

# Strategic Risk Register @ August 2015

CITY OF  
WOLVERHAMPTON  
COUNCIL



**Stronger  
Economy**



**Stronger  
Communities**



**Stronger  
Organisation**

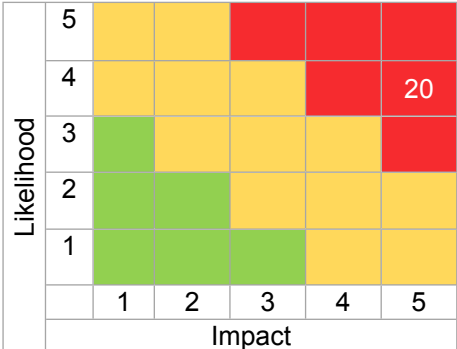

Profile of current strategic risks:


Red	1, 2, 4, 11, 12,
Amber	3, 7, 8, 9, 10, 14, 15, 16, 17, 19

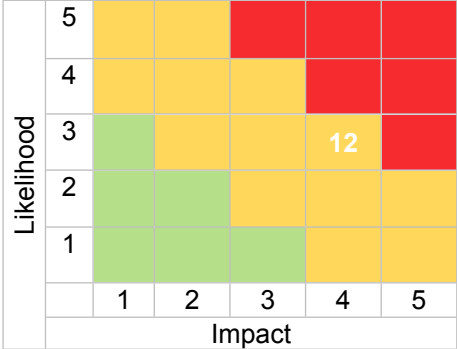

Our priorities

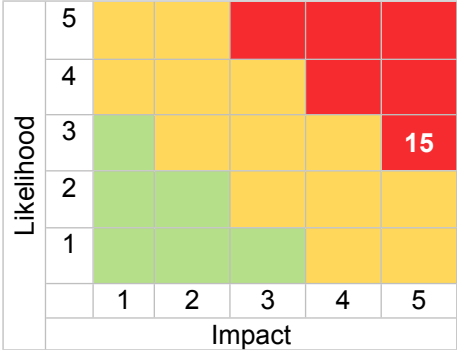

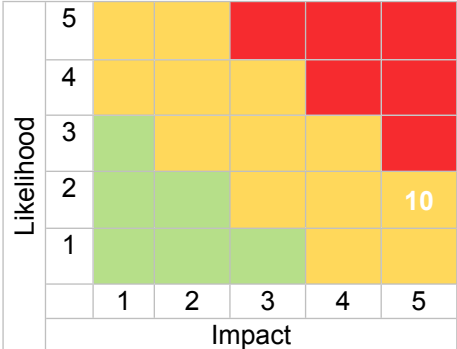



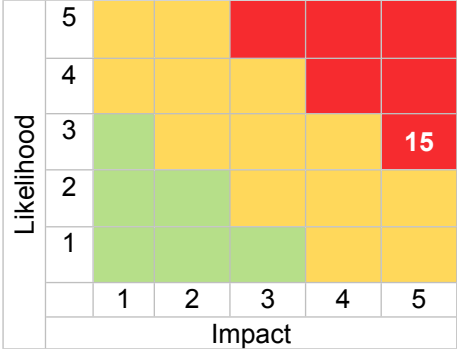

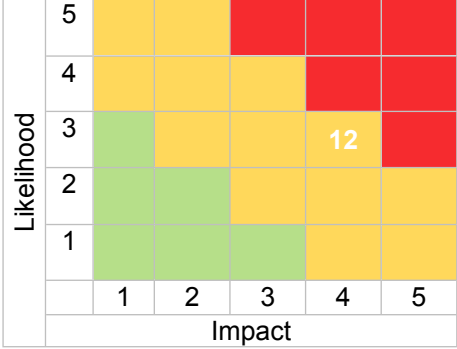

The following are the strategic risks assessed as medium to high that the council faces in delivering its priorities

Risk ref	Risk title and description	Previous score (June 2015)	Direction of travel	Current score (August 2015)	Target score and date
1 01/14	<p><b>Looked After Children (LAC)</b> If the number of LAC is not reduced this may result in an increase in costs, budget overspends and an increased demand on children’s services.</p> <p>Risk owner: Linda Sanders (Emma Bennett) Cabinet Member: Cllr Val Gibson</p> 	20 <b>Red</b>		20 <b>Red</b>	15 <b>Red</b> March 2016


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2 01/14	<p><b>Skills for Work</b> If the city residents do not have the appropriate skills that employers require then they will be unable to access the jobs and opportunities available resulting in high rates of unemployment and increased demand on Council services.</p> <p>Risk owner: Tim Johnson Cabinet Member: Cllr John Reynolds</p> <table border="1" data-bbox="209 651 667 999"> <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; text-align: center;">20</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></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					20	3						2						1								1	2	3	4	5			Impact					15 <b>Red</b>		15 <b>Red</b>	10 <b>Amber</b> March 2017
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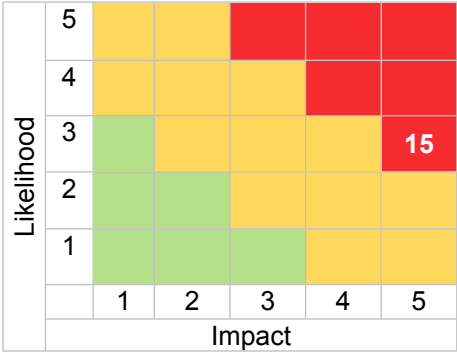

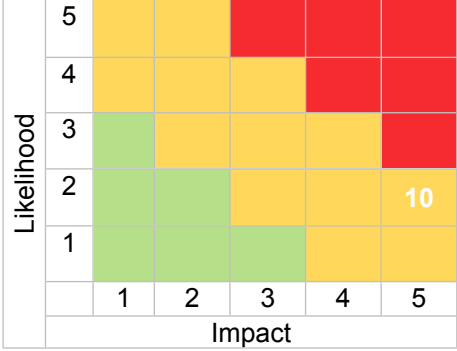

Risk ref	Risk title and description	Previous score (June 2015)	Direction of travel	Current score (August 2015)	Target score and date
3 01/14	<p><b>Information Governance (IG)</b>                      If the Council does not put in place appropriate policies, procedures and technologies to ensure:</p> <ul style="list-style-type: none"> <li>that the handling and protection of its data is undertaken in a secure manner and consistent with the provision of the Data Protection Act 1998;</li> <li>compliance with the Freedom of Information Act and Environmental Information Regulations</li> </ul> <p>then it may be subject to regulatory action, financial penalties, reputational damage and the loss of confidential information.</p> <p>Risk owner: Kevin O' Keefe                      Cabinet Member: Cllr Paul Sweet</p> 	12 <b>Amber</b>		12 <b>Amber</b>	8 <b>Amber</b> March 2016

Risk ref	Risk title and description	Previous score (June 2015)	Direction of travel	Current score (August 2015)	Target score and date
4 01/14	<p><b>Medium Term Financial Strategy</b></p> <p>If the Council is unable to agree and operate within its medium term financial strategy (MTFS) this may exhaust reserves, result in the potential loss of democratic control and the inability of the Council to deliver essential services and discharge its statutory duties.</p> <p>Risk owner: Keith Ireland Cabinet Member: Cllr Andrew Johnson</p> 	15 <b>Red</b>		15 <b>Red</b>	15 <b>Red</b>
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: Linda Sanders (Ros Jervis) Cabinet Member: Cllr Val Gibson and Cllr Elias Mattu</p> 	10 <b>Amber</b>		10 <b>Amber</b>	5 <b>Amber</b> Next Ofsted inspection

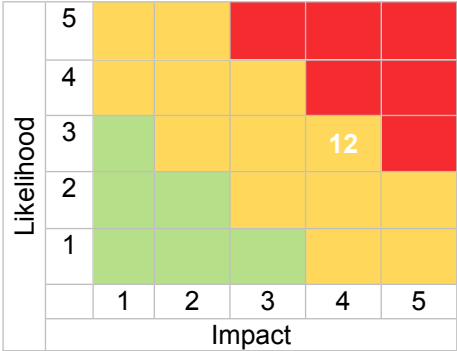

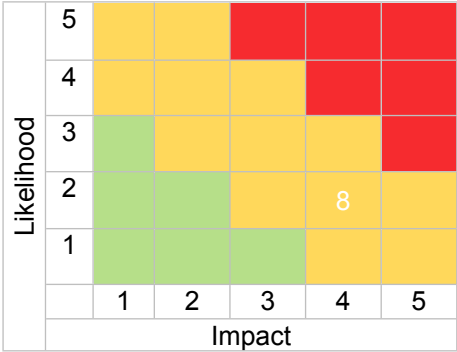

Risk ref	Risk title and description	Previous score (June 2015)	Direction of travel	Current score (August 2015)	Target score and date
8 01/14	<p><b>Business Continuity Management (BCM)</b> Failure to develop, exercise and review plans and capabilities that seek to maintain the continuity of critical functions in the event of an emergency that disrupts the delivery of Council services.</p> <p>Risk owner: Linda Sanders (Ros Jervis) Cabinet Member: Cllr Sandra Samuels</p> 	10 <b>Amber</b>		10 <b>Amber</b>	8 <b>Amber</b> June 2016
10 01/14	<p><b>Economic Inclusion</b> If the Council and its partners do not work effectively together to promote and enable growth then the risk of economic exclusion will materialise and demand for Council services will continue to increase.</p> <p>Risk owner: Tim Johnson (Keren Jones) Cabinet Member: Cllr John Reynolds</p> 	12 <b>Amber</b>		12 <b>Amber</b>	8 <b>Amber</b> September 2017



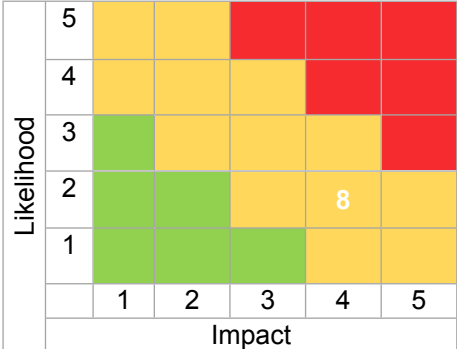

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11 01/14	<p><b>The Care Act</b></p> <p>If the Council does not have robust plans in place to implement the Care Act including:</p> <ul style="list-style-type: none"> <li>• appropriate governance arrangements,</li> <li>• appropriate project management arrangements</li> <li>• sufficient financial resources</li> <li>• sufficient workforce capability and capacity</li> <li>• effective information systems</li> </ul> <p>then it will fail to meet its new responsibilities and discharge its statutory obligations.</p> <p>Risk owner: Linda Sanders (Tony Ivko) Cabinet Member: Cllr Elias Mattu</p> <table border="1" data-bbox="209 936 667 1283"> <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; text-align: center;">15</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					15	2						1							1	2	3	4	5		Impact					15 <b>Red</b>		15 <b>Red</b>	10 <b>Amber</b> April 2016
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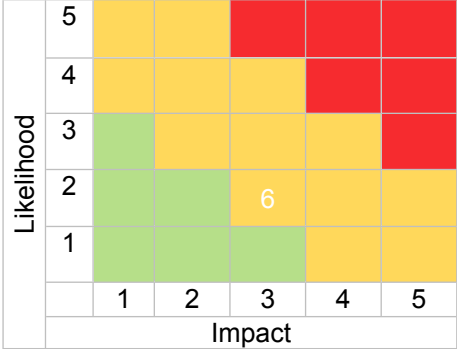

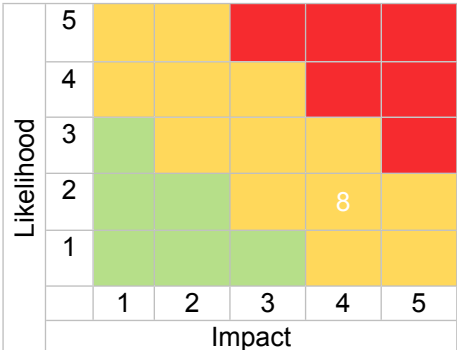

Risk ref	Risk title and description	Previous score (June 2015)	Direction of travel	Current score (August 2015)	Target score and date
12 01/14	<p><b>Better Care Fund (BCF)</b> If the Council and its partners fail to deliver the improved outcomes required by the Better Care Fund, demand on acute services will not be reduced, the reward money will not be received and the Council will not receive the additional resources promised by the Better Care Fund.</p> <p>Risk owner: Linda Sanders Cabinet Member: Cllr Elias Mattu</p> 	15 <b>Red</b>		15 <b>Red</b>	10 <b>Amber</b> October 2015
14 01/14	<p><b>School Improvement</b> If the Council does not provide effective support, challenge and appropriate intervention to raise standards in schools and school governance, then the Council and these schools are at risk of underperforming, receiving inadequate Ofsted judgements and a potential loss of control and influence.</p> <p>Risk owner: Julien Kramer Cabinet Member: Cllr Claire Darke</p> 	10 <b>Amber</b>		10 <b>Amber</b>	5 <b>Amber</b> July 2016



Risk ref	Risk title and description	Previous score (June 2015)	Direction of travel	Current score (August 2015)	Target score and date
16 01/14	<p><b>Equal Pay</b> Significant equal pay liabilities have been dealt with over recent years. However, equal pay will remain a potentially significant risk until:</p> <ul style="list-style-type: none"> <li>the second generation claims, from trade union members, have been dealt with.</li> <li>six years after the implementation of single status, until that time "Abdullah" type claims can still be brought.</li> </ul> <p>Risk owner: Mark Taylor Cabinet Member: Cllr Paul Sweet</p> 	12 <b>Amber</b>		12 <b>Amber</b>	8 <b>Amber</b> March 2016
19 02/15	<p><b>Combined Authority</b> If the Council does not effectively engage with partners in the consideration of the formation of a Combined Authority, ensuring sufficient and appropriate resources are assigned to progress, manage and provide assurances to partners on the programme and any work streams, then the Council's objectives in respect of growth in the regional economy, employment and skills, business investment and regeneration may not be fully realised.</p> <p>Risk owner: Keith Ireland Cabinet Member: Cllr Roger Lawrence</p> 	12 <b>Amber</b>		8 <b>Amber</b>	4 <b>Amber</b> April 2016

The following are/ were the medium/ 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 (June 2015)	Direction of travel	Current score (August 2015)	Target score and date
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</li> <li>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>increased prosperity and</li> <li>a reduced demand on Council services</li> </ul> <p>Risk owner: Tim Johnson Cabinet Member: Cllr John Reynolds</p> 	8 <b>Amber</b>		8 <b>Amber</b>	8 <b>Amber</b>

Risk ref	Risk title and description	Previous score (June 2015)	Direction of travel	Current score (August 2015)	Target score and date
15 01/14	<p><b>Emergency Planning</b> 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 major a incident.</p> <p>Risk owner: Linda Sanders (Ros Jervis) Cabinet Member: Cllr Roger Lawrence and Cllr Sandra Samuels</p> 	6 <b>Amber</b>		6 <b>Amber</b>	6 <b>Amber</b>
17 10/14	<p><b>Employee Management</b> If policies dealing with employee management and in particular appraisals are not effectively implemented and complied with then:</p> <ul style="list-style-type: none"> <li>employees may not be fully aware of the Council's objectives and their contribution to the achievement of them, and</li> <li>employees may not have the appropriate training and support to achieve high standards of performance</li> <li>the Council may not have the required capability to deliver its objectives.</li> </ul> <p>Risk owner: Kevin O' Keefe Cabinet Member: Cllr Paul Sweet</p> 	8 <b>Amber</b>		8 <b>Amber</b>	4 <b>Amber</b> From August 2015 to March 2016