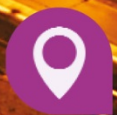


A nighttime aerial photograph of a city, likely Wolverhampton, showing a railway station in the foreground with a modern glass-fronted building. The city lights and a bridge are visible in the background.

Appendix A – Strategic Risk Register @ September 2017



**Stronger
Economy**




**Stronger
Communities**






**Stronger
Organisation**

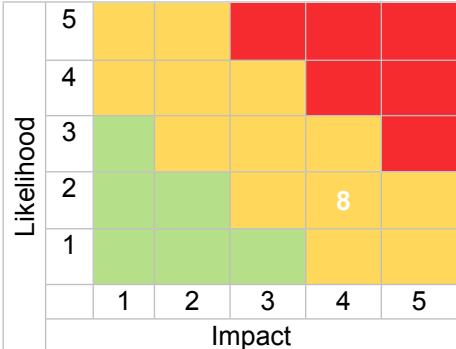

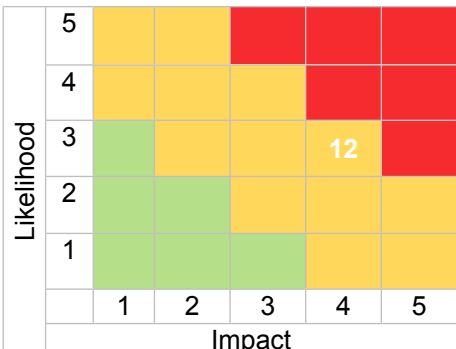

Profile of current strategic risks

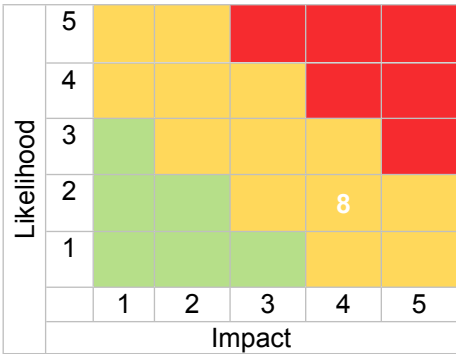

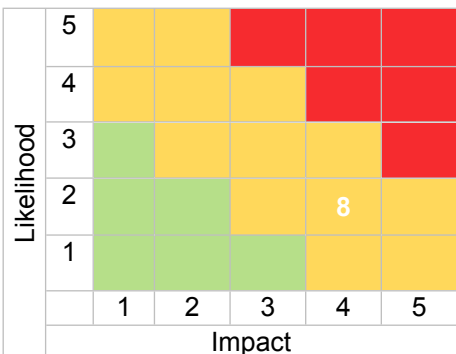

Red	23
Amber	1, 3, 4, 7, 8, 9, 14, 15, 21, 22, 24, 25, 26, 27

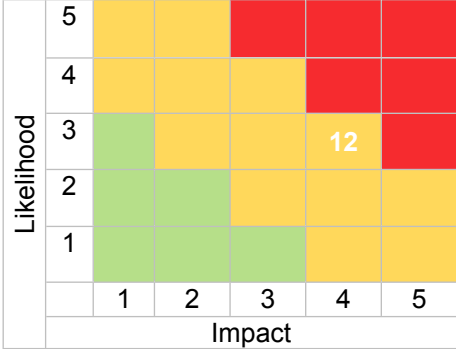
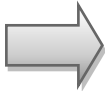
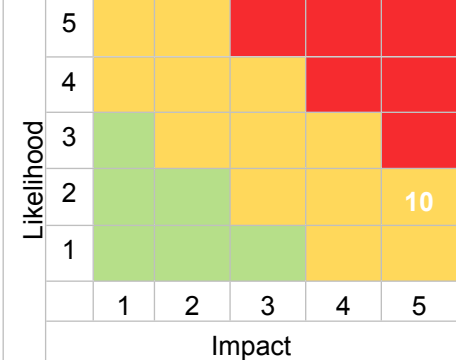

Risk ref	Risk title and description	Previous score (June 2017)	Direction of travel	Current score (August 2017)	Target score and date																																											
1 01/14	<p>Looked After Children (LAC)</p> <p>If the number of LAC is not reduced this may result in an increase in costs, budget overspends and an increased demand on children's services.</p> <p>Risk owner: Emma Bennett Cabinet Member: Cllr Val Gibson</p> <table><tr><td rowspan="6">Likelihood</td><td>5</td><td></td><td></td><td></td><td></td><td></td></tr><tr><td>4</td><td></td><td></td><td></td><td></td><td></td></tr><tr><td>3</td><td></td><td></td><td></td><td></td><td></td></tr><tr><td>2</td><td></td><td></td><td></td><td></td><td></td></tr><tr><td>1</td><td></td><td></td><td></td><td></td><td>5</td></tr><tr><td></td><td>1</td><td>2</td><td>3</td><td>4</td><td>5</td></tr><tr><td colspan="6">Impact</td></tr></table>	Likelihood	5						4						3						2						1					5		1	2	3	4	5	Impact						5 Amber		5 Amber	5 Amber Target achieved
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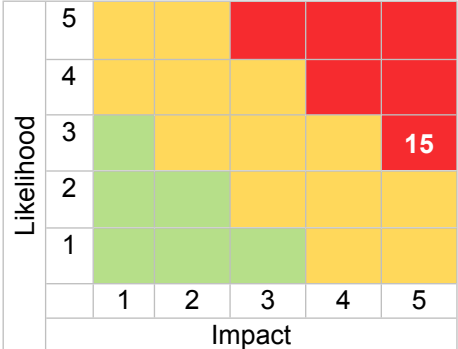

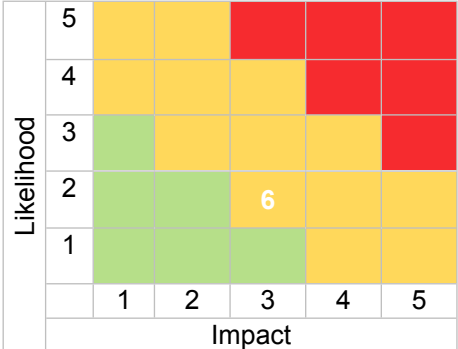

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3 01/14	<p>Information Governance (IG)</p> <p>If the Council does not put in place appropriate policies, procedures and technologies to ensure:</p> <ul style="list-style-type: none">that the handling and protection of its data is undertaken in a secure manner and consistent with both the provisions of the Data Protection Act 1998 and the General Data Protection Regulation (GDPR) which comes into force during May 2018;compliance with the Freedom of Information Act and Environmental Information Regulations; <p>then it may be subject to regulatory action, financial penalties, reputational damage and the loss of confidential information.</p> <p>Risk owner: Kevin O' Keefe Cabinet Member: Cllr Milkinderpal Jaspal</p> <table><tr><td rowspan="6">Likelihood</td><td>5</td><td></td><td></td><td></td><td></td><td></td></tr><tr><td>4</td><td></td><td></td><td></td><td></td><td></td></tr><tr><td>3</td><td></td><td></td><td></td><td></td><td></td></tr><tr><td>2</td><td></td><td></td><td></td><td>8</td><td></td></tr><tr><td>1</td><td></td><td></td><td></td><td></td><td></td></tr><tr><td></td><td>1</td><td>2</td><td>3</td><td>4</td><td>5</td></tr><tr><td colspan="6">Impact</td></tr></table>	Likelihood	5						4						3						2				8		1							1	2	3	4	5	Impact						8 Amber		8 Amber	4 Amber May 2018
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4 01/14	<p>Medium Term Financial Strategy</p> <p>If the Council does not manage the risks associated with the successful delivery of its medium term financial strategy including the continual review of the assumptions and projections of the strategy, the effective management of the key MTFS programmes and projects then this may exhaust reserves, result in the potential loss of democratic control and the inability of the Council to deliver essential services and discharge its statutory duties.</p> <p>Risk owner: Keith Ireland Cabinet Member: Cllr Andrew Johnson</p> <table><tr><td rowspan="6">Likelihood</td><td>5</td><td></td><td></td><td></td><td></td><td></td></tr><tr><td>4</td><td></td><td></td><td></td><td></td><td></td></tr><tr><td>3</td><td></td><td></td><td></td><td>12</td><td></td></tr><tr><td>2</td><td></td><td></td><td></td><td></td><td></td></tr><tr><td>1</td><td></td><td></td><td></td><td></td><td></td></tr><tr><td></td><td>1</td><td>2</td><td>3</td><td>4</td><td>5</td></tr><tr><td colspan="6">Impact</td></tr></table>	Likelihood	5						4						3				12		2						1							1	2	3	4	5	Impact						12 Amber		12 Amber	8* Amber On-going
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7 01/14	<p>Safeguarding</p> <p>If the Council's safeguarding procedures and quality assurance processes are not consistently and effectively implemented then it will fail to safeguard children and vulnerable adults and lead to reputational damage.</p> <p>Risk owner: Emma Bennett Cabinet Member: Cllr Val Gibson and Cllr Sandra Samuels OBE</p> <table><tr><td rowspan="6">Likelihood</td><td>5</td><td></td><td></td><td></td><td></td><td></td></tr><tr><td>4</td><td></td><td></td><td></td><td></td><td></td></tr><tr><td>3</td><td></td><td></td><td></td><td></td><td></td></tr><tr><td>2</td><td></td><td></td><td></td><td>8</td><td></td></tr><tr><td>1</td><td></td><td></td><td></td><td></td><td></td></tr><tr><td></td><td>1</td><td>2</td><td>3</td><td>4</td><td>5</td></tr><tr><td colspan="6">Impact</td></tr></table>	Likelihood	5						4						3						2				8		1							1	2	3	4	5	Impact						8 Amber		8 Amber	5 Amber March 2018
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Risk ref	Risk title and description	Previous score (June 2017)	Direction of travel	Current score (August 2017)	Target score and date
8 01/14	<p>Business Continuity Management (BCM)</p> <p>Failure to develop, exercise and review plans and capabilities that seek to maintain the continuity of critical functions in the event of an emergency that disrupts the delivery of Council services.</p> <p>Risk owner: Susan Milner Cabinet Member: Cllr Paul Sweet</p> 	8 Amber		8 Amber	8* Amber
9 01/14	<p>City Centre Regeneration</p> <p>If the city centre regeneration programme is not effectively managed in terms of project timings, costs and scope, then it will be unable to maximise opportunities including:</p> <ul style="list-style-type: none"> the attraction of private sector investment the creation of space to accommodate new businesses and economic growth the enhancement and creation of visitor attractions the creation of well-paid employment retention of skilled workers the creation of residential opportunities a functioning city centre offer that serves the residents of the City increased prosperity and a reduced demand on Council services <p>Risk owner: Tim Johnson Cabinet Member: Cllr John Reynolds</p> 	8 Amber		12 Amber	12* Amber On-going

Risk ref	Risk title and description	Previous score (June 2017)	Direction of travel	Current score (August 2017)	Target score and date
14 01/14	<p>School Improvement</p> <p>If the Council does not provide effective support, challenge and appropriate intervention to raise standards in schools and school governance, then the Council and these schools are at risk of underperforming, receiving inadequate Ofsted judgements and a potential loss of control and influence.</p> <p>Risk owner: Mark Taylor Cabinet Member: Cllr Claire Darke</p>  <p>A 5x5 risk matrix with Likelihood on the y-axis (1-5) and Impact on the x-axis (1-5). The matrix is color-coded: Green for low risk (Likelihood 1-2, Impact 1-3), Yellow for medium risk (Likelihood 1-2, Impact 4-5; Likelihood 3, Impact 1-3), and Red for high risk (Likelihood 3-5, Impact 4-5). A score of 8 is marked in the cell for Likelihood 2 and Impact 4.</p>	8 Amber		8 Amber	5 Amber 90% schools @ good or above
15 01/14	<p>Emergency Planning</p> <p>Failure to develop, exercise and review plans and capabilities for preventing, reducing, controlling or mitigating the effects of emergencies in both the response and recovery phases of a major incident. Failure to train sufficient numbers of staff to undertake the roles in our plans that assist our residents in emergencies and protect the council's reputation from damage. Failure to audit the emergency response plans and capabilities of third party organisations that deliver statutory services on behalf of the council.</p> <p>Risk owner: Susan Milner Cabinet Member: Cllr Roger Lawrence and Cllr Paul Sweet</p>  <p>A 5x5 risk matrix with Likelihood on the y-axis (1-5) and Impact on the x-axis (1-5). The matrix is color-coded: Green for low risk (Likelihood 1-2, Impact 1-3), Yellow for medium risk (Likelihood 1-2, Impact 4-5; Likelihood 3, Impact 1-3), and Red for high risk (Likelihood 3-5, Impact 4-5). A score of 8 is marked in the cell for Likelihood 2 and Impact 4.</p>	8 Amber		8 Amber	4 Amber April 2018

Risk ref	Risk title and description	Previous score (June 2017)	Direction of travel	Current score (August 2017)	Target score and date
21 11/16	<p>Transforming Adult Social Care (TASC) programme</p> <p>If the Council does not have robust management and governance arrangements in place for the Transforming Adult Social Care Programme, then it may be unable to effectively manage demand and deliver the targets of the significant savings challenge the service needs to make as part of the MTFS.</p> <p>Risk owner: David Watts Cabinet Member: Cllr Sandra Samuels OBE</p> 	12 Amber		12 Amber	8* Amber
22 01/17	<p>Skills for Work and Economic Inclusion</p> <p>If the city's residents do not have the appropriate skills that employers require and the Council does not work effectively with its partners to promote and enable growth, high rates of unemployment and economic inclusion will result in increased demand for Council Services.</p> <p>Risk owner: Tim Johnson (Keren Jones) Cabinet Member: Cllr John Reynolds</p> 	10 Amber		10 Amber	5 Amber March 2018

Risk ref	Risk title and description	Previous score (June 2017)	Direction of travel	Current score (August 2017)	Target score and date
23 01/17	<p>Cyber Security</p> <p>Failure to maintain a high level of cyber security (technology, processes and awareness) throughout the Council may result in cyber-attacks and theft or loss of confidential data leading to financial penalties, reputational damage and a loss in public confidence.</p> <p>Risk owner: Andy Hoare Cabinet Member: Cllr Milkinderpal Jaspal</p> 	15 Red		15 Red	10 Amber December 2017 (providing no further cyber incidents)
24 01/17	<p>Maximising Benefits from West Midlands Combined Authority</p> <p>If the Council does not put in place effective co-ordination arrangements to utilise the opportunities available from being part of West Midlands Combined Authority (WMCA) it will be unable to maximise the benefits and opportunities available to it.</p> <p>Risk owner: Keith Ireland Cabinet Member: Cllr Roger Lawrence</p> 	6 Amber		6 Amber	3 Green December 2017

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25 03/17	<p>Payment Card Industry Data Security Standard</p> <p>If the Council does not put in place appropriate systems, procedures and technologies to ensure agent-led telephone payments are compliant with the Payment Card Industry Data Security Standard, there is a risk of data breaches which may result in regulatory action, financial penalties and reputational damage.</p> <p>Risk owner: Claire Nye Cabinet Member: Cllr Andrew Johnson</p> <table><tr><td rowspan="6">Likelihood</td><td>5</td><td></td><td></td><td></td><td></td><td></td></tr><tr><td>4</td><td></td><td></td><td></td><td></td><td></td></tr><tr><td>3</td><td></td><td></td><td></td><td></td><td></td></tr><tr><td>2</td><td></td><td></td><td></td><td>8</td><td></td></tr><tr><td>1</td><td></td><td></td><td></td><td></td><td></td></tr><tr><td></td><td>1</td><td>2</td><td>3</td><td>4</td><td>5</td></tr><tr><td colspan="6">Impact</td></tr></table>	Likelihood	5						4						3						2				8		1							1	2	3	4	5	Impact						8 Amber		8 Amber	4 Amber April 2018
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26 05/17	<p>Community Cohesion</p> <p>There is a risk of an escalation in community tensions in response to external influences i.e. terrorism, national policy changes e.g. Brexit and national events such as riots.</p> <p>Risk owner: Mark Taylor (Karen Samuels) Cabinet Member: Cllr Paul Sweet</p> <table><tr><td rowspan="6">Likelihood</td><td>5</td><td></td><td></td><td></td><td></td><td></td></tr><tr><td>4</td><td></td><td></td><td></td><td></td><td></td></tr><tr><td>3</td><td></td><td></td><td></td><td></td><td></td></tr><tr><td>2</td><td></td><td></td><td>6</td><td></td><td></td></tr><tr><td>1</td><td></td><td></td><td></td><td></td><td></td></tr><tr><td></td><td>1</td><td>2</td><td>3</td><td>4</td><td>5</td></tr><tr><td colspan="6">Impact</td></tr></table>	Likelihood	5						4						3						2			6			1							1	2	3	4	5	Impact						8 Amber		6 Amber	4 Amber December 2017 (provided no further instances)
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27 06/17	<p>Safety concerns around the City's tower blocks</p> <p>Following the recent tragic events at Grenfell Tower in London, there is an urgent need for the Council to ensure that the tower blocks in the City do not face the same risks, and that tenants can be assured on this.</p> <p>Risk Owner: Lesley Roberts Cabinet Member: Cllr Peter Bilson</p> <table><tr><td rowspan="6">Likelihood</td><td>5</td><td></td><td></td><td></td><td></td><td></td></tr><tr><td>4</td><td></td><td></td><td></td><td></td><td></td></tr><tr><td>3</td><td></td><td></td><td></td><td></td><td></td></tr><tr><td>2</td><td></td><td></td><td></td><td></td><td>10</td></tr><tr><td>1</td><td></td><td></td><td></td><td></td><td></td></tr><tr><td></td><td>1</td><td>2</td><td>3</td><td>4</td><td>5</td></tr><tr><td colspan="6">Impact</td></tr></table>	Likelihood	5						4						3						2					10	1							1	2	3	4	5	Impact						10 Amber		10 Amber	5 Amber December 2017
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* The target assessment for these risks remains constant as they are risks which are likely to remain at their current level over the medium term and as such also may not have target dates.

** Further details to support the risks called in by Committee are included below.

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