

Summary of Strategic Risks:

Risk	Mitigation	Risk Owner(s)	Risk Travel (from date added)	Progress
Combined Authority	<p>The 'Failure to maximise Solihull's potential / interests as part of the West Midlands Combined Authority' risk is currently recorded as net red 9, mitigation includes:</p> <p>In Place Actions:</p> <ul style="list-style-type: none"> - Quarterly funding claims are made to WMCA to secure quarterly spend incurred - Monthly forecasts are shared with our WMCA finance contact on a monthly basis - UKC Project Board & UGC Board meet to review project progress & finance information which reports into the UKC Programme Board - UKC/UGC delivery arrangements - Regular communication with WMCA officers and regular attendance at meeting e.g. Finance Director Group, Finance Team - On-going involvement of key officers in developing WMCA strategy into practice - Forecast spend and cash flow regularly monitored by SMBC Finance Team and UGC - Continued support and development of how the WMCA operates <p>In Progress Actions:</p> <ul style="list-style-type: none"> - £50 million grant allocated in 3rd March 2021 budget for the MSCP. Report to June 2021 CA Board for £45 million match funding - Funding waterfall established for wider Arden Cross Master Plan, which needs to be revisited because of challenges with TIF 	Nick Page (Chief Executive)	<p>15/12/15 – Green 4 04/05/17 – Red 9 23/05/17 – Amber 7 24/08/17 – Amber 5 03/05/18 – Amber 8 23/10/18 – Red 9 Current – Red 9</p>	The risk was reviewed by the Chief Executive on 14.05.2021.

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<p>MTFS Delivery</p>	<p>The 'Risks to MTFS delivery due to national budget cuts, Brexit and pressures in Adult's and Children's Services and Covid-19' risk is currently recorded as net red 8, mitigation includes:</p> <p>In Place Actions:</p> <ul style="list-style-type: none"> - Business Rates Windfall - Government funding received for Covid-19 - ARTOP Board re-purposed to scrutinise all Covid-19 pressures - Strict monitoring of Budget Delivery by CLT - Budget risks protected through Budget Strategy Reserve - Recovery Plan approved for DSG Deficit - New 3 year balanced MTFS approved for 2021/22-2023/24 <p>In Progress Actions:</p> <ul style="list-style-type: none"> - Regular lobbying of government for further funding towards Covid-19 	<p>Paul Johnson (Director of Resources & Deputy Chief Executive)</p>	<p>06/01/11 – Red 9 28/02/12 – Amber 7 05/09/13 – Red 9 06/02/14 – Amber 8 09/12/14 – Amber 7 04/10/18 – Amber 8 06/12/18 – Amber 7 26/07/19 – Amber 8 30/01/20 – Amber 7 29/05/20 – Red 9 14/12/20 – Amber 8</p> <p>Current – Amber 8</p>	<p>The risk was reviewed by CLT on 04.05.2021.</p>
<p>Information Security Breaches</p>	<p>The 'Serious information breach requiring notification and a fine from the Information Commissioner's Office' risk is currently recorded as net amber 8, mitigation includes:</p> <p>In Place Actions:</p> <ul style="list-style-type: none"> - An 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 - Regular staff and manager briefings on matters relating to Covid-19 	<p>Paul Johnson (Director of Resources & Deputy Chief Executive)</p>	<p>03/01/13 – Amber 8 09/01/13 – Amber 5 11/12/14 – Amber 6 08/09/15 – Amber 5 28/04/16 – Amber 6 12/09/16 – Amber 8</p> <p>Current – Amber 8</p>	<p>The risk was reviewed by CLT on 04.05.2021.</p>
<p>Children's Services Pressures</p>	<p>The 'Failure to achieve a balanced budget in the context of unprecedented pressures, which could significantly limit the delivery of other services for Children' risk is currently recorded as net amber 8, mitigation includes:</p> <p>In place Actions:</p>	<p>Louise Rees (Director of Children's Services and Skills)</p>	<p>23/05/18 – Amber 8</p> <p>Current – Amber 8</p>	<p>The risk was reviewed by CLT on 04.05.2021.</p>

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	<ul style="list-style-type: none"> - Arms length review of Children’s Services finances completed and presented to leader and Chief Executive in September - Strengthen Families bid/statement of readiness submitted to DfE to adopt Leeds Family Valued Model - bid agreed - Development of the Edge of Care Service - Agreement with Solihull College to provide sixth form places for SEND Children (successfully now achieved in two schools) - Submitted application to DfE for an additional free school for children with autism & related conditions - Financial Recovery Plan overseen by the Director of Children’s Services & reporting to the Chief Exec & Leader of the Council - Introduce Family Drug & Alcohol Court to work with families at risk of having children removed due to parental substance misuse - SEND Improvement Board established <p>In Progress Actions:</p> <ul style="list-style-type: none"> - Reshaping of Education services - phase 1 - Ensure robust commissioning and procurement of appropriate cost effective education placements to meet children’s needs - Review of Specialist Commissioning Strategy - Joint Additional Needs Strategy and delivery plan in place - Graduated approach for children and young people with additional needs 			
<p>SEND Statutory Requirements</p>	<p>The ‘Failure to meet statutory requirements within Children & Families Act relating to SEND (Special Educational Needs or Disabilities)’ risk is currently recorded as net amber 8, mitigation includes:</p> <p>In Place Actions:</p> <ul style="list-style-type: none"> - Ongoing review of Educational Health Care Plan (EHCP) timescale - Fully recruit to SEND (including StART) team structure per 2019/20 budget - Recruit new Head of SEND (0-25) - Review High Needs Block Recovery Plan and strands - Monitor impact of new provider and new procedures on controls over direct payments 	<p>Tim Browne (Assistant Director - Inclusion & SEND, Children’s Services and Skills)</p>	<p>02/03/15 – Amber 5 28/06/17 – Amber 6 28/06/17 – Amber 8 09/08/19 – Red 9 04/03/20 – Amber 8</p> <p>Current – Amber 8</p>	<p>The risk was reviewed by CLT on 04.05.2021.</p>

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	<ul style="list-style-type: none"> - Implement all advice from Legal Service SEND specialist including further additional training for StART team - Fully revise SEND performance scorecard in line with audit recommendations - Implement new casework management system (Liquidlogic) <p>In Progress Actions:</p> <ul style="list-style-type: none"> - Establish Joint Additional Needs Board, Strategy and Delivery Plan - Statutory Assessment process and resources in place to meet timescales. 			
Warning Marker Systems	<p>The 'Insufficient systems to share warning and information markers when dealing with a person, property or location for SMBC and SCH activities' risk is currently recorded as net amber 7, mitigation includes:</p> <p>In Place Actions:</p> <ul style="list-style-type: none"> - Corporate Warning Marker Board led by the AD for Childrens Services and will report back to the CSSG/DLT/CLT - Membership from all key stakeholders, e.g. Information Governance, IT, Risk Management, Health and Safety, Social Care, SCH etc - Corporate Warning Marker Board to meet regularly with appointed warning marker officers & ensure systems are working effectively - Corporate system available on the Intranet and records held on other systems e.g. CareFirst for Adult Social Care, Trading Standards system and SCH (Open Housing) - Corporate Warning Marker Policy in place, produced by Information Governance Team and updated by Hazard Warning Marker Group - Review of all systems being used so that they are effective. Roles & responsibilities to be clearly defined within Policy - New IT system implemented that will make system more robust for the organization <p>In Progress Actions:</p> <ul style="list-style-type: none"> - Managers to ensure there are activity based risk assessments where there is a risk of violence and aggression towards staff. - Use of new IT system to be monitored by Corporate Safeguarding group. 	Paul Johnson (Director of Resources & Deputy Chief Executive)	<p>25/07/14 – Green 4 18/05/15 – Amber 5 23/05/16 – Green 4 05/04/19 – Amber 8 30/01/20 – Amber 7</p> <p>Current – Amber 7</p>	The risk was reviewed by CLT on 04.05.2021.

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<p>Duty of Care – Adult’s</p>	<p>The ‘Avoidable death, serious harm or abuse of an adult where the Council has a statutory duty of care in 2021/22’ risk is currently recorded as net amber 7, mitigation includes: In place actions:</p> <ul style="list-style-type: none"> - Operational Safeguarding Champions Group in place and ACS representation on the Corporate Safeguarding Steering Group - Safeguarding Manager acts as subject matter expert to provide advice and co-ordinate delivery of Safeguarding Management Plan. <p>In Progress Actions:</p> <ul style="list-style-type: none"> - Practitioners and Managers are well trained and supported to ensure they understand and respond appropriately to situations - Appropriate local policy and guidance in place and work is overseen and scrutinized internally and externally including case audit - SSAB and LSCB ensure a coordinated safeguarding approach across all key agencies and performance is regularly monitored - Oversight of ASC activity and performance at DLT, inc. safeguarding, with mitigating actions agreed where improvement needed - Appropriate workforce support is in place to facilitate good practice, e.g. 1:1 supervisions, PDRs, team meetings - Robust commissioning arrangements and provider oversight arrangements in place 	<p>Jenny Wood (Director for Adult Care & Support)</p>	<p>24/07/18 – Amber 7 Current – Amber 7</p>	<p>The risk was reviewed by CLT on 04.05.2021.</p>
<p>Adult Social Care Pressures</p>	<p>The ‘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 21/22’ risk is currently recorded as net amber 7, mitigation includes: In Progress Actions:</p> <ul style="list-style-type: none"> - Utilising Commissioning Prospectus & Market Position Statement to facilitate market development, with at least annual refresh - Development and delivery of BCF and integrated commissioning plans with CCG for 21/22 - Utilising the Transformation Programme to oversee and mitigate risks associated with change management 	<p>Jenny Wood (Director for Adult Care & Support)</p>	<p>09/11/16 – Amber 8 05/02/20 – Amber 7 Current – Amber 7</p>	<p>The risk was reviewed by CLT on 04.05.2021.</p>

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	<ul style="list-style-type: none"> - Ongoing communications 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, e.g., workforce - Responding quickly to implement national statute, policy and guidance relating to Covid-19 - Establishing local policy, guidance and responses where more detailed local activity is needed through the year. - Implement MTFS plans with oversight of budget, performance & quality position via DLT and reporting to ARTOP and CLT as required - Utilisation of additional national funding / grants in line with national guidance, to mitigate for local pressures - Reviews of regular reporting arrangements (performance, practice quality, complaints, HR, activity etc.) at DLT 			
<p>Mell Square Car Park</p>	<p>The 'Failure to manage the structural deficiency at Mell Square Car Park' risk is currently recorded as net amber 7, mitigation includes:</p> <p>In Place Actions:</p> <ul style="list-style-type: none"> - Works to re-mark parking bays to reduce loading to decks agreed to be implemented - Consulting Engineers have confirmed that there is no risk of sudden collapse in any part of the car park (December 2018 Report) - PST to continue with a detailed weekly survey to confirm that the car park should remain open <p>In Progress Actions:</p> <ul style="list-style-type: none"> - New Structural Survey of Mell Square to be carried out to provide a new assessment of the structure and mitigating actions required. Consulting engineers have been appointed, awaiting a programme to complete the works. <p>In progress actions:</p> <ul style="list-style-type: none"> - Following CLT decision in September 2020, further structural survey commissioned. Received for review in April 2021. <p>Planned Actions:</p>	<p>Paul Johnson (Director of Resources & Deputy Chief Executive)</p>	<p>07/12/16 - Amber 7 Current – Amber 7</p>	<p>The risk was reviewed by CLT on 04.05.2021</p>

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	<ul style="list-style-type: none"> - Redevelopment scheme of Mell Square to incorporate the car Park in Phase 1 to remove the structure and provide alternate parking 			
Duty of Care – Children’s	<p>The ‘Avoidable death, serious harm or abuse of a child where the Council has a duty of care; Serious Case Review or Domestic Homicide Review publication’ risk is currently recorded as net amber 7, mitigation includes:</p> <p>In Place Actions:</p> <ul style="list-style-type: none"> - LSCP (Local Safeguarding Children’s Board) through its sub-group structures will routinely monitor, review and make recommendations about performance - LSCB & SMBC interagency case file audit programme - Monthly oversight by Senior Management Team of performance and QAF (Quality Assurance Framework) findings. - Monthly service performance meetings with heads of service and their team managers - Social Workers & managers are well trained & supported to ensure they understand & respond to safeguarding concerns - Role of Principal Social Worker in continuous improvement - Chief Executive and Lead Member briefings on exploitation - Robust action plans and communication plan established based on Serious Case Review findings and recommendations <p>In Progress Actions:</p> <ul style="list-style-type: none"> - Ongoing internal case file audits supplemented by targeted independent audits – to be further developed in line with Ofsted Action Plan - Application of Quality Assurance Framework inc. case file audits and reporting by CPRU, to be developed with Ofsted Action Plan 	Louise Rees (Director of Children’s Services and Skills)	<p>19/08/14 – Amber 8</p> <p>14/11/17 – Amber 7</p> <p>Current – Amber 7</p>	The risk was reviewed by CLT on 04.05.2021
LEP Review	<p>The ‘ Diminished regional influence and access to resources following national review of LEP (Local Enterprise Partnership) Boundaries’ risk is currently recorded as amber 6, mitigation includes:</p> <p>In Place Actions:</p> <ul style="list-style-type: none"> - LEP Board/Chair meeting with ministers, etc., to press case for status quo 	Nick Page (Chief Executive)	<p>07/12/18 – Amber 6</p> <p>Current – Amber 6</p>	The risk was reviewed by CLT on 04.05.2021

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	<ul style="list-style-type: none"> - Continue to develop projects to ensure strong business cases in place for whatever form LEP ends up taking - Early call for bids to Shared Prosperity Funding. Meeting held to identify new opportunities with LEP programme manager <p>In Progress Actions:</p> <ul style="list-style-type: none"> - Influence WMCA thinking if it decides to take a position any proposed changes (unlikely at present) - Ensure SMBC projects are included in existing pipeline of GBSLEP (Greater Birmingham and Solihull Local Enterprise Partnership) projects to maximise chances of transfer into new arrangements 			
Domestic abuse	<p>The 'Compliance with new duties under the Domestic abuse act 2020' risk is currently recorded as net amber 5, mitigation includes:</p> <p>In Place actions:</p> <ul style="list-style-type: none"> - Update reports scheduled for DAPG, SSB, HWB, CKT and SCH committee, set up a task group to scope, plan and model options to support compliance with DA Safe Accommodation requirement - DAPG transitioned into Domestic Abuse Partnership Board and able to meet statutory duty - DA/Housing task group set up to scope and plan interventions to respond to DA Safe Accommodation duty. - New board in place to meet statutory duty <p>In progress actions:</p> <ul style="list-style-type: none"> - Consultancy commissioned to undertake Needs Assessment and create DA strategy ready for publication 	Ruth Tennant (Director of Public Health)	22/7/2020 – Amber 5 Current – Amber 5	The risk was reviewed by CLT on 04.05.2021
Brexit implications	<p>The 'Disruption to council services and operations as a result of the UK leaving the EU' risk is currently recorded as net green 4, mitigation includes:</p> <p>In Place Actions:</p> <ul style="list-style-type: none"> - Production of corporate Position Statement and sign off by CLT and Cabinet/CLT - Review of the Council's Brexit plans to be completed by E&I DLT 	Mary Morrissey (Director of Economy and Infrastructure)	05/04/19 – Red 9 13/01/20 – Amber 5 21/01/21 – Green 4 Current – Green 4	The risk was reviewed by CLT on 04.05.2021.

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	<ul style="list-style-type: none"> - Risk escalation routes in place to Ministry of Housing, Communities & Local Government and West Midlands LRF as needed - Monthly review of Position Statement and actions by the Assistant Director Group. Actions cascaded to relevant directorates <p>In Progress Actions:</p> <ul style="list-style-type: none"> - Review impact of changes in EU funding/UKSP as further detail is known 			
<p>Domestic Homicide Reviews</p>	<p>The 'Failure to co-ordinate multi agency response to support Domestic Homicide Reviews (DHR's)' risk is currently recorded as net green 4, mitigation includes:</p> <p>In Place Actions:</p> <ul style="list-style-type: none"> - Dedicated Community Safety Team to co-ordinate/support the DHR process - Escalation process if responses are not received - Regular engagement with the Home Office throughout the process and notification of any issues - Defined DHR process including roles and responsibilities - Scoping exercise is conducted with all agencies 	<p>Mary Morrissey (Director of Economy and Infrastructure)</p>	<p>25/07/18 – Green 4 Current – Green 4</p>	<p>The risk was reviewed by CLT on 04.05.2021</p>