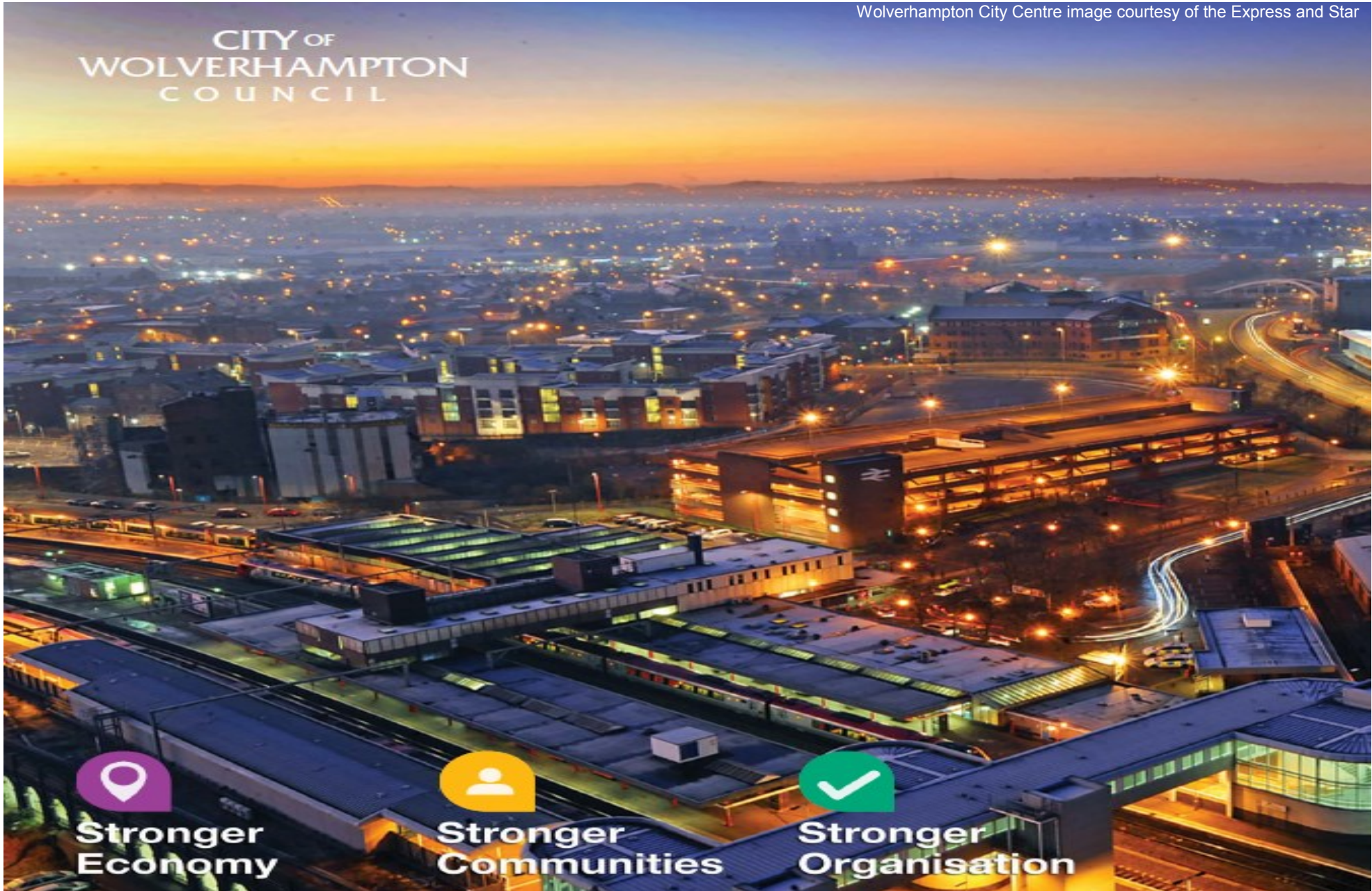


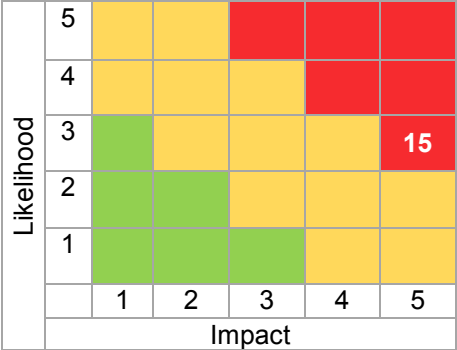

Strategic Risk Register @ November 2015




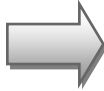
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Amber	3, 7, 8, 9, 10, 11, 12, 14, 15, 16, 17, 19a
Green	19


Summary Strategic Risk Register @ November 2015

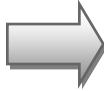
The following are / were the strategic risks assessed as high/medium (10 +) that the Council faces in delivering its corporate priorities


Risk ref	Risk title and description	Previous score (Aug 2015)	Direction of travel	Current score (Nov 2015)	Target score and date	Comment
1 01/14	<p>Looked After Children (LAC)</p> <p>If the number of LAC is not reduced this may result in an increase in costs, budget overspends and an increased demand on children’s services.</p> <p>Risk owner: Linda Sanders (Emma Bennett) Cabinet Member: Cllr Val Gibson</p> 	20 Red		15 Red	10 Amber March 2017	<p>The risk continues to be managed through the multi-agency strategic Families r First programme, with the principles of supporting children to live safely with their families, where possible. The objective of the programme is to reduce the cost of LAC primarily by reducing the numbers of LAC but also by looking at the costs of LAC placements. LAC numbers and associated costs continue to fall and at the end of October stood at 703 against a target of 700. This compares to LAC numbers of 775 in July and 714 at the end of September. The corresponding reduction in costs has meant that LAC is currently on track to meet its target savings.</p> <p>Since last reported the following has taken place:</p> <ul style="list-style-type: none"> • Monthly meetings with the Director of Finance continue, to enable financial oversight of the budget. • The net target of 10 children leaving care each month is being achieved and at times exceeded. • An ‘Edge of Care’ crisis response team has been established to address out of hours concerns with the aim of preventing children becoming LAC. At present the team does not provide weekend cover although plans to address this are being considered. • A significant culture change is being embedded whereby ‘care’ is now considered as a last resort option and is being replaced with a ‘family first’ culture with children being placed with family members or friends wherever possible. • There has been a reduction in the number of agency social workers, as newly qualified social workers and managers continue to be recruited on a permanent basis. • All LAC continue to be regularly monitored and tracked to progress leaving care plans. • The campaign for the recruitment of foster carers and in particular


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						specialist foster carers is on-going with progress also being made on the costs of external placements. Whilst the risk rating has been reduced the risk remains red until further reductions to the numbers of LAC and associated costs are achieved that align to national and regional averages.																																												
2 01/14	<p>Skills for Work</p> <p>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 (Keren Jones) Cabinet Member: Cllr John Reynolds</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>15</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> <td></td> </tr> </table>	Likelihood	5						4						3					15	2						1							1	2	3	4	5		Impact						15 Red		15 Red	10 Amber March 2017	See Appendix C
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3 01/14	<p>Information Governance (IG)</p> <p>If the Council does not put in place appropriate policies, procedures and technologies to ensure:</p> <ul style="list-style-type: none"> that the handling and protection of its data is undertaken in a secure manner and consistent with the provision of the Data Protection Act 1998; compliance with the Freedom of Information Act and Environmental Information Regulations <p>then it may be subject to regulatory action, financial penalties, reputational damage and the loss of confidential information.</p> <p>Risk owner: Kevin O' Keefe Cabinet Member: Cllr Paul Sweet</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							12 Amber		12 Amber	8 Amber March 2016	<p>This risk continues to be monitored by the Information Governance Board. Since last reported, the following actions have been taken in the mitigation of this risk:</p> <ul style="list-style-type: none"> An automated IT solution for the protective marking of documents was rolled out across the Council during July 2015 and is being monitored by the Information Governance Board. Performance in responses to both Freedom of Information (FOI) requests and Subject Access requests continues to be high, with all FOI responses now online via the disclosure log. Resources employed to deal with these requests have now been made permanent, enabling future performance levels to be sustained. An information incident recording procedure has been established, all information incidents are investigated and where appropriate action plans are produced and their implementation monitored by the Information Governance Board. Information Governance policies and training programmes have been established and approved by Cabinet. The mandatory Protective Information Marking training has now been completed by 100% of employees and SEB have recommended that the e-learning course be made mandatory. A report setting out the options to deliver improvements in the way the Council manages its approach to technology, information and cyber risk is being considered by the board at its meeting in December. <p>Further actions that are planned and will reduce this risk have been incorporated into the Information Governance Framework for 2015-17 and include:</p> <ul style="list-style-type: none"> The development of a strategy linked to the IG toolkit in early 2016 that ensures that the Council has the quality of data in place to meet statutory requirements for data protection and freedom of information. Review and update of the Records Management Policy. Obtaining assurances from the Council controlled schools on the adequacy and effectiveness of IG practices in place. The inclusion of relevant IG and privacy clauses in all Council contracts and contract documentation.
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4 01/14	<p>Medium Term Financial Strategy</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> <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>15</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					15	2						1							1	2	3	4	5	Impact							15 Red		15 Red	15 Red	<p>Since last reported, the following actions have taken place:</p> <ul style="list-style-type: none"> A draft 2016/17 budget report was presented to Cabinet on 21 October 2015. At this time it was agreed that due to future uncertainties, a full update on the MTFS 2016/17 – 2018/19 would be conducted and reported to Cabinet in February 2016, once the Comprehensive Spending Review and the Provisional Local Government Finance Settlement have been announced, on 25 November and mid-December 2015 respectively. A review of the anticipated assumptions and projections built into the draft budget and MTFS has been undertaken following the Government Summer Budget 2015 announcement. In addition, a review of the existing assumptions concerning the successful delivery of significant levels of challenging savings has been conducted. This has resulted in the savings target for 2016/17 being revised upwards from the July approved budget for 2016/17 of £22.0 million to £24.0 million. This revised target includes a prudent uplift of £5.2 million due to the uncertain times within which the Council is operating. An internal audit review of the assumptions made in compiling the MTFS has been carried out as part of the recommendations that were made in the independent report on the MTFS which was carried out in 2014. This review did not report any significant issues. Following approval of the savings by Cabinet in October, formal consultation and scrutiny processes are now progressing. The Council has identified a total of £14.1 million savings, redesign and income generation proposals and £7.1 million financial transactions and base budget revisions towards the draft budget of £24.0 million for 2016/17. Expenditure continues to be tightly controlled in order to minimise any overspend. Assumptions over the MTFS continue to be adjusted based upon the most up to date information available. <p>The assessment for the medium term remains red as there continues to be significant financial challenge, uncertainty and risk for the Council.</p>
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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: Linda Sanders Cabinet Member: Cllr Val Gibson and Cllr Elias Mattu</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 Next Ofsted inspection	<p>This risk continues to be overseen by the children's and adult's local safeguarding boards. Since last reported, the following is noted:</p> <ul style="list-style-type: none"> Adult's safeguarding has met all of the statutory requirements of the Care Act. The adult's safeguarding board is solely resourced by the Council and plans are being developed to consider how a multi agency approach is adopted to supporting the Board in the future. The Council has experienced a significant increase in the number of assessments required under the Deprivation of Liberty Safeguards (DoLS). This mirrors trends experienced nationally, and a grant of £130,000 for 2015/16 was awarded to the Council by the Department of Health to establish an interim team to carry out the assessments. Plans for future service provision are being developed and include streamlining the assessment process and identifying permanent funding for a DoLS resource. The Leader, Lead Cabinet Member and the Director for Children's and Adult Services receive quarterly safeguarding briefings. The safeguarding manager is a member of the Safer Wolverhampton Partnership and the PREVENT Board. A Children's Sexual Exploitation (CSE) Co-ordinator has been appointed and all children identified as at risk, have a CSE plan in place which is reviewed every 6-8 weeks through multi agency sexual exploitation meetings. A CSE review by Scrutiny is underway which will report its findings in March 2016. A School's Safeguarding Officer was appointed in September 2015 and provides safeguarding services to schools who have signed up through a service level agreement. The Officer is working closely with headteachers and the Local Authority Designated Officer (LADO) to ensure schools have effective safeguarding arrangements in place and that due process is followed where potential safeguarding concerns are brought to their attention. Training to ensure that trafficked children with safeguarding issues are identified is being undertaken. At present the safeguarding team do not have direct representation on the West Midlands Regional Trafficking Forum. Work on the establishment of the Multi Agency Safeguarding Hub (MASH) is continues at pace, for a planned launch in January 2016. A communications programme has been delivered across the Council briefing members and employees of what the MASH programme involves and how it will improve safeguarding.
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8 01/14	<p>Business Continuity Management (BCM)</p> <p>Failure to develop, exercise and review plans and capabilities that seek to maintain the continuity of critical functions in the event of an emergency that disrupts the delivery of Council services.</p> <p>Risk owner: Linda Sanders (Ros Jervis) Cabinet Member: Cllr Sandra Samuels</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	8 Amber June 2016	<p>This risk continues to be managed and monitored by the Wolverhampton Resilience Board with regular updates being provided to the Strategic Executive Board (SEB).</p> <p>Since last reported the following actions have taken place in mitigation of the risk:</p> <ul style="list-style-type: none"> The “priority one” functions have been updated to take into account recent changes in the council’s structure. The Council’s corporate business continuity plan has been approved by SEB in September 2015. Relevant clauses have been approved by SEB for inclusion in contracts with the suppliers that are critical to the delivery of the Council’s priority functions. This will assist in obtaining assurance on the resilience of the Council’s supply chain risks. A browser based incident management system has been developed and is being tested by the resilience team. Some access issues have been identified and are being resolved by ICT. Once rectified, service managers will begin to develop continuity plans for their priority one services which are still on track for completion in Spring 2016, at which time the risk will be reassessed. Work will then commence on the “priority two” functions. The incident management system has been linked to the Agresso system. This will allow automatic alerts to be flagged up to service leads to review and update their plans each time there is a relevant change to employee details (for example, leavers, restructures). Links to the Council’s property portfolio continue to be progressed.
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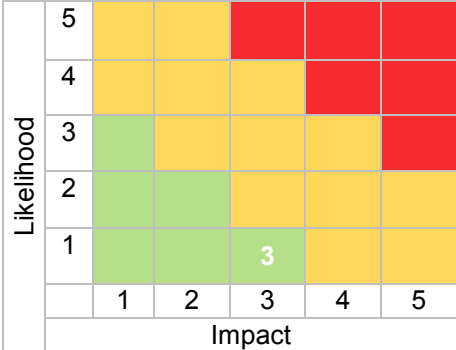

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10 01/14	<p>Economic Inclusion</p> <p>If the Council and its partners do not work effectively together to promote and enable growth then the risk of economic exclusion will materialise and demand for Council services will continue to increase.</p> <p>Risk owner: Tim Johnson (Keren Jones)</p> <p>Cabinet Member: Cllr John Reynolds</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							12 Amber		12 Amber	8 Amber September 2017	<p>The measures to successfully manage this risk continue to be in place as noted previously and include:</p> <ul style="list-style-type: none"> The new City Board partnership structure is now well established, with the Economic Growth Board focused on promoting the city for investment and support to existing business, whilst the Inclusion Board is focusing on tackling unemployment, economic inactivity and the wider barriers for economic inclusion. The City Conference programme provides a local platform for showcasing and promoting the City and highlighting its plans and ambitions. This includes the Business Week. The attendance and coverage of this year's events demonstrated that great strides are being made in this area. The first Business Week took place in 2014 and since then the City has successfully attracted £150 million of infrastructure investment. Promoting such success is a contributory factor in attracting further investment and the opportunity was taken during this year's event to meet with investors to tell them what is happening across the City and to make them aware of development opportunities. The evaluation of the event is currently taking place. Activity taking place as part of the projects within the Black Country Growth Deal will contribute to the safeguarding and creation of new job opportunities. The continuation of strategies employed by the Council to attract key companies and businesses to the area e.g. Wiggle who has worked with the Council by filling 79% of its vacancies using local residents. A Goodyear taskforce has been established and is being supported by the Council to deliver the action plan which includes recruitment and retraining support, as well as careers guidance, interview skills preparation and pension planning. The taskforce has also has input into a Goodyear jobs fair where 12 local employers will also be attending to promote local job opportunities. Packs of information are being prepared for workers and a Facebook site is planned to communicate opportunities to employees. Similarly, a Caparo taskforce has been established, bringing together a number of partners from across the Black Country including the Council.
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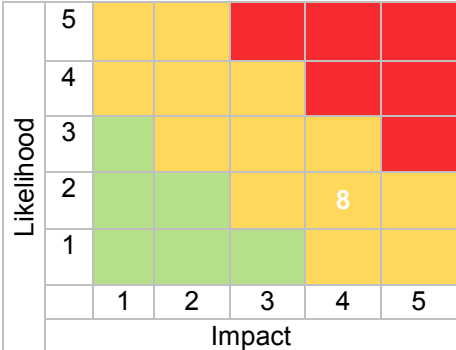
Risk ref	Risk title and description	Previous score (Aug 2015)	Direction of travel	Current score (Nov 2015)	Target score and date	Comment																																											
11 01/14	<p>The Care Act</p> <p>If the Council does not have robust plans in place to implement the Care Act including:</p> <ul style="list-style-type: none"> • appropriate governance arrangements, • appropriate project management arrangements • sufficient financial resources • sufficient workforce capability and capacity • effective information systems <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"> <tr> <td rowspan="6">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>Yellow</td> </tr> <tr> <td>1</td> <td>Green</td> <td>Green</td> <td>Green</td> <td>Yellow</td> <td>5</td> </tr> <tr> <td></td> <td>1</td> <td>2</td> <td>3</td> <td>4</td> <td>5</td> </tr> <tr> <td></td> <td colspan="5">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	Yellow	1	Green	Green	Green	Yellow	5		1	2	3	4	5		Impact					15 Red		5 Amber	5 Amber Achieved	<p>Previous updates of this risk reported that the Council had successfully implemented the first phase of the Care Act which came into effect on 1 April 2015.</p> <p>On 17 July 2015, the Local Government Association received a letter from the Department of Health (DoH) confirming that the Government would be delaying phase two of the Care Act from 1 April 2016 until 2020, at the earliest. Phase two included the proposed cap on care costs, the changes to means testing for financial support and the recommendations for a new system of appeal. The reasons for the delay included concerns over the timetable for the delivery of the funding reforms and concerns about the financial impact on local authorities.</p> <p>As a result of the announcement, the future direction of the Council's Care Act Implementation Programme has significantly changed, as key areas of the continuing work programme for 2015-16 had centred around the development of social care systems and the roll out of a communication plan to raise awareness amongst Wolverhampton's self-funders about their rights under the Act. As a result of the delay, the programme has no remaining deadlines on the existing programme plan and as such, the risk has significantly reduced. The programme is now primarily associated with activity required to effectively embed the reforms and as such is being considered for closure by the Programme Board on 30 November 2015, with any residual programme risks being transferred to operational risk registers.</p> <p>Since last reported a further update (stocktake 5) has also been submitted to the DoH in November. The focus of the stocktake is primarily around metrics and the impact the Care Act reforms have had to date. The findings of the benchmarking exercise will be reported to the Programme Board who will ascertain if any further actions are required.</p>
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12 01/14	<p>Better Care Fund (BCF)</p> <p>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> <table border="1" style="margin-top: 10px;"> <tr> <td rowspan="5" style="writing-mode: vertical-rl; transform: rotate(180deg);">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></td> <td></td> <td colspan="5" style="text-align: center;">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					15 Red		10 Amber	5 Amber April 2017	<p>The Better Care Fund is an integrated pooled budget which provides an opportunity to support health and social care to work together in local areas based on a jointly agreed Better Care Plan.</p> <p>The Plan sets out how the Fund is to be used to achieve the agreed outcomes and is being managed as a programme with a jointly appointed programme manager, which is overseen by the Health and Well Being Board. It includes four work streams, as follows :</p> <ul style="list-style-type: none"> • Primary and community care • Intermediate care • Mental health • Dementia care <p>The original Section 75 agreement made provision that the pooled fund including the risk sharing arrangements for any risks identified as a result of 2014/15 year-end closure would be negotiated between the Partners and the appropriate schedules of the Section 75 agreement would be amended accordingly. Both organisations (the Council and the Clinical Commissioning Group (CCG) have now undertaken a review of their year-end position and as a result agreed to revise the pooled fund to £70.9 million, of which £24.2 million will be from the Council and £46.6 million from the CCG. A risk sharing agreement has now been finalised as follows:</p> <table border="1" style="margin-top: 10px;"> <thead> <tr> <th>Risk sharing agreement</th> <th>CCG %</th> <th>Council %</th> </tr> </thead> <tbody> <tr> <td>Community and Primary Care</td> <td>73</td> <td>27</td> </tr> <tr> <td>Dementia</td> <td>93</td> <td>7</td> </tr> <tr> <td>Mental Health</td> <td>70</td> <td>30</td> </tr> <tr> <td>Intermediate Care</td> <td>57</td> <td>43</td> </tr> <tr> <td>Capital Ring Fenced Grant</td> <td>0</td> <td>100</td> </tr> <tr> <td>Demographic Growth</td> <td>66</td> <td>34</td> </tr> <tr> <td>Care Act</td> <td>66</td> <td>34</td> </tr> <tr> <td>Performance Payment</td> <td>100</td> <td>0</td> </tr> </tbody> </table> <p>The Council has now fully provided for any financial risks arising from the non-achievement of the pooled fund and resultant performance payments. As a result, the risk has been reduced.</p>	Risk sharing agreement	CCG %	Council %	Community and Primary Care	73	27	Dementia	93	7	Mental Health	70	30	Intermediate Care	57	43	Capital Ring Fenced Grant	0	100	Demographic Growth	66	34	Care Act	66	34	Performance Payment	100	0
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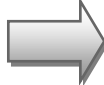

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14 01/14	<p>School Improvement</p> <p>If the Council does not provide effective support, challenge and appropriate intervention to raise standards in schools and school governance, then the Council and these schools are at risk of underperforming, receiving inadequate Ofsted judgements and a potential loss of control and influence.</p> <p>Risk owner: Julien Kramer Cabinet Member: Cllr Claire Darke</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="7">Impact</td> </tr> </table>	Likelihood	5						4						3						2					10	1							1	2	3	4	5	Impact							10 Amber		10 Amber	5 Amber July 2016	<p>The risk continues to be managed by the Head of School Standards who was appointed in September 2014. Since last reported, the following has been noted:</p> <ul style="list-style-type: none"> The Wolverhampton 2014 School Improvement Strategy continues to be implemented and is having a positive impact on the improvements in Ofsted outcomes. As at September 2015 the City has 76% good or better schools (63% in September 2013). Preliminary (unvalidated) results for 2015 show improved results in early years, key stages 1, 4 and post-16, with key stage 2 results in line with last year's. All of the schools at the highest risk are now working in strong local partnerships – the actions taken by the Council to support these schools has recently been praised by HM Inspectorates. Where schools 'Require Improvement' and have not demonstrated the capacity to improve themselves, these are being moved into local partnerships that can support school improvement and ensure that no schools in the City fall into Special Measures moving forward. This approach is being piloted in two schools and if successful will be rolled out across all schools in this category. For 2015/16 the Council's Local Education Partnership Board- Inspire has agreed to fund the development of a new accredited programme of training and support that transforms the leadership of Wolverhampton schools. The programme runs parallel to the Council's School Improvement and Governance Strategy for three years providing positive outcomes can be demonstrated and evidenced after the first year of the programme. The Inspire programme previously reported was successfully launched in September 2015. The first cohorts of each of the four leadership strands are currently midway through the programme and feedback so far has been positive with clear impact already being seen in schools. In terms of the performance of Academies in the City, the Council is developing an Academies Strategy for the City which will outline expectations for information sharing, admissions processes, etc. The strategy is currently being consulted on and should be in place early 2016.
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16 01/14	<p>Equal Pay</p> <p>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"> the second generation claims, from trade union members, have been dealt with. six years after the implementation of single status, until that time "Abdullah" type claims can still be brought. <p>Risk owner: Mark Taylor Cabinet Member: Cllr Paul Sweet</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							12 Amber		12 Amber	8 Amber March 2016	<p>This risk continues to be managed by the Equal Pay Project Group, which is chaired by the Director of Finance and has representation from Audit, Legal and HR services.</p> <p>The risk has two strands and relates to:</p> <ul style="list-style-type: none"> Second generation claims which involve additional claims made by claimants who had their original equal pay claim settled in 2007/08 on the basis that single status would be implemented by the Council within a year of this time. However delays encountered meant that single status was not implemented until April 2013. There is a risk in dealing with these claims that further claims from the 2007/08 group could be prompted. The Abdullah type claims which have been brought by employees following a Supreme Court ruling which allows claimants to bring equal pay claims for up to six years after the termination of their employment (as opposed to the previous case where the time limit for presenting an equal pay claim to an employment tribunal was, in the majority of cases, six months from the end of employment. In the Council's case therefore, despite the level of risk reducing with time, and there not being any recent activity evidencing additional claims being brought, equal pay claims may continue to be brought until March 2019 when six years will have lapsed from the implementation of single status. <p>In terms of managing the risk, the Council has set aside an equal pay reserve to deal with any such claims, which is audited independently by the Council's external auditors as part of the Statement of Accounts.</p>
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19 02/15	<p>Combined Authority</p> <p>If the Council does not effectively engage with partners in the consideration of the formation of a Combined Authority (CA), 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> 	8 Amber		3 Green	3 Green Achieved	<p>Since last reported at the September meeting of the Audit Committee when this risk was called in for a detailed review, the following has taken place in the further management of this risk:</p> <ul style="list-style-type: none"> The completion of the governance review (which is the first of three steps in establishing the combined authority (CA)). The second stage which involves a Scheme for the CA that sets out the proposed constitutional and operational arrangements has been drawn up. Following approvals sought from all seven metropolitan authorities of the West Midlands Combined Authority (WMCA), the Scheme has been submitted to the Secretary of State who is now considering it and will begin to undertake a formal consultation. The timescales for this final stage of the establishment of the WMCA is dependent on external factors such as legislative changes and the parliamentary timetable but the aim is for the WMCA to be in place by April 2016. <p>As a result of the work completed, the risk has reduced and will be removed from the strategic risk register. Any residual risks will continue to be captured in the programme register.</p>

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19a 11/15	<p>Devolution Deal</p> <p>There is a risk that if issues arise or should the process leading up to formal consent of the devolution deal not include sufficient engagement with members and stakeholders then the Council may not be able to ratify the proposed deal and 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> 	-	-	8 Amber	4 Amber April 2016	<p>Alongside the work being done to form the West Midlands Combined Authority (WMCA), work has also progressed on the devolution deal to be delivered by the WMCA and announcements have recently been made about the proposed £8 billion deal agreed with central government. The proposed deal, which is subject to formal consent from the constituent councils, would result in an annual contribution of £40 million for 30 years for the region.</p> <p>The benefits of the proposed devolution deal include:</p> <ul style="list-style-type: none"> • Opening up of brownfield sites • Boosting job opportunities and skills • Improving transport and business opportunities across the region <p>all of which will assist in the Council's plans for transforming the City as a place for business, achieving growth and greater prosperity for Wolverhampton. As such the proposed deal will also contribute to the mitigation of other strategic risks such as the skills for work and economic inclusion risks.</p> <p>The proposed deal will be subject to ratification by the seven metropolitan authorities at Full Council meetings. Before individual Councils are asked to make a formal decision further work has to be concluded by the West Midlands Combined Authority on matters which require clarification. Members and other stakeholders will also need to be engaged and briefed on this important decision.</p> <p>The further development and delivery of the individual elements of the devolution deal will require significant new resourcing to ensure the City can fully benefit from the opportunity. There is an additional risk in ensuring the availability and scale of staffing resources required given competing demands and also in ensuring there is an appropriate level of budget to support this work.</p>

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

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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 • the creation of space to accommodate new businesses and economic growth • the enhancement and creation of visitor attractions • the creation of well paid employment • retention of skilled workers • the creation of residential opportunities • a functioning city centre offer that serves the residents of the City • increased prosperity and • a reduced demand on Council services <p>Risk owner: Tim Johnson Cabinet Member: Cllr John Reynolds</p>	8 Amber		8 Amber	8 Amber
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 major a incident.</p> <p>Risk owner: Linda Sanders (Ros Jervis) Cabinet Member: Cllr Roger Lawrence and Cllr Sandra Samuels</p>	6 Amber		6 Amber	4 Amber June 2016

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17 10/14	<p>Employee Management</p> <p>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"> employees may not be fully aware of the Council's objectives and their contribution to the achievement of them, and employees may not have the appropriate training and support to achieve high standards of performance the Council may not have the required capability to deliver its objectives. <p>Risk owner: Kevin O' Keefe Cabinet Member: Cllr Paul Sweet</p>	8 Amber		8 Amber	4 Amber March 2016