

Strategic Risk Register 2022/23



May 2022

No.	Risk <i>Cause and Effect</i>	Corporate Goal Lead	Existing Controls and Assurances	Impact	Likelihood	Risk score	Status & Trend	Further Actions/Planned Mitigations	Deadline
1	<p>Threats to the Economic Growth of Walsall are not identified and mitigated, together with opportunities for sustainable growth being missed.</p> <ul style="list-style-type: none"> Continued uncertainty as to the ongoing effects of the Covid-19 pandemic. Any loss of EU funding not compensated for by domestic funding changes. Resultant economic uncertainty weakens the investment market and the opportunities for our residents to secure sustainable employment. Business Rate income under threat as a result of weakening markets and reducing business confidence. Change in shopping habits threatening town and district centres. Insufficient land available for development. Insufficient funding to bring all brownfield land back into the market place. The end of the Local Growth Fund (LGF) and lack of clarity over the release of phase 2 of the Land & Property Investment Fund (LPIF) by the WMCA. Lack of clarity over new Government replacement funding allocations to the BCLEP, e.g. the introduction of the UK Shared Prosperity Fund (UKSPF). Black Country Enterprise Zone funding could be available to support regeneration activities. Lack of pipeline development which will limit Walsall's opportunities to secure funding. <p><i>The effect would be reduced future income streams for the council, increased unemployment and reliance on services from the community, reduced aspirations for next generation.</i></p>	<p>Economic Growth</p> <p>Executive Director Economy, Environment & Communities</p>	<p>Existing Controls:</p> <ul style="list-style-type: none"> Reviewing investment options for development sites. Economic Growth Programme continuing to March 2023. Strategies and Policies in place. Single Accountable Body status implemented from Feb 2020. <p><i>Assurances:</i> Government has issued the Future High Streets Fund and the Town Deal and the Levelling up fund. Walsall has secured £11.4m from FHSF, has been allocated £41.6M from the Town Deal pot, and is preparing proposals for Round 2 of LUF.</p> <p><i>Site Allocation Document and Area Action Plan adopted by Walsall Council.</i></p> <p><i>So far £94million has been approved for Walsall from the LEP's LGF and LPIF programmes including the remediation of Phoenix 10.</i></p> <p><i>Pipeline development plan has been developed and addressed through close working with Combined Authority and LEP.</i></p> <p><i>Delivery of Town Centre Masterplan will address vulnerability of town centre economy</i></p>	Current Score			<p>Red</p> <p>↔</p>	<ol style="list-style-type: none"> We continue to engage with central government funding streams whether directly through LAs e.g. Levelling Up Fund or managed through the WMCA, including the latest brownfield funding. Continued promotion of investment opportunities in a range of media, including Walsall Town Centre, Walsall to Wolverhampton Corridor and Junction 10 cluster as priorities in West Midlands Investment Prospectus. Walsall Council officers continue to manage the single financial model for all BC Enterprise Zone funding. Developing the transformative town centre Connected Gateway scheme and Town Deal projects which contribute to the repurposing of the town centre and diversification of the economy. Plans to market Walsall Town Centre with its own branding to increase real estate values, lift the mood, and promote Walsall as a prosperous place to live, work and play. Work with CA and partners to identify and bring forward employment sites and include within investment propositions for the town. Develop pipeline projects and secure support to resource this. Focus on land assembly using statutory powers and partnership working to bring forward sites which have been inactive long term. Create and practise progressive and pragmatic planning policy, processes and decision making to bring forward housing and employment sites. 	Ongoing
Target Score				4	4	16			
3				3	9	Amber	October 2022		
				February 2023					
				March 2025					
				September 2023					
				March 2023					
				December 2022					
				Ongoing					
				Ongoing					

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2	<p>Proud Continuous Improvement does not achieve the outcomes and benefits required to ensure that available resources are directed to deliver the greatest outcomes for the community.</p> <ul style="list-style-type: none"> • Lack of commitment to change; • IT infrastructure does not support change; • Directorates and Services work in disparate way; • The organisation does not have the skills or expertise required to deliver change; • The programme is not focused on the right changes or stretching enough to achieve the targets and outcomes identified; or very stretching, but without the required infrastructure to deliver this. • Lack of capacity to deliver change; • The changes made are not fully adopted by the organisation, new ways of thinking and working are not fully embedded. • The organisation cannot sustain the changes made. <p><i>The effect would be that costs of service provision remains above optimum level and opportunity cost of this cannot be removed. The Council would not become fit for purpose to face future challenges. Behaviours and Culture would not change.</i></p>	ALL	<p>Existing Controls:</p> <ul style="list-style-type: none"> - As the Proud Programme transitioned into continuous improvement activity from April 2022, Proud governance arrangements were revised and approved and are in place for Walsall Proud Board (WPB), Business Design (BDA) and Technical Design Authorities (TDA). The Terms of Reference for Proud Board and BDA have been refreshed and aligned to the revised approach. Directors and SMG have been updated with the changes; - Proud Work Streams reaffirmed with CMT Sponsor and Work Stream Lead governed by Work Stream Steering Group (one for each Work Stream) and Programme Management from Proud Programme Management Office (PMO); - Monthly oversight by CMT of Proud activity on a weekly basis; - Programme definition baselined and roles and responsibilities approved; - Standard programme and project management processes now in place to track progress against plan, manage resources and risks; - PMO now established standard documentation for reporting to Board including highlight reports assurance against plan and risk register; - Proud Promises: Customer, Employee and Efficiencies being tracked by Highlight reporting on each Work Stream; - Work Force Strategy approved and being implemented taking account of findings from Employee Survey. 	Current Score		4	3	12	Red ↔	<p>1) Via the Proud Implementation Plan a resource profile has been produced to identify skills and capacity required to deliver the programme activity. This was approved at May Board and recruitment will commence. Recruitment to transformational roles continues to be challenging, in some areas temporary contracted resources are being used. Change Centre of Excellence roles now defined and evaluated, moving into recruitment.</p> <p>2) The Proud PMO is maturing and has implemented standards and processes to aid consistency of projects. This includes training and support for key roles such as SRO and Workstream lead. Training will be rolled out in Sept/Oct. An IT system is being implemented to show project and workstream progress.</p> <p>3) Resource requirements will continue to be monitored as transformation projects continue to be developed.</p> <p>4) Undergoing an LGA Peer Review which will cover Proud Programme delivery within its remit and will take onboard any recommendations and actions as appropriate</p>	Ongoing March 2023
Target Score		4	2	8	Amber						

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			<p>Additional Employee Surveys undertaken (2 on Covid Working from Home) and a full employee survey completed September 2021;</p> <ul style="list-style-type: none"> - Workstream delivery aligned to services through the development of service transformation plans which is the delivery vehicle through which a balanced 2022/23 position and 4 year MTFO from 2023/24 will be achieved; - Regular reporting on benefits delivery via Board, and Cabinet / CMT; - Proud Communications releases regular updates on achievements and progress; - Refreshed risk register completed. <p>Assurances:</p> <ul style="list-style-type: none"> - <i>Monthly monitoring of financial benefit and highlight report on Proud activity and workstream progress to Board;</i> - <i>Regular reporting to Cabinet on benefit delivery;</i> - <i>Separate corporate financial reporting includes delivery of benefit savings and requirement to address any financial saving shortfalls to ensure council outturns within budget despite any in year financial and demand pressures; Evidenced by Outturn 2021/22 and previous years all within budget with unqualified audit.</i> 						

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3	<p>Partnership relationships with other sectors and our major suppliers fail to deliver on shared objectives and therefore outcomes for the community.</p> <ul style="list-style-type: none"> • Non vibrant voluntary sector; • Weak relationships with Partners; • Lack of supply chain resilience / suppliers of services in market; • Provider fails; • Financial pressures in other sectors reduce the resources they can deploy; <p><i>The effect of this risk materialising would be increased future costs for the Council to deliver the same or reduced services or service disruption due to provider or contractor failure.</i></p>	<p>Communities</p> <p>Executive Director Adult Social Care</p>	<p>Existing Controls:</p> <ul style="list-style-type: none"> • Development of a strategic partnership board and a range of thematic boards to oversee delivery of the priorities in Walsall. • Contract Management Procedures in place. • Robust Relationships with Police/Health/Housing/FE/Schools/Fire/VCR/CDM sector. • Care Home Closure Procedures in place for provider failure. Domiciliary care market closure, attracting the marketplace procedures. Suppliers of food/cleaning materials/other goods and supplies required by Council. • Major contracts have robust response plans in place to be activated if the company fails. • Risk Assessment of major contractors completed. <p><i>Assurances:</i> Quality Audit and Monitoring Resources in Adult Social Care. PwC work across all Directorates.</p>	<p>4</p>	<p>3</p>	<p>12</p>	<p>Red</p> <p>↔</p>	<p>1) New outcome focused contracts to be established for priority aims Increase the percentage of suppliers who are contracted with the Council.</p> <p>2) Additional resources in ASC identified for quality audit and monitoring. QICT established, however, monitoring functions to be scoped as part of HUB implementation.</p> <p>3) Design and implement the Quality assurance and Contract Monitoring function of the Council Hub.</p> <p>4) Develop quality surveillance with systems with collective responsibility for the quality of (all) care provision.</p> <p>5) Re-commissioning of the ASC community based services (CBS) Framework to ensure the procurement exercise is completed in a timely manner, alleviating the need for a transitional contract. Re-imagining Home Care on our Service Transformation Plan with this action linked to action 2.</p> <p>6) Strategic Procurement function to be developed in the Council Hub.</p>	<p>April 2023</p> <p>April 2023</p> <p>Timeline for implementation end of 2022</p> <p>Mid-late 2022</p> <p>Framework in place and Transitional contracts agreed by Cabinet 12.02.2020 with all aligned to March 2023</p> <p>Delay due to Covid-19. New timeline to be established by sub group.</p>
				4	2	8	Amber		

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4a	<p>The Council is unable to maintain statutory service standards to support the most vulnerable in society.</p> <p>Demand management</p> <ul style="list-style-type: none"> thresholds, understanding and application of thresholds insufficient across the partnership, leading to unnecessary referrals of children and families from single agencies. Right Help Right Time: Children who do not require specialist services may be open across Children’s Social Care. Children’s Services become overstretched and are unable to maintain service standards. As a consequence children may not be adequately safeguarded from harm. High profile child protection cases from other areas and associated media coverage may result in increased demand within the service due to increased risk aversion among professionals and public concern, creating more demand at the front door and a higher demand for child protection plans and children entering care. <p>Children in specific circumstances are not adequately supported and are left at risk (missing, criminal exploitation, SEND, complex needs/ tier 4 / CSE / exclusion)</p> <ul style="list-style-type: none"> intelligence around vulnerable children are not robustly captured or joined up within children’s services and across the partnership, there is a lack of action to disrupt criminal activity and support is not sufficient. This can lead to children and young people being sexually or criminally exploited, going missing and being left at risk of short or long term harm, poor outcomes and of becoming perpetrators themselves. 	People Executive Director Children’s Services	<p>Existing Controls:</p> <ul style="list-style-type: none"> Safeguarding practice standards are in place alongside the Right Help, Right Time guidance to ensure that professionals understand requirements and thresholds for statutory services. The All Age Exploitation supports best practice in this area. Closer monitoring of child exploitation is taking place through strategic management structure and operations group and the new strategy has been launched. New Early Help Strategy has been developed and launched with partners and regular “time to talk” partnership events are held to ensure that everyone is aware of their responsibilities in delivering effective Early Help. Key safeguarding multi-agency messages from the Walsall Safeguarding Partnership are issued to all staff on a weekly or bi-weekly basis. The implementation of Inclusion, Access and SEND strategies and a robust Schools Causing Concern Protocol are in place. Key operational sub-groups are in place for MASH and SEND, working cross partnership to monitor demand and improve practice. A robust Quality Assurance Framework ensures that qualitative and quantitative data is brought together to identify areas of good practice and areas for improvement. 	Current Score			<div style="background-color: red; color: white; text-align: center; padding: 5px;"> Red ↑ </div>	1) QA Framework embedded and in place for social care, early help and youth justice. Now being rolled out through Access and Inclusion (Initial stages complete – this is now moving into an ongoing improvement and assurance action)	Ongoing
				3	4	12			
								Target Score	
3	3	9							
							3) Ensure that the code of practice is fully implemented and all requirements are met as per the SEND WSoA.	Ongoing	
									4) SEND Local Offer and new Early Help webpages have been launched. Remaining pages are being reviewed and updated
							5) Implement migration to Capita SaaS and improve system functionality.	March 2023	
									6) Implement migration to Child View SaaS and implement automated reporting.

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	<p>Provision of services does not meet the needs of children and families across Early Help, Social Care and Education (including SEND)</p> <ul style="list-style-type: none"> • Systems, processes and quality of practice are not robust, contribution of partners is not sufficient and advice and information provided to parents and carers is not of a suitable quality. • Performance information and analysis are not robust and do not support service planning and improvement. <p>This can lead to children and families not being supported in a way which maximises their opportunities and outcomes and the council not being compliant with legal and statutory requirements, resulting in legal challenge and poor inspection outcomes.</p>		<ul style="list-style-type: none"> • Demand is monitored with any change responded to quickly. Demand data is also shared with partners to support conversations about ensuring that children are receiving the right help at the right time. • There is a strong learning and development offer in place for all staff. • New practice models now in place and are being embedded. • Skilled and experienced performance team is able to understand and respond to the data and analysis needs of the business. • Robust performance management culture being adopted across services. • Websites are being updated to ensure parents and professionals have access to information to support self-service. <p><i>Assurances:</i></p> <ul style="list-style-type: none"> • Multi-agency threshold training has been delivered across the Safeguarding Partnership. Ongoing monitoring of demand and capacity demonstrates where this has been implemented successfully or where further training is required. • Half termly Schools Causing Concern Protocol is identifying schools that need additional support, gathering assurances on action plans and providing effective challenge. Monitoring of school attainment and performance is part of this. • Ongoing programme of audits is in place and are being used alongside 						

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			<p><i>performance and demand data to provide assurance and inform action plans</i></p> <ul style="list-style-type: none"> <i>External oversight from Ofsted and DLUHC confirms the quality of provision of services and assurance that the right families and children are being supported in the right way.</i> 						

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4b	<p>Adult Social Care The risk of being unable to maintain service standards to support the most vulnerable in the Borough continues to provide some challenges at this time due to increased demand on adult social care.</p> <p>Safeguarding demand continues to be prioritised and referrals screened and progressed to a safeguarding enquiry where appropriate.</p> <p>Immediate risk management plans are put into place where possible, with the aim to reduce risk and immediate visits scheduled where the risk is to be considered high or further information is needed to be obtained to ensure the welfare of the citizen.</p> <p>Whilst the numbers of safeguarding referrals remains in line with 2021, the complexity of situations is apparent. There is an increase of referrals relating to self-neglect and domestic abuse and these are areas of focus and key priority for the safeguarding partnership.</p> <p>ASC continue to work within the statutory duties outlined in the Care Act 2014, and other legislative frameworks including the Mental Capacity Act, Mental Health Act and Human Rights Act.</p>	<p>People</p> <p>Executive Director Adult Social Care</p>	<p>Existing Controls</p> <ul style="list-style-type: none"> Ongoing focus, training, development and audit to ensure staff are developing safe, effective practice Active engagement and partnership working within the safeguarding partnership. Development of strategy, action & delivery plans to respond to the changing needs of the Borough Staff are evidencing embedding of strengths-based practice and defensible decision making which is evident through internal and multi-agency adult activity. Ongoing monitoring of demand and capacity to ensure this activity is prioritised and resourced appropriately. Additional agency staff supporting access team following an increase in safeguarding concerns being raised. Launch of new risk enablement tools April 2020 to evidence decision making rationale in response to safeguarding concerns. Clear learning and development offer in place for all staff to ensure staff are upskilled and able to meet the needs of the citizens and achieve best practice outcomes. <p><i>Assurances:</i></p> <ul style="list-style-type: none"> ✓ Ongoing programme of internal and multi-agency audits in place to provide assurance and inform action plans. ✓ Staff supervision and management oversight of case work 	<p>4</p>	<p>4</p>	<p>16</p>	<p>Red</p> <p>↔</p>	<p>Safeguarding is a key priority and statutory duty within the Care Act for the local authority.</p> <p>We continue to work in partnership with the Walsall safer partnership to address challenges such as exploitation, violence reduction and domestic abuse.</p>			
						<p>Target Score</p> <p>4</p>	<p>2</p>	<p>8</p>	<p>Amber</p>	<p>A programme of transformation will consider the business needs through the CAM workstream, but also look to how we can strengthen adult safeguarding.</p> <p>Information sharing systems (MAST/Graphnet) continue to be developed which would enhance existing systems.</p>	<p>“Front door” new arrangements to be proposed by October 2022</p> <p>MAST – TBC, some slippage due to partner agencies. October 2022</p>

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			<ul style="list-style-type: none"> ✓ Oversight from the safeguarding partnership through forums such as practice quality assurance meeting. ✓ Reporting to the quality and safety committee safeguarding activity and actions to offer mitigation where appropriate. 						

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5	<p><i>Cause and Effect</i></p> <p>External Changes in Political and/or legislative environment including ongoing impact of Covid-19.</p> <ul style="list-style-type: none"> • Brexit • Changes in political direction from government; • Changes in priority locally; • Government driven reform to local government structures / devolution • Lack of reform – local government finance, social care funding <p>The effect of this risk materialising is that some of the generational change required for example long term regeneration plans or public health driven initiatives may be subject to changing landscape where strategic direction or political landscape changes.</p> <p>EU Exit – Trading Standards - Impact both short, medium and long term on Trading Standards - their portfolio of enforcement responsibilities is almost certainly the largest and most varied in local government and even small changes in law or guidance are difficult to keep up with especially against a back drop of local, regional and national shortfall of officer and specialist resource unprecedented in modern times.</p>	All Executive Director Resources and Transformation	<p>Existing Controls:</p> <ul style="list-style-type: none"> • Regular statutory officers’ meetings review and consider national and local environment. • Main record of the council’s statutory obligations is contained within the Constitution. • The council monitors legislative and policy changes and implements change where necessary to ensure it acts lawfully. CMT oversight ensures organisation remains flexible to change. • Medium term financial strategy and rolling 4-year medium term financial outlook in place and regularly reviewed and updated for national and local changes in policy and legislative changes. Enables and supports forward planning and responsiveness to change. • Focus on ensuring there is cross party support and the business driver is the Corporate Plan. • Reshaping of transformation programme approved – WPP • Member of the WM Brexit Commission providing regular updates linked in with central government. • Developed the Local industrial strategy for the WM to support industries post Brexit. • Pooled 50% of government funding alongside other WM authorities given to WMCA to support people and business. • Part of the WM local resilience forum watching brief on emergency planning. • CMT review of Strategic Risks (quarterly) • Formal horizon scanning exercise at least annually for emerging risks, to ensure that on-going activity feeds the processes and formal proactive action plans are in place when is most efficient and effective to do so. • Member of the Brexit MHCLG group, reporting on a weekly basis of concerns and issues, such as resource issues for Trading Standards. <p><i>Assurances:</i> Management mechanisms in place – no unexpected or unforeseen changes in last 12 months. Peer Review 2017</p>	Current Score		3	2	6	Amber ↔	Ensuring the authority keeps up-to-date with relevant changes and considers impacts at the earliest opportunity.	Ongoing
Target Score		3	2	6	Amber						

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6	<p><i>Cause and Effect</i></p> <p>There is a lack of community cohesion and resilience placing increased pressure on public sector resources.</p> <ul style="list-style-type: none"> Demographic changes in the Borough; Increase in hate crime and a feeling of segregation; Expectations in community around public services are increasing when funding is reducing. Brexit - Support for residents around status and access to services. COVID-19 impact on inequalities. Digitalisation of public services – potential exclusion of some residents with English as a Second Language or other access needs. “Sense of belonging” may weaken with lack of physical presence and social mixing activity. <p>The effect of this is reduced satisfaction of residents and increased cost pressure in the future.</p>	<p>Communities</p> <p>Executive Director Economy, Environment & Communities</p>	<p>Existing Controls:</p> <ul style="list-style-type: none"> Walsall, as one of the five integration areas, has benefited from central government investment. Research by the Belong Network and the University of Kent has drawn a direct correlation between the work of this investment and the increase in community activism and increased cohesion. Close work with police and other partner organisations through the Safer Walsall Partnership including a resilient communities approach to issues such as hate crime. Further development of a resilient Communities approach within Walsall to increase work across communities in Walsall. Demographic data used to inform the corporate planning process. Increased focus on outcomes in the corporate plan as well as preventive activities to reduce burden on public sector e.g. homelessness reduction. developing measurable integration strategies with sustainable ESOL learning in the community Support for residents with the EU Settlement Scheme through partners Further development of CAM Programme to improve accessibility for diverse groups of residents. <p><i>Assurances:</i> “Substantial” assurance from internal audit work 2019/20 on Community Safety</p>	Current Score		4	2	8	Amber ↔	<p>The Walsall for All (WFA) programme, which their board has indicated that it wishes to continue as an organisation independent of the Council, has joined up with The Aaina Executive Board and agreed for Aisha Khan to Chair the organisation & provide leadership and administrative support until the programme establishes its own internal financial administration processes and governance structure by 31st March 2023. CMT are receiving a report on the potential for supporting WFA. Clearly a decision needs to be made on the level of control of the agenda that the Council feels is appropriate and this will be highlighted as part of that report and the potential level of funding. (E.g. Bradford City Council, another integrated area partnership, has committed £500,000 for staff to support the integrated area programme). This investment is not seen as a Resilient Communities approach, and the CMT report will be focused on what is the appropriate model for Walsall.</p> <p>The 3 key areas of work will focus on:</p> <ol style="list-style-type: none"> Sustainable funding solution informed by VCS knowledge to allow for the work of the organisation to continue. This is expected to be delivered through a combination of DLUHC/Lottery and the Public Sector within Walsall. Continued development of the Resilient Communities approach within Walsall and increased partnership working. This continues to leverage the Walsall for All approach in its design. Support CAM Programme facilitating feedback from diverse groups of residents on digitalisation and access. Support the WFA Pledge and Race Charter to foster sense of belonging. 	31 st March 2023
Target Score		4	1	4	Amber	<p>October 2022</p> <p>March 2023</p> <p>March 2023</p>					

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7	<p>Financial Resilience of the council is impacted by the failure to achieve the savings required or manage demand pressures to enable a balanced budget and Medium-Term Financial Plan to be delivered.</p> <p>Demand and / or costs (individual / combined) increase beyond current forecasts, (including impact on economic growth and jobs, cost of materials, staffing shortfall, etc) in relation to:</p> <ul style="list-style-type: none"> • <i>Cost of living;</i> • <i>Demand increases in statutory services;</i> • <i>Unforeseen expenditure via a fine or extraordinary event;</i> • <i>Failure in budget management across multiple departments;</i> • <i>Covid-19 new wave etc;</i> • <i>Financial risk / uncertainty of exit from the EU;</i> • <i>Lack of certainty around funding and loss of European funds;</i> <p><i>This would affect the financial resilience of the council by having to use reserves to balance the budget putting future stability and sustainability of finances at more risk. As reserves are set at a Prudent level, replenishment would be required from services, adding to the financial pressure. Having to set an even more challenging savings programme in future years to address lack of achievement from current plans, which would impact services and result in reputational damage. Any ongoing impact of Covid, without further government support) would also impact on this situation, for instance with the risk of s114 in future years.</i></p>	Communities	<p>Existing Controls:</p> <ul style="list-style-type: none"> • Robust financial governance and financial planning and budget monitoring processes; • Corporate reporting of forecast demand and cost pressures in year and in budget setting includes forecast of cost of living impact (on contracts energy, pay inflation) and includes scenario planning; • Budget holders trained in budget responsibilities and supported by finance business partners who report to the statutory S151 Officer; • Financial risk assessment informs annual budget and level of recommended reserves and contingencies – Statutory Statement from S151 Officer including robustness of the budget estimates and adequacy of reserves; • Comprehensive service financial risk assessments in place as part of budget setting process; • Adequate corporate reserves and provisions to manage unforeseen financial issues in place and monitored regularly; • Service demand trackers in place in ASC and Children's to monitor, report on and manage volatile areas of demand (care packages, LAC, etc); • Silver/Gold governance remains to manage Covid-19 response – including approvals for Covid-19 spend; • Regular reporting of financial performance to CMT, Cabinet and Scrutiny including progress against delivery of savings and alternative actions where delivery is delayed; • Review of CIPFA's Finance Management Code requirements shows that the council is fully or substantially compliant in most areas, with actions identified in relation to outstanding areas. • Strategic Investment Board oversees the use of capital resources and ensure robust investment decisions in place. • CEO/CFO/DOF Monthly meetings include review of financial performance and savings realisation; 	Current Score		4	4	16	Red ↔	<ol style="list-style-type: none"> 1) Continue to review savings delivery plans, demand and cost pressures in 2022/23 and potential impact on 2023/24; 2) Ensure robust delivery plans for all identified MTFO savings; 	Ongoing and February Cabinet & Council 2023 – for inclusion in budget report
		Executive Director Resources and Transformation		Target Score		3	3	9	Amber	<ol style="list-style-type: none"> 3) Review and impact analysis of expected funding announcements: settlement mid December 2022; 4) Continued action regarding implementation of outstanding requirements in relation to CIPFA's Finance Management Code. 5) Undergoing an LGA Peer Review which will cover Financial Resilience within its remit and will take onboard any recommendations and actions as appropriate 	When published Ongoing – by March 2023 Feb/March 2023

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			<ul style="list-style-type: none"> • WMCA Constitution which sets out voting rights covering approval of WMCA budgets and steps to take if not approved. • Scheduled CEX and Leader briefings scheduled so significant concerns are flagged at WMCA Board being the ultimate decision making body. • <i>See Risk 2 for internal controls and related assurances in relation to Proud continuous improvement - this includes programme governance and reporting, including regular review of benefit savings delivery, aligned to the corporate financial reporting processes.</i> <p>Assurances:</p> <ul style="list-style-type: none"> - <i>Annual review of MTFS and regular review of savings tracker by Finance, CMT and Cabinet;</i> - <i>Annual Internal Audit of core financial systems;</i> - <i>External Audit conclusion on the council's arrangements for securing value for money and audit of the annual accounts.</i> - <i>Corporate financial reporting includes delivery of benefit savings and requirement to address any financial saving shortfalls is embedded across the council to ensure council outturns within budget despite in year financial and demand pressures; Evidenced by Outturn 2021/22 and previous years all within budget with unqualified audit.</i> 						

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May 2022

No.	Risk <i>Cause and Effect</i>	Corporate Goal Lead	Existing Controls and <i>Assurances</i>	Impact	Likelihood	Risk score	Status & Trend	Further Actions	Deadline			
8	Risk of Cyber Security attacks. With the council's increasing reliance on digital service delivery if the council is affected by a cyber-attack which would necessitate IT services being withdrawn whilst remedial work is undertaken to restore systems, then it could have a detrimental impact on our ability to deliver some or all services including : support for vulnerable adults and children, ability to contact the council, customer self-serve capability via web and contact centre, impact on financial income and council reputation.	ALL Executive Director Resources and Transformation	Existing Controls: A multi layered approach: <ul style="list-style-type: none"> • PSN compliance (This regime covers areas such as keeping software up to date). • ICT security roadmap, the engagement with Microsoft has concluded and a small Cyber Security team has recently been put in place dedicated to improving our security along the guidelines recommended by Microsoft and the National Cyber Security Council (NCSC). • Training and skills transfer to ICT staff in managing cyber. • Regular external and internal penetration testing. • Continue receiving alerts from external sources related to Security. Examples of these sources are Microsoft, Janet (Internet service provider), NCSC, WARP and Government Security group. • Staff training including mandatory IG accreditation and learning from Phishing simulation test. • Regular updates and reminders to staff through Inside Walsall. • Banner alerts inside emails to remind staff not to open unsolicited attachments. • Multi-factor authentication implemented for normal user accounts • Cyber Security Training is an annual mandatory requirement (alongside IG Training) • Phishing Simulation exercises carried out on an ad-hoc basis • Dedicated Cyber Security Team • Simulated attacks using NCSC exercises Assurances: <ul style="list-style-type: none"> • Continue audits via Internal Audit. • Quarterly Cyber Security Report presented to CMT. 	Current Score			Red ↔	Multi factor Authentication enabled on all service and test accounts and guest accounts. Ensure our backup and restoration regime meets both NCSC and Microsoft recommendations. Access to specialist technical advisor via Microsoft Support Agreement.	5	3	15	December 2022
				3	3	9			Amber	September 2022		
										In progress		

Strategic Risk Register 2022/23



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No.	Risk	Corporate Goal	Existing Controls and Assurances	Impact	Likelihood	Risk score	Status & Trend	Further Actions	Deadline
	<i>Cause and Effect</i>	Lead							
9	<p>Threats in relation to failing to comply with the legal obligations and duties of the UK General Data Protection Regulations, the Data Protection Act 2018 and relevant legislative requirements.</p> <ul style="list-style-type: none"> The inappropriate and or unlawful collection, processing, sharing and retention of information with regards to: <ul style="list-style-type: none"> New processing or sharing arrangements or systems implementation without assurances or risk assessments Inappropriate or non-compliant records management practices Inappropriate sharing of information through new ways of working The loss, disclosure or unavailability of information through cyber attacks The excessive collection, use, retention or sharing of data Failing to apply adequate and or appropriate technical or organisational security controls Failing to comply with the principles in law Failing to share lessons learnt Failing to provide sufficient resources to comply with the legal obligations Failing to provide sufficient funding to enable appropriate levels of security, accountability, compliance and assurance Failing to comply with recommendations made by the DPO/SRO where risks have been identified Failing to comply with or abide by policy, procedures, standards and or guidance implemented to support our compliance requirements <p><i>The effect would be a breach of the regulations and or legislation which may result in loss of reputation,</i></p>	ALL Executive Director Resources and Transformation	<p>Existing Controls:</p> <ul style="list-style-type: none"> Regular review and reporting for accountability through the Forum for Information Governance and Assurance which reports upwards through Information Champions to DMT's to CMT. Compliance of the Public Sector Network certification process for information security Compliance and submission of the annual Data Security and Protection Toolkit. Registration with the ICO Regular news, awareness and guidance shared with all staff in relation to lessons learnt and changing ways of working. Embedded requirements on Information Champions to share the outcomes and reports from FIGA throughout directorates Embedded requirements on Information Champions to support the management and investigation of data breaches in a timely manner for compliance of reporting obligations. Updated and embedded standards, procedures and guidance within the IG framework and policy. Transparent Data Protection Processes and Privacy Notices are published <p>Assurances: <i>Reporting and monitoring of our compliance obligations, duties and requirements are reported and actioned accordingly through the FIGA group, IG team and Information Champions. Utilising the ability to communicate effectively any key requirements, changes and awareness at all levels.</i></p> <p><i>Senior level attendance by the DPO at DMT and CMT meetings as required for further sharing of</i></p>	Current Score			Red ↔	1) We continue to raise awareness of any identified risks throughout the council 2) All staff are required to complete the annual mandatory training which contains the key requirements	FIGA Meets regularly and is represented by Information Champions This is an annual requirement December 2022
4	4	16	3	3	9	Amber			

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No.	Risk <i>Cause and Effect</i>	Corporate Goal Lead	Existing Controls and Assurances	Impact	Likelihood	Risk score	Status & Trend	Further Actions	Deadline
	<i>loss of jobs, monetary penalties up to £17m or 4% of turnover and the potential for criminal prosecution.</i>		<p><i>lessons learnt, identified risks and increased awareness to ensure accountability.</i></p> <p><i>Internal Audit through Mazars, and additional assurance including the completion of national compliance report/submissions such as the DSP toolkit and PSN certification with regular pen testing on systems security, support the overall levels of assurance that the council is processing data in accordance with the legislative requirements.</i></p>					8) Regular attendance at SMG meetings to support the sharing of awareness and lessons learnt	<p>CMT with report on Cyber</p> <p>Bi monthly</p>

Strategic Risk Register 2022/23



May 2022

No.	Risk	Corporate Goal	Existing Controls and Assurances	Impact	Likelihood	Risk score	Status & Trend	Further Actions	Deadline
	<i>Cause and Effect</i>	Lead							
10	<p>Business Continuity Management</p> <p>Failure to deliver key services in the event of significant business interruption, including services delivered by contractors and partners.</p> <p>Potential causes include loss of:</p> <ul style="list-style-type: none"> key staff (skills, knowledge and/or capacity); telephone systems; ICT system; buildings; and utilities. <p>Potential effects include failure to:</p> <ul style="list-style-type: none"> provide essential services to vulnerable residents; maintain essential infrastructure; pay staff, suppliers, and contractors; communicate internally and/or externally; and meet constitutional requirements. 	<p>ALL</p> <p>Executive Director Economy, Environment & Communities</p>	<p>Existing Controls:</p> <p>The Council's business continuity strategy includes the following:</p> <ul style="list-style-type: none"> A Business Continuity section should be included in all Service's 'Programmes of Work' to ensure that their Business Continuity Plans are reviewed on a biannual basis. Implementation of Business Continuity Management within Walsall Council is being led by the Resilience Team. A detailed project monitoring sheet will be maintained and updated by the Resilience Team for each Directorate. A programme of awareness, validation and audit of all Business Continuity Plans exists to verify the arrangements and review the assumptions upon which the BCP was written. Each Team/Service within will be required to maintain a Business Continuity Plan, including a Business Impact Assessment to identify and prioritise their functions, back up locations and Action Cards detailing required resources <p>Further details can be found here: http://int.walsall.gov.uk/Service_information/Resilience_Unit/Business_Continuity_Management</p> <p>Assurances:</p> <p>The strategy includes a programme of awareness, validation and audit of all BCPs to verify the arrangements and review the assumptions upon which the BCP was written.</p> <p>An internal audit was completed in March 2022. The key findings were moderate assurance on system design and limited assurance on effective controls. There are 5 medium priority recommendations which are listed in the further actions section.</p>	Current Score					
				4	3	12	Red ↔	<p>1) A system is required to record BCP activations and lessons learned.</p> <p>2) Review and update of business continuity strategy. New approach will reduce the number of individual plans from 92 to around 15.</p>	Complete
				4	2	8	Amber	<p>3) Updating of business impact assessments and recovery plans, in line with revised strategy (one per director).</p> <p>4) Revised BCPs to include comms plans</p> <p>5) Exercising of key plans (prioritised by business impact assessments)</p>	<p>October 2022</p> <p>December 2022</p> <p>March 2023</p>

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May 2022

No.	Risk	Corporate Goal	Existing Controls and Assurances	Impact	Likelihood	Risk score	Status & Trend	Further Actions	Deadline
	<i>Cause and Effect</i>	Lead							
11	Climate Change Failure to achieve climate change objectives Walsall Council - Net zero by 2050 WMCA – Net zero carbon economy by 2041 Black Country – Industrial decarbonisation by 2040	ALL Executive Director Economy, Environment & Communities	Existing Controls: Walsall Council is working towards carbon net zero by 2050. The initial five-year action plan identifies actions up to 2025 and focussed on Scope 1 (direct emissions from owned/controlled sources) and Scope 2 emissions (indirect emissions from the generation of purchase energy) under the themes of: <ul style="list-style-type: none"> • Strategy • Energy • Waste & Consumption • Transport • Nature • Resilience & Adaptation All Cabinet and CMT reports to reference Climate Change implications Note: Scope 3 – other indirect emissions from within the Council supply chain are not yet being considered. Assurances:	Current Score			Amber	Key actions include: <ul style="list-style-type: none"> • Working towards Net Zero through the Strategic Asset Plan (reducing energy consumption / producing our own energy) • Replacing streetlights with LED by December 2024 • Reducing waste (new HWRC by 2025) • Electrification of the Council fleet by 2050 • Tree planting – one for every resident by 2030 • Sustainable design and future planning policies (housing and transport) Annual 'Climate Emergency Action Plan' report to Cabinet and Economy and Environment Overview and Scrutiny Committee A baseline CO ₂ emissions report has been completed, an annual report will document progress.	December 2024 2025 2050 2030
4	2	8	N/A						
				4	1	4	Green		

Likelihood and Impact guide.

Likelihood			Impact		
Score 1-5	% chance	Time Frequency	Score 1-5	Disruption to Services and/or Residents affected or aware	Budget
1 Rare	< 10%	Rare occurrence	1 Negligible	Minor disruption to services <i>Up to 5%</i>	>1%
2 Unlikely	10 - 30%	Once in 5 years	2 Minor	1-2 weeks <i>Up to 10%</i>	>5%
3 Possible	30-60%	Once 2 years	3 Material	Up to one month <i>Up to 25%</i>	5-10%
4 Probable	60-90%	Once a year	4 Severe	1 – 3 month <i>Up to 50%</i>	10-20%
5 Almost Certain	> 90%	within 6 months	5 Catastrophic	Over 3 month <i>Over 50%</i>	20%