

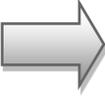
# Appendix 1 – Strategic Risk Register

December 2020



- 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 (Aug 2019)	Direction of travel	Current score (Dec 2019)	Target score and date (where appropriate)	Comment																																											
4 01/14	<p><b>Medium Term Financial Strategy</b> 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="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>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>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				16		3						2						1							1	2	3	4	5		Impact					16 Red		16 Red	12* Amber On-Going	<p>The draft budget strategy linked to The Council's Five-Year Financial Strategy was reported to Cabinet on 16 October 2019. The report detailed the following matters:</p> <ul style="list-style-type: none"> <li>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.</li> <li>In order to respond to this financial challenge and the growing demand for services, the Council has developed a Five-Year Financial Strategy to address the projected deficit over the medium term.</li> <li>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. Having identified budget reductions in excess of £220 million over the previous eight financial years, the extent of the financial challenge over the medium term continues to represent the most significant the Council has ever faced.</li> <li>Work has continued during the second quarter of this financial year to identify opportunities in line with the Five-Year Financial</li> </ul>
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						Strategy to support the budget strategy for 2020-2021 and future years, whilst also analysing the potential resources available to the Council following the Spending Round 2019 announcement on 4 September 2019.																																											
7 01/14	<p><b>Safeguarding</b></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" data-bbox="219 807 674 1161"> <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>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						3						2					10	1							1	2	3	4	5		Impact					10 Amber		10 Amber	8 Amber <small>Once new arrangements are embedded</small>	The score of this risk remains at 10 – amber to reflect changes in Council's new multi-agency safeguarding arrangements. The risk score is being 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><b>Business Continuity Management (BCM), including Brexit implications</b></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> <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>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>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						4						3			12			2						1							1	2	3	4	5	Impact							16 Red		12 Amber	8* Amber On-going	<p>The score of this risk has been decreased due to changes in the ongoing political situation. Continual monitoring of the political situation to identify and prepare for potential impacts across the Council and within Wolverhampton is ongoing, regular updates on work being undertaken by the team in preparation for Brexit are provided to the Strategic Executive Board (SEB). With regards to other areas of work the following is noted in relation to both business continuity and emergency planning:</p> <ul style="list-style-type: none"> <li>• New arrangements for the Council's on-call rota have been approved and went live on 6 January 2020, when a new contact method will also be rolled out. Full training for Council employees appointed to the on-call rota was undertaken during December in preparation for go-live.</li> <li>• Work to analyse business continuity plans in order to identify gaps, resolve issues and improve engagement and understanding with regards to the requirements of business continuity plans across the Council is ongoing. Internal Audit have recently issued a limited assurance report with regards to business continuity planning, reflecting the status of plans submitted by business areas and the level of engagement with regards to business continuity planning across the Council.</li> <li>• A Black Country Wide Memorandum of Understanding (MOU) regarding a collaborative approach to Emergency Planning has now been agreed in draft format and is in the process of being approved by individual authorities.</li> <li>• The team are working with St John's Ambulance to implement first response arrangements for emergency situations, this will be the first arrangement of its kind in the Country.</li> <li>• The new off-site control room is now fully operational, the team are in the process of purchasing additional ICT equipment to further enhance functionality in the control room which will be fully tested via planned exercises in due course.</li> </ul>
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9 01/14	<p><b>City Centre Regeneration</b></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"> <li>the attraction of private sector investment and the creation of space to accommodate new businesses and economic growth</li> <li>the enhancement and creation of visitor attractions</li> <li>the creation of well-paid employment</li> <li>retention of skilled workers</li> <li>the creation of residential opportunities</li> <li>a functioning city centre offer that serves the residents of the City</li> <li>a reduced demand on Council services</li> </ul> <p>Risk owner: Richard Lawrence Cabinet member: Cllr Harman Banger</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>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>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			12			2						1							1	2	3	4	5		Impact					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"> <li>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 the construction firm – a letter of intent has been issued to ensure the firm can start onsite in December. Works to relocate the sewer easement onsite have now completed.</li> <li>A revised funding strategy for the delivery of the Westside Leisure scheme has now been agreed. As previously reported 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. Westside is a private sector-led commercial scheme being delivered in a very challenging economic environment. The Council is currently working closely with the developer, Urban&amp;Civic, to finalise detailed and quite complex legal agreements for the delivery structure to bring forward the Westside scheme. It requires time to ensure that the Council is meeting its obligations to obtain best consideration, the Council have also been carrying out robust due diligence, supported by experts in their field.</li> <li>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. 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.</li> <li>Advanced discussions are ongoing with a high-calibre developer with regards to bringing a comprehensive residential-led mixed use scheme to Canalside South.</li> <li>A joint study between the Council and Canal and River Trust (with funding support from the Homes England) has been</li> </ul>
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						<p>completed which will result in a phased masterplan proposal with clear routes to delivery.</p> <ul style="list-style-type: none"> <li>• 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 and a planning application for the development has been submitted.</li> <li>• The Council's funding bid to the Government's Future High Street Fund has been allocated £150,000 to help develop a full business case. Work is ongoing with consultants Rivington Hark on the development of a detailed business case. The Future High Street Fund has been set up to support and make high streets and town centres fit for the future.</li> <li>• Work on the Wolverhampton Interchange project is ongoing with the first section of the new station building expected to become operational to customers early 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.</li> </ul>

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15 01/14	<p><b>Emergency Planning</b></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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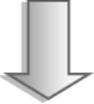
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22 01/17	<p><b>Skills for Work and Inclusive Growth</b></p> <p>If the city residents do not have the appropriate skills that employers require and the Council does not work effectively with its partners to promote and enable growth, high rates of unemployment and low rates of inclusive growth will result in increased demand for council services.</p> <p>Risk owner: Richard Lawrence 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: yellow;"></td> <td style="background-color: yellow;"></td> <td style="background-color: red;"></td> <td style="background-color: red;"></td> <td style="background-color: red;"></td> </tr> <tr> <td>4</td> <td style="background-color: yellow;"></td> <td style="background-color: yellow;"></td> <td style="background-color: yellow;"></td> <td style="background-color: red;"></td> <td style="background-color: red;"></td> </tr> <tr> <td>3</td> <td style="background-color: lightgreen;"></td> <td style="background-color: yellow;"></td> <td style="background-color: yellow;"></td> <td style="background-color: yellow;"></td> <td style="background-color: red;"></td> </tr> <tr> <td>2</td> <td style="background-color: lightgreen;"></td> <td style="background-color: lightgreen;"></td> <td style="background-color: yellow;"></td> <td style="background-color: yellow;"></td> <td style="background-color: yellow; text-align: center;">10</td> </tr> <tr> <td>1</td> <td style="background-color: lightgreen;"></td> <td style="background-color: lightgreen;"></td> <td style="background-color: lightgreen;"></td> <td style="background-color: yellow;"></td> <td style="background-color: yellow;"></td> </tr> <tr> <td></td> <td style="background-color: lightgreen;"></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"> <li>• WorkBox launched in June 2017 as the virtual front door to skills and employment support in the city. To date there have been over 408,000 unique visits and over 110 organisations promoting their offer. Over 3300 residents have signed up 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.</li> <li>• Wolves at Work, a joint partnership between the Department for Work and Pensions (DWP) and the Council aimed at supporting 3000 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 4,860 local people to gain employment – around 45 per cent of which are aged 18 to 29. The Council is committed to continuing Wolves at Work and is actively exploring funding opportunities for the project.</li> <li>• IMPACT, 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 3100 young people have been engaged to date with over 1,520 achieving positive outcomes into training or employment.</li> <li>• Connexions supports young people who are 14-19, or have Special Educational Needs and are under 25 to access education, employment or training.</li> <li>• Not in Education, Employment of Training (NEET)s and Not Knowns are currently 4.2% which is better than regional and national comparators.</li> <li>• 94.2% of (academic age) 16 and 17 year olds in the City are in learning. Wolverhampton is the best performing authority in the Black Country.</li> </ul>
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23 01/17	<p><b>Cyber Security</b></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: Charlotte Johns Cabinet Member: Cllr Ian Brookfield</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>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></td> <td colspan="5">Impact</td> </tr> </table>	Likelihood	5						4						3				12		2						1							1	2	3	4	5		Impact					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"> <li>Software has been introduced to assist with the protection of information sent outside the Council. This solution allows the Council to encrypt data and control the key so that where appropriate, data can be made unreadable to non-authorized users.</li> <li>Microsoft Cloud App Security has also been introduced, this additional security provides real-time visibility and safeguards user credentials by recognising a user's behaviour and sending alerts when users attempt to log-in from unidentified locations. Cloud app security can also block downloads before they happen and set rules that force data stored and downloaded from the cloud to be protected with encryption to avoid data breaches.</li> </ul> <p>Information Cyber-Security policies continue to identify the good practices that need to be adopted by the Council. These, along with other Human Resource and Information Governance policies, are regularly reviewed and updated to ensure they are keeping pace and addressing potential threat opportunities. Employee awareness of potential threats and good working practices, through mandatory, associated training and regular City People updates when new initiatives are introduced continue to enhance the understanding of cyber security.</p>
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27 02/19	<p><b>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)</b></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"> <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	<p>As previously reported, 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 National Building Safety Programme 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. The Council are continuing to work in collaboration with partners such as Wolverhampton Homes, Tenant 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. 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. With regards to current priorities in this area;</p> <ul style="list-style-type: none"> <li>A project team has been established to manage actions regarding a privately owned, residential high rise that poses particular challenges for the Council. All work is reported to the Council's Corporate Fire Safety Scrutiny Panel. Regular updates are provided to the Project Assurance Group (PAG), Cabinet and the Leader of the Council via quarterly briefings.</li> <li>The Moore-Brick Grenfell Inquiry report, issued on 30 October 2019 is currently being reviewed and considered, details of the Council's response and any effect on this risk will be reported to the next Committee meeting.</li> </ul>
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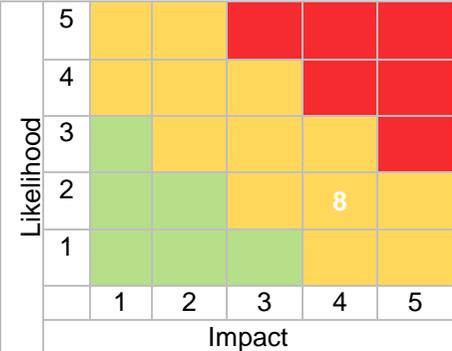
Risk ref	Risk title and description	Previous score (Aug 2019)	Direction of travel	Current score (Dec 2019)	Target score and date (where appropriate)	Comment																																													
29 12/17	<p><b>Fire Safety – Public Buildings</b> If the Council does not have in place appropriate 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" data-bbox="219 778 674 1129"> <tr> <td rowspan="5" style="writing-mode: vertical-rl; transform: rotate(180deg);">Likelihood</td> <td>5</td> <td style="background-color: yellow;"></td> <td style="background-color: yellow;"></td> <td style="background-color: red;"></td> <td style="background-color: red;"></td> <td style="background-color: red;"></td> </tr> <tr> <td>4</td> <td style="background-color: yellow;"></td> <td style="background-color: yellow;"></td> <td style="background-color: yellow;"></td> <td style="background-color: red;"></td> <td style="background-color: red;"></td> </tr> <tr> <td>3</td> <td style="background-color: lightgreen;"></td> <td style="background-color: yellow;"></td> <td style="background-color: yellow;"></td> <td style="background-color: yellow;"></td> <td style="background-color: red;"></td> </tr> <tr> <td>2</td> <td style="background-color: lightgreen;"></td> <td style="background-color: lightgreen;"></td> <td style="background-color: yellow;"></td> <td style="background-color: yellow; text-align: center;">12</td> <td style="background-color: yellow;"></td> </tr> <tr> <td>1</td> <td style="background-color: lightgreen;"></td> <td style="background-color: lightgreen;"></td> <td style="background-color: lightgreen;"></td> <td style="background-color: lightgreen;"></td> <td style="background-color: yellow;"></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				12		1								1	2	3	4	5			Impact					10 Amber	↑	12 Amber	10 Amber April 2020	<p>The level of this risk has been increased to reflect the fact that the implementation of actions identified within fire risk assessments is not yet complete. However, these actions are being planned and prioritised for implementation. There has also been a limited assurance audit report issued by internal audit, entitled Fire Safety in Public Buildings.</p> <p>With regards to key areas of work the following is noted:</p> <ul style="list-style-type: none"> <li>• Whilst there are financial pressures with regards to undertaking fire safety works, the Council have confirmed that funds will be identified to complete priority works.</li> <li>• 100% of public buildings currently have a fire risk assessment (FRA). Existing FRA's have been reviewed and new FRA's commissioned where required, 99% of corporate buildings and 99% of community schools have a suitable and updated FRA. Work is ongoing to complete the outstanding FRA's.</li> <li>• 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.</li> <li>• Corporate Landlord undertakes actions to both buildings and systems, for example maintaining and upgrading fire protection systems such as alarms and sprinklers. These are managed by the Facilities Management supported by a new contractor framework.</li> <li>• An in-house Buildings Safety Compliance Manager has been recruited and two further compliance roles advertised to provide fire safety expertise.</li> <li>• Over the previous 12 months Workforce Development training has been delivered to all Site Responsible Persons and approximately 400 fire marshals.</li> <li>• Corporate Landlord undertake six monthly site audits to ensure Responsible Persons are fulfilling their duties. However, a lack Corporate Landlord resources means this programme of work is not currently on target.</li> <li>• Corporate Landlord has implemented liaison arrangements for I10, I11 and other buildings in multiple occupation.</li> </ul>
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						<ul style="list-style-type: none"> <li>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 checks are being undertaken, along with training and review of emergency arrangements. To date 70% of returns have been submitted, schools are currently being contacted regarding the submission of outstanding returns. Regular updates with regards to Health and Safety and including fire are incorporated within Headteachers bulletin which is issued on a monthly basis. Biennial visits to schools are undertaken to assess fire safety arrangements.</li> </ul>

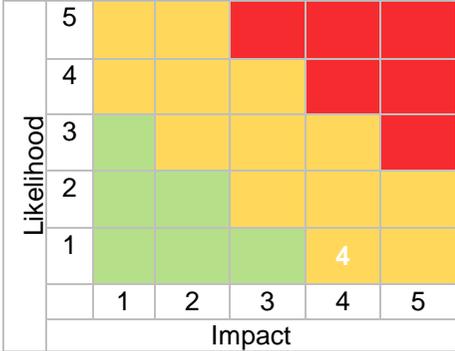
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30 01/18	<p><b>Civic Halls</b></p> <p>There is a significant reputational and financial risk to the Council and to the City's wider visitor economy if the revised Civic Halls refurbishment programme is not effectively managed in terms of project timings, costs and scope.</p> <p>Risk owner: Richard Lawrence Cabinet Member: Cllr Harman Banger</p> <table border="1" data-bbox="217 694 672 1045"> <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; 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>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						3				12		2						1							1	2	3	4	5		Impact					16 <b>Red</b>		12 <b>Amber</b>	12* <b>Amber</b> Ongoing	<p>A new contractor (Willmott Dixon) have now been selected and the team are in the process of working through the early stages of engagement with them. Mobilisation works have begun and design work is ongoing within the engagement with the Willmott Dixon team.</p> <p>A new Operating Model has been proposed and the procurement process for a new operator has commenced.</p> <p>The management of the Shaylor administration process is continuing with some activities being complete at the point at which Willmott Dixon take control of the site.</p>
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36 05/19	<p><b>Parent company assurance of Tenant Management Organisations (TMOs)</b></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"> <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>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>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			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>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>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. A further report on progress March 2020.</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.

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3 01/14	<p><b>Information Governance (IG)</b></p> <p>If the Council does not put in place appropriate policies, procedures and technologies to ensure:</p> <ul style="list-style-type: none"> <li>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;</li> <li>compliance with the Freedom of Information Act and Environmental Information Regulations; then it may be subject to regulatory action, financial penalties, reputational damage and the loss of confidential information.</li> </ul> <p>Risk owner: Mark Taylor Cabinet Member: Cllr Ian Brookfield</p> 	8 Amber		8 Amber	4 Amber Completion of information asset register work

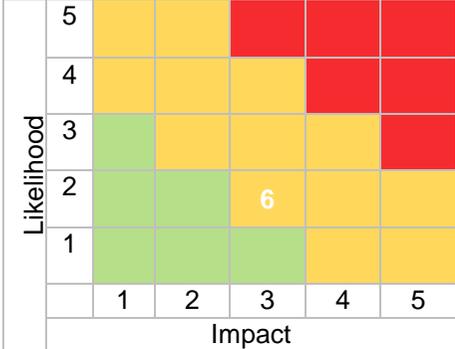
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24 01/17	<p><b>Maximising Benefits from West Midlands Combined Authority</b></p> <p>There is a risk that the Council will not be able to maximise the opportunities and benefits available from being part of West Midlands Combined Authority (WMCA) due to the dynamic environment we are operating in, including financial implications and opportunities for future devolution with a new government.</p> <p>Risk owner: Tim Johnson Cabinet Member: Cllr Ian Brookfield</p> <table border="1" data-bbox="250 539 705 890"> <tr> <td rowspan="6" style="writing-mode: vertical-rl; transform: rotate(180deg);">Likelihood</td> <td>5</td> <td style="background-color: yellow;"></td> <td style="background-color: yellow;"></td> <td style="background-color: red;"></td> <td style="background-color: red;"></td> <td style="background-color: red;"></td> </tr> <tr> <td>4</td> <td style="background-color: yellow;"></td> <td style="background-color: yellow;"></td> <td style="background-color: yellow;"></td> <td style="background-color: red;"></td> <td style="background-color: red;"></td> </tr> <tr> <td>3</td> <td style="background-color: lightgreen;"></td> <td style="background-color: yellow;"></td> <td style="background-color: yellow;"></td> <td style="background-color: yellow;"></td> <td style="background-color: red;"></td> </tr> <tr> <td>2</td> <td style="background-color: lightgreen;"></td> <td style="background-color: lightgreen;"></td> <td style="background-color: lightgreen; text-align: center;">6</td> <td style="background-color: yellow;"></td> <td style="background-color: yellow;"></td> </tr> <tr> <td>1</td> <td style="background-color: lightgreen;"></td> <td style="background-color: lightgreen;"></td> <td style="background-color: lightgreen;"></td> <td style="background-color: yellow;"></td> <td style="background-color: yellow;"></td> </tr> <tr> <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 colspan="5" style="text-align: center;">Impact</td> </tr> </table>	Likelihood	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><b>Payment Card Industry Data Security Standard</b></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> 	4 Amber		4 Amber	4* Amber Ongoing

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28 10/17	<p><b>Health and Safety</b></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 Ian Brookfield</p> <table border="1" data-bbox="250 475 705 826"> <tr><td></td><td>5</td><td></td><td></td><td></td><td></td><td></td></tr> <tr><td></td><td>4</td><td></td><td></td><td></td><td></td><td></td></tr> <tr><td></td><td>3</td><td></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><td></td></tr> <tr><td></td><td>1</td><td></td><td></td><td></td><td></td><td></td></tr> <tr><td>Likelihood</td><td></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><td></td></tr> <tr><td></td><td colspan="5">Impact</td><td></td></tr> </table>		5							4							3							2			8				1						Likelihood								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><b>Waste Management Services</b></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="250 491 705 842"> <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;"></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; text-align: center;">4</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						3						2						1				4			1	2	3	4	5		Impact					4 Amber		4 Amber	4* Amber Ongoing
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37 05/19	<p><b>Governance of Major Capital Projects and Programmes</b></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> <table border="1" data-bbox="250 512 705 863"> <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: #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; text-align: center;">8</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						2				8		1								1	2	3	4	5		Impact						8 Amber		8 Amber	4* Amber Ongoing
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		1	2	3	4	5																																												
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Risk ref	Risk title and description	Previous score (Aug 2019)	Direction of travel	Current score (Dec 2019)	Target score and date (where appropriate)
38 01/20	<p><b>Climate Change</b></p> <p>Failure to achieve the Council's commitments in relation to Climate Change, including the pledge to make Council activities net-zero carbon by 2028 may result in significant reputational damage and a loss in public confidence.</p> <p>Risk Owner: Ross Cook Cabinet Member: Steve Evans</p> 	N/A	N/A	6	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.