

# Risk Register Summary Report - Net Amber 8 and Net Red 9 Risks

## Risk Register - Corporate Risk Register

Net Risk Level Summary

<b>Green</b>	<b>0</b>	<b>Amber</b>	<b>5</b>	<b>Red</b>	<b>1</b>	<b>Total</b>	<b>6</b>	0	5	1
Net Risk Level Changes		1	4	↑		1	4	↑	0	0
		0	0	0		0	0	0		

Risk Title	Risk Ref	Risk Owner	Action Progress	Created	Last Review	Next Review
Failure to maximise Solihull's potential / interests as part of the West Midlands Combined Authority	SMBCC0144	Nick Page	<div style="width: 88%; background-color: yellow;"></div> 88 % complete	08/06/2017	20/06/2019	20/07/2019

Potentially Caused by	Potentially Leading to	Gross Risk Level	Mitigating Actions	Action Status	Target Date	Action Progress	Net Risk	Previous Net Risk
- Failure to secure WMCA funding to support UK Central operations & project costs - Lack of a formal WMCA funding agreement - Failure to secure other funding e.g. external partner contributions - £200 million funding gap in the Combined Authority Investment Programme	- Financial implications - Reputational Damage - Economic delivery implications - Lack of influence with partners and stakeholders - Unable to secure funding for the UK Central Programme - Negative cash flow issues for Council because WMCA funding is claimed quarterly in arrears	<b>Red</b>  9	• Continued support and development of how the WMCA operates <i>Nick Page</i>	In Place		100	<b>Red</b>  9  High Likelihood  High Impact	
			• On-going involvement of key officers in developing WMCA strategy into practice <i>CLT</i>	In Place		100		
			• UKC/UGC delivery arrangements <i>Anne Brereton</i>	In Place		100		
			• Regular communication with WMCA officers and regular attendance at meeting e.g. Finance Director Group, Finance Team <i>CLT</i>	In Place		100		
			• UKC Project Board & UGC Board meet to review project progress & finance information which reports into the UKC Programme Board <i>Anne Brereton</i>	In Place		100		
			• Forecast spend and cash flow regularly monitored by SMBC Finance Team and UGC Finance Director <i>Paul Johnson</i>	In Place		100		
			• Monthly forecasts are shared with our WMCA finance contact on a monthly basis <i>Paul Johnson</i>	In Place		100		
			• Quarterly funding claims are made to WMCA to secure quarterly spend incurred <i>Paul Johnson</i>	In Place		100		

Risk Register - Corporate Risk Register

		<ul style="list-style-type: none"> <li>UGC Managing Director &amp; the Council's Director of Resources &amp; Deputy Chief Executive working with the CA on the UKC funding gap <i>Paul Johnson</i></li> </ul>	In progress		50	
		<ul style="list-style-type: none"> <li>There is currently no agreed solution to the funding gap which is why this risk is rated as net red 9 <i>Paul Johnson</i></li> </ul>	In progress		33	

**Review Comments** Risk reviewed by Audit Committee, no change to risk at this time.  
20/06/2019

Risk Title	Risk Ref	Risk Owner	Action Progress	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 in 19/20	SMBCC0155	Jenny Wood	<div style="width: 40%; background-color: red;"></div> 40 % complete	08/04/2019	10/05/2019	10/08/2019

Potentially Caused by	Potentially Leading to	Gross Risk Level	Mitigating Actions	Action Status	Target Date	Action Progress	Net Risk	Previous Net Risk
<ul style="list-style-type: none"> <li>National Adult Social Care financial challenges</li> <li>Ongoing pace of change to deliver improvements and changes within available capacity</li> <li>Introduction of new ways of planning and delivery of health &amp; social care plans (STP) that are place based involving both Solihull &amp; Birmingham health &amp; social care economies</li> <li>Uncertainty about funding from the Better Care Fund post March 19</li> <li>Legal and national policy challenges</li> <li>Rising cost of the social care market in Solihull</li> <li>Instability of the social care market</li> <li>Demographic pressures caused by the rising elderly population and younger adults with disability living longer.</li> <li>Increases in care wages continuing to outstrip general inflation beyond 2018/19</li> <li>Failure to undertake DOLs assessment within national timescales due to capacity challenges</li> </ul>	<ul style="list-style-type: none"> <li>Detrimental service impact affecting vulnerable groups</li> <li>Inadequate delivery of service for individuals</li> <li>Reputational damage</li> <li>Financial implications, e.g., failure to deliver MTFS</li> <li>Legal implications</li> </ul>	Red  9	<ul style="list-style-type: none"> <li>Utilising Commissioning Prospectus and Market Position Statement to facilitate required market development <i>Karen Murphy</i></li> </ul>	In progress	31/12/2019	50	Amber 8	
			<ul style="list-style-type: none"> <li>Utilise opportunity to contribute to the development of the national Green Paper, due in 2019 <i>Jenny Wood</i></li> </ul>	In progress	31/12/2019	50	Medium Likelihood High Impact	
			<ul style="list-style-type: none"> <li>Development and delivery of BCF and integrated commissioning plans with CCG for 19/20 <i>Karen Murphy</i></li> </ul>	In progress	01/09/2019	50		
			<ul style="list-style-type: none"> <li>Complete full review of financial plans as part of MTFS refresh and budget setting for 2019/20 <i>Jenny Wood</i></li> </ul>	In progress	01/07/2019	70		
			<ul style="list-style-type: none"> <li>Utilising the Transformation Programme to oversee and mitigate risks associated with change management <i>Jenny Wood</i></li> </ul>	In progress	30/04/2020	10		
			<ul style="list-style-type: none"> <li>Regular oversight of budget, performance and quality position via Directorate Leadership Team and reporting to ARTOP as required <i>Jenny Wood</i></li> </ul>	In progress	30/04/2020	10		

## Risk Register - Corporate Risk Register

<b>Review Comments</b>	Risk reviewed by Jenny Wood, no change to risk at this time. 10/05/2019
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Risk Title	Risk Ref	Risk Owner	Action Progress	Created	Last Review	Next Review
Lack of national confirmation that BCF monies will continue at 18/19 levels, which the MTFs financial planning was undertaken on the basis of	SMBCC0151	Jenny Wood	<div style="width: 100%; height: 10px; background-color: green;"></div> 100 % complete	31/10/2018	10/05/2019	10/08/2019

Potentially Caused by	Potentially Leading to	Gross Risk Level	Mitigating Actions	Action Status	Target Date	Action Progress	Net Risk	Previous Net Risk
- Delayed national planning regarding BCF arrangements	- Significant budget pressures for ACS and the Council if current assumptions are not met	Amber 8	<ul style="list-style-type: none"> <li>Issues and risks highlighted to NHS England by the DASS <i>Jenny Wood</i></li> <li>Keep watching brief on national developments <i>Jenny Wood</i></li> </ul>	Complete		100	Amber 8	
				In Place		100	Medium Likelihood High Impact	

<b>Review Comments</b>	Risk reviewed by Jenny Wood, no change to risk at this time. 10/05/2019
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Risk Title	Risk Ref	Risk Owner	Action Progress	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	Louise Rees	<div style="width: 89%; height: 10px; background-color: yellow;"></div> 89 % complete	23/05/2018	14/05/2019	14/08/2019

Potentially Caused by	Potentially Leading to	Gross Risk Level	Mitigating Actions	Action Status	Target Date	Action Progress	Net Risk	Previous Net Risk
<ul style="list-style-type: none"> <li>Unprecedented demand for Children Social Care Services at national level</li> <li>Unpredictable demand for looked after children placements</li> <li>Increased demand for special school places which is of necessity, met with out of borough placements causing additional costs on the SEND transport budget</li> </ul>	<ul style="list-style-type: none"> <li>Impact on outcomes for children and young people</li> <li>Reduction in other areas of service delivery in order to cover cost of acute services</li> <li>Financial implications</li> <li>Legal implications</li> <li>Reputational damage</li> </ul>	Red 9	<ul style="list-style-type: none"> <li>Ensure robust commissioning and procurement of appropriate cost effective placements to meet children's needs <i>Phil Leivers</i></li> <li>Fostering Review has taken place, action plan to be developed and implemented <i>Frank McSheffrey</i></li> <li>Development of the Edge of Care Service <i>Frank McSheffrey</i></li> <li>Agreement with Solihull College to provide sixth form places for SEND Children (successfully achieved in one school already) <i>Phil Leivers</i></li> </ul>	In Place		100	Amber 8	
				In progress	30/09/2019	70	High Impact	
				Complete		100		
				In progress	06/09/2019	50		

Risk Register - Corporate Risk Register

		<ul style="list-style-type: none"> <li>Submitted application to DfE for an additional free school for children with autism &amp; related conditions <i>Louise Rees</i></li> </ul>	Complete		100	
		<ul style="list-style-type: none"> <li>Financial Recovery Plan overseen by the Director of Children's Services &amp; reporting to the Chief Exec &amp; Leader of the Council <i>Louise Rees</i></li> </ul>	In Place		100	
		<ul style="list-style-type: none"> <li>Arms length review of Children's Services finances completed and presented to leader and Chief Executive in September <i>Louise Rees</i></li> </ul>	Complete		100	

**Review Comments** Risk reviewed by Louise Rees, net risk level remains at amber 8.  
14/05/2019

Risk Title	Risk Ref	Risk Owner	Action Progress	Created	Last Review	Next Review
A serious information breach requiring notification and a fine from the Information Commissioners Office	SMBCC0134	Paul Johnson	100 % complete	09/01/2013	13/05/2019	13/08/2019


Potentially Caused by	Potentially Leading to	Gross Risk Level	Mitigating Actions	Action Status	Target Date	Action Progress	Net Risk	Previous Net Risk
<ul style="list-style-type: none"> <li>- Personal or sensitive information being sent to the wrong person by using an incorrect email or postal address</li> <li>- Sending or attaching the wrong personal or sensitive information to a communication</li> <li>- Personal or sensitive information being lost or stolen when taken out of the office.</li> </ul>	<ul style="list-style-type: none"> <li>- Distress to individuals concerned</li> <li>- Loss of public confidence in Council's ability to keep personal and sensitive information secure</li> <li>- Increased complaints to Local Government Ombudsman and /or Information Commissioner (ICO)</li> <li>- Increased possibility of regulatory enforcement action including fines up to £250k</li> <li>- Reputation damage to the Council.</li> </ul>	9	<ul style="list-style-type: none"> <li>Ongoing communication strategy to re-enforce good practice. <i>Paul Johnson</i></li> <li>Details of poor training take up is sent to each member of CLT <i>Paul Johnson</i></li> <li>Comprehensive suite of Information security policies that are periodically updated <i>Paul Johnson</i></li> <li>Ongoing series of core brief items to stress the importance of information security <i>Paul Johnson</i></li> <li>Take-up of training on information security monitored by the Corporate Safeguarding Board <i>Paul Johnson</i></li> </ul>	In Place		100	Amber	8
				In Place		100	Medium Likelihood	
				In Place		100	High Impact	

Risk Register - Corporate Risk Register

			<ul style="list-style-type: none"> <li>Implement follow up to corrective actions using Directorate leads &amp; monthly data breach measure scorecard to CLT <i>Paul Johnson</i></li> </ul>	In Place		100		
			<ul style="list-style-type: none"> <li>New procedure introduced by CLT which involves the line-manager being interviewed for every information breach <i>Paul Johnson</i></li> </ul>	In Place		100		

**Review Comments** Risk reviewed by Paul Johnson, net risk level remains at amber 8.  
13/05/2019

Risk Title	Risk Ref	Risk Owner	Action Progress	Created	Last Review	Next Review
Insufficient systems to share warning and information markers when dealing with a person, property or location for SMBC and SCH activities	SMBCC0154	Paul Johnson	<div style="width: 27%; height: 10px; background-color: red;"></div> 27 % complete	25/07/2014	13/05/2019	13/08/2019

Potentially Caused by	Potentially Leading to	Gross Risk Level	Mitigating Actions	Action Status	Target Date	Action Progress	Net Risk	Previous Net Risk
<ul style="list-style-type: none"> <li>- IT system malfunction or failure</li> <li>- Corporate and local warning marker and information systems out of sync</li> <li>- Warning markers and information markers held in multiple local systems that are not reflected in corporate system, e.g. CareFirst, Trading Standards, SCH (Open Housing)</li> <li>- Information not being maintained by individual services/teams</li> <li>- Issues with accessing information to keep it up-to-date</li> <li>- Data quality issues in the corporate system</li> </ul>	<ul style="list-style-type: none"> <li>- Employees not being aware of warning and information markers when dealing with a person, property or location</li> <li>- Examples include potentially violent persons, environmental issues &amp; property hazards, dangerous pets, customers with learning difficulties or disabilities who need additional assistance when communicating with them</li> <li>- Potential situations which may give rise to incidents, accidents and near misses occurring affecting the health and safety of employees and other people</li> <li>- Risks to customers themselves</li> <li>- Unable to demonstrate IT had adequate arrangements to protect staff</li> <li>- Significant fines / prosecution for non-compliance of health and safety and data protection legislation</li> </ul>	Red 9	<ul style="list-style-type: none"> <li>Corporate system available on the Intranet and records held on other systems <i>Paul Johnson</i></li> <li>Corporate Warning Marker Policy in place, produced by Information Governance Team (although in need of review) <i>Paul Johnson</i></li> <li>Review meetings held between Information Governance, IT and HSST to check records <i>Paul Johnson</i></li> <li>Managers to ensure there are activity based risk assessments where there is a risk of violence and aggression towards staff <i>Paul Johnson</i></li> <li>Corporate oversight group to be formed to review &amp; improve whole system and corporate policy for warning &amp; information markers <i>Paul Johnson</i></li> <li>Review of all systems being used so that they are effective. Roles &amp; responsibilities to be clearly defined <i>Paul Johnson</i></li> </ul>	<ul style="list-style-type: none"> <li>In Place</li> <li>In Place</li> <li>In progress</li> <li>In progress</li> <li>Proposed</li> <li>Proposed</li> </ul>		<ul style="list-style-type: none"> <li>100</li> <li>100</li> <li>50</li> <li>50</li> <li>0</li> <li>0</li> </ul>	<ul style="list-style-type: none"> <li>Amber</li> <li>8</li> <li>Medium Likelihood</li> <li>High Impact</li> </ul>	4  4

Risk Register - Corporate Risk Register

		<ul style="list-style-type: none"> <li>• Oversight group to be chaired and led by an appropriate Senior Manager to report back to DLT / CLT <i>Paul Johnson</i></li> <li>• Membership from all key stakeholders, e.g. Information Governance, IT, Risk Management, Health and Safety, Social Care, SCH etc <i>Paul Johnson</i></li> <li>• Proposal for new local directorate 'gatekeepers' to be appointed to keep local records up-to-date <i>Paul Johnson</i></li> <li>• Corporate oversight group to meet regularly with appointed gatekeepers to ensure new systems are working effectively <i>Paul Johnson</i></li> <li>• Explore new IT system solutions that might be required to make system more robust for organisation <i>Paul Johnson</i></li> </ul>	Proposed		0	
			Proposed		0	
			Proposed		0	
			Proposed		0	
			Proposed		0	

**Review Comments** Risk reviewed by Paul Johnson, net risk level remains at amber 8.  
13/05/2019

Registers : 1

**Risk Register - Children's Services & Skills Directorate**

Net Risk Level Summary

<b>Green</b>	<b>0</b>	<b>Amber</b>	<b>1</b>	<b>Red</b>	<b>0</b>	<b>Total</b>	<b>1</b>
Net Risk Level Changes							

0	1	0
0	0	0
0	0	0

Editor Liz Gillespie

Risk Title	Risk Ref	Risk Owner	Action Progress	Created	Last Review	Next Review
Failure to meet statutory requirements within Children & Families Act relating to SEND	CSS0213	Louise Rees	<div style="width: 90%; background-color: yellow;"></div> 90 % complete	02/09/2014	20/05/2019	20/08/2019

Potentially Caused by	Potentially Leading to	Gross Risk Level	Mitigating Actions	Action Status	Target Date	Action Progress	Net Risk	Previous Net Risk
- Poor financial controls - Insufficient staff resources - Lack of agreed process and procedures - Failure to issue educational health care plans within 20 week timescale	- Impact on outcomes for children and young people - Children's needs not met - Reputational damage, e.g. Quality / number of complaints - Tribunals	<b>Amber</b>  8	• Embed new Educational Health Care Plan (EHCP) process <i>Phil Leivers</i>	In Place		100	<b>Amber</b>  8  Medium Likelihood  High Impact	
			• Statutory Assessment - clear process in place <i>Phil Leivers</i>	In Place		100		
			• SEND board having an oversight of plan <i>Phil Leivers</i>	In Place		100		
			• Implementation of new SEND (including START) team structure, there is now an Assess Team and Review Team <i>Phil Leivers</i>	Complete		100		
			• To be monitored at monthly Performance DLT - via scorecard <i>Phil Leivers</i>	In Place		100		
			• Appointment of lead Educational Psychologist <i>Ann Lowe</i>	Complete		100		
			• Monitor impact of new provider and new procedures on controls over direct payments <i>Phil Leivers</i>	In progress		50		
			• Implementation of additional staff as per business case <i>Phil Leivers</i>	In progress	30/09/2019	50		
			• Monitoring controls over direct payments <i>Phil Leivers</i>	Complete		100		
• Processes and Procedures being agreed and implemented <i>Phil Leivers</i>	In Place		100					

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<b>Review Comments</b>	Risk reviewed by DLT on 7th May 2019, mitigating actions updated 20/05/2019
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**Children's Services & Skills Directorate**

Registers : 1



**Risk Register - Strategic Environmental Services - Contract Management**

Net Risk Level Summary

<b>Green</b>	<b>0</b>	<b>Amber</b>	<b>1</b>	<b>Red</b>	<b>0</b>	<b>Total</b>	<b>1</b>	0	1	0
								0	0	0
								0	0	0

Net Risk Level Changes

Editor Kalen Wood

Risk Title	Risk Ref	Risk Owner	Action Progress	Created	Last Review	Next Review
Resource implications of replacing brown bins	ESCM0083	Kalen Wood	<div style="width: 93%; background-color: yellow;"></div> 93 % complete	10/07/2018	01/05/2019	01/08/2019

Potentially Caused by	Potentially Leading to	Gross Risk Level	Mitigating Actions	Action Status	Target Date	Action Progress	Net Risk	Previous Net Risk
- Failure of brown bins due to damage/splitting	- Service failure - Demand on service delivery areas - Reputational damage to the council - Increase costs of managing the problem with brown bins - Pressure on operations at the depot due to additional storage space - Increased demand on the Contact Centre and Environmental Service - Detrimental impact on employee wellbeing - Reduction in participation in recycling service	<b>Red</b>  9	<ul style="list-style-type: none"> <li>Review Team set up and Action Plan created <i>Kalen Wood</i></li> <li>Enhanced communication with residents, Councillors' and Parish Councils <i>Kalen Wood</i></li> <li>Direct dialogue with the brown bin supplier to secure increased supply and a long term and permanent solution <i>Kalen Wood</i></li> <li>Exploration of alternative option for a long term solution <i>Kalen Wood</i></li> <li>Increased short-term capacity in the Contact Centre <i>Emma Mayhew</i></li> <li>Increased short-term capacity in the Environmental Services Team <i>Kalen Wood</i></li> <li>Involvement of colleagues in Legal and formal correspondence with MGB <i>Kalen Wood</i></li> <li>Early Warning notice issued to Amey regarding dialogue and information from Faun Zoller <i>Kalen Wood</i></li> <li>Regular progress and process review meetings held <i>Kalen Wood</i></li> <li>Escalation plan developed <i>Kalen Wood</i></li> </ul>	Complete		100	<b>Amber</b>  8  Medium Likelihood  High Impact	

**Review Comments**

Mitigating actions are still relevant  
Numbers of replacement requests have stabilised but the position is being monitored weekly  
Escalation plan is in place if and when required  
01/05/2019

**Risk Register - Housing Strategy**

Net Risk Level Summary

<b>Green</b>	<b>0</b>	<b>Amber</b>	<b>1</b>	<b>Red</b>	<b>0</b>	<b>Total</b>	<b>1</b>

Net Risk Level Changes

Editor George Daley

Risk Title	Risk Ref	Risk Owner	Action Progress	Created	Last Review	Next Review
Failure to provide a multi agency approach to meet the various needs of rough sleepers	HOS0011	George Daley	<div style="width: 84%; background-color: yellow;"></div> 84 % complete	04/09/2012	26/04/2019	26/07/2019

Potentially Caused by	Potentially Leading to	Gross Risk Level	Mitigating Actions	Action Status	Target Date	Action Progress	Net Risk	Previous Net Risk
- Lack of a joined up approach with partner agencies - Lack of access to health and treatment services	- Risk of physical harm, ill health (particularly in cold weather) and exploitation	<b>Red</b> 9	• Severe Weather Provision <i>George Daley</i>	In Place		100	<b>Amber</b> 8 Medium Likelihood High Impact	
			• Multi agency partnership approach and housing solutions <i>George Daley</i>	In Place		100		
			• Provision of a responsive rough sleeper outreach service - SIAS <i>George Daley</i>	In Place		100		
			• Agreed Multi Agency Rough Sleepers Protocol <i>George Daley</i>	In Place		100		
			• Annual review of the Solihull Integrated Addiction Service (SIAS) <i>George Daley</i>	In Place		100		
			• Develop an agreed approach with partner agencies including health, mental health and personal security <i>George Daley</i>	In progress	30/09/2019	60		
			• Ensure health and treatment services are provided in an accessible way <i>George Daley</i>	In progress	30/09/2019	50		
• Agreement on contributions by cross sector agencies by April 2019, proposals will then go to the relevant boards <i>George Daley</i>	In progress	30/09/2019	60					

**Review Comments** There are various developments in progress to move forward the review and updating of the partnership approach to rough sleeping. In particular we have been awarded Government funding for a 12 month fixed term contract for a Rough Sleeper Co-ordinator to work with the Housing Team to take forward this work and as part of this we will need to agree ownership of actions by other directorates and partners e.g. Public Health, Police etc.  
26/04/2019

**Risk Register - N001 Kingshurst Village Centre**

Net Risk Level Summary

<b>Green</b>	<b>0</b>	<b>Amber</b>	<b>4</b>	<b>Red</b>	<b>0</b>	<b>Total</b>	<b>4</b>
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0	4	0
0	0	0
0	0	0

Net Risk Level Changes

1	-1	
1	-1	

Editor Angharad Bullward

Risk Title	Risk Ref	Risk Owner	Action Progress	Created	Last Review	Next Review
FINANCE – Unfunded project development costs	KVC007	Perry Wardle	<div style="width: 30%; background-color: red;"></div> 30 % complete	11/04/2019	13/05/2019	13/08/2019

Potentially Caused by	Potentially Leading to	Gross Risk Level	Mitigating Actions	Action Status	Target Date	Action Progress	Net Risk	Previous Net Risk
- Rejected or delayed business case approval (either at OBC or FBC) - Insufficient funding available	- Revenue overspend - Project delays - Political implications	<div style="background-color: red; color: white; text-align: center; padding: 2px;">Red</div> 9	• Refine funding requirements as part of outline business case <i>David Mackins</i>	Planned	30/09/2019	0	<div style="background-color: orange; color: white; text-align: center; padding: 2px;">Amber</div> 8 Medium Likelihood High Impact	9 -1
			• Seek authority from Cabinet to spend at risk to progress the project <i>David Mackins</i>	Planned	31/10/2019	0		
			• Robust business case submission <i>David Mackins</i>	In progress	31/10/2019	50		
			• Financial forecasting undertaken monthly <i>David Mackins</i>	In Place		100		
			• Engage with WMCA seeking input into draft business case and fast tracking of approval <i>David Mackins</i>	Planned	31/07/2019	0		

**Review Comments** Risk and mitigating actions reviewed by AH  
13/05/2019

Risk Title	Risk Ref	Risk Owner	Action Progress	Created	Last Review	Next Review
FINANCE - Failure to secure capital funding	KVC008	Perry Wardle	<div style="width: 42%; background-color: red;"></div> 42 % complete	11/04/2019	13/05/2019	13/08/2019

Potentially Caused by	Potentially Leading to	Gross Risk Level	Mitigating Actions	Action Status	Target Date	Action Progress	Net Risk	Previous Net Risk
- WMCA funding and/or other match funding is not secured or delayed - Insufficient internal funding - WMCA reprioritising their priorities	- Project delays/aborted - Sub optimal scheme that doesn't deliver the objectives	<div style="background-color: red; color: white; text-align: center; padding: 2px;">Red</div> 9	• Explore all opportunities for funding <i>David Mackins</i>	In progress		50	<div style="background-color: orange; color: white; text-align: center; padding: 2px;">Amber</div> 8 Medium Likelihood High Impact	
			• Funding and financing Strategy <i>Joanne Foley</i>	In progress		50		

		<ul style="list-style-type: none"> <li>• Ensure that we have a robust business case that meets the funders requirements <i>David Mackins</i></li> <li>• Engagement with key stakeholders <i>David Mackins</i></li> <li>• Close engagement with the WMCA through development of the project <i>David Mackins</i></li> <li>• Contingency Plan to be explored <i>David Mackins</i></li> </ul>	In progress	50	
			In progress	50	
			In progress	50	
			Planned	0	

**Review Comments** Risk and mitigating actions reviewed by AH  
13/05/2019

Risk Title	Risk Ref	Risk Owner	Action Progress	Created	Last Review	Next Review
FINANCE – Insufficient capital funding available	KVC0009	Perry Wardle	<div style="width: 50%; background-color: red;"></div> 50 % complete	11/04/2019	13/05/2019	13/08/2019

Potentially Caused by	Potentially Leading to	Gross Risk Level	Mitigating Actions	Action Status	Target Date	Action Progress	Net Risk	Previous Net Risk
<ul style="list-style-type: none"> <li>- Inaccurate cost estimates</li> <li>- Unforeseen costs</li> <li>- Increased inflation</li> <li>- Costs associated with the required development works and / or acquisition costs are higher than anticipated</li> <li>- Changes in the housing and retail market</li> </ul>	<ul style="list-style-type: none"> <li>- Unfunded expenditure</li> <li>- Contractual issues</li> <li>- Project delays</li> <li>- Sub optimal scheme that doesn't deliver the objectives</li> </ul>	Red 9	<ul style="list-style-type: none"> <li>• Robust cost estimate including quantified risk assessment including contingency <i>David Mackins</i></li> <li>• Robust Procurement Strategy <i>David Mackins</i></li> <li>• Advanced negotiation with key potential partners <i>David Mackins</i></li> <li>• Resilience planning <i>David Mackins</i></li> <li>• Robust contract management <i>David Mackins</i></li> </ul>	In progress		50	Amber 8 Medium Likelihood High Impact	

**Review Comments** Risk and mitigating actions updated by AH.  
13/05/2019

Risk Title	Risk Ref	Risk Owner	Action Progress	Created	Last Review	Next Review
Scheme viability and demonstrating value for money	KVC0012	David Mackins	<div style="width: 25%; background-color: red;"></div> 25 % complete	11/04/2019	10/05/2019	10/08/2019

Potentially Caused by	Potentially Leading to	Gross Risk Level	Mitigating Actions	Action Status	Target Date	Action Progress	Net Risk	Previous Net Risk
- Relatively low property value compared to build costs - High site assembly costs e.g. CCTV building, vicarage and third party land ownerships - Poorly defined / unachievable objectives - Poor risk management	- Unable to demonstrate good BCR - Difficulty securing funding which may delay project - High risk allocations impacting scheme viability	Red  9	• Refine and agree objectives as part of outline business case <i>David Mackins</i>	Planned	30/06/2019	0	Amber	
			• Undertake detailed viability assessment which includes detailed site assembly costs <i>David Mackins</i>	Planned	30/06/2019	0	Medium Likelihood	
			• Robust business case submission <i>David Mackins</i>	In progress		50	High Impact	
			• Robust risk management and targeted mitigation actions to minimise risk allocations. <i>David Mackins</i>	In progress		50		
<b>Review Comments</b>	Risk and mitigating actions updated by AH. 10/05/2019							

**Risk Register - N006 A452 Chester Road Enhancement**

Net Risk Level Summary

<b>Green</b>	<b>0</b>	<b>Amber</b>	<b>1</b>	<b>Red</b>	<b>0</b>	<b>Total</b>	<b>1</b>
Net Risk Level Changes							

0	1	0
0	0	0
0	0	0

Editor Angharad Bullward

Risk Title	Risk Ref	Risk Owner	Action Progress	Created	Last Review	Next Review
Insufficient resourcing capacity and ability to deliver the scheme	ACRE0010	Walter Bailey	<div style="width: 50%; background-color: red;"></div> 50 % complete	07/06/2019	07/06/2019	07/09/2019

Potentially Caused by	Potentially Leading to	Gross Risk Level	Mitigating Actions	Action Status	Target Date	Action Progress	Net Risk	Previous Net Risk
- Poor planning - Lack of market capacity	- Delay to works commencing, extension to the programme - Increased costs - Impact on scheme quality	<b>Red</b> 9	<ul style="list-style-type: none"> <li>Discussion with in-house team and supporting consultants to co-ordinate resources <i>Walter Bailey</i></li> <li>Co-ordination of future resource and procurement planning <i>Walter Bailey</i></li> <li>Resource prioritisation for the scheme <i>Walter Bailey</i></li> </ul>	In progress	29/11/2019	50	<b>Amber</b> 8 Medium Likelihood High Impact	

**Review Comments** Risk identified during Risk Workshop.  
07/06/2019

**Risk Register - UK Central**

Net Risk Level Summary

<b>Green</b>	<b>0</b>	<b>Amber</b>	<b>2</b>	<b>Red</b>	<b>0</b>	<b>Total</b>	<b>2</b>

Net Risk Level Changes

Editor Alex Heath

Risk Title	Risk Ref	Risk Owner	Action Progress	Created	Last Review	Next Review
PROGRAMME DELIVERY - Major infrastructure projects delivered by others fail to deliver UKC Vision/SMBC objectives	UKC0047	Anne Brereton	<div style="width: 91%; background-color: yellow;"></div> 91 % complete	26/08/2015	10/05/2019	10/08/2019

Potentially Caused by	Potentially Leading to	Gross Risk Level	Mitigating Actions	Action Status	Target Date	Action Progress	Net Risk	Previous Net Risk
- Lack of information from 3rd parties - Poor systems - Scale of projects - Lack of project resources - Poor communication and engagement - Poor project planning - Mis-alignment of organisational objectives - Political changes	- Project delays - Additional costs - Business delays - Reputational impact - Duplication of work - Scope creep - Stretched resources	<b>Red</b>  9	• Align major stakeholders through HS2 Growth Strategy and UK Central Governance structures <i>Anne Brereton</i>	In Place		80	<b>Amber</b>  8  Medium Likelihood  High Impact	
			• Communication and engagement between key programmes <i>Alan Smith</i>	In Place		75		
			• Negotiation with key stakeholders towards the development and mutual adoption of a sub-regional single infrastructure plan <i>Alan Smith</i>	In Place		100		
			• Regular review of the range of activity with major stakeholders including HS2, TfWM, MMA and HE <i>Derek Lawlor</i>	In Place		100		
			• Establishment of action/issue logs and risk registers for each major programme <i>Derek Lawlor</i>	In Place	30/09/2018	100		

**Review Comments** Risks and mitigating actions reviewed by AH.  
10/05/2019

Risk Title	Risk Ref	Risk Owner	Action Progress	Created	Last Review	Next Review
LAND OWNERS - UKC Hub objectives compromised by failing to secure satisfactory agreement with land owners	UKC0046	Martin Clayton	<div style="width: 58%; background-color: yellow;"></div> 58 % complete	26/08/2015	10/05/2019	10/08/2019

Potentially Caused by	Potentially Leading to	Gross Risk Level	Mitigating Actions	Action Status	Target Date	Action Progress	Net Risk	Previous Net Risk



**Managed Growth & Communities Directorate**

Risk Register - UK Central

Editor

Alex Heath

<p>- Lack of understanding of significant magnitude of constraints to development - Unrealistic expectations</p>	<p>- Breakdown in communication and conflict - Potential programme delays</p>	<p style="background-color: red; color: white; text-align: center;"><b>Red</b></p> <p style="text-align: center;">9</p>	<ul style="list-style-type: none"> <li>• Ongoing dialogue and negotiation with Arden Cross land owners <i>Martin Clayton</i></li> <li>• Urban Growth Company leading stakeholder engagement within UK Central Hub <i>Anne Brereton</i></li> <li>• Nick Brown to meet with the new Chair of Arden Cross, Waheed Nazir <i>Anne Brereton</i></li> </ul>	<p>In Place</p> <p>In progress</p> <p>In progress</p>		<p>75</p> <p>50</p> <p>50</p>	<p style="background-color: orange; color: white; text-align: center;"><b>Amber</b></p> <p style="text-align: center;">8</p> <p style="text-align: center;">Medium Likelihood</p> <p style="text-align: center;">High Impact</p>
<b>Review Comments</b>	<p>Risk and mitigating actions reviewed by AH 10/05/2019</p>						

**Risk Register - UK Central Programme Interfaces**

Net Risk Level Summary

<b>Green</b>	<b>0</b>	<b>Amber</b>	<b>2</b>	<b>Red</b>	<b>0</b>	<b>Total</b>	<b>2</b>	0	2	0
								0	0	0
								0	0	0

Net Risk Level Changes

Editor Alex Heath

Risk Title	Risk Ref	Risk Owner	Action Progress	Created	Last Review	Next Review
PROGRAMME - Lack of programme coordination of major schemes on highway network	UKCPI0004	Derek Lawlor	<div style="width: 75%; background-color: yellow;"></div> 75 % complete	29/03/2019	09/05/2019	09/08/2019

Potentially Caused by	Potentially Leading to	Gross Risk Level	Mitigating Actions	Action Status	Target Date	Action Progress	Net Risk	Previous Net Risk
- Absence of robust information in GIS - Reliance upon third parties	- Poor planning of work - Cost and disruption from abortive works - Reputational damage	<b>Red</b> 9	• Collaborative approach to delivery <i>Derek Lawlor</i>	In progress		50	<b>Amber</b> 8 Medium Likelihood High Impact	
			• Confirm required information to be displayed in GIS by resending proposed table <i>Mark O'Connell</i>	Complete	19/06/2019	100		
			• Project Managers to book road space on the NRSWA system <i>Paul Tovey</i>	In progress		50		
			• Continue to encourage West Midlands Resilience Strategic Team to obtain information from relevant parties e.g. HS2 <i>Alan Smith</i>	In Place		100		
			• Continue to encourage West Midlands Resilience Tactical Team to obtain information from relevant parties e.g. HS2 <i>Paul Tovey</i>	In Place		100		
			• Ensure that robust governance arrangements in place and there is a clear escalation process <i>Derek Lawlor</i>	In progress		50		

**Review Comments** Reviewed by Derek Lawlor and mitigating action target date revised.  
09/05/2019

Risk Title	Risk Ref	Risk Owner	Action Progress	Created	Last Review	Next Review
METRO – East Birmingham and North Solihull (EBNS) route not delivered	UKCPI0003	Walter Bailey	<div style="width: 33%; background-color: red;"></div> 33 % complete	29/03/2019	09/05/2019	09/08/2019

Potentially Caused by	Potentially Leading to	Gross Risk Level	Mitigating Actions	Action Status	Target Date	Action Progress	Net Risk	Previous Net Risk

**Managed Growth & Communities Directorate**

Risk Register - UK Central Programme Interfaces

Editor

Alex Heath

- Lack of funding	- UKC hub access is car dominated resulting in traffic congestion and environmental harm	<p style="background-color: red; color: white; text-align: center;">Red</p> <p style="text-align: center;">9</p>	<ul style="list-style-type: none"> <li>• Supporting Midland Metro Alliance with business case development and funding strategy <i>Walter Bailey</i></li> <li>• Consider alternatives if metro is not delivered <i>Walter Bailey</i></li> <li>• Work with UGC to ensure delivery of Multi Modal Bridge <i>Walter Bailey</i></li> </ul>	<p>In progress</p>   <p>Planned</p>   <p>In progress</p>	<p>31/12/2019</p>   <p>31/12/2020</p>	<p>50</p>   <p>0</p>   <p>50</p>	<p style="background-color: orange; color: white; text-align: center;">Amber</p> <p style="text-align: center;">8</p> <p style="text-align: center;">Medium Likelihood</p> <p style="text-align: center;">High Impact</p>
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**Review Comments** Risk reviewed by Walter Bailey, no change to risk at this time.  
09/05/2019

**Managed Growth & Communities Directorate**

Registers : 6

**Risk Register - Public Health Directorate**

Net Risk Level Summary

<b>Green</b>	<b>0</b>	<b>Amber</b>	<b>0</b>	<b>Red</b>	<b>1</b>	<b>Total</b>	<b>1</b>

Net Risk Level Changes

Editor Donna Vines

Risk Title	Risk Ref	Risk Owner	Action Progress	Created	Last Review	Next Review
Service and business disruption as a result of Brexit	PHD0063	Ruth Tennant	<div style="width: 50%; background-color: red;"></div> 50 % complete	04/03/2019	14/06/2019	14/07/2019

Potentially Caused by	Potentially Leading to	Gross Risk Level	Mitigating Actions	Action Status	Target Date	Action Progress	Net Risk	Previous Net Risk
- Uncertainty around Brexit implications - Unknown position in relation to EU law, future trade agreements and the prospect of diminishing EU funding	- Potential workforce implications - Potential changes in demand for services - Changes to legal/ regulatory frameworks	<b>Red</b> 9	<ul style="list-style-type: none"> <li>Internal Brexit planning group to be put in place when required <i>Ruth Tennant</i></li> <li>Liaison with Ministry of Housing, Communities &amp; Local Government (MHCLG) as needed <i>Nick Page</i></li> </ul>	Planned  In Place		0  100	<b>Red</b> 9 High Likelihood High Impact	

**Review Comments** Risk reviewed by Ruth Tennant, net risk level remains at red 9.  
14/06/2019

Public Health Directorate

Registers : 1

**Risk Register - Finance (Children's)**

Net Risk Level Summary

<b>Green</b>	<b>0</b>	<b>Amber</b>	<b>1</b>	<b>Red</b>	<b>0</b>	<b>Total</b>	<b>1</b>
Net Risk Level Changes		1	2	↗	1		2 ↗

0	1	0
0	0	0
0	0	0

Editor Richard Johnson

Risk Title	Risk Ref	Risk Owner	Action Progress	Created	Last Review	Next Review
DATA MIGRATION - LCS Data migration issues	CF0003	Sarah Cheale	<div style="width: 33%; background-color: red;"></div> 33 % complete	05/02/2019	10/05/2019	10/08/2019

Potentially Caused by	Potentially Leading to	Gross Risk Level	Mitigating Actions	Action Status	Target Date	Action Progress	Net Risk	Previous Net Risk
Issues with migration of data from CareFirst to LCS for CIN, LAC, Care Leavers, Private Orders and Foster Carers	Inability to carry out full ControCC testing during UAT and an inability to identify key data gaps as a result of not having the most up to date data in migration. This will significantly slow testing and may mean that risks/issues are not discovered early enough on in UAT rounds, which may jeopardise the go live date	Amber 8	<ul style="list-style-type: none"> <li>Data Quality Board chaired by Mike Slater in readiness for UAT3 <i>Anna Stephens</i></li> <li>Data Quality improvement driven by Business Change Team in readiness for UAT3 <i>Ian Mills</i></li> </ul>	In progress	30/08/2019	50	Amber 8 Medium Likelihood High Impact	6 ↗ 2

**Review Comments** Risk level increased due to mitigating actions not being completed  
10/05/2019

**Risk Register - The Corporate Approach to Delivering an Asset Masterplan**

Net Risk Level Summary

**Green 0 Amber 1 Red 0 Total 1**

Net Risk Level Changes

0	1	0
0	0	0
0	0	0

Editor Sarah Comley

Risk Title	Risk Ref	Risk Owner	Action Progress	Created	Last Review	Next Review
Insufficient funds to enable effective property management	DAM0009	Martin Clayton	<div style="width: 8%; background-color: red;"></div> 8 % complete	24/07/2018	08/05/2019	08/08/2019

Potentially Caused by	Potentially Leading to	Gross Risk Level	Mitigating Actions	Action Status	Target Date	Action Progress	Net Risk	Previous Net Risk
<ul style="list-style-type: none"> <li>Service priorities</li> <li>Insufficient knowledge surrounding funds required</li> <li>No WLC in place</li> <li>Lack of maintenance and investment</li> <li>Assets not being part of BMP</li> </ul>	<ul style="list-style-type: none"> <li>Deteriorating property</li> <li>Impact on service outcomes/ priorities</li> <li>Increasing costs to put right</li> <li>Different standards in different properties</li> </ul>	<p style="background-color: red; color: white; text-align: center;">Red</p> <p style="text-align: center;">9</p>	<ul style="list-style-type: none"> <li>Standardise corporate property to contribute to BMP <i>Martin Clayton</i></li> </ul>	Proposed		0	Amber	
			<ul style="list-style-type: none"> <li>Agree asset strategy (based on service need) <i>Martin Clayton</i></li> </ul>	Planned	27/09/2019	0	Medium Likelihood	
			<ul style="list-style-type: none"> <li>Implement asset strategy action plan on property by property basis <i>Martin Clayton</i></li> </ul>	Proposed	31/03/2020	0	High Impact	
			<ul style="list-style-type: none"> <li>Identifying maintenance budgets, if there is a gap to maintain property - to be refreshed for 19/20 <i>Karen Cranley</i></li> </ul>	In progress	27/09/2019	50		
			<ul style="list-style-type: none"> <li>Identifying MTFS gap and obtain member approval <i>Karen Cranley</i></li> </ul>	Proposed	27/09/2019	0		
			<ul style="list-style-type: none"> <li>Centralise revenue budgets <i>Karen Cranley</i></li> </ul>	Proposed	27/03/2020	0		

**Review Comments** Risk reviewed by Programme Manager and Interim Head of Strategic Land and Property, no change to net risk at this time. Mitigating actions updated. Risk to be reviewed once draft SAMP (Strategic Asset Management Plan) service strategies are available - due September 2019.  
08/05/2019