

25 September 2024

Risk management update – Strategic Risk Register (SRR) and Assurance Map

Ward(s): All

Portfolios: All

Purpose: For Review

1. Aim

This purpose of this report is to provide Audit Committee with the updated Strategic Risk Register (SRR) and progress update regarding development of Assurance Map in accordance with the Committee's work programme.

2. Summary

- 2.1 Recent risk management activity has been carried out to refresh the SRR and ensure it contains the most current risks facing the council.
- 2.2 Finance worked with Executive Directors and Directors from across the council to update the risks, controls and assurances in place. Directorate Risk Registers (DRR's) and the SRR were reviewed by Directors Group. The Corporate Management (CMT) have reviewed this updated SRR and confirm that it adequately reflects the risks facing the council in the delivery of its strategic objectives.

3. Recommendations

- 3.1 That Audit Committee note and comment on the updated Strategic Risk Register (SRR), as set out at Appendix 1.
- 3.2 That Audit Committee advise if they wish to call in a particular risk for an in-depth review at a future meeting and advise which risk (s) that may be.

4. Report detail - Know

- 4.1 The role of Audit Committee in relation to risk management is to:
 - Monitor the effective development and operation of risk management in the Council;
 - Monitor progress in addressing risk related issues reported to the Committee.

This report seeks to provide an updated SRR including the controls associated with the risks to allow Audit Committee to discharge their role.

4.2 A joint CMT/Director Group workshop was held on 29 February 2024, facilitated by Mazars (now Forvis Mazars). In addition to reviewing the existing SRR and agreeing that the existing strategic risks were still relevant and appropriate, it was agreed that two new risks would be added to the SRR. Please note there is no SRR13.

- SRR14 - Inability to improve health outcomes in Walsall (Risk Owner Nadia Inglis).
- SRR15 – Workforce (Risk Owner Michele Leith). This aligns with a request from Audit Committee that CMT consider workforce being a strategic risk, following a review of the SRR in February 2024.

4.3 A revised SRR was produced and considered by CMT in May 2024. In addition to the two new risks (SRR14 and SRR15), the descriptions of SRR2 and SRR4b were amended.

Original description	Revised description
2.The Proud Programme does not achieve the outcomes and benefits required to ensure that available resources are directed to deliver the greatest outcomes for the community.	2. Transformation and 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. <i>Audit Committee reviewed this risk at the meeting 24 June 2024</i>
4b. Adult Social Care risk of being unable to maintain service standards to support the most vulnerable in society is ongoing	4b. Delays in responding to safeguarding referrals (2 days) and undertaking safeguarding enquiries (28 days) in a timely way due to levels of demand and unpredictability.

4.4 Directors reviewed the DRR's and SRR in August 2024 and were asked to consider changes to existing risks, new or common themes within DRR'S and advise those which may require escalation for discussion at CMT. CMT reviewed the SRR at their meeting on 5 September 2024. Feedback and changes have been reflected in this report and both Directors and CMT confirm that the SRR (and DRR's) adequately reflect the risks facing the council.

4.5 Directorate Risk Registers and Impact on SRR

All DRR's have been reviewed with a number of completed actions and changes to controls since the last review in April 2024. A summary of DRR updates for each Directorate is set out below, with the following changes since the last report:

Adult Social Care, Public Health and The Hub

Two risks have been removed:

- Risk 18 (DOLS / LPS)
- Risk 19 (AMHP)

Two risks have been added:

- Risk 32 (inability to improve health outcomes). This mirrors SRR 14 that was added to the SRR following the risk workshop in February 2024. Current risk score is 20 and target risk score is 12.
- Risk 33 (international recruitment). Current risk score is 16 and target score is 12.

Risks that the Director Communications, Marketing and Brand leads on have been moved to the DRR for Resources and Transformation.

Children's Services

Risks are themed and within Risk 5 (Services for Vulnerable People) a risk has been added "*Capacity and capability of BI hub to deliver quality data and analysis to service Ch Services performance framework and requirement around stat returns, Partnership Board KPI's, needs assessments and Inspection readiness*".

Risks relating to Customer Engagement have been moved to the DRR for Resources and Transformation.

EE&C

The directorate risk champion is now Simon Tranter and further discussions are planned for September to review the current approach. Eleven risks have been updated and will form part of the future discussion with the new risk champion.

R&T

There have been changes to 4 risks but no changes to scores.

Due to changes to the register with the movement of risks as services have moved to the directorate work is ongoing to realign the register.

4.6 There are no implications in relation to the DRR's that required escalating to CMT or Audit Committee for consideration in respect of the SRR.

4.7 The Director Group will collectively review the DRR's following the end of quarter two review.

Strategic Risk Register updates

4.8 Strategic risks are reviewed on a six monthly basis, and was most recently reviewed as at August 2024. All strategic risks have had their existing controls and future actions reviewed, with a summary of the updates to the risks set out in the table below. There have been no changes to the overall risk scores since

the last review The updated risks are attached at Appendix 1 and the table below summarises the position.

Risk	Risk Description	Lead Directorate	Impact	Likelihood	Updated "current" score	Trend	"Target" score
1	Threats to the Economic Growth of Walsall are not identified and mitigated, together with opportunities for sustainable growth being missed.	Executive Director, EE&C	4	4	16	↔	9 (3 x 3)
2	Transformation and 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.	Executive Director, R&T	4	3	12	↔	8 (4 x 2)
3	Partnership relationships with other sectors and our major suppliers fail to deliver on shared objectives and therefore outcomes for the community.	Executive Director, EE&C	4	3	12	↔	8 (4 x 2)
4a	The Council is unable to maintain statutory service standards to support the most vulnerable in society	Executive Director, Children's Services	3	3	9	↔	9 (3 x 3)
4b	Delays in responding to safeguarding concern referrals (2 days) & undertake safeguarding enquiries (28 days) in a timely way due to levels of demand and unpredictability.	Executive Director, ASC	3	2	6 Reduced from 9 (3X3)	↓	6 (3 x 2)
5	External Changes in Political and/or legislative environment including ongoing impact of Cost of Living pressures.	Executive Director, R&T	3	2	6	↔	6 (3 x 2)
6	There is a lack of community cohesion and resilience placing increased pressure on public sector resources.	Executive Director, EE&C	4	2	8	↔	4 (4 x 1)
7	Financial Resilience of the council is impacted by the failure to achieve the savings required or manage demand pressures to enable a balanced	Executive Director, R&T	4	4	16	↔	9 (3 x 3)

	budget and Medium-Term Financial Plan to be delivered.						
8	Risk of Cyber Security attacks.	Executive Director, R&T	5	3	15	↔	9 (3 x 3)
9	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.	Executive Director, R&T	4	4	16	↔	9 (3 x 3)
10	Failure to deliver key services in the event of significant business interruption, including services delivered by contractors and partners.	Executive Director, EE&C	4	3	12	↔	8 (4 x 2)
11	Climate Change - Failure to achieve climate change objectives.	Executive Director, EE&C	4	4	16	↔	12 (4 x 3)
12	Significant Failure of Governance – a breakdown in governance to merit formal external intervention either from auditors or central government.	Executive Director, R&T	4	2	8	↔	6 (3 x 2)
14 NEW May 2024	Inability to improve health outcomes.	Director of Public Health	4	5	20	NEW	12 (3 x 4)
15 NEW May 2024	Workforce.	Director of HR, OD and Administration & Business Support	5	4	20	NEW	9 (3 x 3)

4.9 Committee will note that although specific dates have been added in many areas, there remain some 'ongoing' as deadlines against further actions. These will continue to be reviewed and addressed before the next update to CMT and Audit Committee. The score for SRR9 has been reviewed and following discussion with the Caldicott Guardian and SIRO it was agreed to retain the current score of 16 whilst activity continues to embed learning from data breaches to reduce their occurrence.

4.10 During 2023/2024 the Audit Committee reviewed the following risks from the strategic risk register:

SRR No and description	Date considered
2. Transformation and 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.	20.11.2023

4b. 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. Please note this risk was amended in May 2024, wording is now: <i>Delays in responding to safeguarding concern referrals (2 days) & undertake safeguarding enquiries (28 days) in a timely way due to levels of demand and unpredictability.</i>	25.09.2023
8. Risk of Cyber Security attacks.	20.02.2024
9. 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.	20.02.2024
12. Significant Failure of Governance – a breakdown in governance to merit formal external intervention either from auditors or central government.	09.04.2024

4.11 The table below details the “current” risk score and trend for each of the strategic risks since September 2023:

SRR No	Audit Committee Date					
	25.09.2023		20.02.2024		25.09.24	
	Current Score	Trend	Current Score	Trend	Current Score	Trend
1	16	↔	16	↔	16	↔
2	12	↔	12	↔	12	↔
3	12	↔	12	↔	12	↔
4a	9	↓	9	↔	9	↔
4b	9	↓	9	↔	6	↓
5	6	↔	6	↔	6	↔
6	8	↔	8	↔	8	↔
7	16	↔	16	↔	16	↔
8	15	↔	15	↔	15	↔
9	16	↔	16	↔	16	↔
10	12	↔	12	↔	12	↔
11	16	↑	16	↔	16	↔
12	8	NEW	8	↔	8	↔
14	N/A	N/A	N/A	N/A	20	NEW
15	N/A	N/A	N/A	N/A	20	NEW

Integrated Assurance Map

- 4.12 Internal Audit are currently assisting the council to update and refresh the Integrated Assurance Map that was first drafted in 2022. The objective is to provide key stakeholders with strong oversight over principal risk areas and material controls that contribute towards the Council's governance, strategy and risk management framework.

The integrated assurance map output is expected to serve as:

- A clear representation of the current state of integrated assurance and internal control at a given time, for reporting to the Corporate Management Team and Audit Committee as required.
- A support for decisions on the level of risk oversight and the level and nature of assurance activity (including internal audit) that is appropriate for Walsall Council, and to help the organisation to better coordinate assurance effort to maximise its value.

The work started in August with a desktop review of the updated Strategic Risk Register, and meetings with the Council's Risk Champions are planned to further understand the sources and extent of assurance provided over relevant Strategic Risk areas, as included in the Strategic Risk Register.

Control Environment

- 4.13 The identification and management of risk at every level is a control within the governance framework and is included in the review of effectiveness of internal controls and the Annual Governance Statement.

Assurance of Controls

- 4.14 The existing controls and further actions for each risk included in the strategic risk register are reviewed and where appropriate revised. This provides assurance that the controls for each risk are in place and contribute to the mitigation of the risk.

Strategic Risks

- 4.15 This report presents the Strategic Risk Register for Audit Committees consideration.

Annual Statements

- 4.16 The management of strategic risks are considered as part of the Annual Governance Statement.

5. Financial Information

- 5.1 There are no direct financial implications arising from this report, however effective risk management and reporting of risks supports and contributes to the delivery of good financial management.

6. Reducing Inequalities

6.1 Effective governance arrangements ensure a focus on delivering of Council Plan objectives, a key driver of which is reducing inequalities.

7. Decide

7.1 Audit Committee are asked to consider the updates made to the Strategic Risk Register and may wish to comment.

8. Respond

8.1 Audit Committee is required to ensure that it receives reports on risk management on a regular basis and takes appropriate action to ensure that strategic business risks are being actively managed. This report enables Audit Committee to exercise its responsibilities in respect of risk management by reviewing the current SRR; calling in key business risks for review; and seeking assurance that risk management is thoroughly embedded within the organisation.

9. Review

9.1 The Risk Management Strategy sets out the formal review and reporting points for risks throughout the year and these will continue to be followed, with feedback on the actions set out within this report incorporated into those updates.

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Strategic Risk Register 2024/25

Sept 2024



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"> Loss of EU funding compromising coverage of strategic objectives in inclusive growth, jobs and skills. Economic uncertainty weakens the investment market and the opportunities for our residents to secure sustainable employment. 	<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 2024 and succession plans being put in place. Strategies and Policies in place. Single Accountable Body status implemented from February 2020. 	4	4	16	<p>Red</p> <p>↔</p>	<p>1) 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. Further place making interventions to be funded through UK Shared Prosperity Fund and Commonwealth Games Legacy Fund. Single settlement negotiations continue under the “no detriment” principle.</p>	<p>Ongoing</p> <p>Ongoing</p>

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	<ul style="list-style-type: none"> • Continued uncertainty around the cost of living and any as to the ongoing effects of the pandemic. • 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 marketplace. • Uncertainty over future capital funding to enable development. • Enterprise Zones reverting to Local Authorities of geographical origin at 31 March 2025, resulting in smaller share of consolidated surpluses for Walsall. • Interpretation and distribution of the UK Shared Prosperity Fund (UKSPF). • 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 the next generation.</i></p>		<p><i>Assurances: 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 has just been successful in securing £20m in Round 2 of LUF. There is also a £20m allocation for Darlaston Long Term Plan for Towns. Walsall Borough Local Plan process begun; call for sites in preparation.</i></p> <p><i>Pipeline development plan has been developed and addressed through close working with Combined Authority and LEP and alignment with Walsall's capital programme.</i></p> <p><i>Delivery of Town Centre Masterplan will address vulnerability of town centre economy.</i></p>			Target Score		<ol style="list-style-type: none"> 2) 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. Developing the narrative of the Walsall to Willenhall corridor and delivering investor workshops to stimulate the market. 3) Walsall Council as the Single Accountable Body for LEP Legacy funds will manage EZs up to the point of reversion back to LAs at March 25. The Black Country Collaboration Agreement is being updated to ensure that agreements to share legacy funds, including a fair settlement with Wolverhampton Council in relation to the North EZ are legally binding. 4) Developing the transformative town centre Connected Gateway scheme and Town Deal projects, also Levelling Up Partnership and Darlaston Town Deal which contribute to the repurposing of the town centre and diversification of the economy. 5) 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. 6) Work with CA and partners to identify and bring forward employment sites and include within investment propositions for the town. 7) Develop pipeline projects and secure support to resource this. 	<p>March 2026</p> <p>Ongoing</p> <p>Ongoing</p> <p>Ongoing</p> <p>Ongoing</p> <p>Ongoing</p>

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Sept 2024



Walsall Council

No.	Risk <i>Cause and Effect</i>	Corporate Goal Lead	Existing Controls and <i>Assurances</i>	Impact	Likeli- hood	Risk score	Status & Trend	Further Actions/Planned Mitigations	Deadline
				3	3	9	Amber	8) Focus on land assembly using powers such as CPO and partnership working to bring forward sites which have been inactive and/or derelict long term. 9) Create and practise progressive and pragmatic planning policy, processes and decision making to bring forward housing and employment sites. 10) Develop an action plan in the form of a framework to support the delivery of the council's economic strategy. 11) SPARK (construction site) – remediation phase due for completion in September 2024.	Ongoing Nov 2024

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Sept 2024



No.	Risk <i>Cause and Effect</i>	Corporate Goal Lead	Existing Controls and Assurances	Impact	Likelihood	Risk score	Status & Trend	Further Actions	Deadline
2	<p>Transformation and 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/change fatigue Technical DaTS capability and service design (business analysis) capacity not sufficient to enable change to be implemented which delivers demonstrable benefits against the Proud Promises; Directorates and Services work in disparate way; The organisation does not have the skills or expertise required to deliver and sustain change and is reliant on expensive external resources; Continuous Improvement work is not focused on the right changes or stretching enough to achieve the targets and outcomes identified 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, and customer service levels would be variable alongside the Council's ability to attract and retain top talent in the sector</i></p>	<p>ALL</p> <p>Executive Director Resources and Transformation</p>	<p>Existing Controls:</p> <ul style="list-style-type: none"> Regular reporting through the governance arrangements and to Cabinet on progress. Applying lessons learnt to the next iteration of transformation. Close working between Policy & Strategy, Finance and Transformation & Change to address the Proud Promises. Focusing on the key business areas where there are significant risks around delivery and budget Applying appropriate governance to the redesigned transformation work Resource requirements in line with demand via a prioritisation process. Managing risks and issues with regular reporting on status and mitigation through boards. <p>Assurances:</p> <ul style="list-style-type: none"> Monthly monitoring of financial benefit and highlight report to Board and Cabinet; Re-established "transformation/finance" group to track and monitor transformation investments and benefit delivery Regular reporting to Cabinet on benefit delivery; Revised governance arrangements to enable appropriate scrutiny and progress to be made 	<p>4</p>	<p>3</p>	<p>12</p>	<p>Red</p> <p>↔</p>	<p>1) Next phase of council's continuous improvements will be developed to address Council Plan priorities, Medium Term Financial Outlook & business priorities</p> <p>2) Governance being reviewed and new ways of working will be aligned to the recommendations from the Governance Review</p> <p>3) Lessons learnt will be reviewed and applied</p> <p>4) Budget Setting Group meets weekly to align Council Plan with MTFO priorities, and to guide the development of initiatives.</p> <p>5) Programme & Project Management methodologies will be applied to managing delivery and risk and Verto used for visibility of progress.</p> <p>6) Programme resource requirements will be monitored as the new projects are developed through business cases.</p> <p>7) Transformation and Digital effort (including Transformation & Change, DaTS, IG and BI) requirements are prioritised against CMT approved criteria, to ensure that this support service is meeting the wider Council's transformation needs.</p> <p>8) Performance measures will be aligned to the Council Plan outcomes (including Proud Promises) and financial position</p>	<p>March 2024</p> <p>March 2024</p> <p>Weekly meetings</p> <p>March 2024</p> <p>December 2024</p> <p>September 2024</p> <p>January 2025</p>
				Current Score					
				Target Score					
				4	2	8	Amber		

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Sept 2024



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No.	Risk <i>Cause and Effect</i>	Corporate Goal Lead	Existing Controls and <i>Assurances</i>	Impact	Likeli- hood	Risk score	Status & Trend	Further Actions	Deadline

Strategic Risk Register 2024/25

Sept 2024



No.	Risk <i>Cause and Effect</i>	Corporate Goal Lead	Existing Controls and Assurances	Impact	Likelihood	Risk score	Status & Trend	Further Actions	Deadline
3	Partnership relationships with other sectors and our major suppliers fail to deliver on shared objectives and therefore outcomes for the community. <ul style="list-style-type: none"> • <i>Non vibrant voluntary sector;</i> • <i>Weak relationships with Partners;</i> • <i>Lack of supply chain resilience / suppliers of services in market;</i> • <i>Provider fails;</i> 	Communities Executive Director Economy, Environment & Communities	Existing Controls: <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. 	Current Score			<div style="background-color: red; color: white; text-align: center; padding: 5px;"> Red ↔ </div>	1) New outcome focused contracts to be established for priority aims Increase the percentage of suppliers who are contracted with the Council. 2) Additional resources in ASC identified for quality audit and monitoring. QICT established, however, monitoring functions	April 2024 Ongoing
				4	3	12			
				Target Score					

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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
	<ul style="list-style-type: none"> Financial pressures in other sectors reduce the resources they can deploy; <p>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.</p>		<ul style="list-style-type: none"> 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>Assurances: Quality Audit and Monitoring Resources in Adult Social Care. PwC work across all Directorates.</p>	4	2	8	Amber	to be scoped as part of HUB implementation. 3) Design and implement the Quality assurance and Contract Monitoring function of the Council Hub. 4) Develop quality surveillance with systems with collective responsibility for the quality of (all) care provision. 5) Development and launch of new whole-age care framework Reimagining Care. Part of ASC's Continuous Improvement plan. 6) Strategic Procurement function to be developed. 7) Modelling of future demand and market sustainability project as part of Reimagining Care to inform 2024-25 budget and mitigate increases in inflation and NLW.	Ongoing Mid-late 2023 Framework in development. Transitional contracts agreed with all aligned to March 2024 Procurement now part of Finance and under view. For 2024/25 budget process.

No.	Risk <i>Cause and Effect</i>	Corporate Goal Lead	Existing Controls and Assurances	Impact	Likelihood	Risk score	Status & Trend	Further Actions	Deadline
		People	Existing Controls:	Current Score					Ongoing

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No.	Risk	Corporate Goal Lead	Existing Controls and Assurances	Impact	Likelihood	Risk score	Status & Trend	Further Actions	Deadline
	<i>Cause and Effect</i>								
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. • Increasing pressures within families due to the ongoing cost of living crisis may increase demand. There may be a particular increase in demand around Early Help and an increase in the number of children presenting with neglect. • Development of Family Hubs, responding to need at earliest opportunity. <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 	Executive Director Children's Services	<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. • 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. 	3	3	9	Amber ↔	1) Improvement plans across social care and SEND are in place in response to the ILACS inspection in 2021 and SEND re-inspection in 2022 to drive continuous improvement in relation to the inspection findings. Preparation for Youth Justice Inspection is also underway.	
				Target Score					
				3	3	9	Amber ↔	2) Implement MOSAIC Portal to enable partners to record early help interventions directly into systems and to see relevant family history.	September 2024
								3) Implement Sentinel system to facilitate the identification and claims for families through the Supporting Families programme and also to support the joining up of data across different services to provide a more complete picture of needs for children and families.	September 2024
								4) Contribute to the Domestic Abuse (DA) Needs Analysis and the development of the strategy and use the findings to support the development of services for families where DA is an issue.	July 2024
								5) Review of All Age Exploitation to be undertaken.	July 2024
								6) Review of Walsall Right 4 Children Priorities to align with We Are Walsall 2024.	July 2024

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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
	<p>missing and being left at risk of short or long term harm, poor outcomes and of becoming perpetrators themselves.</p> <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"> Websites are being updated to ensure parents and professionals have access to information to support self-service. Systems are being updated and implemented across the directorate to ensure that they are fit for purpose and support front line practice effectively while also allowing data to be accessed and analysed to support service assurance and development. <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 performance and demand data to provide assurance and inform action plans. 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. SEND APP has been lifted. Ongoing performance management arrangements provide assurance that the required data is available and that analysis is robust, in line with business need and carried out with an understanding of operational and strategic detail which impacts on any conclusions the analysis draws. Review of Safeguarding Partnership Business Unit has taken place, to support effective working of the partnership across Children's and Adults. 						

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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
			<ul style="list-style-type: none"> • Assurance of the Wave 2 Pathfinder award remodelling of Early Help and Childrens Social Care. • Award of SEN Free School under the Capital Programme to provide additional sufficiency for SEND in Walsall. 						

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No.	Risk	Corporate Goal Lead	Existing Controls and Assurances	Impact	Likelihood	Risk score	Status & Trend	Further Actions	Deadline
	<i>Cause and Effect</i>								
4b	<p>REPLACES OLD 4B</p> <p>Adult Safeguarding</p> <p>Delays in responding to safeguarding concern referrals (2 days) & undertake safeguarding enquiries (28 days) in a timely way due to levels of demand and unpredictability.</p>	<p>People</p> <p>Executive Director Adult Social Care</p>	<ol style="list-style-type: none"> Qualified social work team dedicated to screen, prioritise and risk assess incoming safeguarding work. Weekly monitoring of incoming demand and response time by the team Weekly monitoring of work dispersed within the directorate e.g. S42 enquiries to ensure timeliness of performance Weekly GM huddle to analyse demand and future plan Business Continuity and emergency response plans in place whereby the department will deploy staff from other service areas / teams to support the business if required ASC Staff receive mandatory safeguarding training at an appropriate level for their role and function. A tracker has been developed to monitor training activity and compliance within ASC. Staff supervision and workload management has been strengthened and compliance is reported on a tracking system , with good level of management oversight as reported at weekly huddle meetings. Improved BI dashboard reporting and accessibility. Appointment and induction of safeguarding lead 	3	2	6	<p>Amber</p> <p>↓</p> <p>Down from 9 (3x3)</p>	<ol style="list-style-type: none"> ASC are conducting an options appraisal to review the arrangements for adult safeguarding. The aim is to further strengthen its front door safeguarding function with the possibility of developing a Multi-Agency Safeguarding Hub (MASH) for adults , similar to the safeguarding arrangements within Children’s Services. Regional work is to commence which will support this appraisal. A new referral form is in development which will be integrated with the ASC record management system (Mosaic). Appointment of new permanent staff in the safeguarding hub undertaken recruiting 4 SW’s and 1 AP. 3 x safeguarding research posts and exploitation senior practitioner pending. 	30/09/24
				3	2	6	<p>Amber</p> <p>↔</p>		30/09/24

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No.	Risk <i>Cause and Effect</i>	Corporate Goal Lead	Existing Controls and <i>Assurances</i>	Impact	Likeli- hood	Risk score	Status & Trend	Further Actions	Deadline			
5	<p>External Changes in Political and/or legislative environment including ongoing impact of Cost of Living pressures.</p> <ul style="list-style-type: none"> 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 Government funding package insufficient to support increased cost of living pressures across all council services <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>All</p> <p>Executive Director Resources and Transformation</p>	<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 Council Plan. Continued delivery of Proud transformation and workstreams agreed targets. Part of the WM local resilience forum watching brief on emergency planning. Household support scheme, Crisis support scheme and Council Tax support schemes in place to support the most vulnerable. Quarterly performance of the Council plan is taken through CMT, Cabinet and Scrutiny on a quarterly basis. 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. <p><i>Assurances:</i> Management mechanisms in place – no unexpected or unforeseen changes in last 12 months.</p>	Current Score				Amber ↔	<p>Ensuring the authority keeps up to date with relevant changes and considers impacts at the earliest opportunity.</p> <p>Continual review of cost of Living pressures and government funding as part of the annual budget cycle throughout the year.</p> <p>Corporate Peer Review report received February 2023 and an agreed action plan submitted March 2023 with actions to be implemented within 6 months to make any necessary improvements. A follow up visit was made with the review team returning to Walsall on Monday 9 October 2023 to look at the progress being made. The Peer Team heard that the Council has made good progress against several of the key recommendations presented to them. The key next steps include a reviewed Corporate Plan and transformation plan which are in train.</p>	Ongoing		
				3	2	6						
								Target Score				Amber
3	2	6										

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No.	Risk <i>Cause and Effect</i>	Corporate Goal Lead	Existing Controls and <i>Assurances</i>	Impact	Likeli- hood	Risk score	Status & Trend	Further Actions	Deadline
			<i>A Corporate Peer Review was undertaken in January 2023 and positive feedback received with relevant actions to be planned and implemented.</i>						

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No.	Risk <i>Cause and Effect</i>	Corporate Goal Lead	Existing Controls and <i>Assurances</i>	Impact	Likeli- hood	Risk score	Status & Trend	Further Actions	Deadline	
6	There is a lack of community cohesion and resilience placing increased pressure on public sector resources. <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. Support for residents around status and access to services. 	Communiti es Executive Director Economy, Environme nt & Communiti es	Existing Controls: <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 	Current Score				Amber ↔	The 3 key areas of work will focus on: 1) 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	Ongoing
				4	2	8				
				Target Score						

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<ul style="list-style-type: none"> • 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 approach to issues such as hate crime.</p> <ul style="list-style-type: none"> • 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. • The Walsall for All (WFA) board meets on a regular basis and has a funding plan in place. Its focus is on influencing and leadership rather than activity however it still has a vibrant group of organisations playing an active part in cohesion activities. The Chair is the Chief Executive of AAINA Community Hub and its membership is a cross section of statutory partners and independent organisations focused on building a Walsall for All. The approach. The focus of this group is community cohesion and they will be involved in the preparation of our new EDI strategy, which is currently being scoped. • Short term funding has been identified for community Conversation initiative which is a pre-ESOL approach to new communities. This was successfully trialled through Walsall for All. • Walsall Connected programme delivered year 1 has been a great success and strong future planning framework is in place • Infrastructure locality level focus is seeing good results. 	4	1	4	Amber	<p>Resilient Communities approach within Walsall and increased partnership working. This continues to leverage the Walsall for All approach in its design. £150k ongoing support to the Walsall for All agenda. Walsall for All relaunch event held in March 2023.</p> <p>2) Support CAM Programme facilitating feedback from diverse groups of residents on digitalisation and access.</p> <p>3) Support the WFA Pledge and Race Equality Task Force driven by the Combined Authority. There initial document has now been published and actions and owners are being agreed..</p> <p>Partnership working is developing and delivering through the Safer Walsall Partnership.</p> <ul style="list-style-type: none"> • Ensure community channels are refreshed and maintained for capturing all rather than the same voices. • Review of Community Tension Monitoring arrangements to support above actions and ensure corporate oversight. A new tensions monitoring approach is being trialled. Gaza conflict has a major focus and attention. Currently operating with new police led initiative to monitor community tensions • Independent Advisory Group (IAG) refresh with Police. 	<p>Ongoing</p> <p>Ongoing</p> <p>Ongoing</p> <p>Ongoing</p> <p>Initial IAG refreshed CONTEST meeting due January 2024 – December saw initial Shadow Board looking</p>
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			<p>Assurances: <i>"Substantial" assurance from internal audit work 2019/20 on Community Safety.</i></p>						<p>at TOR membership and forward plan. Looking to identify independent resource to support January 2024</p>
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No	Risk	Corporate Goal Lead	Existing Controls and Assurances	Impact	Likelihood	Risk score	Status & Trend	Further Actions	Deadline
	<i>Cause and Effect</i>								
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>A. 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"> • Cost of living; • Demand increases in statutory services; • Unforeseen expenditure via a fine or extraordinary event; • Failure in budget management across multiple departments; • Financial risk / uncertainty of exit from the EU; • Lack of certainty around funding and loss of European funds; <p>B. Delivery of savings (including carried forward savings) causes pressure on the in year budget and need for additional focus on:</p> <ul style="list-style-type: none"> - implementing robust delivery plans; - identifying mitigating actions; - use of earmarked and general reserves, potentially reducing financial resilience. <p>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 a lack of achievement from current plans, which would impact services and result in reputational damage. Any ongoing impact of the cost of living may also impact on this situation, for instance with the risk of aS114 in future years.</p>	<p>Communities</p> <p>S151 Officer</p>	<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 S25 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); • 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. 	<p>Current Score</p> <p>4 4 16</p>		<p>Red</p> <p>↔</p>	<p>1) Continue to review savings delivery plans, demand and cost pressures including carry forward of 2023/24 savings not implemented and new 2024/25 savings, and impact on MTFO;</p> <p>2) Ensure robust delivery plans for identified MTFO savings and identification of mitigating in year actions to address delays;</p>	<p>Ongoing</p> <p>Ongoing</p>	
				<p>Target Score</p> <p>3 3 9</p>		<p>Amber</p>	<p>3) Increased oversight of CMT on delivery of savings.</p> <p>4) Review impact analysis of expected funding announcements.</p> <p>5) Continue to develop MTFO and Budget Setting process and Transformation to deliver a balanced 4 year budget, utilising intelligence and benchmarking data to inform opportunities for cost reduction / efficiency saving approaches.</p> <p>6) Continue to lobby for ongoing multi-year funding Settlements which address the real cost of social care provision.</p>	<p>Ongoing</p> <p>Ongoing</p> <p>Ongoing</p>	

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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
			<ul style="list-style-type: none"> • CEO/CFO/HOF Monthly meetings include review of financial performance and savings realisation; • 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. • See also Risk 2 for internal controls and related assurances in relation to continuous improvement - this includes programme governance and reporting, including regular review of benefit savings delivery, aligned to the corporate financial reporting processes. <p>Assurances:</p> <ul style="list-style-type: none"> • Regular review of MTFE and MTFO and regular review of savings tracker by Finance, CMT and Cabinet; • Annual Internal Audit of core financial systems; • External Audit conclusion on the council's arrangements for securing value for money and audit of the annual accounts. • 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 draft Outturn 2023/24 and previous years all within budget with unqualified audit. 						

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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	
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 it would necessitate IT services being withdrawn whilst remedial work is undertaken to attempt to restore systems. Depending on the severity of the attack, the recovery time 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 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 enabled in all user accounts, service accounts, test accounts and guest accounts. Back-up and restore regime is appropriate Microsoft Best Practice recommendations are regularly reviewed and applied. Access to specialist Technical Advisor via Microsoft Support Agreement Cyber Security Training is an annual mandatory requirement (alongside IG Training) Phishing Simulation exercises carried out on an ad-hoc basis Simulated attacks using NCSC exercises Rubrik Back-up for M365 products provides immutable storage and virus checking at point of back-up Assurances: <ul style="list-style-type: none"> Continuous audits via Internal Audit; Quarterly Cyber Security Report presented to CMT; 	Current Score				Red ⇄	1) PSN Compliance audit and submission ready 2) Back-up and restore regime meets NCSC and Microsoft Best Practice recommendations. 3) Access to specialist Technical Advisor via Microsoft Support Agreement. 4) Lessons learnt from simulations and DR Exercises are continuously being fed back to staff and technical teams. 5) CMT Quarterly reporting on Cyber and Information Governance situation. 6) Cyber Attack Simulation Exercise planned. New Simulation Exercise agreed with CMT Q2/Q3 2024 7) Consideration to be given to contracting in a 3 rd party Security Operation Centre which would be active 24x7 /	September 2024 March 2025 September 2024 September 2024 Sept, December, March and June September 2024 October 2024
				5	3	15	3			

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No.	Risk <i>Cause and Effect</i>	Corporate Goal Lead	Existing Controls and <i>Assurances</i>	Impact	Likeli- hood	Risk score	Status & Trend	Further Actions	Deadline
			Quarterly penetration testing by external specialists.					365 (subject to business case/budget approval)	

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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
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, loss of jobs, monetary penalties up to £17m or 4% of turnover and the potential for criminal prosecution.</i></p>	<p>ALL</p> <p>Executive Director Resources and Transformation</p>	<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, Directors Group and 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 Artificial Intelligence – Guidance Briefing being produced for staff and members. <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>4</p>	<p>4</p>	<p>16</p>	<p>Red</p> <p>↔</p>	<p>1) We continue to raise awareness of any identified risks throughout the council.</p> <p>2) All staff are required to complete the annual mandatory training which contains the key requirements. This is currently being reviewed to condense time required to complete statutory training</p> <p>3) We continue to support services with new initiatives and ways of working to ensure information and data is captured, held and processed in keeping with DPA legislation.</p> <p>4) Procedures, standards and guidance continues to be implemented and updated through FIGA. Published on Inside Walsall.</p> <p>5) Digital Records Management electronic document records management system which looks to resolve current manual records noncompliance issues. Business Case completed project in progress, reported through Enabling Support Services group.</p>	<p>FIGA Meets regularly and is represented by Information Champions</p> <p>This is Mandated between 1st of April and 31st of Dec yearly.</p> <p>Engagement with ICT and Technical Design Authority which meets weekly</p> <p>Information Governance Policy reviewed annually</p> <p>Project in progress – completion estimated mid 2025</p>
				Current Score					
				3	3	9	Amber		

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			<p><i>Senior level attendance by the DPO at DMT and CMT meetings as required for further sharing of 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>					<p>6) Continued and ongoing compliance monitoring looks to ensure appropriate levels of awareness is raised at the most appropriate senior management levels.</p> <p>7) Quarterly IG Updates to Directors Group and CMT identifying breaches and risk areas requiring attention.</p> <p>8) Regular attendance at SMG meetings where the sharing of awareness and lessons learnt is undertaken as required.</p> <p>9) Scanning legislative changes as a result of Brexit which are working their way through parliament.</p>	<p>FIGA monthly</p> <p>Sept, Dec, Mar, June</p> <p>August 2024</p> <p>Impact will be included in Directors and CMT reports (quarterly)</p>

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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		
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. A system is in place to record BCP activations and lessons learned. Revised BCPs include communications plans. Exercise completed with Directors considering the impact of a national power outage on service continuity. <p>Further details can be found here: http://int.walsall.gov.uk/Service_information/Resilience_Unit/Business_Continuity_Management</p> <p><i>Assurances:</i> 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><i>An internal audit was completed in March 2022. The key findings were moderate assurance on system design and limited assurance on effective controls.</i></p>	Current Score		4	3	12	Red ↔	<p>1) Review and update of the corporate business continuity strategy is nearing completion. New approach will reduce the number of individual plans from 92 to around 15. This work continues following on from a National Power Outage exercise and Walsall focused equivalent. Due to staffing leave and organisational restructures this has been delayed.</p> <p>2) Updating of business impact assessments and recovery plans, in line with revised strategy (one per director). UPDATE: The BC area of work has now been split between the two EPOs within the team (previously one led with this) Several service area BIA are still being worked upon, the rest being complete. Once they have been completed the Directorate BIA can be produced.</p> <p>3) Exercising of key plans (prioritised by business impact assessments).</p> <p>4) Working with DaTS is a Cyber response and Disaster Recovery framework, which details the response required in the advent of a failure or disruption to IT systems in the</p>	Sep'ber 2024
				4	2	8	Amber	<p>Sept 2024</p> <p>Sept 2024 and ongoing</p> <p>Sept'ber 2024</p> <p>December 2024 and on going</p>			

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No.	Risk <i>Cause and Effect</i>	Corporate Goal Lead	Existing Controls and <i>Assurances</i>	Impact	Likeli- hood	Risk score	Status & Trend	Further Actions	Deadline
			<p><i>There are 4 outstanding medium priority recommendations which are listed in the further actions section.</i></p> <p>EPU has been working with DaTS to implement a Recovery Point Objective template, which details the minimum recovery point at which all services can continue to use their software after a cyber-attack or a disaster recovery scenario that would impair the council's IT systems. This work is ongoing.</p> <p>EPU are represented on the newly formed West Midlands Conurbation BC Working Group. Thereby sharing good practice.</p>					<p>council. An exercise to test this will take place within Q2.</p> <p>5) A review of BCPs to commence Sept 2024.</p>	

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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
			<p>An appointment of a Climate Change Manager has been made to develop a Net Zero 2041 strategy. Two Net Zero Officers have been recruited (on currently being onboarded) to increase the capacity of the Climate Change team.</p> <p>A Walsall Net Zero Partnership will be set up to develop a the 'borough wide' ambitions of the Net Zero 2041 Strategy. This will replace the Walsall Proud Climate and Environment Forum.</p> <p><i>Assurances:</i></p> <p><u>An Internal Audit was carried out prior to the change in target outlined above. This audit report (issued March 2023) assessed the:</u></p> <ul style="list-style-type: none"> • 'Adequacy of System Design' as offering 'Limited Assurance,' • 'Effectiveness of Operating Controls' as offering 'Moderate Assurance.' <p><i>Actions to address the 'Limited Assurance' finding are contained within the 'Further Actions' Section.</i></p>						

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Sept 2024



Walsall Council

No.	Risk Cause and Effect	Lead	Existing Controls and Assurances	Impact	Likelihood	Risk score	Status & Trend	Further Actions/Planned Mitigations	Deadline
12	Significant Failure of Governance – a breakdown in governance to merit formal external intervention either from auditors or central government.	MO and S151 Officer	<p>Annual completion of Annual Governance Statement (AGS) statement, presented by Leader and Chief Executive to Audit Committee and reviewed by External Audit.</p> <p>External Audit report on governance arrangements as part of annual VFM assessment and Annual Report.</p> <p>Annual review of constitution. Decision-making processes, with clear schemes of delegation, are transparent, regularly reviewed, clearly followed and understood, enabling decision-makers to be held to account effectively. Evidence of the decisions following good public law decision making principles (reasonableness, proportionality, fairness, etc.).</p> <p>Review of governance reports from other authorities undertaken and reported to CMT.</p> <p>Review of Grant Thornton reports on Lessons from Public Interest Reports and other Interventions, and the Council's Corporate Peer Challenge (CPC) Report and action plan reported to Audit Committee.</p> <p>Whistleblowing policy and monitoring of whistleblowing claims.</p> <p>Quarterly meeting of CEO, CFO and MO. Statutory officers work effectively together and have a voice for key decisions.</p> <p>Regular meetings between CEO and Political Group Leaders.</p> <p>Annual monitoring report of elected member complaints considered by Standards Committee.</p> <p>Quarterly meetings with External Auditors and CEO, CFO, MO.</p> <p>2 weekly meetings between Head of Internal Audit and Head of Finance and Assurance (HOF&A). Quarterly meetings with Internal Auditors and CFO and HOF&A.</p>	Current Score			Amber ↔	AGS process going forwards to include more information regarding the culture and behaviour of the organisation.	Ongoing
				4	2	8			November 2024
				Target Score			Amber	Review and update whistleblowing policy.	Ongoing
				3	2	6		Ensure clear succession planning for key statutory officer posts. Use workforce planning and development to ensure posts are permanently recruited to.	Ongoing
							Review of scrutiny function following BVI Thurrock, and the training given to members to support the function.	Ongoing	
							Review of Councillor training and development programme.	Ongoing	
							New relevant guidance/publications on the agenda for stat officer meetings to discuss any actions needed	Ongoing	

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14 NEW	<p>Inability to improve health outcomes in Walsall.</p> <p>Health recovery from the pandemic in a time of public sector resource constraint, cost of living challenges and climate change, is linked to the reductions in life and healthy life expectancy we are now seeing nationally and locally.</p> <p>The Office for Budget responsibility highlights health-related inactivity in the labour market (and aligned NHS cost pressures) as one of the country's largest fiscal risks.</p> <p><i>The effect of an inability to mitigate this risk will be an increased pressure on health and social care services (both children and adults) and reduced economic growth. With pressures growing on acute services, preventative spend is also reducing.</i></p>	<p>Healthy and Well</p> <p>Director of Public Health</p>	<p>Existing Controls:</p> <ul style="list-style-type: none"> Ongoing work with health partners to make best use of local resource to address health priorities (e.g. joint delivery/commissioning discussions with NHS partners) Plans to put in train "health in all policies" approach in the council Walsall Connected services supporting individuals in financial difficulty to access council services, and wider debt work being undertaken. Further work needed to support our most vulnerable individuals in the borough Prioritisation within public health workstreams of biggest risks to health/particular groups most at risk: best start in life, tobacco, alcohol, diet (food plan), mental wellbeing, air quality/sustainability Good links between health partners and housing partners, employment and skills partners, regeneration 	Current Score			Red NEW	<p>Wider consideration of supporting our communities with cost-of-living challenges and poverty, including consideration of health inequalities in Walsall.</p> <p>Need to consider a left shift in our corporate spend across the authority – to ensure priority is given to preventative spend, acknowledging the challenge of demand, and increased consideration of the need for universal or targeted services</p>	March 2025
				4	5	20			March 2025
				Target Score			3	4	12
							<p>Ongoing</p> <p>Ongoing</p>	Ongoing	

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	<p>b)Staff Morale - Reduced morale in teams. <i>Can be due to lack of progression, lack of recognition, unachievable demands and pressures, poor performance or behaviours. Can lead to reduced productivity, increased turnover of staff,</i></p> <p><i>increased sickness levels and reduced performance in role</i></p> <p>c)Sickness - relatively high levels of absenteeism Other risks can be a cause of this risk materialising. A lack of understanding and support for individuals from teams and managers with regards the stress triggers a person's experiences and the individuals resilience level is likely to be the difference between being stressed (intermittent and short term) and having stress (longer term). Recruitment & Retention – national shortages across a number of professional areas that sit within R&T – difficulty in recruiting and retaining staff in ICT, Legal, Finance business areas.</p> <p>Performance Management & Development – there is a risk related to the new ways of working, in cases where management styles are not amended to reflect how we need to manage and support employees when working in a hybrid way, where a focus is not maintained on both performance outputs and employee wellbeing (this will require a specific management skill set).</p> <p>Equality, Diversity & Inclusion – our current workforce profile is</p>		<p>Changes in attrition rates and sickness absence</p> <p>Exit monitoring data</p>					<p>Equalities Improvement Programme.</p> <p>8. Further data insights to be improved and monitored, including ED&I, sickness and attrition.</p> <p>9. 'Voice from Within' launched to capture EDI concerns across the organisation. Monitoring of concerns now required to track issues being raised and ensure resolution.</p> <p>10. Series of activities directed at managers to improve team management.</p> <ul style="list-style-type: none"> • Introduction of management network. • Introduction of short lunchtime sessions for managers. • Introduction of a revised process to ensure managers are regularly feeding back to team members through the Continuous Improvement Process. <p>11. Introduction of revised recruitment policy including review of job description format.</p>	<p>01/03/25</p> <p>Ongoing</p> <p>20/12/24</p> <p>01/03/25</p>

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	<p>improving but not yet representative of the population in our local borough (including senior management) – this means we are at risk of not being able to benefit from diverse views, ideas or decisions making that accurately reflects our diverse residents and ultimately provides improved services.</p> <p>Effect is reduced productivity of teams either due to reduced outputs or sick leave.</p>								

Risk Management Quick Guide

Current (C) – with the current controls/mitigations

Target (T) – the score that brings the rating to within appetite for the risk.

Direction of Travel (Trend):

↓ Risk score reduced ⇔ no change to risk score ↑ risk score increased

LIKELIHOOD

Risk appetite level – Risks above this level will need particular resources and focus

5 Catastrophic			Risk 8		
4 Severe		Risks 6, 12	Risks 2, 3, 10	Risks 1, 7,9,11	Risks 14 NEW, 15 NEW
3 Material		Risk 4b, 5	Risks 4a		
2 Minor					
1 Negligible					
	1 Rare	2 Unlikely	3 Possible	4 Probable	5 Almost Certain

I
M
P
A
C
T

Risk
acceptance
level
(activity
below
which
attracts
minimum
effort and
resources)

Risk Ratings: 1 – 4 = low risk (Green) / 4 – 10 = medium risk (Amber) / 12 – 25 –
high risk Red)

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%