




Appendix 1 – Strategic Risk Register


August 2019




- The following are the reported strategic risks that are currently assessed as high/medium (10 +) that the Council faces in delivering its corporate priorities.


Risk ref	Risk title and description	Previous score (May 2019)	Direction of travel	Current score (Aug 2019)	Target score and date (where appropriate)	Comment																																													
4 01/14	<p>Medium Term Financial Strategy If the Council does not manage the risks associated with the successful delivery of its medium term financial strategy (MTFS) including the continual review of the assumptions and projections of the strategy, the effective management of the key MTFS programmes and projects such as the transformation of Adults and Children's services then revenues may be exhausted, resulting 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: Claire Nye Cabinet Member: Cllr Louise Miles</p> <table border="1"> <tr> <td rowspan="5">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>16</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></td> </tr> <tr> <td></td> <td></td> <td>1</td> <td>2</td> <td>3</td> <td>4</td> <td>5</td> </tr> <tr> <td></td> <td></td> <td colspan="5">Impact</td> </tr> </table>	Likelihood	5						4				16		3						2						1								1	2	3	4	5			Impact					16 Red		16 Red	12* Amber On-Going	<p>The Draft Budget and Medium-Term Financial Strategy 2020-2021 to 2023-2024 was approved by Cabinet on 31 July 2019. The report detailed the following matters:</p> <ul style="list-style-type: none"> Since 2010-2011 despite the successive cuts in Council resources, which have led to significant financial challenges, the Council has set a balanced budget. Over the last eight years the Council has identified budget reductions in excess of £220 million. The extent of the financial challenge over the medium term continues to represent the most significant challenge that the Council has ever faced, with reducing resources, growing demand for services and significant cost pressures. The Budget and Medium-Term Financial Strategy (MTFS) 2019-2020 to 2023-2024 was presented to Full Council for approval on 6 March 2019. The Council was able to set a balanced budget for 2019-2020 without the use of General Fund reserves. However, it was projected that the Council would be faced with finding further estimated budget reductions totalling £27.3 million in 2020-2021 rising to £40-£50 million over the medium term to 2023-2024. It should be noted that the updated projected budget deficit assumes the achievement of budget reduction and income generation proposals amounting to £9.6 million over the five-year period from 2019-2020 to 2023-2024. Work has been ongoing across the Council to identify opportunities to address the budget deficit reported to Council in March 2019. A number of proposals were detailed in the report, which reduced the projected deficit to £4.9 million in 2020-2021. Progress on the development of budget reduction and income generation proposals will be reported to Cabinet in October 2019 along with further options to address the projected budget deficit of £4.9 million.
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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 John Reynolds and Cllr Linda Leach</p> <table border="1"> <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></td> <td colspan="5">Impact</td> </tr> </table>	Likelihood	5						4						3						2					10	1							1	2	3	4	5		Impact					8 Amber		10 Amber	8 Amber Once new arrangements are embedded	The score of this risk has been temporarily increased to 10 – amber whilst the Council's new multi-agency safeguarding arrangements are implemented. The risk score will be continually monitored alongside the implementation of the new arrangements and it is envisaged that the score will be reduced once the new arrangements become embedded.
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8 01/14	<p>Business Continuity Management (BCM), including Brexit implications</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: John Denley Cabinet Member: Cllr Jasbir Jaspal</p>	12 Amber		16 Red	8* Amber On-going	<p>The score of this risk has been temporarily increased to red, due to ongoing uncertainties surrounding Brexit and the possibility of a no-deal Brexit. The risk score will be continually monitored in conjunction with the ongoing political situation.</p> <p>The main focus of work for the Resilience team continues to be preparations for Brexit and in particular a no-deal Brexit. The team are in the process of analysing Business Continuity Plans to identify gaps and where possible resolve issues. Work is being completed in conjunction with members of the West Midlands Local Resilience Forum (LRF), regular meetings with the LRF regarding Brexit commenced during August 2019. Continual monitoring of the political situation to identify and prepare for potential impacts</p>																																											

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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 and the creation of space to accommodate new businesses and economic growth • the enhancement and creation of visitor attractions 	12 Amber		12 Amber	12* Amber On-going	<p>Risks are being managed across the City Centre programme to address the potential for delayed delivery and cost overrun. With regards to key projects the following is noted:</p> <ul style="list-style-type: none"> • The I9 funding agreement with the Accountable Body is being finalised along with the suite of legal agreements between THE Council and the developer ION. Cost inflations related to Severn Trent diversion works, specification changes, Value Engineering not being achieved, and inflation are being managed and ION are leading on contract negotiations with Grahams. Works to relocate the sewer easement onsite have commenced. • A revised funding strategy for the delivery of the Westside Leisure scheme has now been agreed. As previously reported 																																												


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	<ul style="list-style-type: none"> 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 a reduced demand on Council services <p>Risk owner: Richard Lawrence Cabinet member: Cllr Harman Banger</p> <table border="1" data-bbox="219 614 672 965"> <tr> <td rowspan="5" style="writing-mode: vertical-rl; transform: rotate(180deg);">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>12</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></td> </tr> <tr> <td></td> <td></td> <td>1</td> <td>2</td> <td>3</td> <td>4</td> <td>5</td> </tr> <tr> <td></td> <td colspan="6" style="text-align: center;">Impact</td> </tr> </table>	Likelihood	5						4						3			12			2						1								1	2	3	4	5		Impact										<p>the new arrangement gives the Council part of the responsibility to occupy the scheme and will in turn provide an opportunity to generate rental income. Contract negotiations are progressing well and Heads of Terms for the revised structure have been agreed. It is anticipated that Westside will have a significant impact on the City Centre, adding an estimated £6.5 million a year to the local economy, creating new jobs and raising business rates income to the Council.</p> <ul style="list-style-type: none"> Proposals to enhance key areas of public realm throughout the city as identified within the Connected Places Strategy delivery plan are progressing with Westside Link, Cleveland Boulevard and Springfield Link due for commencement in 2019. These works will seek funding from the Combined Authority and through the Future High Streets Fund off the back of outputs secured through the associated major developments. Advanced discussions are ongoing with a high-calibre developer with regards to bringing a comprehensive residential-led mixed use scheme to Canalside South. A joint study between CWC and Canal and River Trust (with funding support from the Homes England) has been completed which will result in a phased masterplan proposal with clear routes to delivery. Funding for the design for the City Learning Quarter was approved by Cabinet on 31 July 2019. A demolition programme which forms part of the scheme has now commenced, a planning application for the development has now been submitted. The Council's funding bid to the Government's Future High Street Fund has been shortlisted. The Council has been allocated a £150,000 to help develop a full business case. The Future High Street Fund has been set up to support and make their high streets and town centres fit for the future. Work on the Wolverhampton Interchange project is ongoing with the first section of the new station building expected to become operational to customers later this year to coincide with the demolition of the remainder of the current building. The new station is due to be fully open during the summer of 2020.
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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: John Denley Cabinet member: Cllr Jasbir Jaspal</p> <table border="1" data-bbox="219 845 672 1197"> <tr> <td rowspan="5" style="writing-mode: vertical-rl; transform: rotate(180deg);">Likelihood</td> <td>5</td> <td style="background-color: #FFD700;"></td> <td style="background-color: #FFD700;"></td> <td style="background-color: #FF0000;"></td> <td style="background-color: #FF0000;"></td> <td style="background-color: #FF0000;"></td> </tr> <tr> <td>4</td> <td style="background-color: #FFD700;"></td> <td style="background-color: #FFD700;"></td> <td style="background-color: #FFD700;"></td> <td style="background-color: #FF0000;"></td> <td style="background-color: #FF0000;"></td> </tr> <tr> <td>3</td> <td style="background-color: #90EE90;"></td> <td style="background-color: #FFD700;"></td> <td style="background-color: #FFD700;"></td> <td style="background-color: #FF0000; text-align: center;">12</td> <td style="background-color: #FF0000;"></td> </tr> <tr> <td>2</td> <td style="background-color: #90EE90;"></td> <td style="background-color: #90EE90;"></td> <td style="background-color: #FFD700;"></td> <td style="background-color: #FFD700;"></td> <td style="background-color: #FFD700;"></td> </tr> <tr> <td>1</td> <td style="background-color: #90EE90;"></td> <td style="background-color: #90EE90;"></td> <td style="background-color: #90EE90;"></td> <td style="background-color: #FFD700;"></td> <td style="background-color: #FFD700;"></td> </tr> <tr> <td></td> <td></td> <td>1</td> <td>2</td> <td>3</td> <td>4</td> <td>5</td> </tr> <tr> <td></td> <td colspan="6" style="text-align: center;">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	For full details see risk 8 – Business Continuity Management above.
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22 01/17	<p>Skills for Work and Inclusive Growth</p> <p>If the city 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 low rates of inclusive growth will result in increased demand for council services.</p> <p>Risk owner: Meredith Teasdale Cabinet Member: Cllr Dr Michael Hardacre</p> <table border="1" data-bbox="219 699 672 1050"> <tr> <td rowspan="6" style="writing-mode: vertical-rl; transform: rotate(180deg);">Likelihood</td> <td>5</td> <td style="background-color: #FFD700;"></td> <td style="background-color: #FFD700;"></td> <td style="background-color: #FF0000;"></td> <td style="background-color: #FF0000;"></td> <td style="background-color: #FF0000;"></td> </tr> <tr> <td>4</td> <td style="background-color: #FFD700;"></td> <td style="background-color: #FFD700;"></td> <td style="background-color: #FFD700;"></td> <td style="background-color: #FF0000;"></td> <td style="background-color: #FF0000;"></td> </tr> <tr> <td>3</td> <td style="background-color: #90EE90;"></td> <td style="background-color: #FFD700;"></td> <td style="background-color: #FFD700;"></td> <td style="background-color: #FFD700;"></td> <td style="background-color: #FF0000;"></td> </tr> <tr> <td>2</td> <td style="background-color: #90EE90;"></td> <td style="background-color: #90EE90;"></td> <td style="background-color: #FFD700;"></td> <td style="background-color: #FFD700;"></td> <td style="background-color: #FFD700; text-align: center;">10</td> </tr> <tr> <td>1</td> <td style="background-color: #90EE90;"></td> <td style="background-color: #90EE90;"></td> <td style="background-color: #90EE90;"></td> <td style="background-color: #FFD700;"></td> <td style="background-color: #FFD700;"></td> </tr> <tr> <td></td> <td style="background-color: #90EE90;"></td> <td style="background-color: #90EE90;"></td> <td style="background-color: #90EE90;"></td> <td style="background-color: #90EE90;"></td> <td style="background-color: #90EE90;"></td> </tr> <tr> <td></td> <td></td> <td style="text-align: center;">1</td> <td style="text-align: center;">2</td> <td style="text-align: center;">3</td> <td style="text-align: center;">4</td> <td style="text-align: center;">5</td> </tr> <tr> <td></td> <td></td> <td colspan="5" style="text-align: center;">Impact</td> </tr> </table>	Likelihood	5						4						3						2					10	1														1	2	3	4	5			Impact					10 Amber		10 Amber	10* Amber On-going	<p>Since last reported the following is noted;</p> <ul style="list-style-type: none"> www.wolvesworkbox.com launched in June 2017 as the virtual front door to skills and employment support in the city. To date the site has had over 394,000 unique visits, 110 organisations are using workbox to promote their offer and over 3,300 residents have signed up to workbox to receive information. A user portal is currently in development to make the site more interactive and enable tracking of outcomes. Workbox continues to be developed with information about employers, health and work and learning communities. Wolves at Work is a joint partnership between DWP and the Council aimed at supporting 3,000 residents into sustained employment over three years. There are 30 work coaches across the two organisations. It has so far exceeded its' targets and has to date supported 4,487 local people to gain employment – around 45 percent of which are aged 18 to 29. Continuation of funding past March 2020 is now being explored. Future funding is a risk for Wolves at Work. The Council sought funding from the West Midlands Combined Authority (WMCA) in 2019 however unfortunately this was not granted even though the success of the project was recognised. Efforts are continuing to seek external funding from a range of sources. IMPACT is a Black Country wide European Social Fund Youth Employment Initiative project that has had funding extended until 2021. The project aims to support young people 16 to 29 who are not in employment, education and training (NEET). Over 2800 young people have been engaged to date with over 1,400 achieving positive outcomes into training or employment. Connexions supports young people who are 14 - 19, or with Special Educational Needs who are under 25 with no access to education, employment or training (NEET). NEETs and Not Knowns in Wolverhampton currently stands at 4.2% which is better than national and regional comparators. 94.2 % of (academic age) 16 and 17-year olds in the City were in learning, Wolverhampton is the best performing authority in the Black Country in this area.
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						<ul style="list-style-type: none"> The Council has recently updated its apprenticeship recruitment process to include an improved salary offering for all apprentices regardless of age. The salary is based on the level of apprenticeship being undertaken. This was created through consultation with young people including care leavers. Apprenticeships are recruited at all levels from level 2 to 6 and across different services of the Council. Work is underway to create apprenticeship pathways offering an alternative to university for people leaving mainstream education. The new approach has been called inclusive apprenticeships and focuses on providing the bespoke support required by the person undertaking the apprenticeship and their manager, to ensure that it is a success. Workbox has been updated with Apprenticeship information and showcase opportunities in the city. The number of apprenticeships starts has increased from number of starts 64 to 223. Work has begun to look at Inclusive growth through the Social Value agenda. A number of activities and relationships are underway with partners in the city, including Galiford Try who are the prime contractor for the new Interchange station. This is a new area of work and is being led through the Strategic Executive Board (SEB).
23 01/17	<p>Cyber Security 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: Mark Taylor Cabinet Member: Cllr Sandra Samuels OBE</p>	12 Amber		12 Amber	10 Amber Dependent on cyber world-wide cyber incidents	<p>Maintaining robust, secure and up-to-date technology defences continues to be the Council's first line of defence against cyber-attacks. Regular maintenance of the cyber security technical defences is required to address identified vulnerabilities. System back-ups continue to be undertaken in accordance with agreed time-tables and practise restores to the Council's non-production area are ongoing to ensure that back-ups have been undertaken correctly and can be restored. Since last reported it is noted;</p> <ul style="list-style-type: none"> The Council have become the first authority in the West Midlands to be awarded a Cyber Essentials Plus certification. The certificate was developed by Government Communications Headquarters (GCHQ) and gained after two cyber security experts attempted and failed to gain access to the Council's systems. The award of this certificate highlights the progress made by the Council in relation to Cyber Security.

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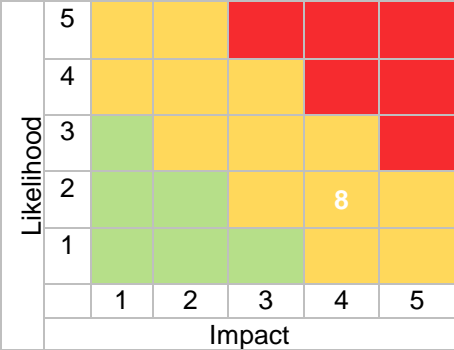

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27 02/19	<p>City assurance of response and compliance with the requirements of National Building Safety Programme, Grenfell Inquiry Report Recommendations and MHCLG Building Regulation Guidance Advice Notice(s)</p> <p>There is a risk of injury to members of the public, reputational damage, exposure to regulatory action and financial penalties to Council if appropriate processes and controls to ensure compliance with the requirements of the National Building Safety Programme, Grenfell Inquiry Report Recommendations and MHCLG Building Regulation Guidance Advice Notice(s).</p> <p>Risk Owner: Kate Martin Cabinet Member: Cllr Peter Bilson</p> <table border="1" data-bbox="219 948 674 1299"> <tr> <td rowspan="5">Likelihood</td> <td>5</td> <td>Yellow</td> <td>Yellow</td> <td>Red</td> <td>Red</td> <td>Red</td> </tr> <tr> <td>4</td> <td>Yellow</td> <td>Yellow</td> <td>Yellow</td> <td>Red</td> <td>Red</td> </tr> <tr> <td>3</td> <td>Green</td> <td>Yellow</td> <td>Yellow</td> <td>Yellow</td> <td>Red</td> </tr> <tr> <td>2</td> <td>Green</td> <td>Green</td> <td>Yellow</td> <td>Yellow</td> <td>10</td> </tr> <tr> <td>1</td> <td>Green</td> <td>Green</td> <td>Green</td> <td>Yellow</td> <td>Yellow</td> </tr> <tr> <td></td> <td></td> <td>1</td> <td>2</td> <td>3</td> <td>4</td> <td>5</td> </tr> <tr> <td colspan="7">Impact</td> </tr> </table>	Likelihood	5	Yellow	Yellow	Red	Red	Red	4	Yellow	Yellow	Yellow	Red	Red	3	Green	Yellow	Yellow	Yellow	Red	2	Green	Green	Yellow	Yellow	10	1	Green	Green	Green	Yellow	Yellow			1	2	3	4	5	Impact							10 Amber		10 Amber	5 Amber	<p>The National Building Safety Programme was established by the Ministry of Housing, Communities and Local Government (MHCLG) to review national building safety, regulations and policies covering high-rise residential buildings over 18 meters (including hotels and non-residential buildings of mixed uses) following the Grenfell tragedy on 14 June 2017.</p> <p>The purpose of the review is to make sure that users of high rise buildings are safe, and feel safe, now and in the future. The scope of the review includes building management practice, property health and safety, fire safety management and building regulations/legislation and policy for all high-rise buildings (over 18m) in public and private ownership, as well as buildings housing vulnerable residents, new residential developments and non-residential buildings, in particular those with mixed uses.</p> <p>The Council are continuing to work in collaboration with partners such as Wolverhampton Homes, Tennant Management Organisations (TMOs) and West Midlands Fire Service (WMFS) to keep up to date with requirements from the programme and ensure compliance with these requirements.</p> <p>Details of work undertaken are reviewed and approved through partnership meetings with WMFS, the TMO Managing Agents Group, Wolverhampton Homes Asset Management Group and the Safer Highrise Homes Group. All work is reported to the Council's Corporate Fire Safety Board. Regular updates are provided to Cabinet and the Leader of the Council via quarterly briefings.</p>
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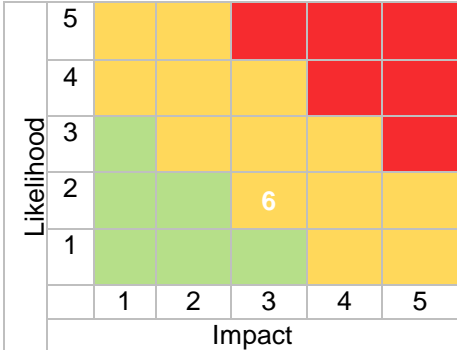

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29 12/17	<p>Fire Safety – Public Buildings</p> <p>If the Council does not have in place appropriate systems to ensure compliance with the Regulatory Reform (Fire Safety) Order 2005 within public buildings (including schools) there is a risk of injury to members of the public and exposure to regulatory action, financial penalties and reputation damage to the Council.</p> <p>Risk owner: Mark Taylor Cabinet Member: Cllr Peter Bilson</p> <table border="1"> <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></td> <td colspan="5">Impact</td> </tr> </table>	Likelihood	5						4						3						2					10	1							1	2	3	4	5		Impact					10 Amber		10 Amber	5 Amber April 2020	<p>The Council is the Responsible Person for public buildings. The named Responsible Person is now the Deputy Chief Executive.</p> <ul style="list-style-type: none"> 98% of public buildings currently have a fire risk assessment (FRA). Existing FRA's have been reviewed and new FRA's commissioned where required, 95% of corporate buildings and 95% of community schools have a suitable and updated FRA. Work is ongoing to complete the remaining outstanding FRA's. FRA's identify actions required to improve fire safety, which are the responsibility of either Corporate Landlord or the Site Duty-holder to complete. However, Corporate Landlord retain oversight of all actions in order to ensure implementation. Corporate Landlord undertakes actions to both buildings and systems, for example maintaining and upgrading fire protection systems such as alarms and sprinklers. Sufficient resource(s) are required in terms of specialist staff to arrange works and funding to undertake the works. A fire safety expert is required in-house to enable the Council to fulfil its statutory duties, a report regarding resource requirements and a proposed compliance structure has been approved by SEB, the new post will be advertised imminently As reported previously there are financial pressures with regards to undertaking required fire safety works, a detailed report regarding this issue is due to be presented to SEB during September 2019. The role of Responsible Person was launched in June 2018. In conjunction with Workforce Development training has now been delivered to all Responsible Persons and 500 fire marshals. Corporate Landlord will now undertake six monthly site audits to ensure that Responsible Persons are fulfilling their duties. Corporate Landlord has implemented liaison arrangements for i10, i11 and other buildings in multiple occupation. Whilst Corporate Landlord manages fire risk actions and regular ongoing checks for corporate buildings, community schools have delegated responsibilities. Schools are requested to provide a fire log return half-termly and updated copies of their FRA action plans to demonstrate that regular fire safety
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						<p>checks are being undertaken, along with training and review of emergency arrangements. To date 85% of returns have been submitted, Corporate Landlord are continuing to liaise with the Head of School Organisation regarding the outstanding returns.</p> <ul style="list-style-type: none"> Annual visits to schools are undertaken to assess fire safety arrangements and investigations are ongoing into safety defects in the Building School for the Future (BSF) schools. 																																											
30 01/18	<p>Civic Halls</p> <p>There is a significant reputational and financial risk to the Council and to the City's wider visitor economy if the revised Civic Halls refurbishment programme is not effectively managed in terms of project timings, costs and scope.</p> <p>Risk owner: Richard Lawrence Cabinet Member: Cllr Harman Banger</p> <table border="1" data-bbox="219 954 672 1305"> <tr> <td rowspan="6" style="writing-mode: vertical-rl; transform: rotate(180deg);">Likelihood</td> <td>5</td> <td style="background-color: #FFD700;"></td> <td style="background-color: #FFD700;"></td> <td style="background-color: #FF0000;"></td> <td style="background-color: #FF0000;"></td> <td style="background-color: #FF0000;"></td> </tr> <tr> <td>4</td> <td style="background-color: #FFD700;"></td> <td style="background-color: #FFD700;"></td> <td style="background-color: #FFD700;"></td> <td style="background-color: #FF0000; text-align: center;">16</td> <td style="background-color: #FF0000;"></td> </tr> <tr> <td>3</td> <td style="background-color: #90EE90;"></td> <td style="background-color: #FFD700;"></td> <td style="background-color: #FFD700;"></td> <td style="background-color: #FFD700;"></td> <td style="background-color: #FF0000;"></td> </tr> <tr> <td>2</td> <td style="background-color: #90EE90;"></td> <td style="background-color: #90EE90;"></td> <td style="background-color: #FFD700;"></td> <td style="background-color: #FFD700;"></td> <td style="background-color: #FFD700;"></td> </tr> <tr> <td>1</td> <td style="background-color: #90EE90;"></td> <td style="background-color: #90EE90;"></td> <td style="background-color: #90EE90;"></td> <td style="background-color: #FFD700;"></td> <td style="background-color: #FFD700;"></td> </tr> <tr> <td></td> <td>1</td> <td>2</td> <td>3</td> <td>4</td> <td>5</td> </tr> <tr> <td></td> <td colspan="5" style="text-align: center;">Impact</td> </tr> </table>	Likelihood	5						4				16		3						2						1							1	2	3	4	5		Impact					12 Amber		16 Red	12 Amber To review once a new contractor has been appointed	<p>This risk score has been increased in light of the Civic Hall's construction contractor going into administration. The status of this risk will be reviewed once a new contractor has been appointed.</p> <p>It is noted that a risk with regard to the insolvency / administration of a contractor, is included in the Civic Hall contract risk register. To mitigate against this risk, regular credit checks were undertaken during the contract period. Also, the Council's external project management consultants continually monitor the market for any changes. Based upon assurances given the risk previously remained at an amber level on the programme's risk register and therefore did not impact at the time on the overall risk status contained within the Council's Strategic Risk Register. In addition, a confirmation letter was sought from both the construction contractor's board, and their solicitors, that they had no outstanding claims against them. Therefore, every action was taken to seek assurances around financial stability.</p> <p>The Programme's external legal advisors are advising the Council on the administration process and have also been asked to advise on the procurement and appointment process for a replacement contractor. It is anticipated that the procurement process is likely to take up to three months. The programme team are confident that this should not significantly impact on the original completion date of July 2021.</p>
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36 05/19	<p>Parent company assurance of Tenant Management Organisations (TMOs)</p> <p>There is a risk to the safety of residents if assurance cannot be provided that adequate management and safety controls are in place within TMOs.</p> <p>Risk Owner: Kate Martin Cabinet Member: Cllr Peter Bilson</p> <table border="1" data-bbox="219 646 672 997"> <tr> <td rowspan="5" style="writing-mode: vertical-rl; transform: rotate(180deg);">Likelihood</td> <td>5</td> <td style="background-color: #FFD700;"></td> <td style="background-color: #FFD700;"></td> <td style="background-color: #FF0000;"></td> <td style="background-color: #FF0000;"></td> <td style="background-color: #FF0000;"></td> </tr> <tr> <td>4</td> <td style="background-color: #FFD700;"></td> <td style="background-color: #FFD700;"></td> <td style="background-color: #FFD700;"></td> <td style="background-color: #FF0000;"></td> <td style="background-color: #FF0000;"></td> </tr> <tr> <td>3</td> <td style="background-color: #90EE90;"></td> <td style="background-color: #FFD700;"></td> <td style="background-color: #FFD700;"></td> <td style="background-color: #FF0000; text-align: center;">12</td> <td style="background-color: #FF0000;"></td> </tr> <tr> <td>2</td> <td style="background-color: #90EE90;"></td> <td style="background-color: #90EE90;"></td> <td style="background-color: #FFD700;"></td> <td style="background-color: #FFD700;"></td> <td style="background-color: #FFD700;"></td> </tr> <tr> <td>1</td> <td style="background-color: #90EE90;"></td> <td style="background-color: #90EE90;"></td> <td style="background-color: #90EE90;"></td> <td style="background-color: #FFD700;"></td> <td style="background-color: #FFD700;"></td> </tr> <tr> <td></td> <td></td> <td style="text-align: center;">1</td> <td style="text-align: center;">2</td> <td style="text-align: center;">3</td> <td style="text-align: center;">4</td> <td style="text-align: center;">5</td> </tr> <tr> <td></td> <td></td> <td colspan="5" style="text-align: center;">Impact</td> </tr> </table>	Likelihood	5						4						3				12		2						1								1	2	3	4	5			Impact					12 Amber		12 Amber	4 Amber June 2020	<p>Wolverhampton currently has four TMO's responsible for the management of approximately 2,500 properties within the City. A review completed by internal audit during 2018-2019 provided limited assurance that TMO's were operating in accordance with their management agreement(s) and identified non-implementation of recommendations made in previous audit reports.</p> <p>Since publication of the audit reports additional support has been provided to TMO's to assist with the implementation of outstanding issues, this work is being overseen by the Director for City Housing and a considerable number of recommendations made in the audit reports have now been implemented.</p> <p>A programme to support TMOs during 2019-2020 has been established and was approved by SEB on 7 May 2019. The programme covers 17 areas of support which includes; Governance, financial management, health and safety, housing development support, provision of safeguarding training, access to legal services, information governance support, risk management, business continuity, audit and procurement support and the introduction of improved Key Performance Indicator's (KPI's). Resources within the Housing Strategy Team have been increased to provide support and focus on TMOs</p> <p>TMO management agreements have been reviewed and new agreements are in the process of being implemented, ongoing monitoring will be undertaken to ensure compliance with these agreements.</p> <p>The Director for City Assets and Housing attended the Audit and Risk Committee meeting on 22 July 2019 and presented a report detailing the considerable progress made in responding to the TMO Audits carried out during 2018. She also briefed the Committee on the enhanced resources deployed to deliver the current work, framed in a workplan for 2019/20, which is providing additional support for the TMO's whilst providing the Council with a greater level of assurance.</p>
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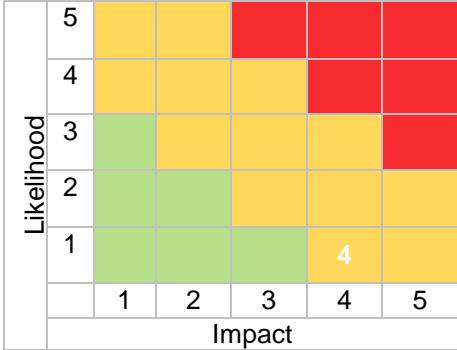

- The following are the medium and low (assessed at less than 10) strategic risks that the Council faces in delivering its corporate priorities.

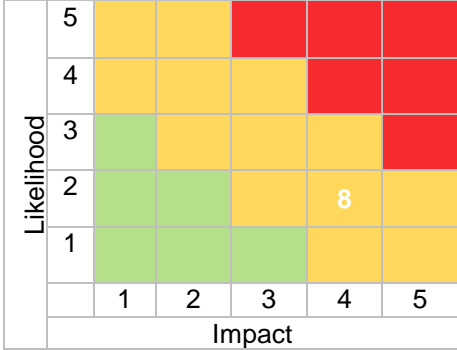

Risk ref	Risk title and description	Previous score (May 2019)	Direction of travel	Current score (Aug 2019)	Target score and date (where appropriate)
3 01/14	<p>Information Governance (IG)</p> <p>If the Council does not put in place appropriate policies, procedures and technologies to ensure:</p> <ul 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 came 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: Mark Taylor Cabinet Member: Cllr Sandra Samuels OBE</p> 	8 Amber		8 Amber	4 Amber Nov 2019

Risk ref	Risk title and description	Previous score (May 2019)	Direction of travel	Current score (Aug 2019)	Target score and date (where appropriate)																																										
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: Tim Johnson Cabinet Member: Cllr Ian Brookfield</p>  <table border="1" data-bbox="250 507 705 858"> <tr><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></td><td colspan="5">Impact</td></tr> </table>	5						4						3						2			6			1							1	2	3	4	5		Impact					6 Amber		6 Amber	3* Green Ongoing
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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 Louise Miles</p> <div data-bbox="250 576 705 928" data-label="Figure"> <table border="1"> <tr> <td>5</td> <td>Yellow</td> <td>Yellow</td> <td>Red</td> <td>Red</td> <td>Red</td> </tr> <tr> <td>4</td> <td>Yellow</td> <td>Yellow</td> <td>Yellow</td> <td>Red</td> <td>Red</td> </tr> <tr> <td>3</td> <td>Green</td> <td>Yellow</td> <td>Yellow</td> <td>Yellow</td> <td>Red</td> </tr> <tr> <td>2</td> <td>Green</td> <td>Green</td> <td>Yellow</td> <td>Yellow</td> <td>Yellow</td> </tr> <tr> <td>1</td> <td>Green</td> <td>Green</td> <td>Green</td> <td>4</td> <td>Yellow</td> </tr> <tr> <td></td> <td>1</td> <td>2</td> <td>3</td> <td>4</td> <td>5</td> </tr> <tr> <td></td> <td colspan="5">Impact</td> </tr> </table> </div>	5	Yellow	Yellow	Red	Red	Red	4	Yellow	Yellow	Yellow	Red	Red	3	Green	Yellow	Yellow	Yellow	Red	2	Green	Green	Yellow	Yellow	Yellow	1	Green	Green	Green	4	Yellow		1	2	3	4	5		Impact					4 Amber		4 Amber	4* Amber Ongoing
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28 10/17	<p>Health and Safety</p> <p>Through failure to use safe working methods the Council may be exposed to regulatory action, financial penalties and reputational damage.</p> <p>Risk owner: Mark Taylor Cabinet Member: Cllr Sandra Samuels OBE</p> <div data-bbox="248 513 705 868" data-label="Figure"> <table border="1"> <tr> <td></td> <td>5</td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td></td> <td>4</td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td></td> <td>3</td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td></td> <td>2</td> <td></td> <td></td> <td>8</td> <td></td> </tr> <tr> <td></td> <td>1</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></td> <td colspan="5">Impact</td> </tr> </table> </div>		5						4						3						2			8			1						1	2	3	4	5		Impact					8 Amber		8 Amber	4 Amber To fall in conjunction with other Health and Safety associated risks.
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32 06/18	<p>Waste Management Services</p> <p>If the Council does not continue to effectively manage the delivery of its waste service there is a risk that savings targets will not be delivered, and reputational damage may be incurred due to issues with waste collections.</p> <p>Risk owner: Ross Cook Cabinet Member: Cllr Steve Evans</p>  <table border="1" data-bbox="250 523 705 874"> <tr><td>5</td><td>Yellow</td><td>Yellow</td><td>Red</td><td>Red</td><td>Red</td></tr> <tr><td>4</td><td>Yellow</td><td>Yellow</td><td>Yellow</td><td>Red</td><td>Red</td></tr> <tr><td>3</td><td>Green</td><td>Yellow</td><td>Yellow</td><td>Yellow</td><td>Red</td></tr> <tr><td>2</td><td>Green</td><td>Green</td><td>Yellow</td><td>Yellow</td><td>Yellow</td></tr> <tr><td>1</td><td>Green</td><td>Green</td><td>Green</td><td>Yellow</td><td>Yellow</td></tr> <tr><td></td><td>1</td><td>2</td><td>3</td><td>4</td><td>5</td></tr> <tr><td></td><td colspan="5">Impact</td></tr> </table>	5	Yellow	Yellow	Red	Red	Red	4	Yellow	Yellow	Yellow	Red	Red	3	Green	Yellow	Yellow	Yellow	Red	2	Green	Green	Yellow	Yellow	Yellow	1	Green	Green	Green	Yellow	Yellow		1	2	3	4	5		Impact					4 Amber		4 Amber	4* Amber Ongoing
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37 05/19	<p>Governance of Major Capital Projects and Programmes</p> <p>The Council will fail to maximise opportunities and incur significant reputational and financial risks if it does not continue to manage, monitor and review major capital projects effectively, particularly in terms of project timescales, achievement of milestones and costs.</p> <p>Risk owner: Laura Phillips Cabinet Member: Cllr Louise Miles</p> 	8 Amber		8 Amber	4* Amber Ongoing

* 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 these risks may not have target dates.