

City of Wolverhampton Council – Strategic Risk Register

(Risks reviewed by risk owners as reported to the Audit and Risk Committee on 26 September 2022)

Risk Ref	Risk title and description	Our City Our Plan	Previous Risk Score	Current Risk and Target Score	Direction of Travel	Update position and further actions to take to mitigate risks	Sources of Assurance
1	<p>Businesses Closing Loss of businesses within the City, potentially impacting on regeneration and the achievement of the Council Plan.</p> <p>Risk Owner: Richard Lawrence Cabinet Member: Cllr S Simkins</p>	Thriving economy in all parts of the city	8 Amber	8 Amber Target 4 Amber	↔	<p>Across all sectors reports are coming in about difficulties to recruit staff. This is impacting on services and production in the local economy. The cost of inflation fuel prices and the impact on the war in Ukraine are also creating challenges for business around affordability and managing global supply chains, construction and food businesses have been particularly affected by the challenges in the supply chain.</p> <p>All covid support grants closed on 31 March 2022 and the Council has now returned to delivery of existing programmes of support, the main one being AIM for GOLD. This is an EU funded programme and comes with criteria around the sector and type of business who can be supported.</p> <p>The team is 70% funded by EU money which is going to come to a close on 31 March 2023. The UK Shared Prosperity Fund (UKSPF) doesn't offer the same level of funding. Currently a review and plan for future of business support including the role of the Council is being prepared.</p> <p>With the announcement of Levelling Up and the focus towards Business Support the Council is taking steps to have a clear proposition for the City to be included in regional asks through the West Midlands Combined Authority. This takes in to account the work Metro Dynamics has helped inform the council on key focus areas and provided a framework for taking forward the immediate and longer-term business support model for the council and the city</p> <p>Further actions to take to mitigate risk The Council is continuing to support local businesses to adapt and invest in new ways of working and strengthen areas which the pandemic has highlighted as weakness in their business through existing programmes and with partners including the Chamber of Commerce. This includes IGNITE, a recently opened business and enterprise hub to support small businesses in the city.</p> <p>Working with key partners such as WMCA, and other business support delivery partners to ensure Wolverhampton businesses can access relevant support.</p>	<p>Regeneration have commissioned an external consultancy group (Metro Dynamics) to review the City's strategic priorities, the economic/ business context and current business support offer and develop an approach to business support that will help deliver the City's ambitions for future success. This work is to be captured in the City's investment plan for Levelling up and Shared Prosperity funds</p> <p>Internal audit review planned for 2022-2023 of the IGNITE business and enterprise hub.</p>
2	<p>Safeguarding Children Failure to safeguard the City's most vulnerable children.</p> <p>Risk Owner: Emma Bennett Cabinet Member: Cllr B Momenabadi</p>	Strong families where children grow up well and achieve their potential	8 Amber	8 Amber Target 8 Amber (being met)	↔	<p>Referral rates have consistently been higher than the previous two years and is slightly higher than pre-pandemic levels. This has resulted in higher numbers of children in Assessment over the summer period 2022. It is anticipated that referrals are likely to remain at pre-pandemic levels going forward.</p> <p>There has been an increase in social work turnover, although the annual turnover rate remains below national levels. Additionally, in line with the national and regional position there is a shortage of suitable agency social workers to back fill temporary vacancies we have created by secondment opportunities, and maternity leave. This does mean that we have seen an increase in caseloads for social workers, particularly in the Disabled Children and Young People's team and in the Strengthening Families Service.</p> <p>A newly established peripatetic team of nine permanent social workers will be deployed into teams where there are uncovered vacancies as they are appointed. Recruitment to these posts continues but the current focus remains appointing to permanent positions within the teams.</p> <p>MASH24 is now embedded as an operating model and a recent 12-month review of the new arrangements has taken place and has found that it is operating effectively and in line with the objectives set out to achieve including offering a service out of hours that was consistent with our daytime service.</p> <p>The Leader/Cabinet Member/SEB and CYP Scrutiny panel are briefed every 6 months to offer reassurance regarding safeguarding of the children in the city.</p> <p>Further actions to take to mitigate risk</p> <ul style="list-style-type: none"> • Actions are being taken to try to attract experienced agency workers locally and regionally to cover short term vacancies whilst we also recruit to vacant permanent posts. Actions to support this include: • The regional memorandum of understanding regarding the use of agency workers within the West Midlands has been updated • Recruitment is ongoing to recruit permanent social workers, both newly qualified and experienced social workers. Recruitment processes have been adapted to speed up start dates for new employees. • Rebranding of recruitment material is underway • A review of progression opportunities for experienced social workers is taking place • A review of pay opportunities offered by neighbouring authorities is being undertaken to ensure Wolverhampton remain competitive in the market. <p>A recent increase in violent crime involving young people continues to be monitored and responded to. Whilst numbers in Wolverhampton are lower than regional neighbours, the level of harm seems to be higher. A robust multi-agency response including the council, West Midlands Police and the Violence Reduction Partnership is delivered in response to each incident but plans are also in place to look at the long term response with all partners in the City in October.</p>	<p>Internal Quality Assurance report, alongside monthly analysis of performance information offers Senior Leadership Team reassurance regarding practice.</p> <p>Quality assurance and performance information is shared with SEB, Cabinet Member and the Leader regularly, together with Ofsted on a quarterly basis.</p> <p>Monthly data continues to be submitted to the DfE and is being closely monitored.</p> <p>Although referral rates are higher, overall, they appear to remain in line with the England/West Midland average.</p> <p>Senior leaders have regular oversight of caseloads and have responded by ensuring social work resource and capacity is utilised across the service</p> <p>Positive outcome of Ofsted Inspection of Children's Services, (21 March - 1 April 2022) with services rated overall as Good offering external reassurance that children and families are supported and safeguarded well in Wolverhampton.</p> <p>Assurance provided to Wolverhampton Safeguarding Together Partnership through a number of mechanisms including scrutiny of practice through priority groups and specific activity such as the Covid response group and Multi-agency casefile audits. Reviews of the impact of learning from Children's Safeguarding Practice Reviews is also assured through the One Panel.</p> <p>Appropriate serious incident referrals are made to the Safeguarding Partnership to consider if a learning review needs to be undertaken into specific incidents. This ensures where appropriate, practice is independently scrutinised and lessons learned.</p>

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3	<p>Safeguarding Adults Failure to safeguard the City's most vulnerable adults.</p> <p>Risk Owner: Becky Wilkinson Cabinet Member: Cllr L Leach</p>	Fulfilled lives for all with quality care for those that need it	12 Amber	12 Amber Target 8 Amber	↔	<p>An increase in contacts into Adult MASH and Adult Social Care is being experienced; higher than pre-pandemic levels. This has resulted in higher numbers of adults being connected to a social worker. It is anticipated that contacts into teams will remain high into the winter period. Challenges in the health and social care system are anticipated in winter months.</p> <p>Workforce challenges and quality issues in care homes can have an impact on the response required of work teams and Adult MASH. This can be challenging to plan for.</p> <p>Our 24 hour AMHP Hub was fully launched in September 2021, this has improved our response time and consistency for requests for Mental Health Act Assessments</p> <p>Current risks related to resources through sickness, staff vacancies and increase in workloads will be addressed through the Adult Social Care redesign. The redesign work is now underway.</p> <p>Further actions to take to mitigate risk The long-term plan to manage the increase in demand is being considered through the Adult Social Care redesign.</p> <p>A peripatetic team will be considered as part of our redesign – better able to respond as needed.</p> <p>Updated recruitment adverts and templates are now available for recruiting managers to use. The benefits of working for our Council are highlighted, demonstrating our strengths-based approach to social work and the vibrancy and diversity of our city.</p>	<p>Additional short-term measures including increased staff in the MASH and locality teams to manage workloads.</p> <p>Quality Assurance & Compliance Team work closely with ICB Quality Nurse Advisors to monitor quality in care homes.</p> <p>Monthly Information Sharing meetings take place with Care Quality Commission and partner agencies to share concerns and plan actions.</p> <p>Regular safeguarding updates, quality assurance and performance data shared with SEB, Cabinet Member, Council Leader.</p> <p>Practice weeks ,practice observations, case file audits, dip sample audits give managers better oversight of practice and recognise themes and improvements</p> <p>Appropriate referrals are made to WST One Panel for consideration for Safeguarding Adult Reviews , to ensure lessons are learnt and any learning is shared across partnership. Action plans are scrutinised at Adult Leadership Team.</p>
4	<p>Reputation / Loss of Public Trust There is a risk that the Council loses public trust and confidence by:</p> <ul style="list-style-type: none"> • failing to respond to the needs of local people, especially those most vulnerable • failure to inform the public about delivery of key City priorities. <p>Risk Owner: Ian Fegan Cabinet Member: Cllr I Brookfield</p>	Our Council	12 Amber	12 Amber Target 10 Amber	↔	<p>As the City continues its recovery from the pandemic, new challenges have emerged such as the national cost of living crisis. The Council is also delivering a number of key City priorities including delivering opportunities for young people, regeneration and investment projects, a high-quality events programme and tackling health inequalities.</p> <p>Strategic Executive Board (SEB) and Council Cabinet are aware of the issues and challenges facing local people and developed Our City: Our Plan – the new Council plan, which launched in May 2022 and provides a framework on how we will deliver our objectives to ensure Wulfrunians live longer, healthier lives.</p> <p>The plan aims to demonstrate that we are dealing with the things that matter to local residents and businesses. Proactive and sustained communication with residents, businesses and key stakeholders will inform and engage with the aim of demonstrating that we are dealing with the things that matter, thereby building trust and confidence in, as well as support for the Council's work.</p> <p>Further actions to take to mitigate risk Comprehensive targeted and regular communications with residents and other key stakeholders on all council priorities will play a key role supporting specific plan and priority objectives. In July 2022 the council launched its Financial Wellbeing Strategy which will have a bespoke communications strategy and delivery plan for the winter.</p>	<p>National youth employment figures</p> <p>Supportive data provided by Insight and Performance</p>
5	<p>Social Care Providers Adults There is a risk that we may lose service providers and not be able to maintain adequate service provision.</p> <p>Risk Owner: Becky Wilkinson Cabinet Member: Cllr L Leech</p>	Fulfilled lives for all with quality care for those that need it	12 Amber	12 Amber Target 8 Amber	↔	<ul style="list-style-type: none"> • Market pressures – fragility of the care market and increased risk of provider failure/ sufficiency of provision • Cost of living crisis (inflation and increase in fuel prices) • Financial impact of COVID/sick pay • Workforce pressures - challenges with recruitment and retention of staff • Specific challenges affecting care homes – covid outbreaks and required improvements in quality of care following CQC inspections <p>Further actions to take to mitigate risk Risks to sustainability are being mitigated with:</p> <ul style="list-style-type: none"> • Robust outbreak management processes and robust QAC visits • Use of the CQC Capacity tracker for updates from provider organisations • ASC exploring interim financial support measures for providers to mitigate against key risks to care delivery • Procurement of a new Homecare framework is in progress to include more providers to add sufficiency and provide resilience for the local authority <p>Risk is amber due to resource and cost of living pressures. Provider support call has been stood up due to these challenges National Level 4 emergency stood down.</p>	<p>Daily capacity tracker provides daily information on outbreaks, sickness levels and staff turnover – this provides the necessary data for commissioning to act to support outbreaks or protect residents and intelligence on available capacity</p> <p>Regular updates to SEB/Cabinet Member are provided with respect to home care.</p>
6	<p>Employee Wellbeing There is a potential impact on the health and wellbeing of the Council's staff due to unprecedented levels of service demand and changes to working practices.</p> <p>Risk Owner: Laura Phillips Cabinet Member: Cllr P Brookfield</p>	Our Council	12 Amber	12 Amber Target 8 Amber	↔	<p>Employee well-being continues to be a Council priority, a number of initiatives have been embedded for employees which include (but are not limited to) the Council's Our People Portal, access to mental health first aiders, access to face to face well-being checks and work-outs led by WV-Active, the introduction of Council wide wellbeing leads and the creation of wellbeing pledges. Further directed work has been undertaken to promote financial wellbeing support to support employees with the cost of living rises.</p> <p>Further actions to take to mitigate risk Organisational Development (OD) are continuing to work with Human Resources and Health and Safety to monitor, analyse and proactively respond to sickness absence data (both Covid and non-Covid) to ensure appropriate support is provided for employee health and wellbeing.</p> <p>We continue to monitor the health and wellbeing of our employees and the effectiveness of Our People support offer.</p> <p>Targeted work is continuing with our frontline workers and there has been increased engagement initiatives and communications regarding health and wellbeing across the organisation.</p> <p>The OD team will be creating more opportunity to meet with employees face to face to ensure they are getting information on Wellbeing and understand where to access all the support that is available to them.</p>	<p>Operational Health & Wellbeing Group</p> <p>Our People Board</p> <p>Employee Surveys</p> <p>Professional Conversations which include discussions around well-being</p> <p>SafeSpace Reporting Line</p> <p>Mental Health Support App for employees (My Possible Self)</p> <p>OD Wellbeing roadshows out to sites across the City.</p>

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						Organisational Development (OD) have carried out 21 site visits to provide support, information and signpost the current offer around health and wellbeing for our employees. The Wellbeing@work pages on the Our People portal are updated weekly to ensure employees have access to the most up to date wellbeing information. Currently OD and Public Health (PH) are working together to provide an employee head for health programme which focusses on sport to combat issues around mental and physical health. OD are also working with PH to audit what support is provided for women's health which links to the Menopause training we have made available for employees. We continue to support employees with the cost-of-living crisis by providing resources and support on financial wellbeing. We promote the support and resources available on a regular basis through a range of communication channels, including City People, toolbox talks, site visits and employee forums to ensure people are signposted to the support available.	
7	<p>Education Provision There is a risk to the consistent provision of education to all children and young people in Wolverhampton due to Covid-19 outbreaks in schools, children and young people not regularly being in school and parents' confidence that children are safe in schools due to the pandemic</p> <p>Risk Owner: Emma Bennett Cabinet Member: Cllr C Burden</p>	Strong families where children grow up well and achieve their full potential	8 Amber	6 Amber Target 4 Green	↓	<p>School attendance has improved, however, there are higher numbers of children and young people with persistent absenteeism than pre-pandemic and school attendance overall is still below pre-pandemic levels, particularly in the secondary sector.</p> <p>Formal examinations and assessment tests have recommenced in schools (the first since 2019) and there are concerns that the performance and outcomes may be negatively impacted as a result of the lockdowns as well as the absence of staff and students affected by Covid.</p> <p>Increasing numbers of referrals are being made through the Special Needs Early Years' Service and for Education Health and Care Plan assessments following the lockdown periods.</p> <p>Electively home education numbers have increased throughout the pandemic although there is now a significant number applying for a school place.</p> <p>Further actions to take to mitigate risk</p> <p>The Inclusion service has undertaken an analysis of school attendance across the city and work is ongoing with targeted schools to increase the focus on attendance. Statutory powers have been reinstated to ensure parents and carers understand their responsibilities in respect of ensuring their children access learning.</p> <p>Proactive engagement between parents and the local authority is ongoing. Extensive support is also being made available by the Education Psychology Service to address emotional and mental health and well-being issues that are emerging for pupils and school staff. This is being well-received by schools with take-up at a high level.</p> <p>A graduated response toolkit to support children in schools with Special Educational Needs (who are not at the level of need to require an Education Health and Care Plan) will be launched in September 2022.</p>	<p>Regular updates to Lead Member/SEB and CYP Scrutiny panel on attendance and attainment of pupils in schools although data from this year's formal assessments will not be available until end of Autumn term 2022.</p> <p>Each school has had School Improvement Advisor support, guidance and challenge to mitigate the impact of Covid on outcomes.</p> <p>As more young people are vaccinated the numbers contracting the virus are reducing.</p>
8	<p>City Wide Regeneration There is a potential impact on the City if the Council do not take effective action to regenerate and repurpose. In addition, there are risks to ongoing Council managed and operated capital projects and programmes in terms of costs, timings and ensuring that original business cases continue to align with the Council's strategic aims.</p> <p>Risk Owner: Richard Lawrence Cabinet Member: Cllr S Simkins</p>	<p>Thriving economy in all parts of the city</p> <p>Good homes in well connected neighbourhoods</p>	12 Amber	12 Amber Target 8 Amber	↔	<p>With regards to the Council's major capital projects work is underway at pace to ensure we secure Levelling Up funding for rounds 2. Bids were successfully submitted by the deadline date and appropriate consultation, advocacy, assurance and management processes have been put in place to deliver upon any successful funding award.</p> <p>An interim Transformation Programme Management Office (TPMO) function has been established up to deliver Towns Fund and this will incorporate Future High Street Fund, Levelling Up Funding to address constituent project delivery and implementation and development for a wider Levelling Up agenda for the City in delivering regeneration and infrastructure objectives.</p> <p>A Levelling Up Board has been established with senior Directors to align City wide regeneration and Levelling Up agenda to Our City Our Plan objectives.</p> <p>Further actions to take to mitigate risk</p> <p>Support will be in place within the next 6-9 months to take to mitigate any additional risk and to co-develop and implement projects across all funding sources and service areas from RIBA stage 1 through to RIBA stage 4. The TPMO function will support and complement existing activities and resources to ensure successful project delivery and implementation.</p> <p>The Council is pro-actively working with partners and stakeholders to mitigate risk and continue operations in accordance with Government guidelines.</p> <p>Inflation is at the highest it has been for four decades and there is considerable uncertainty and risk of inflationary pressures across the capital programme, increases in the cost of materials are already being realised. Project contingency budgets are viewed in light of these pressures in order to build in and mitigate against such cost increases, however these are unprecedented market conditions, and the ongoing risk should be noted</p>	<p>Key city centre project pipeline subject to alignment to Council project management principles and quality assurance process.</p> <p>Internal audit review planned for 2022-2023 regarding the principles, reporting process and implementable processes of the new TPMO.</p>
9	<p>High Unemployment (previously Rising Unemployment) There is a risk that high levels of unemployment caused by historic trends and more recently the impact of Covid will persist and the gap between Wolverhampton and other areas will continue to grow without focused action.</p> <p>Risk Owner: Richard Lawrence Cabinet Member: Cllr S Simkins</p>	<p>Thriving Economy in all parts of the city</p> <p>More local people into good jobs and training</p>	16 Red	16 Red Target 15 Red	↔	<p>Unemployment levels continue to be high within Wolverhampton, a summary of the July 2022 provisional data is provided below:</p> <ul style="list-style-type: none"> There are 12,070 (7.4%) claimants in the working age group (16+), a decrease of 315 compared to last risk register publication (May 2022 data). This remains the 2nd highest claimant rate in England. Over the past 12 months there has been a decrease of 3,500 claimants. There are 2,895 (6.1%) claimants in the 50+ age group, a decrease of 105 compared to last risk register publication (May 2022 data). This remains the 14th highest claimant rate in England. Over the past 12 months there has been a decrease of 655 claimants. There are 1,990 (9.6%) claimants in the 18-24 age group, which is a slight increase on the last risk register publication (May 2022 data). This is reflective of the end of the academic year, with leavers from school, college and university entering the jobs market (temporarily for the majority). This is the highest claimant rate in England, with Blackpool (previously 1st highest) dropping slightly, which is reflective of the seasonal nature of work in a seaside town like Blackpool. Over the past 12 months there has been a decrease of 890 claimants. <p>Further actions to take to mitigate risk</p>	<p>The Insights team provide detailed monthly analysis of the unemployment data in the City and have provided comprehensive analysis of the historical picture and present trends – which show a general improvement from pandemic peaks. This data monitoring work is now firmly embedded into the ongoing Wolves at Work 18-24 Programme arrangements. Although it is important to this the analysis is undertaken, and reported against, all age groups.</p> <p>The Wolves at Work 18-24 Programme has now been established and there is a pipeline of planned activity with a focus on partnership collaboration and actively engaging with those directly impacted. This is all regularly reported to SEB, the Leader and the Cabinet Member.</p> <p>Internal audit review planned for 2022-2023 of the Wolves at Work 18-24 Programme (Youth Employment Scheme).</p>

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						<p>Wolves at Work continues to offer its employment support service for job seekers of all ages. Regular "Let's Talk Jobs" sessions are held, focusing on either vacancies in a particular sector or for specific employer, to which all those organisations who advise job seekers are invited, to hear about the opportunities in detail.</p> <p>Drop-in information/screening sessions, to support Strategic Employers and other large scale vacancies operate weekly/bi-weekly dependent on employer need.</p> <p>The Council £3 million Wolves at Work 18-24 Programme is well underway, with a number of initiatives, including the City Ideas Fund, which has awarded over £212,000 to local organisations to implement a wide range of activities, to help young people access the world of work. The Youth Summits continue to take place across the city, bringing young people together with employers and training providers to understand the barriers facing the young people, and to find ways to collectively work together to create opportunities. Vacancies are being promoted to a wider audience via Wolves Workbox and its regular newsletters, whereby job seekers are able to apply for jobs directly.</p> <p>Black Country Impact (BCI) continues to deliver support to those aged 16-29 across Wolverhampton and will continue to do so until the funding ends in mid-2023. Currently there is £1.31 million available to support this age group, with a heavy focus on upskilling the workforce via vocational and L3 upwards qualifications in order to provide sustainability. Activity to date has seen 749 BCI participants offered employment, with a view to this increasing to 1,200 in the next 11 months (the remainder of contract).</p> <p>The Restart Scheme was rolled out in June 2021, and referrals to programme will continue until June 2024 at the earliest. Currently the council has £1.64 million in funding to support residents, across Wolverhampton. As of July 2022, 2,526 Wolverhampton residents have started on the Restart Scheme, with 388 being supported by the council's Wolves at Work team.</p> <p>All those involved in helping to tackle this agenda through the agreed One City approach (Council and partners) continue to explore opportunities to secure positive destinations for those currently unemployed, using a data and evidence led approach.</p> <p>Specific new actions: additional resource in the Connexions team to provide 121 careers advice and guidance to young people with SEND; a new Supported Employment service for residents with learning disabilities.</p>	
10	<p>Information Governance</p> <p>If the Council does not put in place appropriate policies, procedures and technologies to ensure the handling and protection of its data is undertaken in a secure manner and consistent with relevant legislation then it may be subject to regulatory action, financial penalties, reputational damage and the loss of confidential information.</p> <p>Risk Owner: David Pattison Cabinet Member: Cllr P Brookfield</p>	Our Council	6 Amber	6 Amber Target 4 Green	↔	<p>Five newly approved level-1 IG policies were being rolled out to employees during May 22. A review of the internal procedures and guidance documents (level 2) that underpin the new policies continues, with rollout being incremental between now and September 2022. Mandatory training levels (level 1) continue to be monitored through quarterly leadership team updates; a refresh and reset of IG priorities within each leadership area has commenced to maintain compliance at service level. Meetings between the Caldicott Guardian (CG) and the Data Protection Officer (DPO) have recommenced and are scheduled quarterly to provide an update on performance in key areas such as information requests, breaches and training for teams falling under the Caldicott function and to discuss any potential or current risks identified within Caldicott linked projects so that they are flagged to the CG and mitigating actions agreed. Key corporate projects continue to be supported to ensure IG compliance and to ensure privacy by design is initiated in a timely manner. Collaborative working between IG and Digital and IT continues to maintain technical and cyber compliance and to mitigate associated risks; collaborative work has commenced between IG and Data & Analytics with monthly meetings scheduled. Information incidents reported during the period have been contained, investigated with mitigating actions put in place locally with relevant teams. An additional temporary resource has been successfully recruited and will support the IG team for a 12-month period in terms of the delivery of statutory functions and work programme activities.</p> <p>Further actions to take to mitigate risk</p> <ul style="list-style-type: none"> Continue to progress the review and creation of level two procedures and guidance to support level one policies Progress the development and rollout of Level 2 and level 3 training for specialist roles Progress the collaboration with Audit Services to support the DPO reporting function and ongoing corporate compliance assurance. <p>August 2022</p> <p>Risk and target score remain the same – no downward movement until all policy and procedures are in place and level 2-3 training is implemented.</p> <p>Work on the IG Policy Framework is progressing: five new policies are now live and 26 internal procedure and guidance documents that underpin the policies are currently being written as part of an incremental implementation rollout. It is anticipated that 75% of these procedures will be live by the end of September 22, with the remaining more complex procedures being live by the end of Q3 December 22. Mandatory training levels are being monitored, with emphasis being made on managers to be responsible for the monitoring of take up with their teams – status reporting will be provided to the SIRO and Leadership teams each quarter to help support and promote the take up within individual areas. Take up will also be reviewed quarterly with the Caldicott Guardian along with an update on key performance for all areas that fall under that function. Collaborative working between IG and Digital and IT continues to maintain technical and cyber compliance and to mitigate associated risks; collaborative work is also progressing between IG and Data & Analytics with monthly meetings scheduled; there is an appetite for strategic roadmaps to be aligned with all three areas and these will be developed and presented to for approval in future months. Incidents reported during the period have been contained, investigated with mitigating actions put in place locally with relevant teams.</p> <p>Further actions to take to mitigate risk</p> <ul style="list-style-type: none"> Continue to progress the implementation and rollout of level two procedures and guidance to support level one policies Robustly monitor the mandatory training levels to ensure above 95% take up in any given period. Progress the development and rollout of Level 2 and level 3 training for specialist roles Progress collaborative working; formulate and agree combined deliverables alignment with strategic roadmaps, particularly around the digital arena in relation to data and records management. Progress the collaboration with Audit Services to support the DPO reporting function and ongoing corporate compliance assurance 	<p>E-learning take up and ongoing training development</p> <p>Privacy by design – DPIA, IG Impact Assessments</p> <p>Quarterly updates and regular touch points with Leadership teams</p> <p>Robust breach management procedures in place with assessment and monitoring at service level (leadership feedback)</p> <p>SEB/IG Board and Caldicott function to continue to monitor, challenge, support and champion IG compliance initiatives</p>
11	Medium Term Financial Strategy	Our Council	20 Red	20 Red	↔	<p>On 16 December 2021, the Government announced the Provisional Local Government Finance Settlement for 2022-2023. The announcement was for one year only.</p>	<p>Regular budget monitoring at all levels.</p> <p>A local more detailed risk register is maintained within Finance.</p>

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	<p>If the Council does not manage the risks associated with the successful delivery of its in year budget and medium term financial strategy then this may exhaust reserves, result in the potential loss of democratic control and the inability of the Council to deliver essential services and discharge its statutory duties.</p> <p>Specific risks include the impact of Covid-19, rising inflation, demand pressures and the effective management of the key MTFS programmes.</p> <p>Risk Owner: Claire Nye Cabinet Member: Cllr Obaida Ahmed</p>			Target 12 Amber		<p>The 2022-2023 Budget and Medium Term Financial Strategy 2022-2023 to 2025-2026 report (Cabinet 23 February and Council 2 March) presents a balanced budget for 2022-2023 without the use of general reserves.</p> <p>The report notes that the Council is now faced with finding further projected budget reductions estimated at £12.6 million in 2023-2024, rising to £25.8 million over the medium-term period to 2025-2026. Work to develop budget reduction and income generation proposals for 2023-2024 onwards in line with the Five-Year Financial Strategy will continue, with an update on progress to be reported to Cabinet in July 2022.</p> <p>The level of uncertainty over future funding levels continues to be a significant risk. A prudent approach has been taken to forecasting resources over the MTFS period and all assumptions are detailed in the report.</p> <p>On 27 July 2022 and update on the budget and MTFS was presented to Cabinet. The report noted that progress had been made towards balancing the budget for 2023-2024 and that the projected deficit was approximately £1 million. It was also noted that there are several risks and uncertainties including future funding, pay award, inflation and interest rates. The report also highlights the financial risks of delivering the requirements of Fair Cost of Care and Charging Reform in Adults, a new risk has been added to the Strategic Risk Register.</p> <p>The Quarter One report to Cabinet on 7 September provides details of the current position in relation to inflation. It is anticipated that further inflation pressures will emerge when current contracts expire and are relet and through the pressures put on our providers and suppliers.</p> <p>The report also notes that there the pay award continues to be negotiated on but that the current proposals would give us a budget pressure of approximately £6.2 million. There is a strategy in place to mitigate the impact on the current year's budget however it should be noted that this puts a recurring pressure on the MTFS.</p> <p>Work is underway to determine how to address the emerging pressures for 2023-2024 and for future years.</p> <p>On 28 June 2022 the Secretary of State announced that there will be a 2 year settlement and that a consultation will be launched shortly. At the time of writing no further information has been provided.</p> <p>Further actions to take to mitigate risk The assumptions underpinning the MTFS will continue to be reviewed throughout 2022-2023 and updates will be reported to Cabinet, with the next update to Cabinet on 19 October 2022.</p> <p>External advice will be sought where appropriate to support financial modelling as an when further information is available on a 2-year settlement and or fair funding review.</p> <p>Regular monitoring of the delivery of MTFS programmes is undertaken and reported to Strategic Executive Boar</p>	External Audit Annual Report
12	<p>Cyber Security Failure to maintain a high level of cyber security (technology, processes and awareness) throughout the Council may result in cyber-attacks and theft or loss of confidential data leading to financial penalties, reputational damage and a loss in public confidence.</p> <p>Risk Owner: Charlotte Johns Cabinet Member: Cllr Obaida Ahmed</p>	Our Council / Driven by Digital	9 Amber	9 Amber Target 6 Amber	↔	<p>Nationally there has been an increase in cyber security threats to local government and the wider public sector, with high profile cyber incidents impacting on some local authorities and other agencies. Cyber security at CWC is externally verified though both PSN accreditation and Cyber Essentials Plus accreditation.</p> <p>Digital and IT continue to deploy enhancements to further improve security, key activity undertaken includes:</p> <ul style="list-style-type: none"> • Implementation of key projects such as multi factor authentication and Windows Defender Advance threat protection, user risk detection and mitigation. • Continuous review of the council's policies including password and network access. • Working with the LGA to delivery against a £10,000 grant to further invest in cyber security enhancements. • Roll out of training, development and business continuity work. <p>Further actions to take to mitigate risk There is a continued work programme to address cyber threats which continue to evolve. Quarterly assurance updates are provided to SEB and the Cabinet Member.</p>	<p>The Council has achieved external accreditation of its cyber security, through achievement of Cyber Essentials Plus and PSN compliance.</p> <p>Internal Audit review of Cyber Security and Disaster Recovery completed.</p> <p>Quarterly updates provided to SEB and Cabinet Member.</p> <p>More detailed update provided to Audit & Risk Committee in July 2022.</p>
13	<p>Civic Halls 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 S Simkins</p>	Thriving economy in all parts of the city	12 Amber	12 Amber Target 8 Amber	↔	<p>The professional team continues to provide ongoing scrutiny and monitoring of the project. Work is progressing in preparation for AEG taking the lease of the site and providing final fit out ahead of the recommencement of commercial events. The Council continues to work closely AEG and has regular sessions with them to oversee the final works ahead of opening.</p> <p>AEG are a world class operator that are bringing forward exciting and ambitious plans for the venue with bigger and better acts and events. The project will also benefit local businesses, see new jobs created in the evening economy and raise the city's profile. The public realm works are progressing well and are on schedule to complete in time for the opening of the building.</p> <p>Further actions to take to mitigate risk The Civic Halls Restoration Board takes place monthly to ensure assurance on the project. This is supported by weekly operational group meetings, end user operator and public realm meetings, which all feed into the overall programme board. Directors are also supplied with weekly project updates and meet weekly to oversee progress. There are bi-weekly meetings with AEG to manage their transition into the building and over see the final fit out programme</p>	<p>Project Assurance Group</p> <p>Civic Halls Restoration Board</p> <p>AEG Contract</p> <p>Specialist external advice – project and risk management</p> <p>Internal Audit representation on Civic Hall's Operational Group</p>
14	<p>Climate Change 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: John Roseblade Cabinet Member: Cllr S Evans</p>	Climate conscious	6 Amber	6 Amber Target 3 Green	↔	<p>The Council's Climate Change Action Plan was approved by Cabinet in July 2021. The action plan clearly sets out all activity needed to meet the Council's net zero ambitions by 2028 as well as setting out the framework for the 2041 target for the whole City.</p> <p>Further actions to take to mitigate risk Resource requirements identified – certain posts have been created and have/are being recruited to. Additional graduate support for sustainable staff travel policy has been secured. SEB update with draft structure approved and supported. External resource identified for support in delivering 2041 strategy – additional internal resource identified – training for Carbon Literacy identified and being rolled out across organisation.</p>	<p>Governance and action plan monitoring arrangements being established.</p> <p>Quarterly update to SEB and Member reference panel.</p> <p>Internal audit review planned for 2022-2023 of the Climate Change Action Plan.</p>

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15	<p>Related Parties</p> <p>The Council has a number of bodies that it either owns or has a potential liability for. There is a risk that poor performance of these bodies could adversely impact on the Council both financially and reputationally.</p> <p>Risk Owner: Claire Nye Cabinet Member: Cllr Obaida Ahmed</p>	Our Council	12 Amber	12 Amber Target 8 Amber	↔	<p>A detailed financial review of each company was undertaken as part of the preparation of the Statement of Accounts, this included the going concern position of each party. It was concluded that there is currently no material financial impact on the Council. Regular monitoring is undertaken and there are no areas of concern.</p> <p>The Council is currently undertaking a review of Yoo Recruit Ltd which will in turn inform a refreshed business plan being prepared by the Company. The review will be considered by the Resources and Equalities Scrutiny Panel.</p> <p>WV Living presented an updated Business Plan which was approved by Cabinet on 27 April 2022.</p> <p>Wolverhampton Homes presented an updated Delivery Plan which was approved by Full Council on 6 April 2022.</p> <p>On 29 June the Resources and Equality Scrutiny Panel received a report from the Chief Operating Officer on the arrangements in place to monitor linked bodies, further reports are being taken on the approach to each specific body to the relevant Committee/Panel.</p> <p>On 14 July the Residents, Housing and Communities Scrutiny Panel received a report from the Chief Operating Officer on WV Living Governance and Linked Companies.</p> <p>Further actions to take to mitigate risk Regular monitoring of the related parties is undertaken, and monthly reports are provided to the Executive Team.</p> <p>Financial implications of our related parties have been referenced in the Quarter One Performance and Budget report where appropriate and will continue to be considered in future budget reports.</p>	The Annual Governance Statement incorporates related parties. External audit of each related party.
16	<p>Safeguarding Ukrainian refugees from exploitation.</p> <p>Risk to Ukrainian refugees ability to access safe and appropriate local accommodation.</p> <p>Risk Owner: John Denley Cabinet Member: Cllr J Jaspal</p>	Healthy Inclusive Communities	9 Amber	6 Amber Target 4 Amber	↓	<p>Continued work with the residents and the Strategic Migration Partnership. Processes have been developed; specialist staff appointed. We will be moving to business as usual shortly.</p> <p>Further actions to take to mitigate risk Ongoing consultation with the Department for Levelling Up, Home Office and local and national multi-agency Homes for Ukraine forums.</p>	Department for Levelling Up, Home Office and local and national multi-agency Homes for Ukraine forums.
17	<p>Financial wellbeing and resilience</p> <p>Risk that the financial wellbeing strategy does not address the impact of the cost-of-living crisis for residents of the city</p> <p>Risk owner: Alison Hinds/ Emma Bennett Cabinet members: Councillor B Momenabadi, Councillor L Leach and Councillor J Jaspal</p>	<p>Strong families where children grow up well and achieve their full potential</p> <p>Healthy, inclusive communities</p>	12 Amber	12 Amber Target 8 Amber	↔	<p>The Council's Financial Wellbeing Strategy was approved by Cabinet in March 2022.</p> <p>The strategy details our partnership approach to tackling the cost-of-living crisis in the city though our graduated response offering essential support when required, responding to emerging need and offering an early intervention approach to support resilience in the city.</p> <p>Further actions to take to mitigate risk Partnership approach to delivery of the strategy Supporting our faith, community, and voluntary sector to build resilience Continued distribution of any Department of Work and Pension or government grants to ensure those in need are supported by those closest to them, maintaining dignity and choice wherever possible.</p>	<p>Strong governance arrangements, with Health and Wellbeing Board being responsible for the implementation of the strategy, monitoring the progress of the partnership cost of living action plan</p> <p>Robust implementation plan with clear impact measures.</p> <p>Ongoing consultation and engagement with residents and the wider partnership to ensure the cost of living plan continues to address local and emerging issues.</p>
18	<p>Charging Reform and Fair cost of care</p> <p>There are a number of uncertainties associated with how these reforms will impact upon the Council, both financially and resource wise</p> <p>Risk Owners: Becky Wilkinson/Emma Bennett and Claire Nye (section 151 officer) Cabinet Member: Councillor Linda Leach</p>	Fulfilled lives for all, with quality care for those that need it	New risk	25 Red Target 12 Amber	Not Applicable	<p>Under the new Fair cost of care reforms (FCOC) our initial analysis has highlighted that there is likely to be a significant budget pressure if the Council was to meet the fair cost of care in full. At this stage details around the levels of any Government funding has yet to be confirmed.</p> <p>This is also likely to result in workforce resource pressures, in particular around recruitment in order to implement the charging reform, with an additional estimated 1,500 new people introduced to adult social care.</p> <p>There are also current uncertainties around the cost of increased means testing and the care cap.</p> <p>Similarly, the lack of details at this time means that the Council is unclear on its IT and Digital readiness. Particularly within the given timescales of the Trailblazer work and other system commitments across the Council.</p>	<p>Affordability raised by all LA Trailblazers with the DHSC.</p> <p>Some amendments to statutory guidance and legislation being considered.</p> <p>Some initial recruitment has taken place.</p> <p>Financial modelling currently underway.</p> <p>Council Task and Finish group monitoring and shared solutions being sought with other LA Trailblazers.</p>