
Audit and Standards Committee – 23rd June 2021

Report of the Director of Finance and Legal

Corporate Risks Report

Purpose

1. To discuss current Corporate Risks and the status allocated by the Risk Owner.
2. To discuss other risks for possible inclusion on the Corporate Risk Register.

Recommendations

3. It is recommended that Audit and Standards Committee:
 - Notes and comments on the Corporate Risks shown in **Appendix A**.
 - Identifies any additional risks that it considers should form part of the Corporate Risk Register.
 - Identifies a risk for detailed scrutiny at the September 2021 meeting of this Committee.

Background

Risk Management Framework Update

4. Following the approval of the Risk Management Framework by Audit and Standards Committee, a copy of the Framework has been distributed to all Directors and Heads of Service.

5. The Head of Audit Services has arranged to attend each Directorate Management Team to talk through the changes to risk management procedures.
6. The new Risk Management System (Spectrum) has gone live, but further changes are still required and Digital and ICT Services have been asked to make these changes as soon as possible.
7. Following attendance at Directorate Management Teams, the Head of Audit Services will be holding Risk Workshops and the goal will be to have directorate risk registers in place by the end of August 2021.
8. In June/July, the Head of Audit Services will be contacting Corporate Risk Owners to discuss their risks and helping them to review them in line with the new Framework. It is hoped that the next Corporate Risks report to Audit and Standards Committee will be in the new format.

Changes to Corporate Risks

9. Strategic Executive Board (SEB) at its meeting of the 26th May 2021 agreed for the following risk to be added to the Corporate Risk Register : Failure to seize the opportunities and exploit the benefits that will come from the huge regeneration programme investment due to a lack of a strategic approach and insufficient resources could result in unfulfilled economic prosperity and social benefits.
10. Changes in status of Corporate Risks during the quarter that have been endorsed by SEB.

| Risk | Rating | Status |
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| R.14 HR Policies | Moderate | No Change |
| R15 The Council budget | Significant | No Change |
| R.18 Information Governance | Significant | No Change |
| R.20 Welfare Reform | Major | No Change |
| R.21 Corporate Fraud | Significant | No Change |
| R.137 Health & Safety | Major | No Change |
| R.234 Emergency Planning | Moderate | Decreased |
| R.242 Management Capacity | Minor | No Change |
| R.286 Payroll | Significant | No Change |
| R.287 Payment Card Industry Standard | Significant | No Change |
| R.306 UK failing to agree trade deals with EU, USA and Worldwide | Significant | No Change |
| R.342 Vulnerable Adults | Major | No Change |
| R.341 Vulnerable Children | Major | No Change |
| R.343 Regeneration Funding | Major | No Change |

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| R.354 Risk of failure to meet the Regulator of Social Housing “Consumer Standard” | Significant | No Change |
| R.365 Equality Act 2010 and Public Sector Equality Duty | Major | No Change |
| R.366 Cyber Security | Significant | No Change |
| R.367 Digital Platform Programme | Significant | No Change |
| R.368 Ofsted and the Care Quality Commission requirements | Moderate | No Change |
| R.369 Covid-19 | Major | No Change |
| R.370 Climate Change | Major | No Change |
| R.371 The Portersfield Development | Moderate | No Change |

Risk Reporting

11. Directors have followed good practice by identifying additional risks for possible inclusion on the Corporate Risk Register, prior to the quarterly meeting where risk is formally discussed. It is vitally important that this practice continues. Where urgency demands the addition of new risks to the Corporate Risk Register, the proposal should be discussed with the Head of Audit Services, and Strategic Executive Board approval should be sought.
12. Audit and Standards Committee are invited to select another risk for scrutiny at its September 2021 meeting. **Appendix A** provides further information on the Corporate Risks and associated mitigating actions and lists out the date when individual corporate risks were last scrutinised by Audit and Standards Committee.

Finance

13. There are no direct financial implications arising from this report.

Law

14. The Accounts and Audit Regulations 2015 require each relevant authority to have a sound system of internal control which includes effective arrangements for the management of risk.

Risk Management

15. This report does not create any new risks. Although, new risks are put forward for consideration for inclusion on the Corporate Risk Register.

Equality Impact

16. This report does not raise any equality issues.
17. An effective risk management framework will help protect the interests of children and young people, albeit they were not consulted on, or involved, with the development of this report.

Human Resources/Organisational Development

18. This report does not have any human resources or organisational development implications.

Commercial/Procurement

19. There are no commercial/procurement considerations relating to this report.

Council Priorities

20. An effective risk management framework will help to ensure that Council priorities are met.



Iain Newman

Director of Finance and Legal

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Background Documents

Appendix A – Corporate Risks

APPENDIX A

Corporate Risk Register

| Periods | 01/10/2020 to 31/12/2020 | 01/01/2021 to 31/03/2021 |
|--|---|--|
| R.14 HR Policies <i>Owner: Jacqueline Branch</i> Legal Challenge to HR policies e.g. Holiday pay Reviewed: 09/02/2017 | MODERATE (8) | MODERATE (8) |
| | Rating remains as moderate | Rating remains as moderate |
| A.863 Specialist legal advice and support. <i>Owner: Iain Newman</i> | ✔ ONTARGET | ✔ ONTARGET |
| | Equal Pay Claims now complete. Annual review of Holiday Pay Claims scheduled for 15th September 2021 | Equal Pay Claims complete. Next annual meeting scheduled for 15th September 2021 to review holiday pay claims |
| R.15 The Council budget <i>Owner: Iain Newman</i> The Council may be unable to set and/or manage its budget so as to meet its statutory obligations within the resources available. Reviewed: 26/7/2017 | SIGNIFICANT (15) | SIGNIFICANT (15) |
| | Significant 15 Moderate probability/major impact based on forecast deficits and qualified VFM opinion | Moderate probability/major impact based on forecast deficits and qualified VFM opinion |
| A.864 Financial intelligence <i>Owner: Rachel Cooper</i> | ✔ ONTARGET | ✔ ONTARGET |
| | Continued virtual attendance at various events (MHCLG, SIGOMA, WMCA) | Ongoing research and information sharing with organisations including MHCLG, SIGOMA, WMCA. |
| A.866 Monitoring and forecasting of council tax and business rates <i>Owner: Sean Beckett</i> | ▲ BEHIND | ▲ BEHIND |
| | Monthly monitoring and reporting is taking place. Covid is having a negative effect on the ability to pay and a limiting effect on our ability to take recovery action. | Monthly monitoring and reporting is taking place. Covid is having a negative effect on the ability to pay and a limiting effect on our ability to take recovery action. However council tax is only very slightly down on previous years and the business rates situation improved at the end of |

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| | | February and further still at the end of March. |
| A.869 Reports to Cabinet, Scrutiny, Audit & Standards and Council on budgets <i>Owner: Iain Newman</i> | ✓ ONTARGET | ✓ ONTARGET |
| | Draft MTFS to 2023/24 consultation approved by Cabinet 17th December 2020, followed by submission to January round of Scrutiny Committee meetings. Formal approval of MTFS 2023/24 and Council Tax - 1st March 2021. Statement of Accounts approved December 2020 | Formal approval of MTFS 2023/24 and Council Tax - 1st March 2021. Revenue Outturn and Update MTFS July 2021 Cabinet Statement of Accounts scheduled for Audit & Standards committee September. |
| A.3181 Monitor financial stability of Better Care Fund <i>Owner: Matt Bowsher</i> | ✓ ONTARGET | ✓ ONTARGET |
| | The A+E Delivery Board, Integrated Commissioning Executive and Health and Well Being Board are all assured spending is in line with the BCF plan and within the available budget. | The BCF outcomes were delivered throughout 20/21. The plan for 21/22 has been agreed in principle. |
| R.18 Information Governance <i>Owner: Iain Newman</i> The Council may fail to; assess the importance of information to the business and may be unaware of the potential impact on the organisation should the confidentiality, integrity or availability of information be compromised. Reviewed: 9/12/2014 | SIGNIFICANT (12) | SIGNIFICANT (12) |
| | Moderate probability/significant impact. No change from previous quarter. | Moderate probability/significant impact. No change from previous quarter |
| A.907 Maintain standards of Information Governance and Transparency through the Information Governance Board <i>Owner: Lewis Bourne</i> | ✓ ONTARGET | ✓ ONTARGET |
| | Report to SEB with regards to Cyber Insurance sponsored by SIRO | Information Governance Board and SIRO consulted on matters relating to IG where appropriate. |

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| A.908 Corporate Information Governance Team <i>Owner: Iain Newman</i> | ✔ ONTARGET | ▲ BEHIND |
| | IG Team continues to maintain a full complement of staff successfully working from home. | As a consequence of increased complex Data Subject Access Requests, resource issues including but not limited to: staff resignation and sickness, lack of access to paper records etc. A small backlog in work has occurred meaning that in some cases statutory deadlines are not being met. A temporary period of overtime has been introduced to address the situation and recruitment exercise underway |
| A.909 On line Data Protection <i>Owner: Lewis Bourne</i> | ✔ ONTARGET | ✔ ONTARGET |
| | Campaign commenced to target users who have not completed mandatory training. | Some improvement in numbers of staff completing Cyber and IG training. 65% completed cyber security, 61% completed IG training. |
| A.910 Escalation of Information Governance issues <i>Owner: Iain Newman</i> | ✔ ONTARGET | ✔ ONTARGET |
| | Where appropriate IG issues are escalated to SIRO and relevant Directors. | SIRO is fully briefed on a routing basis in relation to the current position with Information Governance Issues |
| A.911 Action plan for compliance <i>Owner: Lewis Bourne</i> | ✔ ONTARGET | ▲ BEHIND |
| | Report produced detailing approach to recommence Virtual Audits across the council. | As a consequence of an increased number of complex DSAR's, Covid-19 impact on resources and access to records, Data Protection Audits have not recommenced. |

| R.20 Welfare Reform <i>Owner: Iain Newman</i> There is a risk that various changes to welfare and benefits systems could place people at risk and increase pressures on statutory services. 21st April 2021 | MAJOR (20) | MAJOR (16) |
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| A.752 Corporate Welfare Reform Board in place to take a strategic approach <i>Owner: Sean Beckett</i> | <input checked="" type="checkbox"/> ONTARGET | <input checked="" type="checkbox"/> ONTARGET |
| A.753 Increased provision for bad debt (Housing Services) - Corporate risk action <i>Owner: Catherine Ludwig</i> | <input checked="" type="checkbox"/> ONTARGET | <input checked="" type="checkbox"/> ONTARGET |
| A.754 Joint working with third sector and other partners to identify & support people affected by Welfare Reforms - Corporate risk action <i>Owner: Catherine Ludwig</i> | <input checked="" type="checkbox"/> ONTARGET | <input checked="" type="checkbox"/> ONTARGET |
| <p>020/21 bad debt provision was set prior to Covid 19 crisis so we are now forecasting an increased requirement for bad debt provision. We have been able to reduce this from our original higher estimate as arrears have not increased as much as initially feared, but it is still highly likely to be larger than in the previous year. We have reviewed budgetary provision and because we were able to carry forward a higher balance forward from 2019/20 we can accommodate the increase in projected bad debt provision within the current budgetary envelope. We do not set revised budgets but this will be reflected within the forecasts regularly presented to Cabinet.</p> | <p>Although we had made financial provision for an increase in bad debt provision on housing rents, as a result of Covid 19, at year end, arrears (both current and former) were at or slightly below end 2020/21 levels so no increase in BDP was required. We continue to monitor collection rates closely including the impact on BDP.</p> | |
| <p>Covid 19 continues to affect the operations of our partners particularly in the third sector. However, we have maintained links as far as possible and have</p> | <p>Covid 19 continues to affect the operations of our partners particularly in the third sector. However, we have maintained links as far</p> | |

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| | <p>offered help and support to tenants. The Corporate Welfare Reform Group has continued to meet virtually and maintain service links. We have developed links across the Council in particular to raise awareness of support available and to ensure that tenants claim Covid support wherever possible.</p> | <p>as possible and have offered help and support to tenants. The Corporate Welfare Reform Group has continued to meet virtually and maintain service links. We have developed links across the Council in particular to raise awareness of support available and to ensure that tenants claim Covid support wherever possible. This has included support from Covid Winter Grant and other areas.</p> |
| <p>A.755 Review housing stock to balance supply and demand - Corporate risk action <i>Owner: Catherine Ludwig</i></p> | <p>✔ ONTARGET</p> | <p>✔ ONTARGET</p> |
| | <p>Ongoing</p> | <p>Ongoing – our new build programme takes into consideration the needs of our tenants and potential tenants. We keep under review local housing needs (both for our service and the wider housing needs across the Borough). We will target our developments to meet the needs of our residents and are developing stronger engagement and consultation processes. For example, we have a lot of 3 bedroom houses and 2 bedroom flats, but are focusing on both larger and smaller houses, bungalows and one bedroom flats to meet identified needs</p> |
| <p>A.2839 Council Tax Reduction Scheme Review <i>Owner: Sean Beckett</i></p> | <p>✔ ONTARGET</p> | <p>✔ ONTARGET</p> |
| | <p>No action on this during this financial year.</p> | <p>No action on this during this financial year.</p> |

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| <p>A.3199 Strengthening Families Programme enables and assists families in meeting progress to work criteria <i>Owner: Helen Ellis</i></p> | <p style="text-align: center;">▲ BEHIND</p> <p>In December 2020, confirmation was received from the Ministry of Housing, Communities and Local Government to continue the Strengthening Families programme for a further one year allocation. The funding for 2021/22 has been determined, with 35% of the allocated £984,800 for Dudley MBC to be obtained through the Payment by Result element of the programme. Given the pandemic, representation has been made to relax this element from the Ministry of Housing, Communities and Local Government but there has been no shift in this position. The 2021/22 Financial Framework is expected to be released in April 2021, this will outline any changes required to evidence individual and family progress to process Payment by Result claims. Though no significant changes to this are expected. Dudley MBC continues to work closely with colleagues from DWP who form part of the governance structure both in the Strengthening Families sub-group and higher level Early Help Steering Group. Significantly, during the first half of 2020 the DWP resource was impacted upon as the support staff were removed from the programme to support the surge in Universal Credit applications as COVID-19 commenced. The resource returned in August 2020 and through working with colleagues at DWP, Dudley</p> | <p style="text-align: center;">▲ BEHIND</p> <p>During the closing stage of Q4 the Ministry of Housing, Communities and Local Government (MHCLG) have rebranded the programme as Supporting Families nationally. This development saw a range of updated materials including new Programme Guidance 2021/22 with key changes including:</p> <ul style="list-style-type: none"> • Rationale for the change of name to the programme • The Programme Guidance 2021/22 replaces the previous Financial Framework • Detail of sign-up commitments • Outcome Plans guidance • Employment and Financial Sustainability Support • Measuring school attendance during the COVID-19 pandemic • Information on reclaiming for families • Assurance reviews and visits from MHCLG <p>Importantly, Principle 8 of the new Programme Guidance 2021/22 on employment and financial stability has been updated to reflect that families can be identified as eligible for Supporting Families if an adult in the family is in receipt of out of work benefits, or an adult in the family is claiming Universal Credit (providing a second headline problem is also identified). Where a family is already in work</p> |
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| | <p>have secured additional resource in the form of an additional part time Troubled Families Employment Advisor from March 2021. As the programme is predicated through its Payment By Results programme on ‘progress to work’ and ‘significant and sustained progress’ this is a significant step in assisting Dudley to achieve targets on the Payment By Results element in 2021/22. However, this does still remain a challenge due to family’s needs being impacted upon through the pandemic.</p> | <p>but a claim for universal credit is used as an identifying problem progress must be shown against this headline problem if a claim for significant and sustained progress is to be made. This could include demonstrating progress towards improved financial stability using the same methodology as progress to work where appropriate. Principle 8 of the new Programme Guidance goes on to say that may be some exceptional cases where families do not need to demonstrate progress toward work. In these cases, such as families in receipt of Carers Allowance, worklessness would not be considered a problem for the family therefore it could not be counted as an indicator of their eligibility for support. This should be decided on a case-by-case basis and will only apply to a small number of families eligible for Supporting Families. In most cases consideration should be given to what support is needed to help a family access opportunity for employment or move towards improved financial stability. Principle 8 now also makes temporary accommodations for the impact of COVID 19. Many families may have experienced worklessness for the first time during the</p> |
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| | | <p>COVID 19 pandemic. Consideration should therefore be given to how progress towards work can be demonstrated.</p> <p>Examples can include:</p> <ul style="list-style-type: none"> • Family member is temporarily out of work due to COVID 19 and will be work ready when the crisis subsides, and/or • Family member has developed Curriculum Vitae and will be ready to apply for jobs when this is possible, and/or • Family member has engaged with support to reduce barriers to work, and/or • Family have engaged with financial support and have made progress to financial stability, and/or • Family member has achieved a temporary job or volunteered supporting the COVID 19 effort. <p>The funding for 2021/22 has been determined, with 35% of the allocated £984,800 for Dudley MBC to be obtained through the Payment by Result element of the programme. Dudley MBC continues to work closely with colleagues from DWP who form part of the governance structure both in the Strengthening Families sub-group and higher level Early Help Steering Group. As reported in the Q3 update, during the first half of 2020 the DWP resource was impacted upon as the support staff were removed</p> |
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| | | <p>from the programme to support the surge in Universal Credit applications as COVID-19 commenced. The resource returned in August 2020 and through working with colleagues at DWP, Dudley have secured additional resource in the form of an additional part time Troubled Families Employment Advisor from March 2021 (now Supporting Families Employment Advisors). As the programme is predicated through its Payment By Results programme on ‘progress to work’ and ‘significant and sustained progress’ this was an important step in assisting Dudley to achieve targets on the Payment By Results element in 2021/22. However, Q4 ended with 50% of payment by results for 2020/21. Dudley MBC have now engaged with Futures, an independent organisation who will manage the Payment By Results process in partnership with the Council for 2021/22. Adjustments have already been made the outcome plan with a 100% expected target for 2021/22.</p> |
| <p>A.3357 Implementation of additional Council Tax reductions under the Hardship Fund <i>Owner: Sean Beckett</i></p> | <p>✔ ONTARGET Circa £2.7m awarded of £2.9m fund provision.</p> | <p>✔ ONTARGET Circa £2.8m awarded of £2.9m fund provision.</p> |

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| <p>A.3473 Implementation of Covid Isolation Payments <i>Owner: sean beckett</i></p> | <p>✔ ONTARGET</p> | <p>✔ ONTARGET</p> |
| | <p>Isolation payments were introduced on 28/9/21. Policy, application and process established. Payments being made and policy revisions being made where required.</p> | <p>Isolation payments were introduced on 28/9/21. Policy, application and process established. Payments being made and policy revisions being made where required. £0.5m of awards made @ 8/3/21. Additional localised award developed for some who do not satisfy the main scheme criteria.</p> |
| <p>A.3474 Implementation of Winter Support Grant and Emergency Assistance Grant <i>Owner: julie black</i></p> | <p>✔ ONTARGET</p> | <p>✔ ONTARGET</p> |
| | <p>From August to December 432 grants have been made. (The grant is on target for spend) The Government issued a Winter Emergency Grant in December 2020. This grant is 80% for children and families and 20% for vulnerable adults. The grant is primarily for spend on food fuel and white goods. There is some overlap with the Emergency assistance Grant. The scheme was extended in March until 16.4.21. The fund has been used to fund food vouchers for FSM children over holidays. Vouchers are given to families and adults in need. Some funds have been allocated to CAB to make cash payments for those they assess as eligible against the criteria - on target for spend</p> | <p>The Winter Emergency Grant has been spent in accordance with the Governments rules. The Emergency Assistance Grant has been spend in accordance with the government rules. Public Health have provided a £200k budget from reserves for 21/22 to continue an emergency assistance fund to those residents in desperate financial situations. This fund mirrors the EAG scheme criteria</p> |

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| <p>R.21 Corporate Fraud <i>Owner: Iain Newman</i> The Council acknowledges that there is a risk of fraud across all areas of its operations and is working both internally and with external partners to prevent and reduce this risk.</p> <p>Reviewed: 15/4/2015</p> | <p>SIGNIFICANT (12)</p> <p>Moderate probability/significant impact. No change from previous quarter</p> | <p>SIGNIFICANT (12)</p> <p>Moderate probability/significant impact. No change from previous quarter</p> |
| <p>A.1572 Anti Fraud and Corruption Plan <i>Owner: Graham Harrison</i></p> | <p>✔ ONTARGET</p> <p>After a delayed start, good progress is now being made. However, most time is being spent on investigations.</p> | <p>✔ ONTARGET</p> <p>Although resources were diverted from fraud work to support the Council because of the pandemic during the first six months of the year, work has still been completed covering the four strands: prevent, detect, investigate and resolve.</p> |
| <p>R.137 Health & Safety <i>Owner: Iain Newman</i> Failure to have in place effective arrangements for managing health and safety leading to risks to Council staff, service users and visitors to Council premises</p> <p>Reviewed: 5/2/2018</p> | <p>MAJOR (20)</p> <p>Likely/significant impact due to ongoing pandemic.</p> | <p>MAJOR (20)</p> <p>Likely/significant impact due to ongoing pandemic.</p> |
| <p>A.1593 Effective information, instruction and training <i>Owner: Simon Reece</i></p> | <p>✔ ONTARGET</p> <p>Health & safety management training programme in place. Demand for Managing Safely course – now delivered in two formats to maximise uptake of managers – has been affected by the Covid-19 pandemic. This has caused postponement of scheduled courses. These will be re-scheduled once current restrictions are lifted. Investigating running pilot</p> | <p>✔ ONTARGET</p> <p>Health & safety management training programme in place. Demand for Managing Safely course – now delivered in two formats to maximise uptake of managers – has been affected by the Covid-19 pandemic. This has caused postponement of previously scheduled courses. Dates</p> |

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| | course via e-learning using 3rd party provider for schools management teams. | now established for return of classroom-based courses for both formats and bookings are being taken. Pilot course via e-learning using 3rd party provider for school management teams has proved successful. Further courses now being scheduled. |
| A.1594 Effective Planning & Implementation <i>Owner: Simon Reece</i> | ✔ ONTARGET | ✔ ONTARGET |
| | Directorate level action plans are on agendas of appropriate management team meetings. Development & progress is reported at quarterly management group meetings. Quarterly H&S Reports being compiled and sent to Management group attendees despite absence of physical meetings. Health & Safety input at a corporate level into the Recovery Task & Finish Group and the Covid-19 Incident Co-ordination Group has continued during the pandemic. | Directorate level action plans are on agendas of appropriate management team meetings. Development & progress is reported at quarterly management group meetings. Quarterly H&S Reports being compiled and sent to Management group attendees despite absence of physical meetings. Health & Safety input at a corporate level into the Recovery Task & Finish Group and the Covid-19 Incident Co-ordination Group has continued during the pandemic. |
| A.1595 Effective Health & Safety organisation <i>Owner: Simon Reece</i> | ✔ ONTARGET | ✔ ONTARGET |
| | Governance structure for health & safety adjusted to reflect senior management restructure. This has been included in revised corporate health & safety policy (March 2020). Membership of Corporate H&S Group is being revised to ensure it is representative of the current management structure. | Governance structure for health & safety adjusted to reflect senior management restructure. This was included in current corporate health & safety policy (March 2020). Membership of Corporate H&S Group now revised to ensure it is representative of the current management structure. Meeting dates for reconvened CHSMG now in place. Further revision of |

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| | | Corporate Health & Safety Policy planned. |
| A.1596 Effective monitoring & auditing <i>Owner: Simon Reece</i> | ✔ ONTARGET | ▲ BEHIND |
| | Quarterly monitoring of health & safety performance is included in quarterly health & safety reports produced for management teams by CHST. Link to EWS to record violent incidents is now featured on system. EWS User Group established to review improvements to both system and officer usage. Health & Safety Compliance Review programme is in place, however current Covid-19 situation has led to temporary suspension of new reviews. Reports & action plans are delivered to Divisional management teams (or school management teams) for action. CHST have focused on carrying out programme of assurance audits of covid-19 arrangements to ensure workplaces are 'Covid Secure'. | Quarterly monitoring of health & safety performance is included in quarterly health & safety reports produced for management teams by CHST. Link to EWS to record violent incidents is now featured on system. EWS User Group established to review improvements to both system and officer usage. Health & Safety Compliance Review programme is in place, however current Covid-19 situation has led to temporary suspension of new reviews. Reports & action plans are delivered to Divisional management teams (or school management teams) for action. CHST have focused on carrying out programme of assurance audits of covid-19 arrangements to ensure workplaces are 'Covid Secure'. |
| A.3355 Personal Protective Equipment PPE <i>Owner: Simon Reece</i> | ✔ ONTARGET | ONTARGET |
| | System within the Corporate H&S Team (CHST) whereby requests for stocking PPE (related to Covid-19 use) by Corporate Procurement and Procurement Managers are checked against relevant standards and certification requirements. Procurement are | System within the Corporate H&S Team (CHST) whereby requests for stocking PPE (related to Covid-19 use) by Corporate Procurement and Procurement Managers are checked against relevant standards and certification |



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| | then advised as to whether to proceed with the purchase, request further details/clarification from the prospective supplier, or not to proceed with the intended purchase because it does not meet relevant standards or certification requirements for its intended use. | requirements. Procurement are then advised as to whether to proceed with the purchase, request further details/clarification from the prospective supplier, or not to proceed with the intended purchase because it does not meet relevant standards or certification requirements for its intended use. |
| R.234 Emergency Planning <i>Owner: Karen Wright</i> Failure to implement emergency planning and business continuity arrangements will increase the inability of the local authority to respond and recover from incidents. Reviewed: 21/12/2017 | MAJOR (20) | MODERATE (8) |
| | Review of Major Emergency Plan is being undertaken for publication in March. Specific Emergency Plans are being reviewed on a rolling programme, impact from Covid has delayed some reviews. Review of all Service area Business Continuity Plans were due back by end of February, not all have been returned, a list of outstanding plans is being created for review by SEB. | The Dudley Major Emergency plan 2021-22 was updated in March and validated by SEB 21.4.21 The covid 19 incident co-ordination group meets every 2 weeks while dealing with the covid 19. This group going forward will take responsibility for: overseeing the update f the Major Emergency Plan |
| A.2033 Develop corporate protocol and support the implementation of emergency evacuation procedures across all Council operated premises <i>Owner: Simon Reece</i> | ✓ ONTARGET | ✓ ONTARGET |
| | Standard emergency evacuation procedures in place across Council premises. Procedures for dealing with bomb & terrorist threats have been developed with colleagues from CLS, ICT & DCM. Work on roll out of training on new procedures has been affected by Covid-19 Further progress on this will resume when Covid-19 restrictions allow. | Standard emergency evacuation procedures in place across Council premises. Procedures for dealing with bomb & terrorist threats have been developed with colleagues from CLS, ICT & DCM. Work on roll out of training on new procedures has been affected by Covid-19 Further progress on this will resume when Covid-19 restrictions allow. Further work identified as part of return to workplace programme to address |

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| | | issues arising out of lower premises occupancy rates as a result of hybrid & home working. |
| A.2034 Ensure elected members are equipped to carry out responsibilities for managing and recovering from civil emergencies <i>Owner: Barry Jones/Sarah Hill</i> | ✓ ONTARGET Resources are being formulated, meetings have taken place with IT & CAPA colleagues with a plan to have an elected members resource page on the Members Portal in place for after the May Elections. | ✓ ONTARGET Awaiting feedback from CAPA. |
| A.2036 Support the organisation's resilience in meeting its business continuity management obligations <i>Owner: Barry Jones/Sarah Hill</i> | ✓ ONTARGET The new process has been rolled out to all Directorates including the need to sign-off of plans at Director level. Returns will be monitored by the Covid-19 Incident Co-ordination Grp. | ▲ BEHIND Approximately 35 Business Continuity Plans remain outstanding. Team faces resource challenge due to sickness/absence with ongoing quality assurance review of BC Plans. |
| A.3256 Co-ordinate and manage the Council's response to COVID-19 to ensure that it meets its statutory responsibilities <i>Owner: Barry Jones/Sarah Hill</i> | ✓ ONTARGET All groups and processes remain in place. Further work is being undertaken to meet the requirements of any surge requirements around variants of concern, vaccine rollout and reviews of DMBC Outbreak Plan. Work has begun to look at ways of utilising new groups and governance processes formulated for the Covid response moving forward into the Recovery phase of the pandemic. | ✓ ONTARGET All groups and processes remain in place. Further work is being undertaken to meet the requirements of any surge requirements around variants of concern, vaccine rollout and reviews of DMBC Outbreak Plan. Work has begun to look at ways of utilising new groups and governance processes formulated for the Covid response moving forward into the Recovery phase of the pandemic. |
| R.242 Management Capacity <i>Owner: Kevin O'Keefe</i> There is a risk that the Council's capacity to support delivery of its priorities or take advantage of | MINOR (6) All senior management permanent appoints have now been made. Catherine Driscoll, Director of Children's Services | MINOR (6) Director of Children's Services, Deputy Chief Executive and Director of Digital, Commercial and |

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| <p>emerging opportunities may become insufficient. This presents a risk that services supporting vulnerable people fail to meet statutory requirements, a loss of potential regeneration investment into the borough, increases in workforce stress, customer dissatisfaction and diminishing political support.</p> <p>Reviewed: N/A</p> | <p>commenced on 22nd February 2021, Balvinder, Deputy Chief Executive commences on 29th March 2021 and Luisa Fulci, Director of Digital, Commercial and Customer Services commences on 4th April 2021.</p> | <p>Customer Services all now commenced employment with Dudley.</p> <p>Permanent appointment to the Director of Public Realm to be made over the coming months.</p> |
| <p>A.2084 – The Council has medium term (3 year) Chief Officer Business Plans, which include workforce plans, designed to show how capacity is aligned appropriately to the delivery of statutory and priority services. <i>Owner: Jacqueline Branch</i></p> | <p>✔ ONTARGET</p> <p>Work has continued to ensure effective succession planning and specific activities have focused on ensuring the required capacity to deliver priority services during covid pandemic. This has included deployment of employees to priority areas. The work undertaken to identify common issues and challenges have been translated into a draft “people strategy” for the council which will be considered by SEB and members during March/April 2021.</p> | <p>✔ ONTARGET</p> <p>Work has continued in line with previous quarters update. a draft “people strategy” for the council was considered by SEB on 24th March and SEB agreed the key people priorities for this. The draft people strategy will be presented to members during June</p> |
| <p>A.2861 Where capacity appears to be insufficient to meet increased, new or emerging demand, the use of interim capacity will be considered, based upon an assessment of the implications of failing to address/cater for increased demand on management capacity. <i>Owner: Balvinder Heran</i></p> | <p>✔ ONTARGET</p> <p>Recruitment and selection completed for several key posts with those appointed due to take up position during quarter 4. Remaining gaps will be covered by interim arrangements in parallel with recruitment processes.</p> | <p>✔ ONTARGET</p> <p>All new directors have now begun in post. Remaining gaps will be covered by interim arrangements in parallel with recruitment processes.</p> |

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| R.286 Payroll <i>Owner: Jacqueline Branch</i> Failure to address the actions in the internal audit report may result in staff not being paid or not being paid correctly Reviewed: 9/12/2019 | SIGNIFICANT (12) | SIGNIFICANT (12) |
| | Rating remains as Significant | Rating remains as Significant |
| A.2554 If necessary, the previous payroll months would be applied, with priority efforts concentrated on new starters and over payments. Where required supplementary CHAPS payments will be made <i>Owner: Jacqueline Branch</i> | ✓ ONTARGET | ✓ ONTARGET |
| | Current process still stands | Current process still stands |
| A.3169 Payroll, ICT and Finance working closely to identify root causes of problems <i>Owner: Jacqueline Branch</i> | ✓ ONTARGET | ✓ ONTARGET |
| | Continuing and establishment of pay governance group enabling any proposed changes to pay that require specific changes to be made to the payroll to be fully considered prior to decisions to proceed | Pay governance group in place enabling any proposed changes to pay that require specific changes to be made to the payroll to be fully considered prior to decisions to proceed. In addition additional capacity recently brought into the team to further strengthen approach |
| R.287 Payment Card Industry (PCI) Compliance <i>Owner: Iain Newman</i> If the Council is unable to stay Payment Card Industry Compliant (P.C.I) , several risks may arise/be incurred: financial penalties, reputational damage and the Council's approach to income collection impeded. Reviewed: 21/9/2020 | SIGNIFICANT (12) | SIGNIFICANT (12) |
| | No change as four workstreams addressed out of six. | No change as four workstreams addressed out of six. |

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| A.2561 Specialist security consultants commissioned to conduct a review and provide report <i>Owner: Andrew Tromans</i> | ✓ ONTARGET | ONTARGET |
| | Semafone facility introduced to improve security of mediated telephone payments. Work continues on SAQ submission documents. | Semafone channel now PCI compliant (February 2021) |
| A.2562 Icon Programme Board to review all payment methods and revisit preferred methods of taking payments <i>Owner: Rachel Cooper</i> | ✓ ONTARGET | ✓ ONTARGET |
| | Work is ongoing via Income Management Group | Semaphone is being rolled out across the departments taking payments over the phone. Alternative payments methods are being reviewed by the Income Management Group. |
| R.306 UK failing to agree trade deals with EU, USA and Worldwide <i>Owner: Kevin O Keefe</i> Following the UK's exit from the European Union, risks remain in respect securing satisfactory international trading arrangements and agreements with the constituent states of the EU, the USA and other countries World wide. Reviewed: 15/4/2019 | SIGNIFICANT (12) | SIGNIFICANT (12) |
| | Agreed at the SEB meeting of 8th December 2020 to retain the rating. Nick Page is the Regional WMCA Lead on Brexit and update papers to be discussed at SEB as and when required. | Nick Page is the Regional WMCA Lead on Brexit and provides regular updates on the implications of Brexit to the region. Any impacts locally are picked up at SEB. |
| A.3255 Ongoing monitoring of the situation and appropriate advice and guidance provided to businesses. <i>Owner: Kevin O Keefe</i> | ✓ ONTARGET | ✓ ONTARGET |
| | Advice, guidance and support continues to be provided to businesses. | Advice, guidance and support continues to be provided to businesses. Residents provided support on how to apply for the EU Settlement Scheme including the need for Children to be registered. |

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| R.342 Vulnerable Adults <i>Owner: Matt Bowsher</i> Risk of failure to protect adults in positions of vulnerability due to increasing demand, changing patterns of abuse (e.g. exploitation) and reducing resources Reviewed: 7/12/2020 | MAJOR (20) | MAJOR (20) |
| | The Covid '19 pandemic has created a series of patterns and trends of abuse. Whilst the Multi Agency Safeguarding Hub (MASH) is responding quickly and effectively the risk remains Major. | The Annual Safeguarding Assurance Exercise has taken place with positive feedback and the Annual Adult Safeguarding Report circulated to SEB and the Adult Social Care Scrutiny Committee. |
| A.2555 Current referral pathway for MASH is multi agency and Care Act Compliant <i>Owner: Stephen Lonsdale</i> | ✔ ONTARGET | ✔ ONTARGET |
| | The safeguarding pathway remains robust as is currently subject to weekly scrutiny by the Safeguarding Executive. | Complete |
| A.2557 Strategic safeguarding training and social media strategy established. <i>Owner: Stephen Lonsdale</i> | ✔ ONTARGET | ✔ ONTARGET |
| | Plans remain current and operational. Appropriate training is in place. | Complete |
| A.3258 Conversations with stakeholders are taking place and training opportunities have been identified <i>Owner: Stephen Lonsdale</i> | ✔ ONTARGET | ✔ ONTARGET |
| | Completed and reflected in the Learning and Development plan. | Complete |
| A.3259 The Dudley peoples safeguarding partnership have identified their 4 key priorities these include, protecting vulnerable adults from financial abuse, protecting vulnerable adults from violence and the identified LPS <i>Owner: Stephen Lonsdale</i> | ✔ ONTARGET | ✔ ONTARGET |
| | The Annual Safeguarding Business plan was tabled at the Health and Adult Social Care Scrutiny Committee last month and has been signed off by the Safeguarding executive. All strategic priorities have been delivered as per plan. | 3 priorities have been identified. |
| A.3260 Work with Trading Standards continues to protect vulnerable adults and is receiving national interest <i>Owner: Stephen Lonsdale</i> | ✔ ONTARGET | ✔ ONTARGET |
| | The work has been extended for a further 12 months | Complete |

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| <p>R.341 Vulnerable Children <i>Owner: Catherine Driscoll</i> Risk of failure to protect children in positions of vulnerability, due to increasing demand, changing patterns of abuse (e.g. exploitation) and reducing resources.</p> <p>Reviewed: 23rd June 2021</p> | <p>MAJOR (16)</p> <p>The risk is compounded by increasing contacts to the Multi Agency Safeguarding Hub (MASH) which are expected to continue rise in the months following return to school. Rising demand, changing levels of need and reduced staff capacity contribute to the risk of failure to protect. The improvement programme together with associated service development programmes are designed to mitigate this risk.</p> | <p>MAJOR (16)</p> <p>The risk is compounded by increasing contacts to the Multi Agency Safeguarding Hub (MASH) which are expected to continue rise in the months following return to school. Rising demand, changing levels of need and reduced staff capacity contribute to the risk of failure to protect. The improvement programme together with associated service development programmes are designed to mitigate this risk.</p> |
| <p>A.2567 Performance is scrutinised through the Children's Service Improvement Board, the Department for Education (DfE) and Ofsted on a regular basis <i>Owner: Helen Ellis</i></p> | <p>✔ ONTARGET</p> <p>Our improvement plan now focuses on 9 key findings from last years Ofsted Focussed Assurance visit. These have been presented to the Children's Improvement Board and agreed. A detailed data dashboard is in development to enable monitoring and reporting of progress. This is further supported by internal project management meetings that focus on the 9 priorities. DfE have also recently undertook their six monthly assurance check with Dudley and were happy with the progress made, particularly around recruitment for the senior leadership team and progress against the priorities detailed in the improvement plan. It has also been agreed that our DfE adviser will now be the independent chair of the Children's Improvement Board.</p> | <p>✔ ONTARGET</p> <p>Our improvement plan now focuses on 9 key findings from last years Ofsted Focussed Assurance visit. These have been presented to the Children's Improvement Board and agreed. A detailed data dashboard is in development to enable monitoring and reporting of progress. This is further supported by internal project management meetings that focus on the 9 priorities. DfE have also recently undertook their six monthly assurance check with Dudley and were happy with the progress made, particularly around recruitment for the senior leadership team and progress against the priorities detailed in the improvement plan. It has also been agreed that our</p> |

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| | | DfE adviser will now be the independent chair of the Children's Improvement Board. |
| R.343 Regeneration Funding <i>Owner: Helen Martin</i> Risk of insufficient funding streams or failure to successfully bid for funds due to capacity and experience within the Team which could result in restrictions in regeneration activity. Reviewed: N/A | MAJOR (16) | MAJOR (16) |
| | The rating remains the same. | A significant level of funding opportunities currently available. Bids require a significant and specifically skilled resource to pull together, manage through development and delivery and then through monitoring and evaluations phases and this is a natural limiter on the level of bidding that can occur. Terms and conditions vary on each bid and are not always fully known at the point of bid submission. Many outputs driven and on short spend time horizons. |
| A.3356 Alternative and numerous funding streams and sources <i>Owner: Helen Martin/Kevin O'Keefe</i> | ✔ ONTARGET | ✔ ONTARGET |
| | Continued dialogue with WMCA and LEP on funding streams and submitting EOI as and when appropriate. Pipeline of projects maintained and consideration given to multiple streams/EOI to ensure options available if one stream fails. Details on the Levelling Up Fund and the UK Shared Prosperity Fund awaited – now confirmed that LUF administered via LA and CRF via CA but the conditionality remains unknown. Bids to CRF can be made by external partners. Bid made into Governments Towns Fund bid January 2021, not outcome yet. May also be other government | Continued dialogue with WMCA and LEP on funding streams and submitting EOI as and when appropriate. Pipeline of projects maintained and consideration given to multiple streams/EOI to ensure options available if one stream fails. Details on the Levelling Up Fund (LUF) and the UK Shared Prosperity Fund awaited – now confirmed that LUF administered via LA and Community Renewal Fun (CRF) via CA but the conditionality remains unknown. Bids to CRF can be made by external |



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| | funds as and when so the up to date pipeline of schemes remains critical. Newly formed Major Capital Investment Board, chaired by the Chief Executive will have oversight of all emerging bids and funding opportunities. | partners. Bid made into Governments Towns Fund bid January 2021, not outcome yet. May also be other government funds as and when so the up to date pipeline of schemes remains critical. Resourcing numerous bids remains a challenge, |
| R.354 Risk of failure to meet the Regulator of Social Housing “Consumer Standard” <i>Owner: Paul Davies</i> Risk of failure to meet the Regulator of Social Housing “Consumer Standard” Reviewed: N/A | SIGNIFICANT (12) | SIGNIFICANT (12) |
| | We are reporting in an open and honest way to the regulator on a monthly basis and there are no significant areas of concern. | Heads of service are now aware and have reviewed the consumer standards. Monthly reports have been required from all social landlords by the Regulator of Social Housing and all from DMBC have been accepted. Workshops and briefings have been held with DMG and with tenant representatives on the white paper changes to the standards. |
| A.3407 Compliance Health check has informed an actions to address structural, process and operational issues <i>Owner: Paul Davies</i> | ✔ ONTARGET | ✔ ONTARGET |
| | Compliance Health check by Pennington’s Choices in June 2020. This shows there is no serious detriment for DMBC tenants as set out against the Home part of the Consumer Standard, but there are a variety of structural, process and operational issues required to improve performance and address the post Covid backlogs in servicing and testing. These will be actioned and completed within the remainder of 2020/21. | Action plan agreed with Cabinet member in 2020, structure changes made including bringing maintenance into Housing and Community. All compliance checks and audits now under one service manager. 11 new posts created to manage and carry out checks. Processes reviewed and Fire checks up to date. 3 rd covid lockdown has caused a further backlog on electrical checks due to no access, but as these are on a five year rolling cycle can be caught |

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| | | up in 2021 with no detriment. |
| R.365 Equality Act 2010 and Public Sector Equality Duty <i>Owner: Kevin O'Keefe</i> Failure to adhere to the Equality Act 2010 and Public Sector Equality Duty could result in reputational and legal consequences which could impact on recruitment and retention. Reviewed: N/A | MAJOR (16) | MAJOR (16) |
| | Rating still major as whilst a new Corporate Equalities Group had been formed, a number of actions in the improvement plan are still to be completed. To review again in Q4. | Corporate Equalities Group established, resource to be appointed to lead on addressing the issues raised in the Equality and Diversity review. Equality, Diversity and Inclusion resource to sit within HR and Organisational Development. |
| A.3437 Establish a Strategic Equality and Inclusion Leadership Group. <i>Owner: Kevin O'Keefe</i> | ✔ ONTARGET | ✔ ONTARGET |
| | The Chief Executive will chair the new Corporate Equality & Inclusion Leadership Group with the first meeting scheduled for 1st March 2021. | The Chief Executive now chairs the Corporate Equalities group and the first meeting took place in March 2021 where the terms of reference were also agreed. |
| A.3438 Develop a new 3-year Equality and Inclusion Strategy and Action Plan (which is outcome focused) <i>Owner: Kevin O'Keefe</i> | ✔ ONTARGET | ✔ ONTARGET |
| | This will form part of the work programme for the Corporate Equality & Inclusion Leadership Group and the Equality, Diversity and Inclusion resource to develop when in post. | This will form part of the work programme for the Corporate Equalities group and will be led by Equality, Diversity and Inclusion Manager and support once appointed. |
| A.3439 Performance manage the 17 recommendations from the independent review <i>Owner: Kevin O'Keefe</i> | ✔ ONTARGET | ✔ ONTARGET |
| | This will form part of the work programme for the Corporate Equality & Inclusion Leadership Group and the Equality, Diversity and Inclusion resource to develop when in post. | This will form part of the work programme for the Corporate Equalities group and will be led by Equality, Diversity and Inclusion Manager and support once appointed. |

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| <p>A.3440 The Chief Executive and delegated Cabinet Member have responsibility and champion Equality and Inclusion <i>Owner: Kevin O'Keefe</i></p> | <p>✔ ONTARGET</p> | <p>✔ ONTARGET</p> |
| | <p>The Chief Executive will chair the new Corporate Equality & Inclusion Leadership Group.</p> | <p>The Chief Executive chairs the Corporate Equalities group. All cabinet members are responsible for any decisions relating to the implementation of the Council's equality and diversity policy and the implementation of statutory duties relating to equality. A lead cabinet member champion for Equality to be identified after the local elections and annual council on 20th May 2021.</p> |
| <p>A.3441 Identify resources to support the Council to meet its legal equality duties <i>Owner: Kevin O'Keefe</i></p> | <p>✔ ONTARGET</p> | <p>✔ ONTARGET</p> |
| | <p>This will form part of the work programme for the Corporate Equality & Inclusion Leadership Group and the Equality, Diversity and Inclusion resource to develop when in post.</p> | <p>This will form part of the work programme for the Corporate Equalities group and will be led by Equality, Diversity and Inclusion Manager and support once appointed.</p> |
| <p>R.366 Cyber Security <i>Owner: Andrew Tromans</i> Failure to adopt the good practice recommended by the National Cyber Security Centre could mean our networks and systems are unsecure and are open to attack resulting in possible data breach and loss of systems/facilities. Reviewed: N/A</p> | <p>SIGNIFICANT (12)</p> | <p>SIGNIFICANT (12)</p> |
| | <p>Evidence public sector organisations being targeted by cyber criminals. Discussing potential of cyber insurance.</p> | <p>Cyber insurance policy purchased. Grant received from MHCLG to upgrade backup facilities.</p> |
| <p>A.3460 An assessment against the good practice issued by the National Cyber Security Centre has been undertaken and an action plan is in place to address anything outstanding. <i>Owner: Andrew Tromans</i></p> | <p>✔ ONTARGET</p> | <p>✔ ONTARGET</p> |
| | <p>Update given to SEB November 2020 in response to letter from NCSC to Chief Executives, detailing measures in place and responding to specific questions.</p> | <p>Engagement with MHCLG Local Digital Cyber Support team. Grant received for upgrade of backup facilities. Entry of</p> |

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| | | URLs to the NCSC Webcheck service |
| A.3461 Any national or local cyber events are evaluated and any learning identified. <i>Owner: Andrew Tromans</i> | ✔ ONTARGET | ✔ ONTARGET |
| | Ongoing. Discussions held with Local Digital (part of MHCLG) to discuss improvements to cyber security, especially backups. | Grant received to improve backup facilities |
| A.3462 An Information Security Standards Board has been established to monitor the security of the Council's infrastructure and systems. <i>Owner: Andrew Tromans</i> | ✔ ONTARGET | ✔ ONTARGET |
| | Ongoing - board continues to meet. | Ongoing - board continues to meet |
| A.3463 A process is in place to deal quickly with any cyber events that do arise, which includes contingency arrangements <i>Owner: Andrew Tromans</i> | ✔ ONTARGET | ✔ ONTARGET |
| | Business continuity plan reviewed by D&ICTS management team. Copy sent to emergency planning team. | Cyber insurance policy in force 1st February 2021 |
| R.367 Digital Platform Programme <i>Owner: Luisa Fulci</i> Failure to clarify objectives and resource requirements appropriately will result in the digital platform programme not delivering efficient services and a better experience for customers. Reviewed: N/A | SIGNIFICANT (12) | SIGNIFICANT (12) |
| | Recruitment of strategic resource completed with new Director of Digital, Customer & Commercial Services due to start end of March / early April. | Strategic resources recruited. Work started on roadmap for digital platform. The terms of reference for the new Digital Board which we will set up by end June will include governance of this platform. |
| A.3464 Objectives of the digital platform programme will be determined and a clear commitment made by the Council to support the programme. <i>Owner: Andrew Tromans</i> | ⚠ BEHIND | ⚠ BEHIND |
| | No strategic governance group exists for the programme. Operational core group continues to meet to agree tactical priorities. | No strategic governance group exists for the programme. Operational core group continues to meet to agree tactical priorities. |

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| <p>A.3465 Resources will be identified to deliver the objectives of the programme. <i>Owner: Andrew Tromans</i></p> | <p>▲ BEHIND</p> <p>Temporary funding allocated for business analysts now exhausted - ends January 2021. No additional resources allocated to the development of portal forms. A further bid for budget growth to cabinet MTFS summit was not supported.</p> | <p>▲ BEHIND</p> <p>No additional resources allocated to the development of portal forms. A further bid for budget growth to cabinet MTFS summit was not supported. Jobs are being restructured within the development team to grow additional technical skills.</p> |
| <p>A.3466 A methodology will be agreed to prioritise developments to the portal. <i>Owner: Andrew Tromans</i></p> | <p>✓ ONTARGET</p> <p>Core group continues to meet to allocate operational development priorities.</p> | <p>✓ ONTARGET</p> <p>Core group continues to meet to allocate operational development priorities.</p> |
| <p>A.3467 Business change staff will be employed to ensure processes are as efficient and effective as possible. <i>Owner: Andrew Tromans</i></p> | <p>✓ ONTARGET</p> <p>Business analysts in place using temporary funding.</p> | <p>✓ ONTARGET</p> <p>Full-time business analysts have now left post after temporary funding expired. We are attempting to identify internal resource to take on new skills through mentoring.</p> |
| <p>R.368 Ofsted and the Care Quality Commission requirements <i>Owner: Catherine Driscoll</i> The lack of effective governance may mean that the issues raised by Ofsted and the Care Quality Commission in their local area inspection report issued in July 2019 are not implemented resulting in the needs of young people with SEND not being properly assessed and addressed. Reviewed: N/A</p> | <p>MODERATE (9)</p> <p>To mitigate the delays a review of all WSoA deliverables was carried out with all partners to reprioritise the actions based on the needs and priority of children and young people and highest impact on outcomes.</p> | <p>MODERATE (9)</p> <p>To mitigate the delays a review of all WSoA deliverables was carried out with all partners to reprioritise the actions based on the needs and priority of children and young people and highest impact on outcomes. This was agreed with our DfE advisor through the governance arrangements of the SEND Oversight Group (SOG) and is being monitored on an on-going basis.</p> |

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| <p>A.3468 Formal programme management has been established to address the Written Statement of Action including regular monitoring by the SEND Oversight Group. <i>Owner: Toni Dawodu</i></p> | <p>✔ ONTARGET</p> | <p>✔ ONTARGET</p> |
| | <p>The reprioritised WSoA was presented to DfE at the third quarter SOG where it was emphasised that all commitments made in the WSoA would be delivered and this was a temporary re focusing of improvement activity. This was agreed and the revised delivery dates were distributed to all partners and stakeholders' and are overseen through the project and SOG governance. Steady progress has been made and 92 actions have now been completed with the remaining 39 in progress</p> | <p>The reprioritised WSoA was presented to DfE at the third quarter SOG where it was emphasised that all commitments made in the WSoA would be delivered and this was a temporary re focusing of improvement activity. This was agreed and the revised delivery dates were distributed to all partners and stakeholders' and are overseen through the project and SOG governance. The Local Area has been working against the reprioritised WSoA for the last two quarters. SOG governance oversees the project deliverables. Steady progress has continued with 97 actions now completed against 92 previously and 34 in progress against 39 previously.</p> |
| <p>R.369 Covid-19 <i>Owner: Karen Wright</i> Failure to effectively implement the Local Outbreak Management plan will result in a rising infection rate, greater economic distress and increased deaths.</p> <p>Reviewed: N/A</p> | <p>MAJOR (20)</p> | <p>MAJOR (20)</p> |
| | <p>New risk</p> | <p>Risk status remains the same.</p> |
| <p>A.3469 The Covid-19 eight point plan is effectively monitored, but also kept under review and amended where necessary. <i>Owner: Bal Kaur</i></p> | <p>✔ ONTARGET</p> | <p>✔ ONTARGET</p> |
| | <p>The Local Outbreak Management Plan is developed and put in place from 26th March to replace the 8 point plan.</p> | <p>Review and update of the local outbreak management plan took place in March with published date end of March 2021</p> <p>A project plan, as part of the update, has been</p> |

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| | | produced, key leads across our partners have been identified. Work is now in progress to performance manage the plan with the first update due at SEB on 6 th June |
| R.370 Climate Change <i>Owner: Balvinder Heran</i> Failure to embed carbon reduction in all aspects of the Council's operation will result in the inability to achieve the carbon neutral aspiration by 2041. Reviewed: N/A | MAJOR (16) | MAJOR (16) |
| | no change in risk assessment. | No change in rating |
| A.3470 Climate Change formal Programme Management established with defined plans and regular reporting <i>Owner: Jackie Scott</i> | ✔ ONTARGET | ✔ ONTARGET |
| | Monthly Climate & Environment Working Groups now being held to explore scope of programme ahead of formal long term governance being introduced. Progress and proposals to be reported to SEB in March 2021. Links into WMCA established to support regional WM2041 vision. | Consultant engaged to advance development of climate change strategic framework and high-level road map. |
| R.371 The Portersfield Development <i>Owner: Kevin O'Keefe</i> This is an ambitious project that has potential to kickstart regeneration of Dudley Town Centre and add value to the local economy but, at the same time, carries financial, commercial, planning, procurement and other compliance risk that will need to be carefully managed. Reviewed: N/A | MODERATE (9) | MODERATE (9) |
| | New Risk | The risk status has remained the same. |

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| A.4000 Independent due diligence on Financial elements undertaken Owner: Kevin O'Keefe | ✓ ONTARGET | ✓ ONTARGET |
| | | Funding model dependent on outcomes of the independent due diligence of the development scheme. |
| A.4001 Independent due diligence on Development elements undertaken. Owner: Kevin O'Keefe | ✓ ONTARGET | ✓ ONTARGET |
| | | Independent due diligence on development elements being developed |
| A.4002 Ensure the independence of the LPA is retained by use of planning agent to ensure probity Owner: Kevin O'Keefe | ✓ ONTARGET | ✓ ONTARGET |
| | | Joint planning application options being explored with developer and the planning authority. |
| A.4003 Phasing of scheme so that each element (student accommodation, residential and ice rink) is only brought forward as an end user is contracted. Owner: Kevin O'Keefe | ✓ ONTARGET | ✓ ONTARGET |
| | | Developer to secure commercial operators as part of each development phase |
| A.4004 Ensure the delivery of a high quality well designed scheme to increase the attractiveness of the residential offer and provide longevity of the offer. Owner: Kevin O'Keefe | ✓ ONTARGET | ✓ ONTARGET |
| | | Forms part of the planning application process and consultation will take place with relevant partners. |
| A.4005 External legal advice is being sought to address the procurement aspects of the development. Owner: Kevin O'Keefe | | ✓ ONTARGET |
| | | External legal advice is being sought |
| R.372 Regeneration Opportunities <i>Owner: Helen Martin</i> Failure to seize the opportunities and exploit the benefits that will come from the huge regeneration programme investment due to a lack of a strategic approach and | N/A | MAJOR (16) |
| | . | New risk |

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| <p>insufficient resources could result in unfulfilled economic prosperity and social benefits.</p> <p>Owner: Helen Martin</p> <p>Reviewed: N/A</p> | | |
| <p>A.4006 Creation of a clear regeneration statement/plan on a page on the vision for the borough, linked to the Council Plan and local plan to show that activity is aligned.</p> <p>Owner: Helen Martin</p> | | <p>✔ ONTARGET</p> |
| | | <p>In progress.</p> |
| <p>A.4007 Robust governance process, with regular reporting via SEB, Major Capital Investment Board on regeneration opportunities and progress on projects.</p> <p>Owner: Helen Martin</p> | | <p>✔ ONTARGET</p> |
| | | <p>In progress.</p> |
| <p>A.4008 Member and key stakeholder involvement in decisions to bid and bid submission. Use of scrutiny process to ensure Member oversight.</p> <p>Owner: Helen Martin</p> | | <p>✔ ONTARGET</p> |
| | | <p>In progress.</p> |
| <p>A.4009 Ensuring adequate resourcing, and where capacity is insufficient use of interims and consultants (i.e. bid writing and project management).</p> <p>Owner: Helen Martin</p> | | <p>✔ ONTARGET</p> |
| | | <p>In progress</p> |

