

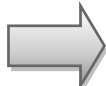
Red 1, 2, 3, 4, 7, 8, 10, 11, 12, 14

Amber 5, 6, 9, 15, 16


Summary Corporate Risk Register @ November 2014


Corporate priorities	<ul style="list-style-type: none"> Encouraging new business 	<ul style="list-style-type: none"> Empowering People and Communities 	<ul style="list-style-type: none"> Re-Invigorating the City 	<ul style="list-style-type: none"> Confident, Capable Council
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The following are the current **red** corporate risks the Council faces in delivering its corporate priorities


Risk ref	Risk title and description	Previous score (August 2014)	Current score (November 2014)	Direction of travel	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: Strategic Executive Board Cabinet Member: Cllr Val Gibson</p>	20 Red	20 Red		15 Red April 2015	<p>The risk continues to be managed through the multi-agency Families r First programme, governed by the Children's Trust Board. An update on the programme progress was presented to the Scrutiny Board at its December 2014 meeting.</p> <p>The objective of the programme is to reduce the number of LAC to 720 by March 2015. The programme is based around three workstreams as follows:</p> <ul style="list-style-type: none"> A committed partnership which takes a whole family approach and therefore involves shared responsibility and understanding through information sharing. Early help providing locally based family support through a new operating model across children, young people and families. Targeted intervention including actions to increase in house foster carers thereby reducing costly external placements. <p>The number of LAC continues to stabilise over recent months with the number for November at 799.</p> <p>From this, a number of children have been identified for removal from LAC including some (28) 16/17 year olds who are to be transferred into independent living following an independent reviewing officer review, and some (30) children who will be returned to parents following court hearings in early 2015. Despite this reduction in numbers however, there</p>

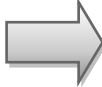
Risk ref	Risk title and description	Previous score (August 2014)	Current score (November 2014)	Direction of travel	Target score and date	Comment
						<p>is not a proportionate reduction in the cost of LAC as financial resources will still be required for those moving to independent living. In addition, residential placements are a significant proportion of the total LAC cost and continue to be the area where alternative strategies to place these children are proving difficult. As a result, the service continues to be exposed to budgetary pressures.</p> <p>In addition to the above, further actions to mitigate the risk include:</p> <ul style="list-style-type: none"> • The work being done with Essex County Council, who has experienced a stabilisation in their LAC numbers following implementation of a targeted action plan. The learning from Essex is being shared with Wolverhampton. • The development of a Fostering Recruitment Strategy and Marketing Communication Action Plan which was presented to the Children and Young People scrutiny Panel at its November 2014 meeting. This includes the recruitment of a team of specialist foster carers, as well as a multi-disciplinary specialist team in the Council to support the carers, with a view to the specialist carers being ready to receive their first placements by April 2015. <p>As a result of the continuing budget pressures the risk remains red.</p>


Risk ref	Risk title and description	Previous score (August 2014)	Current score (November 2014)	Direction of travel	Target score and date	Comment
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 Cabinet Member: Cllr Phil Page</p>	20 Red	20 Red		15 Red March 2015	<p>Progress made in the management of this risk is overseen by the Wolverhampton Skills and Employment Board which is represented by partners from the college, university, Council and major employers in the City.</p> <p>The actions taken in mitigating this risk involve the Council and its partners working together under numerous initiatives including:</p> <ul style="list-style-type: none"> • Work with Job Centre Plus and the use of job clubs and enterprise clubs. • Talent Match - working across the Black Country to provide tailored support and personalised pathways to 18-24 year olds who have been classed as “not in education, employment, or training (NEET) for at least 12 months”. • The Wolverhampton Employability Partnership whose priorities for the current year include matching skills with employment opportunities and also mapping out funding programmes to support skills development. • The “Working Together” pilot project through the City Deal, aiming to increase the employability of long term unemployed and economically inactive social housing tenants across the Black Country. <p>As a result of the numerous strategies and initiatives in place, the Enterprise and Business Scrutiny Panel has commenced a review into “employability and skills” which will look at the strategies being employed and provide assurance on their effectiveness. The review will be undertaken by the recently established Wolverhampton Skills Commission. The Commission comprises an external review panel with an independent Chair who will call for evidence from skills providers, the Council, university and employers and offer constructive challenge and help shape an integrated approach to skills and businesses employment needs. The Commission is expected to publish its initial findings in March 2015 after which an action plan will be developed to further progress the management of this risk, which will be monitored by the City Board.</p>


Risk ref	Risk title and description	Previous score (August 2014)	Current score (November 2014)	Direction of travel	Target score and date	Comment
3 01/14	<p>Information Governance (IG) 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: Keith Ireland Cabinet Member: Cllr Paul Sweet</p>	16 Red	16 Red		12 Amber March 2015	<p>This risk continues to be monitored by the Information Governance Board. Since last reviewed, the following actions have been taken in the mitigation of this risk:</p> <ul style="list-style-type: none"> • The Council now has eight officers (including information asset owners and administrators) who have recently completed the Senior Information Risk Officer training. • Approval has been given to the procurement and roll out of an automated IT solution for protective marking documents. Further assurances are also being sought on how we ensure that all new employees, temporary and agency workers complete the relevant protective marking training. • Compliance with freedom of information requests continues to be high, and temporary resources have been employed to deal with the delays encountered in dealing with subject access requests. An update on the Council's performance in this area was presented to the Scrutiny Board at its December 2014 meeting. • Compilation of the self- assessment against the requirements of the Information Governance (social care) Toolkit has commenced, for submission to the Department of Health. This is to obtain N3 connection by March 2015. Once achieved, this will allow the Council to securely access and share data held on NHS systems which will be essential to implement key transformational programmes including the Better Care Fund. • The Information Governance team is supporting managers in formatting relevant data sets to ensure the Council is compliant with the new requirements of the Local Government Transparency Code. <p>In terms of information incidences, one incident has arisen since last reported, which has now been closed down and an agreed action plan put in place. There are currently no cases with the Information Commissioners Office for investigation.</p> <p>The target date continues to reflect the expected date to obtain N3 connection.</p>


Risk ref	Risk title and description	Previous score (August 2014)	Current score (November 2014)	Direction of travel	Target score and date	Comment
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>	15 Red	15 Red		10 Amber March 2016	<p>The updated position of the MTFS and a summary of the risk register were presented to Cabinet on 22 October 2014 and an update presented to the Scrutiny Board at its December 2014 meeting which showed a forecast budget challenge of £37 million after identified savings for the five year period from 2014/15 to 2018/19.</p> <p>The outturn for the six month period to 30 September 2014 has been presented to Cabinet (Resources) Panel. This shows the projected outturn for the General Fund with a net £3.3million overspend, which is largely attributable to Looked After Children and expenditure on care packages for older people.</p> <p>Progress against the achievement of savings for 2014/15 are reviewed on an ongoing basis and the latest report shows that of the £21.3 million required, £10.2million has been achieved, and a further £8.1 and £2.9million have a high or medium confidence of materialising respectively.</p> <p>The independent review of the MTFS model which provided some assurance on the management of this risk was reported to the Audit Committee meeting in September and is also being presented at the next Scrutiny Board meeting in February. It is understood that the recommendations from this review are being implemented. A validation exercise by internal audit on the accuracy of the MTFS model found no issues. An internal audit review of the assumptions made in compiling the Strategy is being carried out and will be reported to Scrutiny in February 2015.</p> <p>Although the financial risk for 2014/15 is assessed as amber, the assessment for the medium term remains red as there continues to be significant financial challenge, uncertainty and risk for the Council from 2016/17 onwards.</p>
<p>Risk owner: Strategic Executive Board Cabinet Member: Cllr Andrew Johnson</p>						


Risk ref	Risk title and description	Previous score (August 2014)	Current score (November 2014)	Direction of travel	Target score and date	Comment
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: Strategic Executive Board Cabinet Member: Cllr Val Gibson</p>	15 Red	15 Red		10 Amber Next Ofsted inspection	<p>This risk continues to be overseen by the children's and adult's local safeguarding boards.</p> <p>Following the preparation of self-assessments for both children's and adult's safeguarding that were previously reported, these have now been reviewed (by the West Midlands Association of Directors of Children's Services and the West Midlands Association of Directors of Adult Social Services respectively) and feedback received. A report "Our Story" has also been presented to the Cabinet Member for Children and Families, detailing the work being done to safeguard children. Following this, an improvement plan is now being developed which will set out the actions that will be taken and the timescales involved. The Improvement Plan will be monitored by a cross service safeguarding team including representatives from the Youth Offending Team, Public Health, Looked After Children and Safeguarding teams.</p> <p>In terms of child sexual exploitation (CSE), the CSE strategy has been updated and re-launched by the safeguarding Board in November. Multi agency sexual exploitation (MASE) meetings are also held with children and their families, with agreed care plans put in place, where a risk of exploitation has been identified.</p> <p>In terms of the Council's role in ensuring safeguarding in schools, the appointment of a school's safeguarding officer has been approved and once appointed, will provide assurance on compliance with s175 and "Keeping Children Safe in Education".</p> <p>For adult safeguarding, a quality assurance framework is being developed to provide assurance on how the Council is complying with the statutory framework that comes into effect on 1 April 2015. A scoping group has also been established to carry out a safeguarding alert pilot audit and a three month pilot of this tool has commenced. The scoping group is in the process of developing a case file audit tool to enable it to carry out a three month audit commencing in February 2015.</p>

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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: Ros Jervis Cabinet Member: Cllr Andrew Johnson</p>	15 Red	15 Red		10 Amber March 2015	<p>This risk continues to be managed and monitored by the Wolverhampton Resilience Board.</p> <p>The business continuity planning policy has been updated, and will be presented to the Strategic Executive Board for final approval.</p> <p>The Council has identified, benchmarked and agreed 31 'priority one' services. These services have been identified due to the business impact that would materialise in the event of a disruptive incident. Consequently, resources will be reallocated from lower priority services to enable the higher ones to begin operating and be recovered to an acceptable level.</p> <p>Once user acceptance testing of a new electronic planning tool has been completed, work will commence to develop continuity plans for these priority one services in the first instance. It is envisaged this work will be completed by March 2015, after which continuity plans for priority two services will be developed.</p> <p>The plans will be developed using an IT based tool which in due course will be linked into the Council's new Agresso system and will allow automatic alerts to be flagged up to service leads to review and update their plans each time there is a relevant change to employee details (for example, leavers, restructures).</p>




Risk ref	Risk title and description	Previous score (August 2014)	Current score (November 2014)	Direction of travel	Target score and date	Comment
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: Keren Jones Cabinet Member: Cllr Peter Bilson, Cllr Phil Page and Cllr Elias Mattu</p>	16 Red	16 Red		12 Amber June 2015	<p>The measures in place to manage this risk as reported previously continue to be in place. This includes the City Conference, planned by the City Board which took place between 29 September and 6 October. The aim of the Conference was to attract strategic businesses with a high growth potential and the job and supply chain opportunities they bring. The Conference was also about supporting the City's home-grown entrepreneurs to develop and grow their businesses, and helping businesses to innovate and become more internationally competitive. The business links that were established during the Conference are currently being followed up after which an evaluation of the event will be conducted and the findings reported to the City Board's meeting in December.</p> <p>A further measure in managing the risk is the recent announcement of the City becoming a business improvement district which will allow the implementation of a business plan to drive a three million pound investment in the City Centre over the coming years.</p>



Risk ref	Risk title and description	Previous score (August 2014)	Current score (November 2014)	Direction of travel	Target score and date	Comment
11 01/14	<p>The Care Act</p> <p>If the Council does not have robust plans in place to implement the Care Act including:</p> <ul style="list-style-type: none"> • Appropriate governance arrangements • Appropriate project management arrangements • Sufficient financial resources • Sufficient workforce capability and capacity • Effective information systems <p>then it will fail to meet its new responsibilities and discharge its statutory obligations.</p> <p>Risk owner: Tony Ivko Cabinet Member: Cllr Steve Evans</p>	15 Red	15 Red		10 Amber April 2015	<p>Following the consultation process that was previously reported, the Department of Health published the final statutory guidance and the final Care Act guidelines on 23 October 2014. The Council is currently in the process of considering and assessing the impact of this.</p> <p>The programme risk register which captures the risks associated with the successful implementation of the Act, currently shows key risks in the areas of finance and the capability and capacity of other resources.</p> <p>Some of the uncertainty surrounding these risks has since reduced as a result of recent announcements by the Department, including the tightening of the minimum eligibility thresholds for entitlement to social care support. It is understood that the revised threshold now aligns to the current Council practice. Despite this however, there remains an added demand on resources as a result of self-funders who are now included within the Act.</p> <p>The Council is currently testing two financial models to use to deliver the requirements of the Act (the Birmingham model and the Lincolnshire model), which will assess the financial impacts these models would result in, if adopted by the Council.</p> <p>In terms of decision making and implementing the Act, the Council is working with 14 other local authorities across the region to ensure risks (of a judicial review for example) are minimised.</p> <p>A communications strategy is also in place to ensure all stakeholders and in particular residents of the City fully understand the details of the Care Act and how it impacts them. To this end, the Department of Health continues to publish material for local authorities to use so that the messages communicated are consistent.</p> <p>A further assessment of the risk will be made once the final guidance and regulations have been fully considered by the Council, financial models tested and also once the final funding formula is announced by the Department of Health in 2015.</p>

Risk ref	Risk title and description	Previous score (August 2014)	Current score (November 2014)	Direction of travel	Target score and date	Comment
12 01/14	<p>Better Care Fund (BCF) 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: Strategic Executive Board Cabinet Members: Cllr Sandra Samuels and Cllr Steve Evans</p>	15 Red	15 Red		10 Amber October 2015	<p>The Better Care Fund programme continues to be managed by the jointly appointed programme manager and is overseen by the Health and Well Being Board. An update on the progress made in the development of the programme was presented to the Scrutiny Board at its December 2014 meeting.</p> <p>The following actions have taken place to manage this risk:</p> <ul style="list-style-type: none"> • Following the resubmission of the Better Care Plan in September 2014, the Department of Health has rated the plan as “Approved with Support” which means that there is confidence in the delivery of the plan. In order to attain a rating with full assurance, further evidence and information needs to be submitted. The programme team is working to collate and submit this with a view to achieving a fully approved Plan by December. • Work stream leads are continuing with the development of their detailed service plans and service design proposals for a further submission. • The development of programme and work stream risk registers which will be monitored by the Quality and Risk Group. • Development of the management of the agreed pooled budget and Section 75 agreement for consideration and approval by the Health and Well Being Board in January. <p>The risk will continue to be assessed as red until implementation of the programme is underway and assurances received over the achievement of successful outcomes for the residents of Wolverhampton.</p>

Risk ref	Risk title and description	Previous score (August 2014)	Current score (November 2014)	Direction of travel	Target score and date	Comment
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, 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: Tim Johnson Cabinet Member: Cllr Phil Page</p>	15 Red	15 Red		10 Amber From Sept 2014 to April 2015	<p>This risk is being managed by the Head of Standards and Vulnerable Pupils who was appointed in September 2014.</p> <p>The following actions have been taken to assist in the mitigation of this risk:</p> <ul style="list-style-type: none"> The Wolverhampton 2014 School Improvement Strategy has been further updated to clarify how risk assessments and categorisations are derived and the level of challenge that the Council will provide to each school. A School's Governance Strategy 2014 – 2016 has been developed and approved in October 2014. The strategy sets out how the Council will work with schools and governors and support them to be more efficient and effective. This includes, training provided, the Council's expectations of school governors and how a school's governing body will be evaluated for effectiveness. The strategy will be implemented from December 2014. Risk assessments for all primary schools have been completed and where appropriate, actions plans have been put in place and are monitored by school Improvement Boards to ensure progress is being made. <p>In addition to Ofsted reviews, assurance on the effectiveness of the above strategies is provided through audits and reviews carried out by school support advisors, who report their findings to the school's Improvement Board and where appropriate escalate issues to the Assistant Director, Education and Enterprise.</p> <p>In terms of the performance of Academies in the City, the Council has completed desk top analysis of all primary academies. The analysis is dependent on the availability of data and as such, the level of co-operation from the academies. Where concerns are identified these will be considered for escalation to the Secretary of State.</p> <p>The change in the target date reflects the timing of the next review of the school improvement strategy which will take account of the assurances obtained on the effectiveness of the strategy and the measures introduced, as noted above.</p>

The following are the **amber** corporate risks the Council faces in delivering its corporate priorities.

Risk ref	Risk title and description	Previous score (August 2014)	Current score (November 2014)	Direction of travel	Target score and date
5 01/14	<p>FutureWorks</p> <p>If the Agresso system does not perform as expected then there will be a prolonged need to maintain the old system resulting in inefficiencies in service delivery; unplanned maintenance costs and delays in planned savings materialising.</p> <p>Risk owner: Keith Ireland Cabinet Member: Cllr Andrew Johnson</p>	10 Amber	10 Amber		5 Amber December 2014
6 01/14	<p>Compliance with Public Services Network (PSN)</p> <p>If the Council fails to achieve the required technology controls required for connection to PSN, and other similar information security regimes, then it will experience significant interruption to the delivery of its services.</p> <p>Risk owner: Keith Ireland Cabinet Member: Cllr Andrew Johnson</p>	5 Amber	5 Amber		5 Amber Achieved
9 01/14	<p>City Centre Regeneration</p> <p>If the city centre regeneration programme is not effectively managed in terms of project timings, costs and scope, then it will be unable to maximise opportunities including:</p> <ul style="list-style-type: none"> • The attraction of private sector investment • The creation of space to accommodate new businesses and economic growth • The enhancement and creation of visitor attractions • The creation of well paid employment • Retention of skilled workers • The creation of residential opportunities • A functioning city centre offer that serves the residents of the City • Increased prosperity • A reduced demand on Council services <p>Risk owner: Tim Johnson Cabinet Member: Cllr Peter Bilson</p>	8 Amber	8 Amber		8 Amber Achieved

Risk ref	Risk title and description	Previous score (August 2014)	Current score (November 2014)	Direction of travel	Target score and date
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: Ros Jervis Cabinet Member: Cllr Andrew Johnson</p>	9 Amber	9 Amber		6 Amber April 2015
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 "Abdulla" type claims can still be brought <p>Risk owner: Keith Ireland Cabinet Member: Cllr Paul Sweet</p>	12 Amber	12 Amber		8 Amber April 2015
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 • Employees may not have the appropriate training and support to achieve high standards of performance • The Council may not have the required capability to deliver its objectives. <p>Risk owner: Keith Ireland Cabinet Member: Cllr Paul Sweet</p>	N/A	8 Amber	N/A	4 Green