	15/12/2022	5	
							Complete				
							Complete				
							Complete				
							Complete				
Strategic Objectives Impacted		Legal/ Reputational									
Review Comments		Current provision is unable to meet presenting demand for DA Safe Accommodation . We continue to have limited options to expand provision due to difficulties accessing suitable accommodation . 15/12/2022									

Risk Register - Corporate Risk Register

Risk Title	Risk Ref	Risk Owner	Created	Last Review	Next Review				
Difficulty in attracting and retaining staff in key positions to deliver high quality services across the council	SMBCC0163	Paul Johnson	06/01/2023		06/04/2023				
Potentially Caused by	Potentially Leading to	Gross Risk Level	Mitigating Actions	Action Status	Target Date	Net Risk	Previous Net Risk Level Event	Date	Rating
<ul style="list-style-type: none"> - Ageing workforce - Low level of interest in roles advertised by the council - Lack of good quality candidates - Lack of assurance in job security in local authorities as councils budgets come under pressure and expectation of funding cuts - Short term funding impacting on ability to recruit - Changing nature of workforce and ways of working following Covid and people evaluating life priorities - Skill shortages 	<ul style="list-style-type: none"> - Loss of skills, knowledge and experience which may impact on the council's ability to efficiently deliver services - Increased pressure on team members covering vacancies 	Amber 8	<ul style="list-style-type: none"> • Workforce and succession planning • Good quality and relevant data on recruitment trends and challenges to support decision making • Revisit Job evaluation and job descriptions for key roles • Sustained focus on staff wellbeing • Targeted recruitment strategy to attract a diverse range of skills and experiences • Use of apprentice schemes to attract talent early • Use of networking activities to promote SMBC and the team • Benchmarking of pay exercise • Attending Jobs/Careers Fairs • Increased presence on Social media etc to build Solihull as employer brand • Review of Application Process to simplify and enable efficient recruitment • Greater transparency between HR and user directorate to enable better understanding of the process • Study of barriers in people applying and accepting a position with SMBC • Use of aggregated job postings to multiple sites • Additional resources provided to the resourcing team 	<ul style="list-style-type: none"> Proposed Proposed Proposed In progress In Place In progress Proposed In progress In Place In progress Proposed Proposed Proposed In Place In Place 		Amber 5 Medium Likelihood Medium Impact	New Record Profile Change	06/01/2023 13/01/2023	5 5



Risk Register - Corporate Risk Register

		<ul style="list-style-type: none"> • Recruit at risk where funding is short term • Promote the benefits of working for SMBC e. g Hybrid working • Consideration of market forces payments for identified roles with significant recruitment / retention issues 	<p>In Place</p> <p>In Place</p> <p>In Place</p>			
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Strategic Objectives Impacted

Review Comments

Council Strategic Priority Impacted Summary	Low	Medium	High
CORPORATE PRIORITY 1 - Improving outcomes for children and young people in Solihull		CSS0214 SMBCC0147 SMBCC0149	
CORPORATE PRIORITY 2 - Good quality, responsive, and dignified care and support for Adults in Solihull when they need it.		SMBCC0158 SMBCC0159	
CORPORATE PRIORITY 3 - Take action to improve life chances and health outcomes in our most disadvantaged communities.		NHS0006	
CORPORATE PRIORITY 6 - Maximising the opportunities of UK Central and HS2.		SMBCC0144	
Financial		SMBCC0133 SMBCC0147 SMBCC0158	
Legal/ Reputational		CSS0214 NHS0006 PHD0069 SMBCC0134 SMBCC0149	
Safeguarding / Safety		SMBCC0146 SMBCC0149 SMBCC0154 SMBCC0159 SMBCC0161	
Sound finance and management of assets		SMBCC0133	