

City of Wolverhampton Council – Strategic Risk Register

Risks reviewed by risk owners as reported to the Audit and Risk Committee on 28 November 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 of the war in Ukraine are continuing to create challenges for business around energy costs and with supply chains. Construction and food businesses have been particularly affected by the challenges in the supply chain. Manufacturing has been significantly affected by the higher energy costs.</p> <p>The EU funds which have been the key source for resources and interventions comes to a close at the end of March 2023. Alternative funding such as the UK Shared Prosperity Fund have been announced and along with other routes such as Levelling Up, 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 into 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 work with partners including the Chamber of Commerce and Federation of Small Business, to support local businesses to adapt and invest in new ways of working and strengthen areas, whilst the businesses try to address the economic challenges around high energy, loss of consumer confidence, staff salary increases and increases in supply chain costs. These and any increases to the UK interest rate will have an impact on the business survival rate in the city</p> <p>The IGNITE business hub, recently opened in the city centre and offers a professional working / networking environment to support new and small businesses in the city to connect with current initiatives and network with other new businesses.</p>	<p>Regeneration are building on the work that was commissioned by an external consultancy group (Metro Dynamics). The proposed framework looks at aligning the future Business Support for Wolverhampton, with the City's strategic priorities, the economic/ business context and current business support offer that will help develop an approach to business support.</p> <p>To help drive this an Internal Board has been set up to oversee the development of the approach and a delivery plan, linked to the City's investment plan for Levelling up and Shared Prosperity funds.</p> <p>A report on the work that has been undertaken so far, is to be presented at Economy and Growth Scrutiny Board 30 November.</p> <p>For the IGNITE business and enterprise hub an internal audit review is planned for 2022-2023</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. It is anticipated that referrals are likely to remain at pre-pandemic levels going forward.</p> <p>There continues to be an increase in social work turnover, although the annual turnover rate still 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>Further actions to take to mitigate risk 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:</p> <ul style="list-style-type: none"> 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 with the creation of senior social work roles for experienced child protection social workers. A review of pay opportunities offered by neighbouring authorities is being undertaken to ensure Wolverhampton remain competitive in the market. <p>A multi-agency response is in place to work with young people to reduce potential of further violent crimes within the city. This response includes universal responses and more targeted approaches with individuals most at risk.</p> <p>There is a risk that the Council is unable to identify suitable placements registered with Ofsted for children in care with highly complex needs who are subject to a court authorised Deprivation of Liberty (DoL) Order, due to insufficient placement options both internally and externally being available.</p> <p>If suitable placements registered with Ofsted are not identified, it is necessary to set up bespoke caring arrangements for children in care with complex needs subject to a DoL Order. It is an offence under section 11 of the Care Standards Act 2000 to carry on or manage a children's home without registration and these bespoke arrangements are regarded as children's homes by Ofsted. Ofsted may carry out an investigation into whether an offence has been and/or is continuing to be committed. If the evidence meets the test for prosecution, they may instigate a prosecution against the company and/or any individual director, manager or secretary of the company.</p> <p>Further actions to mitigate risk:</p> <ul style="list-style-type: none"> Immediate notification to Ofsted if children are placed in unregulated settings followed by regular updates to Ofsted. 3-5 times a week multi-agency meeting with the provider chaired by Head of Service to ensure ongoing care arrangements continue to meet child's needs. Continued search for alternative registered provision. Approval by Cabinet Resources panel to establish 2 small family homes run by CWC that will be registered with Ofsted to care for up to 2 children with highly complex need in each of the homes. 	<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>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.</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> <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> <ul style="list-style-type: none"> Two reports (Phase One:Exploitation thematic and Phase Two Knife Crime thematic) commissioned by Wolverhampton Safeguarding Together in response to three incidents of serious youth violence which culminated in death or serious injury between April and June 2022 to gain additional assurance of efficacy and robustness of current systems Gain further insights from stakeholders including parents Deep dive of rapid review sample to understand commonalities and themes Gain insight into perpetrators and victims <p>Regular oversight by senior leadership team of children placed in unregulated settings.</p> <p>Children are represented by advocates.</p> <p>Independent Reviewing Officers review the child ensuring the care provision continues to meet need and utilises escalation processes where needed to SLT.</p> <p>The care provision is monitored through partnership External Placement Panel (EPP).</p> <p>Oversight by court of placements.</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 Approved Mental Health Professional Hub 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. A peripatetic team will be considered as part of our redesign – better able to respond as needed. 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 and Compliance Team work closely with Integrated Care Board 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 Wolverhampton Safeguarding Together 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>SEB and Cabinet are aware of the issues and challenges facing local people and developed Our City: Our Plan – the Council plan, which was 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 A developing key priority is the cost of living crisis. Following the launch of the Council's Financial Wellbeing Strategy earlier this year, a bespoke communications strategy and plan has been developed. It will focus primarily on support for residents throughout the winter, including the launch of our warm spaces offer. All other interventions for those in need, including financial support, is included in the plan.</p>	<p>Data provided by Insight and Performance team relating to key city challenges.</p> <p>Monitoring of local media.</p> <p>Monitoring of social media channels.</p> <p>Monitoring of external stakeholder environment.</p> <p>Data via CRM on customer calls and issues logged.</p> <p>Councillor Enquiry Unit data issues logged.</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	↔	<p>The factors contributing to the risks to our providers include:</p> <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 Care Quality Commission 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 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. We continue to monitor the health and wellbeing of our employees and the effectiveness of Our People support offer.</p>	<p>Operational Health and 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> <ul style="list-style-type: none"> OD Wellbeing roadshows out to sites across the City. 17 carried out to date. Listening to employees and supporting them by researching support to respond to their requests

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						<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>OD have carried out 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.</p> <p>Regular communication goes out to employees to continually promote what the council has invested in to support wellbeing., this goes out through City People at least one article a week, to front line services via posters and information packs. We are listening to feedback from the forums and working with other council services who are focussing work on specific areas of wellbeing e.g financial wellbeing.</p> <p>Further actions to take to mitigate risk</p> <p>A new Head for Health programme is being launched to offer a local programme to support mental health and physical health.</p>	<ul style="list-style-type: none"> Regular communications digitally and physically to ensure all employees have the information about how to access the support that is available.
7	<p>Education Provision</p> <p>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	6 Amber	6 Amber Target 4 Green	↔	<p>Following the start of the academic year 2022 – 23 school attendance has still not reached pre-pandemic levels consistently across the City. Support continues from the Inclusion Service. The Graduated Response formally launched at the Inclusion Summit in October 2022.</p> <p>Analysis of learning gaps for children and young people affected by the lockdowns is ongoing with tutoring</p> <p>Further actions to take to mitigate risk</p> <ul style="list-style-type: none"> 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. 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. 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) and was launched in October 2022. Inclusion Summit tool place on 17 October with schools and other stakeholders coming together to discuss inclusion in education. 	<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> <p>Termly report is now being produced and shared with SEB, Cabinet Member and Leader to update on educational achievements, challenges and risks.</p>
8	<p>City Wide Regeneration</p> <p>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>A Levelling Up Board to align City wide regeneration and Levelling Up agenda to Our City Our Plan objectives as part of the engagement with DLUHC, Homes England and West Midlands Combined Authority is now in place. This oversees and ensures appropriate consultation, advocacy, assurance and management processes have been put in place to deliver upon any successful funding awards (FHSF, Levelling Up Fund, Towns Fund, WMCA grant funding).</p> <p>The establishment of a Regeneration Capital Project Board provides a clear mandate and cross directorate decision making that will have a read across existing corporate assurance decision making processes and procedures. It will provide a single version of the truth regarding key corporate regeneration projects and programmes. Decisions will be subject to audit and provide clear visibility and scrutiny.</p> <p>Further actions to take to mitigate risk</p> <p>A resource plan is in place to deliver externally funded programmes over the next 9-12 months of programme. The Council is pro-actively working with partners and stakeholders to mitigate risk and continue operations in accordance with Government guidelines.</p> <p>Inflation remains one of the highest risks to project delivery and creates uncertainty and cost pressure across capital programmes. Inflationary pressures provide an increase in project risk and viability by both the Public and Private Sector on the delivery of Capital Programmes and the Council ensure sufficient contingency budgets are in place and a review of output realisation are regularly reviewed in light of these pressures.</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 emerging Regeneration Capital Programme.</p> <p>Reporting of project outputs to relevant funding boards, Future High Street Funds, Towns Fund, Levelling Up Fund.</p>
9	<p>High Unemployment</p> <p>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: Emma Bennett Cabinet Member: Cllr C Burden</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 12 Amber	↔	<p>Unemployment levels continue to be high within Wolverhampton, a summary of the September 2022 provisional data is provided below:</p> <ul style="list-style-type: none"> There are 12,115 (7.4%) claimants in the working age group (16+) in September 2022, which is down from 8.9% for September 2021. However, the city still has the 2nd highest unemployment claimant rate in England. There are 2,945 (6.2%) claimants in the 50+ age group, down from 3,310 (6.9%) in September 2021. This is the 12th highest claimant rate in England for this cohort. There are 2,045 (9.9%) claimants in the 18-24 age group in September, which is the same as July 2022. This is still the highest claimant rate in England, but the number of claimants has dropped by 550 from September 2021. We have yet to see the impact of young people going back to college or to university. <p>Further actions to take to mitigate risk</p> <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 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>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.</p> <p>There will be 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 started in September 2022 and targeted SEND Education, Employment and Training support workers are being employed.</p> <p>More intensive work with DWP is being undertaken to:</p> <ul style="list-style-type: none"> Understand the claimant groups and their needs for employment and skills support Understand the current provision and to identify gaps that are preventing residents from securing sustainable employment. <p>Planning for Shared Prosperity Fund programme to ensure all interventions meet local employment and skills needs. Submission of funding application for year 2 of the Youth Hub after a successful first year of operation.</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>The 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 in addition to the five new policies that are already live, 26 internal procedure and guidance documents that underpin the policies are currently being written as part of an incremental implementation rollout. The majority of these procedures will be live by November 22, with the remaining more complex procedures being live by the end of 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 has been provided to individual Leadership teams in their scheduled quarterly update meetings. Collaborative working between IG and Digital and IT continues; there has been a real focus this period on cyber risk and compliance. 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> <p>A detailed annual report on Information Governance was taken to the Council's Governance and Ethics Committee in September 2022 and can be seen here. A further update report is due to go to that Committee in January 2023.</p>
11	<p>Medium Term Financial Strategy</p> <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 O Ahmed</p>	Our Council	20 Red	20 Red Target 12 Amber	↔	<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>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 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>A report on the Quarter 2 position was presented to Cabinet on 16 November 2022.</p> <p>On 16 October, Cabinet received an update on the budget for 2023-2024 and the MTFS. The report noted that it is forecast that the budget deficit is £7.1 million for 2023-2024, rising to £31.6 million by 2025-2026.</p> <p>The updated position takes into account the latest data on inflation, pay award, demand and resources.</p> <p>The report outlined the steps that are being taken to bridge the deficit.</p> <p>At the time of writing the financial settlement for 2023-2024 and future years is unknown. The level of uncertainty regarding funding and economic factors results in the level of risk associated with the MTFS remaining as red despite the strong financial management within the council.</p> <p>Further actions to take to mitigate risk</p> <p>The assumptions underpinning the MTFS will continue to be reviewed throughout 2022-2023 and updates will be reported to Cabinet.</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 Board</p>	<p>Regular budget monitoring at all levels.</p> <p>A local more detailed risk register is maintained within Finance.</p> <p>External Audit Annual Report</p> <p>Consideration by scrutiny panels during November and December</p> <p>Recent and upcoming meetings:</p> <p>Reserves Working Group</p> <p>here</p> <p>Residents, Housing and Communities Scrutiny Panel</p> <p>here</p>

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12	<p>Cyber Security</p> <p>Failure to maintain a high level of cyber security (technology, processes and awareness) throughout the Council may result in cyber-attacks and theft or loss of confidential data leading to financial penalties, reputational damage and a loss in public confidence.</p> <p>Risk Owner: Charlotte Johns Cabinet Member: Cllr O Ahmed</p>	Our Council / Driven by Digital	9 Amber	12 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 and so the risk score has been modified accordingly. Cyber security at the Council is externally verified through both PSN accreditation and Cyber Essentials Plus accreditation.</p> <p>Digital and IT continue to deploy enhancements to further improve security, the detail of this is protected and not in the public domain. However, a summary of key activity includes:</p> <ul style="list-style-type: none"> • Policy and strategy – including ongoing review of existing and development of new policies to support improved cyber security, such as the Information and Cyber Security Policy, Acceptable Use of IT Assets and Social Media Policy and a new Bring Your Own Device policy. • Training and development – including a new mandatory cyber security course • Technology and digital solutions – including roll out of new technology solutions to further tighten security <p>Further actions to take to mitigate risk</p> <p>There is a continued work programme to address cyber threats which continue to evolve.</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 and Risk Committee in July 2022, a link to the meeting papers and minutes is available here.</p>
13	<p>Civic Halls</p> <p>There is a significant reputational and financial risk to the Council and to the City's wider visitor economy if the revised Civic Halls refurbishment programme is not effectively managed in terms of project timings, costs, and scope.</p> <p>Risk Owner: Richard Lawrence Cabinet Member: Cllr S Simkins</p>	Thriving economy in all parts of the city	12 Amber	12 Amber Target 8 Amber	↔	<p>The construction phase is now very close to completion, with final testing and commissioning of the mechanical and electrical systems. AEG are working directly with Willmott Dixon and the Project Management Team (F+G) to ensure their fit out works align and complement the base build, ready for the first shows to commence in June 2023.</p> <p>The contractor's performance continues to be monitored and reviewed by the project team through weekly meetings with Willmott Dixons Regional Director and Senior Management team and are supplemented by regular workshop meetings to ensure continued progression on site during the fit out phase.</p> <p>The project team continue to manage, monitor and report on any potential risks that may still arise due to current market conditions (e.g. site labour). The procurement time of materials is now less of a risk due to the construction completion and the focus is now on testing, commissioning and witnessing of the mechanical/electrical systems.</p> <p>The project team are aligning the ongoing Civic Hall refurbishment works with the AEG contract and the wider public realm improvement programme to manage and mitigate any potential risks.</p> <p>There is a dedicated Programme Board for the delivery of the Public Realm works, which is scheduled to complete early in the new year, ahead of the June opening. The works will also include the installation of counter-terrorism mechanisms.</p> <p>The Civic Halls Restoration Board continues to take place monthly to ensure assurance and oversight of all elements of the project. This is supported by fortnightly operational group meetings. Directors are also supplied with weekly project updates and meet weekly to oversee progress.</p> <p>There are regular ongoing 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> <p>Audit and Risk Committee wider deep dive review on the risks - November 2022</p>
14	<p>Climate Change</p> <p>Failure to achieve the Council's commitments in relation to Climate Change, including the pledge to make Council activities net-zero carbon by 2028 may result in significant reputational damage and a loss in public confidence.</p> <p>Risk Owner: 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</p> <p>Resource requirements identified – certain posts have been created and have/are being recruited to.</p> <p>Additional graduate support for sustainable staff travel policy has been secured.</p> <p>SEB update with draft structure approved and supported.</p> <p>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> <p>The risk has been called in for a deep-dive review at the November Audit and Risk Committee.</p>
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 O 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</p> <p>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>	<p>The Annual Governance Statement incorporates related parties.</p> <p>External audit of each related party.</p> <p>Scrutiny Review of governance arrangements in place to monitor linked bodies by Resources and Equality Scrutiny Panel: here</p>
16	<p>Refugee and Asylum accommodation and support</p> <p>There is a risk of increased numbers of emergency placements made by</p>	Healthy, inclusive communities	New risk	12 Amber Target 8	N/A	<p>Due to national trends around an increased pressure at immigration processing centres there is a risk that the Home Office will seek to increase the number of emergency placements in the City of refugees and asylum seekers. This may include the Home Office accessing temporary accommodation (such as hotels) within Wolverhampton. This could result in an increased pressure on local services and the need to ensure basic needs are met at short notice, for example access to school places and health care.</p>	<p>The Home Office</p> <p>Strategic Migration Partnership</p> <p>Mitigation considered by SEB</p>

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	<p>the Home Office of refugees and asylum seekers from various national schemes such as the Asylum and Afghan resettlement scheme.</p> <p>Risk Owner: John Denley Cabinet Member: Cllr J Jaspal</p>					<p>Further actions to take to mitigate risk</p> <p>Currently work is ongoing with services and partners to develop a contingency model, based on learning from previous Home Office placements at The Britannia and Goldthorn Hotels.</p> <p>Options are being considered to take more of a proactive approach in Wolverhampton and work with the Home Office to ensure that Wolverhampton have more control around timings of placements, cohorts and locations to mitigate risk to services and ensure that all basic needs are met.</p>	
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	9 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 through 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</p> <p>Partnership approach to delivery of the strategy</p> <p>Supporting our faith, community, and voluntary sector to build resilience</p> <p>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>Additional City of Wolverhampton Council investment</p> <p>Developing financial resilience in communities by promoting and supporting the development of sustainable models</p> <p>Maximisation of income via grant funding into city, reducing competitive bidding and increasing collaboration</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> <p>4 weekly review/update presented to Adult and Children's leadership, SEB, and the Leader of the Council</p> <p>Risk reviewed by Audit Committee September 2022 to be reviewed again in early 2023</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 Cabinet Member: Councillor L Leach</p>	<p>Fulfilled lives for all, with quality care for those that need it</p>	25 Red	25 Red Target 12 Amber	↔	<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>At the time of writing this is correct but due to national government changes and a review been undertaken by HM Treasury on all public sector spending the internal work on social care reform is currently paused in the short term to avoid presenting Wolverhampton residents with mixed messages about social care funding. We are awaiting the outcome of the Fiscal Statement on 17 November 2022 and the DHSC response re timelines to determine next steps.</p>	<p>Affordability raised by all LA Trailblazers with the DHSC.</p> <p>Some amendments to statutory guidance and legislation implemented.</p> <p>Some initial recruitment has taken place.</p> <p>Financial modelling currently underway.</p> <p>Council Task and Finish groups monitoring and shared solutions being sought with other LA Trailblazers.</p> <p>The risk was called in for a deep-dive review at the September 2022 Audit and Risk Committee.</p>