

Strategic Risk Register @June 2016

CITY OF
WOLVERHAMPTON
COUNCIL


Our mission:
Working as one to
serve our city


wolverhampton.gov.uk


Red 2,

Amber 1, 3, 4, 7, 8, 9, 10, 14, 15, 16


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


Risk ref	Risk title and description	Previous score (Feb 2016)	Direction of travel	Current score (June 2016)	Target score and date	Comment																																											
1 01/14	<p>Looked After Children (LAC)</p> <p>If the number of LAC is not reduced this may result in an increase in costs, budget overspends and an increased demand on children’s services.</p> <p>Risk owner: Linda Sanders (Emma Bennett)</p> <p>Cabinet Member: Cllr Val Gibson</p> <table><tr><td rowspan="6">Likelihood</td><td>5</td><td></td><td></td><td></td><td></td><td></td></tr><tr><td>4</td><td></td><td></td><td></td><td></td><td></td></tr><tr><td>3</td><td></td><td></td><td></td><td></td><td></td></tr><tr><td>2</td><td></td><td></td><td></td><td></td><td>10</td></tr><tr><td>1</td><td></td><td></td><td></td><td></td><td></td></tr><tr><td></td><td>1</td><td>2</td><td>3</td><td>4</td><td>5</td></tr><tr><td colspan="6">Impact</td></tr></table>	Likelihood	5						4						3						2					10	1							1	2	3	4	5	Impact						15 Red		10 Amber	5 Amber March 2017	<p>Overseen by the Transforming Children’s Services Board, this risk continues to be managed through the Families r First work. The 2016/17 savings target for LAC is £2 million. £1.1 million of this target is expected to come through a LAC target for March 2017 in the range of 580 - 550 (currently 650) children, and the balance of £0.9 million expected from further reductions in the cost of placements.</p> <p>The actions being taken to achieve these targets include:</p> <ul style="list-style-type: none">• The Fostering for Wolverhampton Team taking part in foster care fortnight, the UK’s biggest foster carer recruitment campaign during May and June 2016. The aim is for the Council to recruit an additional 30 carers during the year.• The resource panel continues to review expensive placements and has extended its remit to looking at early intervention and edge of care services. A governance structure and revised Terms of Reference for the panel is currently being established.• Legal Services continue to look at process improvements to shorten the timeframes for adoption hearings. This is against the backdrop of having no control over the time taken for courts to hear individual cases.• The majority of the Multi Agency Safeguarding Hub (MASH) work to date has concentrated on Children In Need and Child Protection cases. <p>The reduction in the risk score reflects the underspend achieved in Children and Young People in 2015/16, through the delivery of the children’s transformation work and the associated reduction in LAC.</p>
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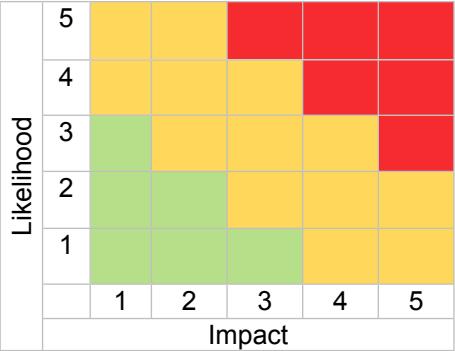
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2 01/14	<p>Skills for Work</p> <p>If the city residents do not have the appropriate skills that employers require then they will be unable to access the jobs and opportunities available resulting in high rates of unemployment and increased demand on Council services.</p> <p>Risk owner: Tim Johnson (Keren Jones)</p> <p>Cabinet Member: Cllr John Reynolds</p> <table><tr><td rowspan="6">Likelihood</td><td>5</td><td></td><td></td><td></td><td></td><td></td></tr><tr><td>4</td><td></td><td></td><td></td><td></td><td></td></tr><tr><td>3</td><td></td><td></td><td></td><td></td><td>15</td></tr><tr><td>2</td><td></td><td></td><td></td><td></td><td></td></tr><tr><td>1</td><td></td><td></td><td></td><td></td><td></td></tr><tr><td></td><td>1</td><td>2</td><td>3</td><td>4</td><td>5</td></tr><tr><td colspan="6">Impact</td></tr></table>	Likelihood	5						4						3					15	2						1							1	2	3	4	5	Impact						15 Red		15 Red	10* Amber March 2017	<p>This risk is currently managed through the City Board. The Wolverhampton Skills and Employment Action Plan which is the City’s response to the independent report and recommendations from the independent Skills and Employment Commission, chaired by Professor Tony Travers from the London School of Economics, has been completed and was presented to the City Board. Compilation of the Plan was led by the Council in collaboration with a range of local partners. The Plan consists of three programmes:</p> <ul style="list-style-type: none">• The City Workplace: support to employers to obtain the skills and workforce they need to grow.• City Workbox: an on-line system providing information needs assessment, career choices and signposting local people to the right progression routes.• Learning City: focused on creating a dynamic learning environment across the city centre with strong connections into local communities. This will form an integral part of the City centre Regeneration programme, and as such is a longer term ambition. <p>The Plan will be reviewed in detail for its resource implications, and a report on resourcing will be presented to the City Board in due course. It is envisaged that a number of the actions can be delivered within existing resources. The report will also explore the opportunities for securing external funding and partner contributions in addition to re-prioritising existing Council resources.</p> <p>The West Midlands Devolution Agreement and in particular the devolution of the 19+ adult skills budget will be critical to the delivery of the Plan.</p> <p>The plan will be overseen and co-ordinated by the newly established Skills and Employment Board which will report into the City Board.</p> <p>A majority of the key actions within the Plan are deliverable by March 2017 and the target risk date reflects this position.</p>
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4 01/14	<p>Medium Term Financial Strategy</p> <p>If the Council is unable to agree and operate within its medium term financial strategy (MTFS) this may exhaust reserves, result in the potential loss of democratic control and the inability of the Council to deliver essential services and discharge its statutory duties.</p> <p>Risk owner: Keith Ireland Cabinet Member: Cllr Andrew Johnson</p> <table border="1"> <tr> <td rowspan="6">Likelihood</td><td>5</td><td></td><td></td><td></td><td></td><td></td></tr> <tr> <td>4</td><td></td><td></td><td></td><td></td><td></td></tr> <tr> <td>3</td><td></td><td></td><td></td><td>12</td><td></td></tr> <tr> <td>2</td><td></td><td></td><td></td><td></td><td></td></tr> <tr> <td>1</td><td></td><td></td><td></td><td></td><td></td></tr> <tr> <td></td><td>1</td><td>2</td><td>3</td><td>4</td><td>5</td></tr> <tr> <td colspan="7">Impact</td></tr> </table>	Likelihood	5						4						3				12		2						1							1	2	3	4	5	Impact							15 Red		12 Amber	8* Amber Ongoing	<p>The MTFS 2016/17 to 2019/20 was presented to full Council in March. The report detailed the following matters:</p> <ul style="list-style-type: none"> A balanced budget for 2016/17 which does not necessitate the use of contingency reserves was approved. The budget is based upon a 3.99% increase in council tax, which includes the 2% precept for adult social care announced by the Chancellor in the last comprehensive spending review. At this stage, the Council is looking to accept in principle the government's offer of a four year settlement by October 2016 and will begin to prepare a financial plan and efficiency strategy for approval by Cabinet prior to accepting the offer. Savings of £54.6 million need to be identified for the three year period from 2017/18 to 2019/20 to address the projected budget deficit. Budget assumptions over the MTFS continue to be subject to significant change and are adjusted based upon the most up to date information available. Work has begun to identify savings of £22.2 million for 2017/18 and proposals will be presented to Cabinet on 20 July. <p>The Council invited the Local Government Association (LGA) to carry out a Finance Peer review to provide some assurance over this risk. The review took place over three days in June and the findings will be reported to the Committee. The review looked at how the Council is setting financial strategies, making the relevant decisions required and implementing changes that will give it the best chance of balancing the books in the medium and long term.</p> <p>The risk assessment has been reduced to reflect the progress made to date in the delivery of the MTFS, combined with the positive outcome from the recent LGA Finance Peer Review, whilst still recognising the financial challenges the Council needs to address over the coming years.</p>
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7 01/14	<p>Safeguarding</p> <p>If the Council's safeguarding procedures and quality assurance processes are not consistently and effectively implemented then it will fail to safeguard children and vulnerable adults and lead to reputational damage.</p> <p>Risk owner: Linda Sanders Cabinet Member: Cllr Val Gibson and Cllr Sandra Samuels</p> <table border="1"> <tr> <td rowspan="6">Likelihood</td><td>5</td><td></td><td></td><td></td><td></td><td></td></tr> <tr> <td>4</td><td></td><td></td><td></td><td></td><td></td></tr> <tr> <td>3</td><td></td><td></td><td></td><td></td><td></td></tr> <tr> <td>2</td><td></td><td></td><td></td><td></td><td>10</td></tr> <tr> <td>1</td><td></td><td></td><td></td><td></td><td></td></tr> <tr> <td></td><td>1</td><td>2</td><td>3</td><td>4</td><td>5</td></tr> <tr> <td></td><td colspan="5">Impact</td><td></td></tr> </table>	Likelihood	5						4						3						2					10	1							1	2	3	4	5		Impact									Next Ofsted inspection	<ul style="list-style-type: none"> A self - assessment has been completed for the Children's Safeguarding Board against the Ofsted descriptors. This has identified some improvements that are required in areas including challenge, audits and annual reporting. An action plan has been developed for approval by the Safeguarding Board in June who will also monitor progress in implementing the actions. Although the adults safeguarding board meets all statutory requirements, governance of the Board continues to be developed in terms of its constitution and sub committees, to reflect similar structures that are in place for the children's safeguarding board. Work continues to address the increases in Deprivation of Liberty Safeguards (DoLS) referrals and resulting assessments. As a result, the interim arrangement for a team of Best Interest Assessors which was created in July 2015 has been made a permanent arrangement since March 2016. Significant improvements have been made in clearing the backlog which is expected to be cleared by December 2016. The Wolverhampton's children Multi-Agency Safeguarding Hub (MASH) which was launched at the start of the year, is now firmly embedded and regular progress reported to the MASH Board which in turn reports to the Safeguarding Board. Audits and reports to date confirm that decision making is consistent, information is being readily shared and that there is a swifter response to referrals. A project is also underway to ensure that as of September 2016 those agencies providing support to adults become part of the MASH, resulting in the only MASH in the region which includes adults and children. The safeguarding schools officer contract has been extended as a result of a number of schools taking up the service through SLA's. The Council's safeguarding manager is starting a piece of work to raise safeguarding awareness amongst parents who use tutoring services. This is alongside work being done to develop a toolkit for safeguarding in Madrassahs.
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8 01/14	<p>Business Continuity Management (BCM)</p> <p>Failure to develop, exercise and review plans and capabilities that seek to maintain the continuity of critical functions in the event of an emergency that disrupts the delivery of Council services.</p> <p>Risk owner: Linda Sanders (Ros Jervis)</p> <p>Cabinet Member: Cllr Paul Sweet</p> <table><tr><td rowspan="6">Likelihood</td><td>5</td><td></td><td></td><td></td><td></td><td></td></tr><tr><td>4</td><td></td><td></td><td></td><td></td><td></td></tr><tr><td>3</td><td></td><td></td><td></td><td></td><td></td></tr><tr><td>2</td><td></td><td></td><td></td><td></td><td>10</td></tr><tr><td>1</td><td></td><td></td><td></td><td></td><td></td></tr><tr><td></td><td>1</td><td>2</td><td>3</td><td>4</td><td>5</td></tr><tr><td colspan="6">Impact</td></tr></table>	Likelihood	5						4						3						2					10	1							1	2	3	4	5	Impact						10 Amber		10 Amber	8 Amber December 2016	See Appendix C for the update on this risk which will be presented to the Committee by the risk owner.
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10 01/14	<p>Economic Inclusion</p> <p>If the Council and its partners do not work effectively together to promote and enable growth then the risk of economic exclusion will materialise and demand for Council services will continue to increase.</p> <p>Risk owner: Tim Johnson (Keren Jones)</p> <p>Cabinet Member: Cllr John Reynolds</p> <table border="1"> <tr> <td rowspan="6">Likelihood</td><td>5</td><td></td><td></td><td></td><td></td><td></td></tr> <tr> <td>4</td><td></td><td></td><td></td><td></td><td></td></tr> <tr> <td>3</td><td></td><td></td><td></td><td>12</td><td></td></tr> <tr> <td>2</td><td></td><td></td><td></td><td></td><td></td></tr> <tr> <td>1</td><td></td><td></td><td></td><td></td><td></td></tr> <tr> <td></td><td>1</td><td>2</td><td>3</td><td>4</td><td>5</td></tr> <tr> <td></td><td colspan="5">Impact</td><td></td></tr> </table>	Likelihood	5						4						3				12		2						1							1	2	3	4	5		Impact						12 Amber		12 Amber	8* Amber September 2017	<p>The measures to successfully manage this risk continue to be in place as noted previously and include:</p> <ul style="list-style-type: none"> The Inclusion Board which continues to manage the risks associated with unemployment, economic inactivity and the wider barriers for economic inclusion. The skills and employment action plan (set out under risk 2 Skills for Work) that includes the City Workbox. This is being developed as an on-line system providing information, needs assessment, career choices and signposting local people to the right progression routes. The focus will be on supporting those furthest away from the labour market and employment. European Union Strategic Investment Funds provide considerable resources for local partners and the Council to tackle youth unemployment. The establishment of the West Midlands Land Commission (WMLC), part of the West Midlands Combined Authority (WMCA) will identify and assist understanding of how to address the barriers to development across the region and deliver the WMCA's strategic economic plan. For Wolverhampton, the WMLC will provide important evidence to inform the development of a package of CA wide interventions that can help to unlock investment opportunities. The City has a pipeline of regeneration and development opportunities which have the potential to secure significant levels of growth over the next 10-15 years. The WMLC will provide an opportunity to raise the profile of our regeneration pipeline and City priorities through the development of CA programmes.
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12 01/14	<p>Better Care Fund (BCF)</p> <p>If the Council and its partners fail to deliver the improved outcomes required by the Better Care Fund, demand on acute services will not be reduced, the reward money will not be received and the Council will not receive the additional resources promised by the Better Care Fund.</p> <p>Risk owner: Linda Sanders Cabinet Member: Cllr Sandra Samuels</p> 	10 Amber	N/A	Closed	N/A	<p>The risk noted reflected the risks associated with the Better Care Plan for the 2014/15 and 2015/16 year. This Plan involved performance targets to be met in respect of reductions to accident and emergency admissions, in order for additional funds / reward money to be received from NHS England.</p> <p>The new 2016/17 Plan is not dependent on reward money for national conditions around emergency to be met. This combined with the positive outcome in 2015/16 and the sign off of the 2016/17 BCF Plan has resulted in, this risk being closed.</p> <p>The key risk around the 2016/17 Plan is around the £2 million savings that the programme is required to make. The Council's maximum exposure to this risk is £800,000. This is now being considered within the MTFS strategic risk.</p>



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14 01/14	<p>School Improvement</p> <p>If the Council does not provide effective support, challenge and appropriate intervention to raise standards in schools and school governance, then the Council and these schools are at risk of underperforming, receiving inadequate Ofsted judgements and a potential loss of control and influence.</p> <p>Risk owner: Julien Kramer Cabinet Member: Cllr Claire Darke</p> <table><tr><td rowspan="6">Likelihood</td><td>5</td><td></td><td></td><td></td><td></td><td></td></tr><tr><td>4</td><td></td><td></td><td></td><td></td><td></td></tr><tr><td>3</td><td></td><td></td><td></td><td></td><td></td></tr><tr><td>2</td><td></td><td></td><td></td><td></td><td>10</td></tr><tr><td>1</td><td></td><td></td><td></td><td></td><td></td></tr><tr><td></td><td>1</td><td>2</td><td>3</td><td>4</td><td>5</td></tr><tr><td colspan="6">Impact</td></tr></table>	Likelihood	5						4						3						2					10	1							1	2	3	4	5	Impact						10 Amber		10 Amber	5 Amber From July to September 2016	<p>The risk continues to be managed by the Assistant Director (School Standards). Since last reported, the following has been noted:</p> <ul style="list-style-type: none">The Wolverhampton School Improvement and Governance Strategy 2014 has been reviewed and updated based on the experience gained from the first 12 months of the strategy being implemented and in consultation with headteachers and officers. The Strategy continues to have a positive impact on the improvements in Ofsted outcomes. As at April 2016 the City has 79% good or better schools (63% in September 2013). The aim is for this to increase to 83% and 95% by September 2016 and 2018 respectively. The date for the target risk score to be achieved reflects this.All of the schools at the highest risk are now working in strong local partnerships. Where schools ‘Require Improvement’ and have not demonstrated the capacity to improve themselves, these are being moved into local partnerships that can support school improvement and ensure that no schools in the City fall into Special Measures moving forward.A self- assessment of the Council’s school improvement services has been carried out and reported to SEB in April. An action plan to address the key areas for development is being developed and progress against this plan will be monitored by the Assistant Director (School standards).The Council’s Local Education Partnership Board- Inspire continues to fund and monitor the accredited programme of training and support that transforms the leadership of Wolverhampton schools. The programme runs parallel to the Council’s School Improvement and Governance Strategy and positive outcomes can be demonstrated and evidenced after the first year of this programme. The feedback so far has been positive with clear impact already being seen in schools. The Council will continue to work with Schools to embed benefits in subsequent years.In terms of the performance of Academies in the City, the Council has now developed an Academies Protocol for the City which outlines the expectations for information sharing, admissions processes, etc.
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16 01/14	<p>Equal Pay</p> <p>Significant equal pay liabilities have been dealt with over recent years. However, equal pay will remain a potentially significant risk until:</p> <ul style="list-style-type: none">the second generation claims, from trade union members, have been dealt with.six years after the implementation of single status, until that time “Abdullah” type claims can still be brought. <p>Risk owner: Mark Taylor Cabinet Member: Cllr Andrew Johnson</p> <table><tr><td rowspan="6">Likelihood</td><td>5</td><td></td><td></td><td></td><td></td><td></td></tr><tr><td>4</td><td></td><td></td><td></td><td></td><td></td></tr><tr><td>3</td><td></td><td></td><td></td><td></td><td></td></tr><tr><td>2</td><td></td><td></td><td></td><td>8</td><td></td></tr><tr><td>1</td><td></td><td></td><td></td><td></td><td></td></tr><tr><td></td><td>1</td><td>2</td><td>3</td><td>4</td><td>5</td></tr><tr><td colspan="6">Impact</td></tr></table>	Likelihood	5						4						3						2				8		1							1	2	3	4	5	Impact						12 Amber		8 Amber	4 Amber March 2017	<p>This risk continues to be managed by the Equal Pay Project Group, which is chaired by the Director of Finance and has representation from Audit, Legal and HR services.</p> <p>The risk has two strands and relates to:</p> <ul style="list-style-type: none">Second generation claims which involve additional claims made by claimants who had their original equal pay claim settled in 2007/08 on the basis that single status would be implemented by the Council within a year of this time. However delays encountered meant that single status was not implemented until April 2013. There is a risk in dealing with these claims that further claims from the 2007/08 group could be prompted.The Abdullah type claims which have been brought by employees following a Supreme Court ruling which allows claimants to bring equal pay claims for up to six years after the termination of their employment (as opposed to the previous case where the time limit for presenting an equal pay claim to an employment tribunal was, in the majority of cases, six months from the end of employment. In the Council's case therefore, despite the level of risk reducing with time, and there not being any recent activity evidencing additional claims being brought, equal pay claims may continue to be brought until March 2019 when six years will have lapsed from the implementation of single status. <p>In terms of mitigation, the Council continues to be in dialogue with the claimants' legal representatives, as well as unrepresented claimants. Progress over recent months has been significant in terms of settling or rejecting these claims and the likelihood of significant further claims is considered lower, albeit it is anticipated that new claims can continue to be made for a number of years.</p> <p>In terms of finances, the Council has set aside an equal pay reserve to deal with any such claims, which is audited independently annually by the Council's external auditors as part of the Statement of Accounts.</p>
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- The following are/ were the medium/ low (assessed at less than 10) strategic risks that the Council faces in delivering its corporate priorities.

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3 01/14	<p>Information Governance (IG)</p> <p>If the Council does not put in place appropriate policies, procedures and technologies to ensure:</p> <ul style="list-style-type: none">that the handling and protection of its data is undertaken in a secure manner and consistent with the provision of the Data Protection Act 1998;compliance with the Freedom of Information Act and Environmental Information Regulations <p>then it may be subject to regulatory action, financial penalties, reputational damage and the loss of confidential information.</p> <p>Risk owner: Kevin O' Keefe Cabinet Member: Cllr Milkinderpal Jaspal</p> <table><tr><td rowspan="6">Likelihood</td><td>5</td><td></td><td></td><td></td><td></td><td></td></tr><tr><td>4</td><td></td><td></td><td></td><td></td><td></td></tr><tr><td>3</td><td></td><td></td><td></td><td></td><td></td></tr><tr><td>2</td><td></td><td></td><td></td><td>8</td><td></td></tr><tr><td>1</td><td></td><td></td><td></td><td></td><td></td></tr><tr><td></td><td>1</td><td>2</td><td>3</td><td>4</td><td>5</td></tr><tr><td colspan="6">Impact</td></tr></table>	Likelihood	5						4						3						2				8		1							1	2	3	4	5	Impact						8 Amber		8 Amber	4 Amber March 2017
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9 01/14	<p>City Centre Regeneration</p> <p>If the city centre regeneration programme is not effectively managed in terms of project timings, costs and scope, then it will be unable to maximise opportunities including:</p> <ul style="list-style-type: none">the attraction of private sector investmentthe creation of space to accommodate new businesses and economic growththe enhancement and creation of visitor attractionsthe creation of well paid employmentretention of skilled workersthe creation of residential opportunitiesa functioning city centre offer that serves the residents of the Cityincreased prosperity anda reduced demand on Council services <p>Risk owner: Tim Johnson</p> <p>Cabinet Member: Cllr John Reynolds</p> <table><tr><td rowspan="6">Likelihood</td><td>5</td><td></td><td></td><td></td><td></td><td></td></tr><tr><td>4</td><td></td><td></td><td></td><td></td><td></td></tr><tr><td>3</td><td></td><td></td><td></td><td></td><td></td></tr><tr><td>2</td><td></td><td></td><td></td><td>8</td><td></td></tr><tr><td>1</td><td></td><td></td><td></td><td></td><td></td></tr><tr><td></td><td>1</td><td>2</td><td>3</td><td>4</td><td>5</td></tr><tr><td colspan="6">Impact</td></tr></table>	Likelihood	5						4						3						2				8		1							1	2	3	4	5	Impact						8 Amber		8 Amber	8* Amber
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15 01/14	<p>Emergency Planning</p> <p>Failure to develop, exercise and review plans and capabilities for preventing, reducing, controlling or mitigating the effects of emergencies in both the response and recovery phases of major a incident.</p> <p>Risk owner: Linda Sanders (Ros Jervis)</p> <p>Cabinet Member: Cllr Roger Lawrence and Cllr Paul Sweet</p>	6 Amber		6 Amber	4 Amber June 2016																																											

Risk ref	Risk title and description	Previous score (Feb 2016)	Direction of travel	Current score June 2016)	Target score and date																																											
17 10/14	<p>Employee Management</p> <p>If policies dealing with employee management and in particular appraisals are not effectively implemented and complied with then:</p> <ul style="list-style-type: none">employees may not be fully aware of the Council's objectives and their contribution to the achievement of them, andemployees may not have the appropriate training and support to achieve high standards of performancethe Council may not have the required capability to deliver its objectives. <p>Risk owner: Kevin O' Keefe Cabinet Member: Cllr Milkinderpal Jaspal</p> <table><tr><td rowspan="6">Likelihood</td><td>5</td><td></td><td></td><td></td><td></td><td></td></tr><tr><td>4</td><td></td><td></td><td></td><td></td><td></td></tr><tr><td>3</td><td></td><td></td><td></td><td></td><td></td></tr><tr><td>2</td><td></td><td></td><td></td><td></td><td></td></tr><tr><td>1</td><td></td><td></td><td></td><td></td><td></td></tr><tr><td></td><td>1</td><td>2</td><td>3</td><td>4</td><td>5</td></tr><tr><td colspan="6">Impact</td></tr></table>	Likelihood	5						4						3						2						1							1	2	3	4	5	Impact						8 Amber		4 Amber (Appendix B)	Achieved Transferred to operational register
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19a 11/15	<p>Devolution Deal</p> <p>There is a risk that if issues arise or should the process leading up to formal consent of the devolution deal not include sufficient engagement with members and stakeholders then the Council may not be able to ratify the proposed deal and the Council's objectives in respect of growth in the regional economy, employment and skills, business investment and regeneration may not be fully realised.</p> <p>Risk owner: Keith Ireland Cabinet Member: Cllr Roger Lawrence</p>	8 Amber		Closed																																												

* The target assessment for these risks remains constant as they are risks which are likely to remain at their current level over the medium term and as such these risks may not have target dates.