



Appendix 1 – Strategic Risk Register @ June 2018



**Stronger
Economy**



**Stronger
Communities**



**Stronger
Organisation**

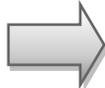
- The following are the reported strategic risks that are currently assessed as high/medium (10 +) that the Council faces in delivering its corporate priorities.

Risk ref	Risk title and description	Previous score (Feb 2018)	Direction of travel	Current score (June 2018)	Target score and date	Comment																																											
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 both the provisions of the Data Protection Act 1998 and the General Data Protection Regulation (GDPR) which comes into force during May 2018; 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 Val Gibson</p> <table border="1"> <tr> <td rowspan="6">Likelihood</td> <td>5</td> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td>4</td> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td>3</td> <td></td> <td></td> <td>12</td> <td></td> <td></td> </tr> <tr> <td>2</td> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td>1</td> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td></td> <td>1</td> <td>2</td> <td>3</td> <td>4</td> <td>5</td> </tr> <tr> <td></td> <td colspan="5">Impact</td> </tr> </table>	Likelihood	5						4						3			12			2						1							1	2	3	4	5		Impact					12 Amber		12 Amber	8 Amber Nov 2018	<p>The score of this risk remains at 12 to reflect the demands of GDPR which came into effect on 25 May 2018. In accordance with the Internal audit plan a GDPR health-check audit has been undertaken to review Wolverhampton's compliance with the new regulations, a draft audit report has been issued and no major issues have been identified. A more detailed review has been scheduled for later on in the year.</p> <p>As reported previously, in preparation for the new regulation a work programme was developed and approved in July 2017. Progress against the work plan is as follows;</p> <ul style="list-style-type: none"> In accordance with the Communication and Training Needs Analysis - department/team training sessions are ongoing, with training for priority 1 departments being completed first. Training delivery is on track. Most service areas that were deemed as high priority have received training and are working through individual action plans, monitoring of completion of these action plans continues. Training has been extended to include Councillors, Tenancy Management Offices, Wolverhampton Homes, Headteacher forums and the Safer Wolverhampton Partnership Board. New GDPR compliant Data Protection and Records Management policies have been approved by IG Board and published. A new Council Privacy Notice has also been approved and published in accordance with GDPR regulations, relevant templates have been provided to service areas who need to draft service specific notices, support for this is being provided by the IG Team. Once they have been approved notices will be linked to the overarching Council notice. The data protection page on the Council's website has also been updated to reflect the new regulation. As of 25 May 2018, the IG team have started to follow statutory procedures for dealing with Subject Access Requests, a new
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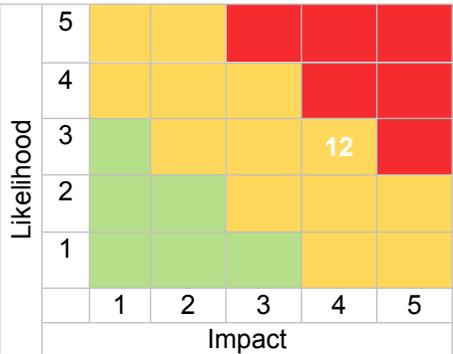
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						<p>standard operating procedure is being drafted and will be finalised when guidance from the Information Commissioners Office has been published.</p> <ul style="list-style-type: none"> • Work continues with Legal and Procurement to finalise the process for when statutory Data Privacy Impact Assessments and Data Processing Agreements are to be used as part of the procurement process. • The GDPR service level agreement with schools went live in April 2018, so far 18 schools have taken up various options, work with these schools has commenced. • A series of City People and Core Brief articles were published during April and May 2018 and an IG team intranet portal is in the process of being developed. • The new GDPR e-learning module went live in April 2018 and will provide employees with additional support and guidance. • Performance in respect of Freedom of Information and Environmental Information and Data Protection and Subject Access Requests remains strong at 99% for each for the year.
4 01/14	<p>Medium Term Financial Strategy</p> <p>If the Council does not manage the risks associated with the successful delivery of its medium term financial strategy including the continual review of the assumptions and projections of the strategy, the effective management of the key MTFS programmes and projects such as the transformation of Adults and Children's services then revenues may be exhausted, resulting 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: Claire Nye Cabinet Member: Cllr Louise Miles</p>	12 Amber		12 Amber	8* Amber On-going	<p>The Budget for 2018-2019 and Medium Term Financial Strategy 2018-2019 to 2019-2020 was approved by the Full Council on 7 March 2018. The report detailed the following matters:</p> <ul style="list-style-type: none"> • That the budget for 2018-2019 is in balance without the use of general reserves. • That a further £19.5 million needs to be identified over the period to 2019-2020 in order to address the projected budget deficit. • That the projected budget deficit assumes the achievement of budget reduction and financial transaction proposals amounting to £28.3 million over the two-year period 2018-2019 and 2019-2020. <p>At their meeting on 11 July 2018 Cabinet approved the high-level budget strategy for 2019-20 which included directorate level budget reduction targets for inclusion in the Draft Budget and Medium Term Financial Strategy for 2019-2020 which will be reported to Cabinet during October 2018.</p>

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	<table border="1" style="margin-left: 20px;"> <tr> <td rowspan="5" style="writing-mode: vertical-rl; transform: rotate(180deg);">Likelihood</td> <td>5</td> <td style="background-color: yellow;"></td> <td style="background-color: yellow;"></td> <td style="background-color: red;"></td> <td style="background-color: red;"></td> <td style="background-color: red;"></td> </tr> <tr> <td>4</td> <td style="background-color: yellow;"></td> <td style="background-color: yellow;"></td> <td style="background-color: yellow;"></td> <td style="background-color: red;"></td> <td style="background-color: red;"></td> </tr> <tr> <td>3</td> <td style="background-color: lightgreen;"></td> <td style="background-color: yellow;"></td> <td style="background-color: yellow;"></td> <td style="background-color: yellow; text-align: center;">12</td> <td style="background-color: red;"></td> </tr> <tr> <td>2</td> <td style="background-color: lightgreen;"></td> <td style="background-color: lightgreen;"></td> <td style="background-color: yellow;"></td> <td style="background-color: yellow;"></td> <td style="background-color: yellow;"></td> </tr> <tr> <td>1</td> <td style="background-color: lightgreen;"></td> <td style="background-color: lightgreen;"></td> <td style="background-color: lightgreen;"></td> <td style="background-color: yellow;"></td> <td style="background-color: yellow;"></td> </tr> <tr> <td></td> <td></td> <td style="text-align: center;">1</td> <td style="text-align: center;">2</td> <td style="text-align: center;">3</td> <td style="text-align: center;">4</td> <td style="text-align: center;">5</td> </tr> <tr> <td></td> <td></td> <td colspan="5" style="text-align: center;">Impact</td> </tr> </table>	Likelihood	5						4						3				12		2						1								1	2	3	4	5			Impact									<p>The reported noted the following:</p> <ul style="list-style-type: none"> The Council's strategic approach to address the budget deficit continues to be to align resources to the Council's Corporate Plan 2016-2019. The Council will soon be undertaking a review of the Corporate Plan and developing the Council's Corporate Plan 2020-2025. Over the medium term, resources will continue to be aligned to the Council's core objective. Since the 2018-2019 budget was set, work has been ongoing to identify a high-level strategy to meet the 2019-2020 deficit, high level proposals were included in the report presented to Cabinet on 11 July 2018, further analysis and consideration of these proposals will take place between July and October 2018 prior to inclusion in the draft budget which will be presented to Cabinet in October 2018. The updated projected deficit assumes the achievement of budget reduction proposals amounting to £28.3m over the two-year period 2018-2019 to 2019-2020. That there continues to be a considerable amount of uncertainty with regards to future funding streams for local authorities particularly with regards 2020-2021 onwards. The Comprehensive Spending Review 2020, the Fair Funding Review and potential pressure arising as a result of new responsibilities will impact upon the Council's budget. The General Fund revenue outturn position for 2017- 2018 was a net underspend of £781,000 against a net budget requirement of £222.6 million. Whilst the positive outturn position helps to support the Council's short term financial position it does not address the Council's challenging financial position in the medium term. The Council's General Fund Balance remains at £10 million, this is the minimum balance as determined by the Council's approved Reserves and Balances Policy. Therefore, emphasis continues to be placed on identifying budget reductions and income generation proposals to meet the projected budget deficit.
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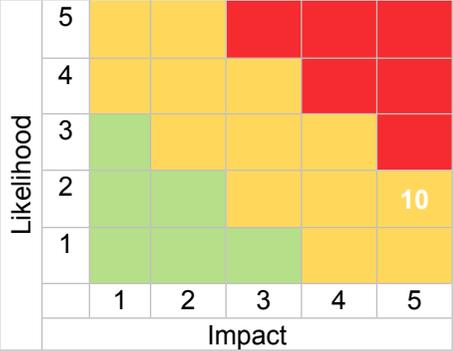
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8 01/14	<p>Business Continuity Management (BCM)</p> <p>Failure to develop, exercise and review plans and capabilities that seek to maintain the continuity of critical functions in the event of an emergency that disrupts the delivery of Council services.</p> <p>Risk owner: Mark Taylor (John Denley) Cabinet Member: Cllr Hazel Malcolm</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> </tr> </table>	Likelihood	5						4						3				12		2						1							1	2	3	4	5		Impact					12 Amber		12 Amber	8 Amber March 2019	<p>At their meeting on 25 April 2018 Cabinet approved plans to transfer the overall day to day management and delivery of Council's Emergency Planning and Business Continuity management service to West Midlands Fire Service (WMFS) under a Collaboration Agreement. It is anticipated that these arrangements will achieve a more resilient, co-ordinated inter-agency and effective service. Two Council employees, the Senior Resilience Officer and the Resilience Officer will be transferred to the Fire Service to support the new arrangements.</p> <p>The Collaboration agreement includes a three-year work-plan to be agreed by the Council's Resilience Board which covers the activities required to ensure that the Council fulfil its responsibility as a 'Category 1' responder and other emergency preparedness, resilience and response duties which include:</p> <ul style="list-style-type: none"> • Emergency planning • Business continuity planning • Exercising to validate emergency preparedness, response and business continuity plans • Support for Senior Managers • Coordination of no notice incidents and planned disruptive events during office hours. • Debriefing of incidents • Liaison to coordinate planning with the NHS, emergency services, neighbouring councils and other relevant agencies • Maintenance and improvement of emergency response resources • Competency based emergency response role training. <p>WMFS Deputy Chief Fire Officer will be responsible for the delivery of the service under the Collaboration Agreement, the Council's Resilience Board will act as the management board for the agreement providing strategic direction, agreeing work plans and approving the annual budget. The Resilience Board will be responsible for monitoring performance of WMFS and its delivery of the Collaboration agreement. WMFS will attend SEB regularly to report on emergency planning and business continuity matters.</p>
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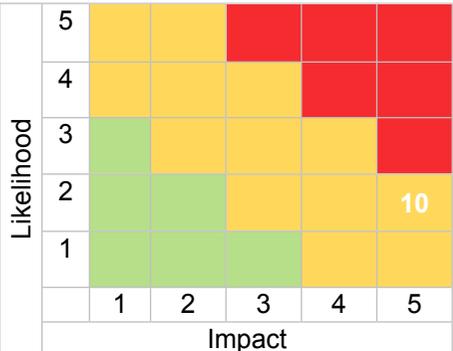
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						Adequate arrangements are in place with regards to both Emergency Planning and Business Continuity prior to implementation of the new arrangement. A Senior Resilience Officer has been recruited and is now in post. The main focus of activities at present is preparation for the merger with WMFS. Day-to-day work is continuing, all legal requirements are being met and the team are starting to hit good practise indicators for resilience. It has been decided that this risk will remain at 12 until new the arrangements are in place and become embedded.
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 a reduced demand on Council services <p>Risk owner: Tim Johnson Cabinet Member: Cllr John Reynolds</p>	12 Amber		12 Amber	12* Amber On-going	<p>Risks are being managed across the City Centre programme to address the potential for delayed delivery and cost overrun. With regards to key projects the following is noted:</p> <ul style="list-style-type: none"> On Interchange, Ion has now entered into the station build contract with Galliford Try, construction work commenced during December 2017. The negotiation around the contract had delayed construction start dates and increased overall costs but with the contract now concluded this clearly represents a major milestone in the delivery of the Interchange masterplan. An Investment Prospectus has been prepared in conjunction with CBRE which presents an ambitious but deliverable 10-year vision for the regeneration of the city centre. This is designed to engage investors and offer a compelling vision for private investment supported by targeted public intervention. The Prospectus points to opportunities for 1 million sq. ft. of office development around the Interchange, the next phase of which will be the i9 office development, a business case for which was recently approved by Cabinet. Benson Elliot has largely completed the refurbishment works to the Mander Centre with Debenhams, the anchor store now open. Continued support is being offered to Benson Elliot in attracting new occupiers but recent changes in UK retail means that this is an incredibly challenging time. Challenges around the recent decision from House of Fraser to exit the city centre are being managed in conjunction with House of Fraser and the owners of the building. Other retail

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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 a major incident. Failure to train sufficient numbers of staff to undertake the roles in our plans that assist our residents in emergencies and protect the council's reputation from damage. Failure to audit the emergency response plans and capabilities of third party organisations that deliver statutory services on behalf of the council.</p> <p>Risk owner: Mark Taylor (John Denley) Cabinet Member: Cllr Hazel Malcom</p> 	12 Amber	➔	12 Amber	8 Amber March 2019	For full details see risk 8 – Business Continuity above. At the Cabinet meeting on 25 April 2018 plans to transfer the overall day to day management and delivery of Council's Emergency Planning and Business Continuity management service to WMFS under a Collaboration Agreement were agreed. It has been decided that the score for this risk will remain at 12 until the new arrangements are in place and become embedded.

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22 01/17	<p>Skills for Work and Economic Inclusion</p> <p>If the city residents do not have the appropriate skills that employers require and the Council does not work effectively with its partners to promote and enable growth, high rates of unemployment and economic inclusion will result in increased demand for council services.</p> <p>Risk owner: Meredith Teasdale Cabinet Member: Cllr Lynne Moran</p> <table border="1"> <tr> <td rowspan="6">Likelihood</td> <td>5</td> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td>4</td> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td>3</td> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td>2</td> <td></td> <td></td> <td></td> <td></td> <td>10</td> </tr> <tr> <td>1</td> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td></td> <td>1</td> <td>2</td> <td>3</td> <td>4</td> <td>5</td> </tr> <tr> <td></td> <td colspan="5">Impact</td> </tr> </table>	Likelihood	5						4						3						2					10	1							1	2	3	4	5		Impact					10 Amber		10 Amber	10 Amber Ongoing	<p>Work is still ongoing to support city residents and businesses effected by the insolvency of Carillion. This approach, i.e. working in partnership with West Midlands Combined Authority, Black Country Local Enterprise Partnership (LEP), Black Country Chamber of Commerce and the Department for Work and Pensions (DWP) has also been adopted to support residents who will be effected by the closure of House of Fraser.</p> <p>The Wolves@Work programme is now half way through and has supported over 2500 city residents into work, over 60% of these individuals have remained in work for more than 12 weeks. A number of employment focus events such as 'Careers into Care' and 'Careers into Construction' have been held to engage residents on the programme and help them understand the skills required to gain particular types of employment. The programme is also targeting offenders and rough sleepers.</p> <p>In conjunction with DWP a number of targeted events aimed at helping women into to work have taken place, these have included 'Women into Manufacturing', 'Women into Logistics' and 'Women into Construction' the aim of these events was to help women look at alternative careers and move back into work.</p> <p>There have now been over 175,000 unique visits to the Wolverhampton Work Box site, www.wolvesbox.com. 95 organisations are now promoting their offer on the site and 2,250 residents have signed up. Development of the Work Box site continues with information on apprenticeships, english speakers for other languages, health and work and careers into care to be included.</p> <p>The Black Country wide European Social Fund Youth Employment Initiative Programme has now been extended until 2021. The programme aims to support young people (aged 16 – 29) who are not in employment education and training (NEET). To date over 1,500 young people have engaged with the programme and 578 have achieved positive outcomes into training or employment.</p> <p>The number of academic age (16 and 17 year olds) in learning at the end of March 2018 was 94.3%, this is the highest percentage for the last six years. Work is ongoing to engage young people NEET and Not Known.</p>
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						An apprenticeships programme has been approved by SEB, the programme proposes options for spending the apprenticeship levy and increasing the number of apprentices at the Council. As stated above information on apprenticeships will be added to the Work Box site and will include information from current and past apprentices. An apprentice group has been established and is meeting regularly to develop case studies and information for Work Box.
23 01/17	<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: Gail Rider Cabinet Member: Cllr Val Gibson</p> 	10 Amber		10 Amber	10 Amber Ongoing – Dependent on cyber world-wide cyber incidents	<p>The level of this risk remains at ten as there are no imminent threats to Local Government at present.</p> <p>Maintaining robust, secure and up-to-date technology defences continues to be the Council's first line of defence against cyber-attacks. Regular maintenance of the cyber security technical defences is required to address identified vulnerabilities. System back-ups continue to be undertaken in accordance with agreed time-tables and practise restores to the Council's non-production area are ongoing to ensure that back-ups have been undertaken correctly and can be restored. Since last reported it is noted;</p> <ul style="list-style-type: none"> • The Council's firewalls were upgraded during January 2018. • The routine patching schedule continues to ensure protection against newly discovered threats and vulnerabilities. • The continued move to the cloud is being undertaken whilst ensuring minimal disruption to services. The move to the cloud is only undertaken when it is the right decision for the business, decisions to move to the cloud are made on a case by case basis. • The Council is in the process of completing their Public Services Network (PSN) certification. Internal and external health checks were undertaken prior to the certification to ensure that any identified vulnerabilities could be addressed. The PSN application has now been submitted and ICT are submitting fortnightly updates on progress, where required remedial action is being undertaken. For the 2018 certification the Security Engineer has been tasked with ensuring that all outstanding items on the PSN action plan are resolved during the year.

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						<ul style="list-style-type: none"> An independent body, NTA Monitor undertook an internal and external health-check during February 2018, ICT are in the process of rectifying issues identified. <p>Information Security and Cyber-Security policies identify the good practices that need to be adopted by the Council. These, along with other HR policies, are regularly reviewed and updated to ensure they are keeping pace and addressing potential threat opportunities. Employee awareness of potential threats and good working practices, through mandatory and associated training, continue to enhance the understanding of cyber security and, help to minimise the opportunities.</p>
29 12/17	<p>Fire Safety – Public Buildings</p> <p>If the Council does not have in place appropriate systems to ensure compliance with the Regulatory Reform (Fire Safety) Order 2005 within public buildings (including schools) there is a risk of injury to members of the public and exposure to regulatory action, financial penalties and reputation damage to the Council.</p> <p>Risk owner: Tim Johnson (Tim Pritchard) Cabinet Member: Cllr Peter Bilson</p> 	10 Amber		10 Amber	5 Amber March 2019	<p>The Council is the Responsible Person for public buildings. The named Responsible Person is Corporate Landlord's Head of Assets.</p> <ul style="list-style-type: none"> 98% of public buildings currently have a fire risk assessment (FRA). Existing FRA's have been reviewed and new FRA's commissioned where required, 85% of corporate buildings and 32% of community schools have a suitable and updated FRA. 100% of corporate buildings and community schools will have a suitable, updated FRA by the end of 2018. FRA's identify actions required to improve fire safety, which are the responsibility of Corporate Landlord or the Site Duty-holder. However, Corporate Landlord retain oversight of all actions in order to ensure implementation. Corporate Landlord undertakes actions to both buildings and systems, for example maintaining and upgrading fire protection systems such as alarms and sprinklers. Sufficient resource(s) are required in terms of specialist staff to arrange works and funding to undertake the works. A fire safety expert is required in-house to enable the Council to fulfil its statutory duties. This role is currently unfunded. There is also a funding gap to undertake the required fire safety works, Corporate Landlord are looking at proposals to address this. The role of Site Duty-Holder was launched in June 2018. Corporate Landlord will support Site Duty-Holders in fulfilling their responsibilities, for example by arranging training for 500 fire marshals, in conjunction with Workforce Development.

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						<p>Corporate Landlord will develop online fire log books during 2018 and will undertake six monthly site audits to ensure that Site Duty-Holders are undertaking required actions.</p> <ul style="list-style-type: none"> Corporate Landlord has implemented liaison arrangements for I10 and will also implement arrangements for other buildings in multiple occupation, such as I11. There is an elevated level of fire risk at the the former Dudley Road School site, which is leased to Blakenhall Action Community Forum (BACF). The future use of this building is under now review. It is noted that whilst Corporate Landlord manages fire risk actions and regular ongoing checks for corporate buildings, community schools have delegated responsibilities. Schools are requested to provide a fire log return half-termly and updated copies of their FRA action plans to demonstrate that regular fire safety checks are being undertaken, along with training and review of emergency arrangements. To date only a third of schools have completed the return. The Council's health and Safety Team have issued a reminder of this requirement to all school's through the Headteacher's bulletin and this issue has also been raised at the Headteacher Health and Safety Forum Annual visits to schools are undertaken to assess fire safety arrangements.

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30 01/18	<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: Tim Johnson 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>16</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="7">Impact</td> </tr> </table>	Likelihood	5						4				16		3						2						1							1	2	3	4	5	Impact							16 Red		16 Red	12 Amber Dec 2018	<p>As previously reported plans for the £14.4 million redevelopment of the 80-year-old, Grade II-listed Civic Halls had begun but work was held up when contractors uncovered major issues.</p> <p>On 31st January 2018, the Council approved a further £23.7 million for a new scheme for the Civic Halls on the basis of a revised business case to address significant building fabric, structural and management issues. Additional works include a substantial number of items not included in the original scheme such as a new electrical and engineering system, major structural work, including a new roof and the latest safety and security measures.</p> <p>A new governance and project management structure has been put in place, commensurate with the scale and complexity of this much larger scheme, including the appointment of a more experienced Programme Director, Project Manager and Cost Manager/Quantity Surveyor. The new project includes a range of work-streams alongside the main design and construction works. Brief details of which are provided below;</p> <ul style="list-style-type: none"> • Business continuity – including the identification of alternative venues for key entertainment events in 2018 and 2019. • Business development – which includes the development of the new entertainment and conferencing offer to be introduced once the venue is reopened. • Economic – ensuring economic objectives such as provision of skills and training and providing support to local business. • Financial – ensuring appropriate financial controls are in place and where appropriate external funding is utilised effectively. <p>Independent risk assurance specialists have been appointed to provide advice and guidance to the Programme Board.</p> <p>As a result of the issues at Civic Halls the former Managing Director presented lessons learnt reports to the Audit and Risk Committee on 25 June 2018.</p>
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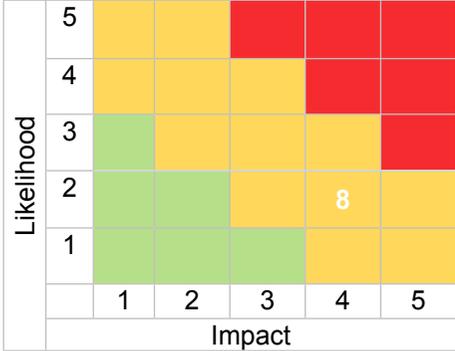
Risk ref	Risk title and description	Previous score (Feb 2018)	Direction of travel	Current score (June 2018)	Target score and date	Comment																																											
31 02/18	<p>City of Wolverhampton College There is a risk that the City of Wolverhampton College is not financially viable without a partner. The preferred partner is the City of Wolverhampton Council. Without the Council's support, there is a risk of a merger. At this point we are unable to agree the words of a Memorandum of Understanding which satisfies the business requirements of the Council. The risk of not finding a solution could be the loss of the College to influences external to the City.</p> <p>Risk owner: Keith Ireland Cabinet Member: Cllr Lynne Moran and Cllr John Reynolds</p> <table border="1"> <tr> <td rowspan="6">Likelihood</td> <td>5</td> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td>4</td> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td>3</td> <td></td> <td></td> <td></td> <td></td> <td></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>4</td> <td></td> <td></td> </tr> <tr> <td></td> <td>1</td> <td>2</td> <td>3</td> <td>4</td> <td>5</td> </tr> <tr> <td></td> <td colspan="5">Impact</td> </tr> </table>	Likelihood	5						4						3						2						1			4				1	2	3	4	5		Impact					12 Amber		4 Amber	4 Amber Target achieved	The risk has been archived, as a memorandum of understanding has now been agreed. A low-level risk has been included on the Corporate Departmental Risk Register regarding the ongoing partnership with the College and the possible call on guarantees provided by the Council.
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33 06/18	<p>Governance of Major Capital Projects and Programmes</p> <p>The Council will fail to maximise opportunities and incur significant reputational and financial risks if major capital projects are not effectively managed, monitored and reviewed, in terms of project timescales, achievement of milestones and costs.</p> <p>Risk owner: Tim Johnson Cabinet Member: Cllr John Reynolds</p> <table border="1"> <tr> <td rowspan="6">Likelihood</td> <td>5</td> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td>4</td> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td>3</td> <td></td> <td></td> <td>12</td> <td></td> <td></td> </tr> <tr> <td>2</td> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td>1</td> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td></td> <td>1</td> <td>2</td> <td>3</td> <td>4</td> <td>5</td> </tr> <tr> <td></td> <td colspan="5">Impact</td> </tr> </table>	Likelihood	5						4						3			12			2						1							1	2	3	4	5		Impact					N/A	N/A	12 Amber	8 Amber June 2019	<p>The Council have established a Project Management Methodology that governs the way all Council projects are managed, regardless of their size. Under the methodology projects have been divided into four distinct gateways; pre-initiation, initiation, delivery and closure. Each gateway has been clearly defined and details of the activities required at each phase are included in the methodology along with necessary toolkits and details of where to find additional support. The methodology also includes a set of mandatory documentation, the full completion of which should ensure that the right level of information is captured, and approvals are sought in order for the project to be delivered.</p> <p>In addition to the methodology a number of additional controls are being adopted as a result of the three Lessons Learnt audit reports that were presented to Audit and Risk Committee on 25 June 2018, brief details of these are outlined below:</p> <ul style="list-style-type: none"> An external specialist project and risk assurance consultancy service have been procured to provide additional challenge, independent analysis and project risk management expertise for major capital projects. The specialist will sit on the Project Assurance Group (PAG). The PAG is chaired by the Strategic Director of Place, or the Director of Finance in his absence and will provide oversight and challenge for major capital projects and programmes. Either the project's Senior Responsible Officer (SRO) or the Project Manager will be required to attend PAG meetings to provide progress updates. Going forward the PAG will focus on projects that are in the delivery stage. Additional controls have been put in place to ensure that the Council's project management system, Verto is kept up to date. A performance dashboard has been developed which highlights areas of non-compliance and will be presented to the PAG. The Projects and Programme team have been given more autonomy to raise issues and concerns around the accuracy of reporting information added to Verto. Corporate Procurement will have representation on working groups for all externally procured major projects. All reports
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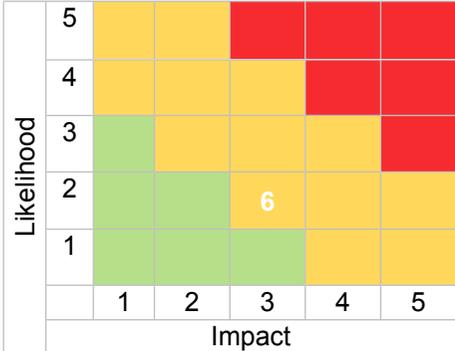
Risk ref	Risk title and description	Previous score (Feb 2018)	Direction of travel	Current score (June 2018)	Target score and date	Comment
						<p>taken to Cabinet for internally and externally procured major projects will be reviewed by Corporate Procurement.</p> <ul style="list-style-type: none"> Both the Audit Business Partner and the Commercial Business Partner have received Accredited Senior Gateway Reviewer training and will undertake peer reviews on major projects, based on requests from the SRO. A formal change management log will be developed, and all project changes will be approved in accordance with project governance structures. Appropriate quorum requirements will be set for project meetings to ensure that key decisions are agreed by all major stakeholders. The Chair of the PAG has been designated as a point of contact for SRO's to raise concerns regarding their ability to govern projects and programmes effectively. <p>Action plans from the three Lessons Learnt reports that were presented to the Audit and Risk Committee on 25 June 2018 will be monitored by Audit Services and quarterly updates on progress will be presented to the Committee</p>
34 06/18	<p>Wolverhampton Interchange Programme (Train Station)</p> <p>There is a significant reputational and financial risk to the Council and to the City's wider visitor economy if the Interchange programme and specifically the train station is not effectively managed in terms of project timings, costs and scope.</p> <p>Risk owner: Tim Johnson Cabinet Member: Cllr John Reynolds</p>	N/A	N/A	12 Amber	8 Amber Dec 2018	<p>The Wolverhampton Interchange Programme proposes to deliver a transport hub to the city centre comprising a new train station (the current station handles over 4.75 million passengers per annum and is no longer fit for purpose), multi-storey car park and an extended tram connection. The programme and specifically the train station refurbishment were subject to a lessons learnt review by Audit Services which was publicly presented to the Council's Audit and Risk Committee meeting on 25 June 2018. Issues identified included:</p> <ul style="list-style-type: none"> An adequate budget had not been reported to Cabinet from the outset of the scheme. A specific contingency budget for the train station had not been established. A shared contingency of £12.5m had been approved for the train station and the metro extension, but at the time of our review (February 2018) it was identified that £4m had been expended to cover a funding short fall. Corporate Procurement had not been involved at the start of the project. It was noted that that issues with suppliers had

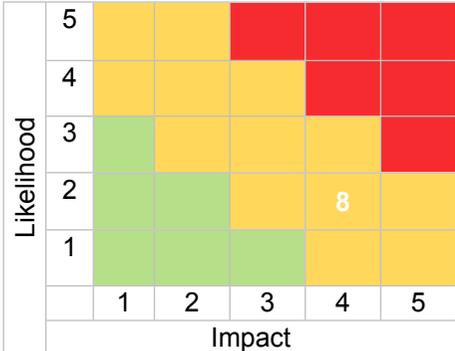
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- The following are the medium and low (assessed at less than 10) strategic risks that the Council faces in delivering its corporate priorities.

Risk ref	Risk title and description	Previous score (Feb 2018)	Direction of travel	Current score (June 2018)	Target score and date
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: Emma Bennett Cabinet Member: Cllr Sandra Samuels OBE and Cllr Paul Sweet</p> 	8 Amber		8 Amber	8 Amber On-going

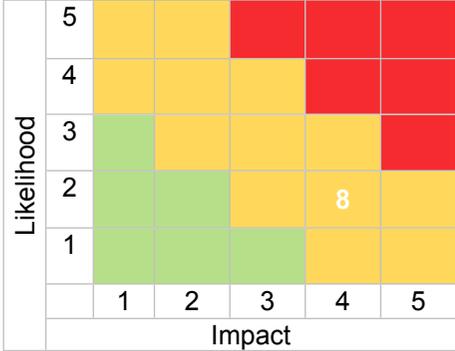
Risk ref	Risk title and description	Previous score (Feb 2018)	Direction of travel	Current score (June 2018)	Target score and date																																													
14 01/14	<p>School Improvement</p> <p>If the Council does not provide effective support, challenge and appropriate intervention to raise standards in maintained 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: Meredith Teasdale Cabinet Member: Cllr Lynne Moran</p> <table border="1" data-bbox="250 560 705 911"> <tr> <td rowspan="5" style="writing-mode: vertical-rl; transform: rotate(180deg);">Likelihood</td> <td>5</td> <td style="background-color: #FFD700;"></td> <td style="background-color: #FFD700;"></td> <td style="background-color: #FF0000;"></td> <td style="background-color: #FF0000;"></td> <td style="background-color: #FF0000;"></td> </tr> <tr> <td>4</td> <td style="background-color: #FFD700;"></td> <td style="background-color: #FFD700;"></td> <td style="background-color: #FFD700;"></td> <td style="background-color: #FF0000;"></td> <td style="background-color: #FF0000;"></td> </tr> <tr> <td>3</td> <td style="background-color: #90EE90;"></td> <td style="background-color: #FFD700;"></td> <td style="background-color: #FFD700;"></td> <td style="background-color: #FFD700;"></td> <td style="background-color: #FF0000;"></td> </tr> <tr> <td>2</td> <td style="background-color: #90EE90;"></td> <td style="background-color: #90EE90;"></td> <td style="background-color: #FFD700;"></td> <td style="background-color: #FFD700;"></td> <td style="background-color: #FFD700;"></td> </tr> <tr> <td>1</td> <td style="background-color: #90EE90;"></td> <td style="background-color: #90EE90;"></td> <td style="background-color: #90EE90;"></td> <td style="background-color: #FFD700; text-align: center;">4</td> <td style="background-color: #FFD700;"></td> </tr> <tr> <td></td> <td></td> <td style="text-align: center;">1</td> <td style="text-align: center;">2</td> <td style="text-align: center;">3</td> <td style="text-align: center;">4</td> <td style="text-align: center;">5</td> </tr> <tr> <td></td> <td></td> <td colspan="5" style="text-align: center;">Impact</td> </tr> </table> <p>*In accordance with the Schools Causing Concern Guidance – February 2018, the Council attend regular meetings with the Regional School Commission and notify them of any concerns surrounding Academies.</p>	Likelihood	5						4						3						2						1				4				1	2	3	4	5			Impact					4 Amber		4 Amber	4 Amber Target achieved 95% maintained schools @ good or above
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24 01/17	<p>Maximising Benefits from West Midlands Combined Authority</p> <p>If the Council does not put in place effective co-ordination arrangements to utilise the opportunities available from being part of West Midlands Combined Authority (WMCA) it will be unable to maximise the benefits and opportunities available to it.</p> <p>Risk owner: Tim Johnson Cabinet Member: Cllr Roger Lawrence</p>  <table border="1" data-bbox="250 507 705 858"> <tr><td></td><td>5</td><td></td><td></td><td></td><td></td><td></td></tr> <tr><td></td><td>4</td><td></td><td></td><td></td><td></td><td></td></tr> <tr><td></td><td>3</td><td></td><td></td><td></td><td></td><td></td></tr> <tr><td></td><td>2</td><td></td><td>6</td><td></td><td></td><td></td></tr> <tr><td></td><td>1</td><td></td><td></td><td></td><td></td><td></td></tr> <tr><td>Likelihood</td><td>5</td><td>4</td><td>3</td><td>2</td><td>1</td><td></td></tr> <tr><td></td><td>1</td><td>2</td><td>3</td><td>4</td><td>5</td><td>Impact</td></tr> </table>		5							4							3							2		6					1						Likelihood	5	4	3	2	1			1	2	3	4	5	Impact	6 Amber		6 Amber	3 Green August 2018
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25 03/17	<p>Payment Card Industry Data Security Standard</p> <p>If the Council does not put in place appropriate systems, procedures and technologies to ensure agent-led telephone payments are compliant with the Payment Card Industry Data Security Standard, there is a risk of data breaches which may result in regulatory action, financial penalties and reputational damage.</p> <p>Risk owner: Claire Nye Cabinet Member: Cllr Louise Miles</p>  <table border="1" data-bbox="250 576 705 927"> <tr><td>5</td><td>Yellow</td><td>Yellow</td><td>Red</td><td>Red</td><td>Red</td></tr> <tr><td>4</td><td>Yellow</td><td>Yellow</td><td>Yellow</td><td>Red</td><td>Red</td></tr> <tr><td>3</td><td>Green</td><td>Yellow</td><td>Yellow</td><td>Yellow</td><td>Red</td></tr> <tr><td>2</td><td>Green</td><td>Green</td><td>Yellow</td><td>8</td><td>Yellow</td></tr> <tr><td>1</td><td>Green</td><td>Green</td><td>Green</td><td>Yellow</td><td>Yellow</td></tr> <tr><td></td><td>1</td><td>2</td><td>3</td><td>4</td><td>5</td></tr> <tr><td></td><td colspan="5">Impact</td></tr> </table>	5	Yellow	Yellow	Red	Red	Red	4	Yellow	Yellow	Yellow	Red	Red	3	Green	Yellow	Yellow	Yellow	Red	2	Green	Green	Yellow	8	Yellow	1	Green	Green	Green	Yellow	Yellow		1	2	3	4	5		Impact					8 Amber		8 Amber	4 Amber April 2019
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27 06/17	<p>Safety concerns around the City's tower blocks</p> <p>Following the recent tragic events at Grenfell Tower in London, there is an urgent need for the Council to ensure that the tower blocks in the City do not face the same risks, and that tenants can be assured on this.</p> <p>Risk Owner: Kate Martin Cabinet Member: Cllr Peter Bilson</p> <table border="1" data-bbox="250 547 705 898"> <tr> <td rowspan="6" style="writing-mode: vertical-rl; transform: rotate(180deg);">Likelihood</td> <td>5</td> <td style="background-color: #FFD700;"></td> <td style="background-color: #FFD700;"></td> <td style="background-color: #FF0000;"></td> <td style="background-color: #FF0000;"></td> <td style="background-color: #FF0000;"></td> </tr> <tr> <td>4</td> <td style="background-color: #FFD700;"></td> <td style="background-color: #FFD700;"></td> <td style="background-color: #FFD700;"></td> <td style="background-color: #FF0000;"></td> <td style="background-color: #FF0000;"></td> </tr> <tr> <td>3</td> <td style="background-color: #90EE90;"></td> <td style="background-color: #FFD700;"></td> <td style="background-color: #FFD700;"></td> <td style="background-color: #FFD700;"></td> <td style="background-color: #FF0000;"></td> </tr> <tr> <td>2</td> <td style="background-color: #90EE90;"></td> <td style="background-color: #90EE90;"></td> <td style="background-color: #FFD700;"></td> <td style="background-color: #FFD700;"></td> <td style="background-color: #FFD700;"></td> </tr> <tr> <td>1</td> <td style="background-color: #90EE90;"></td> <td style="background-color: #90EE90;"></td> <td style="background-color: #90EE90;"></td> <td style="background-color: #FFD700;"></td> <td style="background-color: #FFD700;"></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" style="text-align: center;">Impact</td> </tr> </table>	Likelihood	5						4						3						2						1							1	2	3	4	5		Impact					5 Amber		5 Amber	5 Amber Target achieved
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28 10/17	<p>Health and Safety</p> <p>Through failure to use safe working methods the Council may be exposed to regulatory action, financial penalties and reputational damage.</p> <p>Risk owner: Claire Nye Cabinet Member: Cllr Val Gibson</p> <div data-bbox="250 513 705 865" style="border: 1px solid black; padding: 5px; margin-top: 10px;"> <table border="1"> <tr><td rowspan="6" style="writing-mode: vertical-rl; transform: rotate(180deg);">Likelihood</td><td>5</td><td style="background-color: #FFD700;"></td><td style="background-color: #FFD700;"></td><td style="background-color: #FF0000;"></td><td style="background-color: #FF0000;"></td><td style="background-color: #FF0000;"></td></tr> <tr><td>4</td><td style="background-color: #FFD700;"></td><td style="background-color: #FFD700;"></td><td style="background-color: #FFD700;"></td><td style="background-color: #FF0000;"></td><td style="background-color: #FF0000;"></td></tr> <tr><td>3</td><td style="background-color: #90EE90;"></td><td style="background-color: #FFD700;"></td><td style="background-color: #FFD700;"></td><td style="background-color: #FFD700;"></td><td style="background-color: #FF0000;"></td></tr> <tr><td>2</td><td style="background-color: #90EE90;"></td><td style="background-color: #90EE90;"></td><td style="background-color: #FFD700;"></td><td style="background-color: #FFD700; text-align: center;">8</td><td style="background-color: #FFD700;"></td></tr> <tr><td>1</td><td style="background-color: #90EE90;"></td><td style="background-color: #90EE90;"></td><td style="background-color: #90EE90;"></td><td style="background-color: #FFD700;"></td><td style="background-color: #FFD700;"></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" style="text-align: center;">Impact</td></tr> </table> </div>	Likelihood	5						4						3						2				8		1							1	2	3	4	5		Impact					8 Amber		8 Amber	4 Amber Sept 2018
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32 06/18	<p>Waste Management Services</p> <p>If the Council does not manage the changes to Waste Service Delivery effectively there is a risk that savings targets will not be delivered, and reputational damage may be incurred due to issues with waste collections.</p> <p>Risk owner: Tim Johnson Cabinet Member: Cllr Steve Evans</p>  <table border="1" data-bbox="250 523 705 874"> <tr> <td rowspan="6">Likelihood</td> <td>5</td> <td>Yellow</td> <td>Yellow</td> <td>Red</td> <td>Red</td> <td>Red</td> </tr> <tr> <td>4</td> <td>Yellow</td> <td>Yellow</td> <td>Yellow</td> <td>Red</td> <td>Red</td> </tr> <tr> <td>3</td> <td>Green</td> <td>Yellow</td> <td>Yellow</td> <td>Yellow</td> <td>Red</td> </tr> <tr> <td>2</td> <td>Green</td> <td>Green</td> <td>Yellow</td> <td>8</td> <td>Yellow</td> </tr> <tr> <td>1</td> <td>Green</td> <td>Green</td> <td>Green</td> <td>Yellow</td> <td>Yellow</td> </tr> <tr> <td></td> <td>1</td> <td>2</td> <td>3</td> <td>4</td> <td>5</td> </tr> <tr> <td></td> <td colspan="5">Impact</td> </tr> </table>	Likelihood	5	Yellow	Yellow	Red	Red	Red	4	Yellow	Yellow	Yellow	Red	Red	3	Green	Yellow	Yellow	Yellow	Red	2	Green	Green	Yellow	8	Yellow	1	Green	Green	Green	Yellow	Yellow		1	2	3	4	5		Impact					N/A	N/A	8 Amber	4 Amber Upon full implementation of all the changes to waste management services
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	3		Green	Yellow	Yellow	Yellow	Red																																									
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* 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.