

Corporate Risks – Additional Controls – 31 March 2015

Description	What are the main controls for the risk?	Current Risk Score (IxL)	What additional actions are being taken to mitigate the risk?	What Progress has there been?
Failure to deliver within immediate and long term budgets (FI1)	<ul style="list-style-type: none"> • Corporate Plan reflects financial challenge • Delivery of budget options projects being progressed • Monitoring of budgetary position by Benefits Realisation Group (bi-weekly) and SLT (weekly) • Revenue monitoring on a monthly basis by SLT and Cabinet • Freeze on vacancies and non-essential expenditure • Deceleration of Capital Programme spend • Challenge process for budget growth 	12 (4x3)	<ul style="list-style-type: none"> • Re-model early intervention and prevention services to ensure we manage demand efficiently and community based care effectively • Embed a strategic approach to commissioning • Progress opportunities for joint commissioning with health partners • Care Bill modelling and preparation for implementation in 2015/16 • Review of specialist rates for supported living and (LD/MH) for residential and nursing care • Support the implementation of the Future Council Programme 	<ul style="list-style-type: none"> • Wirral Independence Service implementation is now underway with an intended go-live date of 1st July 2015. Phase 2 of the Liquidlogic implementation will see the client and citizen portals go-live in Quarter 2 of 2015/16 which will enable the department to manage demand through advice and information and appropriate screening processes. • The proposed structure for Public Health which includes a Strategic Commissioning function is currently under consultation. Finalisation and sign off of the structure is due to be completed on the 8th June 2015. • Proposed joint structure discussions are also in place with arrangements for health and social care joint commissioning. • A workshop has been held and a project officer has been in post to progress. Care Act implementation group has been set up, and is tracking progress and supporting decision making and governance. Training events have been commissioned and rolled out across the department. A full review of policies and procedures is currently underway. • Work is now progressing on the Liverpool City Region (LCR) footprint and officers from within DASS have been identified to take forward. • The £10.9 million savings remodelling target was scheduled to deliver over two years - £4.9m in 2014/15 and £6m in 2015/16. Work to review and remodel the organisation began in February 2014

			<ul style="list-style-type: none"> • Development of the revised transformation framework 	<p>with a proposed implementation date of 1st January 2015. New structures are being implemented as consultations conclude, with all structures to be implemented by July 2015. There is currently an estimated shortfall in the overall target of £2.1m in 2015/16 which is anticipated to reduce to £1.5m by 2016/17</p> <ul style="list-style-type: none"> • £38m budget savings categorised into 5 key groups to ensure monitoring is focussed and risk based
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Major fraud or corruption (F12)	<ul style="list-style-type: none"> • Counter Fraud and Corruption Policy • Whistle Blowing Policy • Counter Fraud Plan encompasses both proactive and reactive fraud work • Participation in National Fraud Initiative • Codes of conduct for Members and officers • Financial Procedure Rules • Contract Procedure Rules • Sound Internal Control systems • Effective recruitment and selection • Benefits Fraud Investigation team with trained investigators • Procedures for the Declaration of Conflict of Interests, Gifts and Hospitality and Pecuniary Interests • Mandatory training programme and fraud awareness campaign • Use of declarations and fair processing notices • Disciplinary procedures • Partnership working with neighbouring authorities – Mersey Region Fraud Group • Key role in the North West regional counter fraud network • Trained investigator – Corporate Fraud 	6 (3x2)	<ul style="list-style-type: none"> • Following the publication of CIPFA’s new assessment tool (planned for June 2015) on the Code of Practice on Managing the Risk of Fraud and Corruption a full assessment will be undertaken. The outcome of which will help shape a new Counter Fraud Strategy. Target date Sep/Oct 15. • Develop the existing Corporate Counter Fraud Strategy following an assessment against CIPFA’s Code of Practice on Managing the Risk of Fraud and Corruption. Target date Oct/Nov 15. • Develop a regional approach to counter fraud including generic policies and procedures and involving collaborative working in targeted areas such as data matching and other counter fraud exercises– Target date – ongoing, a number of joint exercises are scheduled for 2015/16. • Regional public fraud awareness campaign – Target date 2015/16. • Implement the Fraud APP, hosted by INTEC. Target date Sept 2015. • Fraud monitoring system developed and implemented.- ongoing. 	<ul style="list-style-type: none"> • Initial review undertaken against the Code of Practice on Managing the Risk of Fraud and Corruption. However CIPFA plan to release a new assessment tool during 2015. • Mersey Regional Fraud Group chaired by Wirral established including detailed terms of reference that specifies collaborative cross boundary working in targeted areas such as data matching and other counter fraud exercises. • Plans are in place to deliver a ‘public’ fraud awareness campaign across the region in collaboration with partners in neighbouring authorities. • DCLG funding has been secured to purchase a Fraud APP that individuals can download free of charge to report fraud and keep up to date with the latest fraud threats. • Senior Officer / Member support and involvement with planned counter fraud initiatives through presentations and reports to targeted groups that include SLT and A&RMC. • Development of corporate system for recording individuals cases of fraud and lessons learned/actions taken. • New reporting templates developed and hotline number advertised on posters, training materials and intranet. • Targeted training delivered to raise awareness of new legislation and requirements on individuals. • Improved take up of online fraud training following fraud awareness campaign.

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<p>Failure to remodel the Council to meet its future challenges (GO1)</p>	<ul style="list-style-type: none"> • Wirral's vision is set out in Corporate Plan • SLT focus on coherent new model • Revised contract procedure rules introduced • Robust technical design principles • Robust project and risk management arrangements for the remodelling programme 	<p>8 (4x2)</p>	<ul style="list-style-type: none"> • Implement programme of ICT improvements • Implement new Asset Management Plan • Embed a strategic approach to commissioning • Support the implementation of the Future Council Programme 	<ul style="list-style-type: none"> • Phases 1 & 2 are now complete. Work continues to roll out Windows 7 to Children's Centres and Adult Learning. The delivery of computers from now on will become part of the business as usual activities of the IT Service. • Full implementation across the Asset Management function is due to complete by the end of March 2015. Work continues on the disposal of surplus assets, with £2.8m having been raised so far in 2014/15. Sites identified in the original review of are nearly exhausted, but a number of additional assets have been identified for disposal in 2015/16. Marketing for the Acre Lane Centre has begun. Work towards the disposal of the other two major sites also continues • The proposed structure for Public Health which includes a Strategic Commissioning function is currently under consultation. Finalisation and sign off of the structure is due to be completed on the 8th June 2015. • The £10.9 million savings remodelling target was scheduled to deliver over two years - £4.9m in 2014/15 and £6m in 2015/16. Work to review and remodel the organisation began in February 2014 with a proposed implementation date of 1st January 2015. New structures are being implemented as consultations conclude, with all structures to be implemented by July 2015. There is currently an estimated shortfall in the overall target of £2.1m in 2015/16 which is anticipated to reduce to £1.5m by 2016/17.

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Failure to establish governance arrangements that support wholesale change and enable difficult decisions to be taken (GO2)	<ul style="list-style-type: none"> • Revised Constitution in place • Scheme of Delegation rolled out • Cohesive Strategic Leadership Team • Closer working with Cabinet • New Members briefing and decision-making processes implemented • Leaders Board established • Member development programme • Revised corporate risk management policy adopted • Co-ordination of governance issues through Corporate Governance Group 	6 (3x2)	<ul style="list-style-type: none"> • Further embed the new Constitution • Joint Cabinet / SLT sessions • Review / refresh Risk Management Policy • Increased Portfolio Holder engagement 	<ul style="list-style-type: none"> • Reviews of the Constitution, Contract Procedure Rules and Financial Regulations have all begun • Joint sessions have been held to support preparation of the new Corporate Plan • The revised Corporate Risk Management Policy has been reviewed and approved by Audit & Risk Management Committee • The Portfolio Holder for Governance Commissioning and Improvement has held further monthly briefings
Internal policies & procedures could delay change (GO3)	<ul style="list-style-type: none"> • New Members briefing and decision-making processes implemented • Scheme of Delegation / Member Officer protocol updated • Code of Corporate Governance revised • Robust governance arrangements for the remodelling programme • Key policies reviewed (Whistleblowing, Grievance, transitional pay, redundancy) 	4 (2x2)	<ul style="list-style-type: none"> • Further embed the new Constitution • Monitor compliance with revised financial regulations and new Contract Procedure rules • Development of a new corporate plan and policy framework 	<ul style="list-style-type: none"> • Reviews of the Constitution, Contract Procedure Rules and Financial Regulations have all begun • Timetable agreed for the development of a new Corporate Plan (July) underpinned by refreshed key strategies (September) • A matrix of all key plans and strategies has been mapped against the Code of Corporate Governance with responsible owners and refresh timescale

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Failure to identify potential changes to government policy early enough to influence and respond (GO4)	<ul style="list-style-type: none"> • Work of the Policy Unit • Policy network established • Regular policy briefings provided to Senior Officers and Members • Performance Management and Business Intelligence resource • Regular item on SLT agenda 	<p style="text-align: center;">6 (3x2)</p>	<ul style="list-style-type: none"> • Increased visibility of political and executive leaders with national government 	

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Failure to maintain a focus on economic growth (GO5)	<ul style="list-style-type: none"> • Investment Strategy • Investment Strategy Board • Priority within Corporate Plan • Policy & Performance committee – scrutiny function 	8 (4x2)	<ul style="list-style-type: none"> • ERDF business growth programme • Regional Growth Fund projects • Implement Investment Strategy delivery plan • Marketing activity -implementing the Inward Investment Targeting Plan 	<ul style="list-style-type: none"> • The programme continues to support businesses enabling them to grow and sustain/create employment. It has exceeded targets for the number of businesses supported and the number of jobs created • Resources from the Wirral RGF programme have been fully committed, but Round 4 LEP RGF is still available and Wirral companies with growth plans are utilising this resource • Activity within the Enterprise Zone includes investment in a new college building and a major office development. Industrial premises focused on key growth sectors are being constructed to provide units for expansion and inward investment. External resources secured to develop programmes aimed at supporting residents into employment • Attendance at a range of relevant trade shows and exhibitions has led to opportunities for supply chain growth in key sectors. Officers have also met with intermediaries working with companies active in Wirral’s key growth sectors
A failure to maximise our influence with key stakeholders limits our ability to capitalise on opportunities (GO6)	<ul style="list-style-type: none"> • Chief Executive and senior members / officers engage outside Wirral with national decision-makers • Leader of the Council is chair of the Combined Authority • LEP membership • CX influence via LCR Chief Executive group 	4 (2x2)		

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Use of untried / untested models (mutuals, social enterprises, shared services) (GO7)	<ul style="list-style-type: none"> • Transformational Change projects based on robust business cases • Learning from other local authorities • Accessing external expertise (legal, financial and operational) 	12 (4x3)	<ul style="list-style-type: none"> • Embed a strategic approach to commissioning 	<ul style="list-style-type: none"> • The proposed structure for Public Health which includes a Strategic Commissioning function is currently under consultation. Finalisation and sign off of the structure is due to be completed on the 8th June 2015.
Scale and pace of change could exceed organisational capacity – especially in key areas (PE1)	<ul style="list-style-type: none"> • Full senior management team in place • New governance model for programme management • Focus of Change Team • Matrix management arrangements adopted • Weekly project review meetings 	12 (4x3)	<ul style="list-style-type: none"> • Re-modelling fund for additional capacity if required • Programme management approach to identify capacity requirements • Ongoing resource planning 	<ul style="list-style-type: none"> • Funds identified and available subject to business case • “Leading & Managing Change” and “Working through Change” workshops now feature on the Change Support Programme • “Embracing & leading change” is a key module of Leadership programme • Initial resource requirements agreed by SLT on 28/01/2015. Work is underway to review the skills and capacity of the programme office
Skills within the Council could be insufficient to support our future operating model (PE3)	<ul style="list-style-type: none"> • Redeployment training support in place • Change agent programme • Leadership and Management Development Programmes • Performance Appraisals for senior managers • Remodelling has been based on stress testing 	8 (4x2)	<ul style="list-style-type: none"> • Continue Leadership Development Programme • Continue Management Development Programme • Roll out Performance Appraisals to all staff 	<ul style="list-style-type: none"> • The fourth cohort began in February 2015. Completion remains behind target. But should increase to 85% in May. • Management Development programme remains behind target. But changes in the programme and reporting will improve this. • Year-end performance was 49% of target. An improved programme will be introduced for 2015/16

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Failure to ensure that the culture of the organisation supports the future operating model (PE4)	<ul style="list-style-type: none"> • Link of values to behaviours in Performance Appraisal • Change agent programme 	<p style="text-align: center;">9 (3x3)</p>	<ul style="list-style-type: none"> • Design / implement cultural change programme • Continue Leadership Development Programme • Continue Management Development Programme • Roll out Performance Appraisals to all staff • Respond to the 2013/14 Staff Survey 	<ul style="list-style-type: none"> • The Dignity at Work including 'The Values' element training commenced in December 2014 and was successfully completed by 36 employees in January 2015 of which 34 advisors have been recruited into the role and are now available for support to employees throughout the Council. • The fourth cohort began in February 2015. Completion remains behind target. But should increase to 85% in May. • Management Development programme remains behind target. But changes in the programme and reporting will improve this. • Year-end performance was 49% of target. An improved programme will be introduced for 2015/16 • A high level Staff Survey action plan has been developed, (including an Employee Engagement Panel, an Employee Reward Scheme and the new Dignity at Work Policy)

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A failure in health and safety management leading to death or serious injury (PE5)	<ul style="list-style-type: none"> • Register of corporate H&S risks • Corporate H&S policy specifies management roles & responsibilities, specific management arrangements have been developed • Legislative Compliance Audit programme & Fire Risk Assessments of all Council premises • Programme of auditing management compliance against H&S policy • Delivery of essential emergency training for fire and first aid • H&S Officers investigate all significant accidents & incidents, including ELI claims • Specific H&S training • Health surveillance arrangements for occupational health risks • Delivery of (IOSH) Managing Safely training to Managers and Supervisors below HoS 	<p>8 (4x2)</p>	<ul style="list-style-type: none"> • Continue offering H&S IOSH management training to all managers • Merging of Schools H&S team with the Corporate H&S team and development of SLA with schools • Continuous review and develop of H&S arrangements • Continuing programme of compliance audits of H&S policy • Maintaining health surveillance programme for occupational health risks • Continuous programmed assessment of legislative compliance and fire risk at all Council premises • Senior management teams H&S training programme 	<ul style="list-style-type: none"> • 2 IOSH managing safely courses run for managers during last quarter. A waiting list is in place for managers who are still to complete this course. • Integration of team to increase ability to support schools and council with H&S guidance & advice. New SLA for schools for H&S and OH are in place for the majority of Wirral schools. • The Health, Safety & Resilience team has continued to review H&S arrangements and carry out its programme of compliance audits - although the team have experienced some difficulties recently with personnel changes and reorganisation in certain service areas. Proposals for the redesign of H&S governance arrangements (including a refresh of the Corporate H&S committee) has been agreed and is being implemented • Delivery of a H&S training programme for senior management teams is delayed and awaiting the redesigned corporate structure

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Failure to ensure sufficient capacity and technical knowledge to deliver effective and compliant commissioning and procurement (PE6)	<ul style="list-style-type: none"> • Staff development and training • Recruitment and retention policies • Review of structure 	12 (3x4)	<ul style="list-style-type: none"> • Acceleration of recruitment • Re-allocation of staff with necessary skills • Use of temporary staff • Develop and deliver a longer-term plan for the service • Recruit to support new structure 	<ul style="list-style-type: none"> • Both the Senior Procurement Officer (SPO) and Procurement Officer (PO) have been engaged and have started wef 1 April 2015. • The SPO appointment was an internal promotion leaving a PO vacancy, which has been advertised w/c 13 April 2015. • Five temporary staff had been recruited for a 6 month period. This has been extended to the end of June 2015, by which time the new structure will have been agreed. • The longer term service plan and structure is near completion and should be agreed in May 2015. • Recruitment and embedding will start once the structure is agreed. This is expected to take around 6 months.
Quality and availability of data & intelligence could be insufficient to enable us to design services & target effective interventions DA1	<ul style="list-style-type: none"> • Performance Management and Business Intelligence resource within Policy, Performance and Public Health function • Provision of dashboard reports to Policy & Performance committees • Breadth and depth of data from Service Reviews • Corporate Governance Group 	9 (3x3)	<ul style="list-style-type: none"> • Implement Data Warehouse 	<ul style="list-style-type: none"> • The Data Warehouse project continues to progress as planned.

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A failure in information governance leading to a significant disclosure of sensitive information (DA2)	<ul style="list-style-type: none"> • IG Board and IG Operational Group established • Guidance on information handling/security circulated • Technical ICT controls • Independent security assessments of the council's ICT infrastructure • PSN accreditation attained • Training delivered to Members and key officers on information governance • IG communications for non-IT users developed • IG checklist for departments/managers developed • Checks to ensure that PSN users are BPSS cleared 	<p style="text-align: center;">8 (4x2)</p>	<ul style="list-style-type: none"> • Training for IGOs • Annual refresh of training for managers and key staff • Implement the Information Governance Action Plan • Secure all council mobile and printing devices • Implement technical solution to protectively monitor the council's ICT infrastructure • Achieve Level 2 IG toolkit accreditation • Centralise IG policies and procedures and risks • Retain PSN accreditation 	<ul style="list-style-type: none"> • Final figure for completion of mandatory online training is 94%. Refresh training will be aided by procurement of Policy Management Software. • Some remedial tasks, as detailed in the IG Toolkit submission, are still to be completed. These are dependent on receipt of the IAO returns. • All new Windows 7 laptops are configured securely and have McAfee hard disk encryption installed. A project is underway to install McAfee Mobile Device Management software on all council smartphones and tablets. • McAfee (Security Incident & Event Management) system purchased and implemented in 'test' state. Further configuration has taken place and the SIEM should be 'Live' by the end of Q1 15/16 • Accreditation achieved. A date for setting up the council's N3 connection is awaited • Policy Management Software will support the centralisation of IG policies and procedures • The Council achieved PSN accreditation on 25th March 2015
Withdrawal of support for the content management system could affect the security and effectiveness of the Council's web-site (DA3)	<ul style="list-style-type: none"> • Project plan to rebuild the website approved • IT resources allocated • Temporary web editors in post supporting the project 	<p style="text-align: center;">12 (4x3)</p>	<ul style="list-style-type: none"> • Deliver the web-site rebuild project 	<ul style="list-style-type: none"> • The project began in February 2015. This will involve an update of the content management system. The launch date has been put back to August, because one member of the team has been taken off the project and another person is leaving. It is still expected that the project will be completed before support for the existing version of the content management system reduces to such a degree that it adversely affects the web-site.

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Failure to ensure resilience and cohesion in key partnerships (PA2)	<ul style="list-style-type: none"> • Health & Wellbeing Board established • Local Public Sector Board established • Support for Combined Authority 	<p style="text-align: center;">9 (3x3)</p>	<ul style="list-style-type: none"> • Conduct a review of partnerships • Develop a register of key partnerships • Refresh partnership toolkit • Develop the Local Public Sector Board and Health & Wellbeing Board 	<ul style="list-style-type: none"> • Following the production of the draft revised partnership register a review of those partnerships is being conducted by the Head of Strategy, Policy, Performance and Scrutiny.
Failure of a major provider (private, public or voluntary, community and faith sector) or partner leading to interruption of service (PA4)	<ul style="list-style-type: none"> • External suppliers identified and position statement compiled as to their arrangements • Procurement Strategy and the agreed procurement process checks on potential contractor. • Contract and performance management arrangements • Monitoring of contract delivery by Strategic Directors • Linkages to Business Continuity arrangements 	<p style="text-align: center;">12 (4x3)</p>	<ul style="list-style-type: none"> • Work with departments to ensure that all partner agencies and/or voluntary, community or faith sector organisations have suitable and sufficient business continuity arrangements – a check should be made on a two yearly basis • Ensure all external suppliers / contractors provide a position statement in regard to their individual business continuity plans on a two yearly basis • Incorporate an annual financial check is as part of the regular contract performance management arrangements 	

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<p>Inadequate safeguarding arrangements exposing children or vulnerable adults to greater risk of abuse or exploitation (CU1)</p>	<ul style="list-style-type: none"> • Local Safeguarding Children Board and Safeguarding Adults Partnership Board monitor serious case review action plans. • Business priorities for the WSCB monitored through the WSCB Executive • Weekly performance monitoring of changes to contact and referral taking in CADT. • Reports to CESG and strategic Directors DMT on Corporate Safeguarding performance. • National Notification of Serious Child Care Incidents to OFSTED. • Continuing programme for disseminating learning from serious child care incidents. • Monthly meetings of the Merseyside Child Death Overview Panel. • Continuing review of S118 IRO applications. • Market supplement is paid to social workers in hard to recruit and retain posts. • Reviews carried out by District Managers of children / young people known to a number of different agencies 	<p>15 (5x3)</p>	<ul style="list-style-type: none"> • Implement a strengths based model of working with families. • Support Council staff and partners in learning from best practice and serious/critical case reviews. • Implement 'Making Safeguarding Personal' (MSP) and evaluate its impact 	<ul style="list-style-type: none"> • A provider has been identified to work with and a meeting set this month to schedule the work plan over an 18 month period. • A specific session provided to members on the 26th March 2015 on Child Sexual Exploitation. The Safeguarding Reference Group was established and met for the first time on the 3rd February of this year with terms of reference which include briefing on current SCRs and Case reviews and any learning. • A conference for DASS colleagues was held 14th January this year, with over 100 staff attending, facilitated by one of the national MSP leads. There is a clear plan for revising safeguarding policies and procedures to make them MSP and Care Act compliant and to explore MSP tools with practitioners to develop which will be supported in Wirral.

	<ul style="list-style-type: none"> • High-level multi-agency review of individuals leading to improved, and consistently applied multi-agency risk management process and targeted support to be put in place to pre-empt, where possible, escalation of identified areas of concern. • Strategic Review Process implemented for contracted providers giving cause for concern • Regular meetings of the Domestic Abuse sub-committee of the SAPB and LSCB • Multi Agency Safeguarding Hub for vulnerable children and adults established. 			
<p>Child Sexual Exploitation</p> <p><i>(CU2)</i></p>	<ul style="list-style-type: none"> • LSCB sub-group established for CSE and working with a clear action plan for 2015/16 • Updates to safeguarding reference group meeting • Wirral is an active member of the regional CSE gold meeting and signed up to a regional multi-agency protocol 	To be scored	<ul style="list-style-type: none"> • Programme of training and awareness raising 	<ul style="list-style-type: none"> • Awareness raising session given to school governors on 26 February • 'Listen to my story' campaign launched on 18 March • Training for Members was delivered on 26 March

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<p>A major physical incident compromises the delivery of essential services (PH1)</p>	<ul style="list-style-type: none"> • Dedicated Health, Safety & Resilience Team provides support and guidance with 24/7 duty officer cover • External Partner organisations and suppliers identified and position statement complied as to their arrangements • Awareness sessions delivered to key staff • Exercises conducted to test efficiency of plans • Departmental business continuity plans in place for critical service areas • Wirral Business Continuity Plan • Wirral Flood and Water Management Partnership formed • Review of winter maintenance arrangements conducted. • Merseyside Community Risk Register • Business interruption and Loss of Revenue insurance • Wirral Emergency Volunteer Scheme introduced 	<p style="text-align: center;">8 (4x2)</p>	<ul style="list-style-type: none"> • All critical service areas to complete the new BC template • Critical services areas to exercise their BC plans/template • EP Training and Exercising programme • Continue to review and capture any lessons learnt from incidents and exercises 	<ul style="list-style-type: none"> • Out of the 31 identified critical services 7 completed plans have been returned, outstanding plans will be chased up • No BC exercises have taken place • CESG – Table Top Exercise & Open Golf response completed. Severe Weather Workshop Dec 2014 completed. Ebola Response 2014-2015. CESG table top exercise postponed due to departure of former CX. • Ongoing

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Failure to implement new IT systems / hardware in time to support the new Council model (PH2)	<ul style="list-style-type: none"> • Replacement / upgrade projects agreed as part of 'Future Council' programme • Control and monitoring meetings for all projects within ICT improvement programme • Temporary engagement of Strategic IT Advisor to provide direction and capacity • Initial group of servers implemented 	9 (3x3)	<ul style="list-style-type: none"> • Implement programme of ICT improvements (including refresh of hardware) 	<ul style="list-style-type: none"> • Phases 1 and 2 are now both complete. Work continues to roll out Windows 7 to Children's Centres and Adult Learning. The delivery of computers from now on will become part of the business as usual activities of the IT Service.
A sustained catastrophic failure in IT systems (PH3)	<ul style="list-style-type: none"> • Second machine room • Fire suppressant system in rooms • Additional backup /security based at Cheshire Lines implemented 	10 (5x2)	<ul style="list-style-type: none"> • Implement programme of ICT improvements • Review of IT service continuity arrangements 	<ul style="list-style-type: none"> • Phases 1 and 2 are now both complete. Work continues to roll out Windows 7 to Children's Centres and Adult Learning. The delivery of computers from now on will become part of the business as usual activities of the IT Service. • The Chief Information Officer is working with Asset Management to develop a plan to create two separated data centre(s) at least one of which will be in operation by the end of 2015. Work has started on the production of a business continuity plan for IT services in line with the Council's new Business Continuity Policy.

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Welfare Reforms (EC2)	<ul style="list-style-type: none"> • Ongoing Council-led strategic approach to assess the implications and prepare effective policy & delivery response e.g. through WEDS & Welfare Reform partnership • Discretionary Funds Housing Payment Fund for those on Housing Benefit impacted by the reforms inc. under occupancy • Localised Welfare Assistance Scheme for those impacted directly or indirectly and at risk • Collaborative working with social and rented sector landlord stakeholders • Collaborative working with DWP Local Partnership Lead • Delivery Partnership Agreement with DWP to April 2015 	16 (4x4)	<ul style="list-style-type: none"> • Develop and deliver a Welfare Reform Dashboard • Local Welfare Assistance Member Task and Finish Group for post March 2015 continued support as specific funding ends • UC continued live roll-out of national scheme, corresponding engagement with DWP those accessing and impacted upon by this Reform. Local Delivery Partnership Agreement – Nov 2014 review 	<ul style="list-style-type: none"> • A draft Welfare Reform Dashboard has been considered by the WEDS partnership. The Head of Business Processes is now leading a review of the range of actions required to mitigate the Welfare Reform risk and the Dashboard will be considered as part of this process • Reserve of £900,000 agreed, current scheme to 31st July 2015 and report to Cabinet late June to consider best use of reserve for any ongoing scheme or support. • Universal Credit transfer of cases is proceeding slowly and will await new central government on speed of case transfer. Ongoing system issues persist at DWP. The Council is considering on-going local support agreement for both claimants at its One Stop Shops and with DWP in back office support.

Description	What are the main controls for the risk?	Current Risk Score (I x L)	What additional actions are being taken to mitigate the risk?	What Progress has there been?
Increasing demand for socially provided care exceeds the resources available (Council and NHS) (SO1)	<ul style="list-style-type: none"> • Vision 2018 programme • Integrated Care programme • Joint Commissioning arrangements with the CCG • Enhanced monitoring and reporting arrangements • Joint Carers Strategy between Social Care and Health 	16 (4x4)	<ul style="list-style-type: none"> • Re-model early intervention and prevention services to ensure we manage demand efficiently and community based care effectively • Implement 7 Day Working within the Integrated Discharge Team and Care Arranging Team • Enhance market capacity to prevent avoidable hospital admissions and supporting timely hospital discharges 	<ul style="list-style-type: none"> • Wirral Independence Service implementation now underway with intended go-live date of 1st July. Phase 2 of the Liquidlogic implementation will see the client and citizen portals go-live in Quarter 2 of 2015/16 enabling the department to manage demand through advice and information and appropriate screening processes • Integrated seven day response is in place for care teams. Work underway to ensure full implementation of seven day response by Sept 15 • A short term (72 hour) service was commissioned to help avoid unnecessary delays during the discharge process where packages of care could not be immediately commissioned. The Helping People Home grant has enabled the additional winter beds to be extended until June. A further tender issued to increase availability of intermediate care / transitional beds from 70 to 110. This will be available from September 15
Poor lifestyle choices adversely affect public health and require different public provision (SO2)	<ul style="list-style-type: none"> • Commissioned lifestyle services (i.e. stop smoking services, weight management, drugs and alcohol services) • Role of sports development service • Health & Wellbeing Board provides focus and a forum for collaboration • Vision 2018 work stream on early intervention and prevention 	12 (4x3)	<ul style="list-style-type: none"> • Develop a new Public Health strategy for 2015-20 • Conduct four health promotion campaigns – Stoptober, National Smile Week, Dry January and Mental Health Awareness Week 	<ul style="list-style-type: none"> • The new Public Health strategy continues to progress as planned. It will be delivered through the new Health & Wellbeing Strategy. • All campaigns were conducted

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Failure to equip the community to be more self-reliant (SO3)	<ul style="list-style-type: none"> • Asset based community development (ABCD) projects • Public sector transformation network • Existing support through the Voluntary, Community and Faith sectors • Engagement of individuals and groups through Constituency Committees • Wirral Emergency Volunteer Scheme • Direct Payments Advisory Service commissioned 	<p style="text-align: center;">9 (3x3)</p>	<ul style="list-style-type: none"> • Create a social enterprise delivery vehicle for disability services 	<ul style="list-style-type: none"> • Acting Managing Director and Acting Head of Finance posts have been recruited to with work now ongoing to establish the company. These posts will oversee the establishment of the company ensuring that it is fit for purpose and ensuring long term sustainability.
Technological advance leads to digital exclusion of individuals and businesses (TE1)	<ul style="list-style-type: none"> • Council is leading a partnership approach to increasing digital inclusion ('Go ON Wirral'). • Draft Wirral Digital Inclusion Action Plan (under development) • As part of the response to Welfare Reforms, an interactive profile of access and available support has been developed through Wirral Well website 	<p style="text-align: center;">12 (4x3)</p>	<ul style="list-style-type: none"> • Roll out of ongoing Community learning; training and IT skills, particularly with Housing partners • Ongoing work with partners to increase the network of publicly accessible PCs & Internet • Council project to encourage access to Council services online • Increasing availability of free Wi-Fi • Merseyside Connected (BDUK) superfast broadband project 	<ul style="list-style-type: none"> • A range of community courses & training has continued to be delivered by Council and its partners. (215 enrolments between January and April 2015). • The interactive profile of IT access and support is now available through the Wirral Well website • The National superfast broadband take up TV and multi-media campaign "Now's the time" was successfully delivered. The need for future campaigns is under review • A Merseyside Business Voucher Scheme was launched on 1/4/15. Up to £3,000 is available to each Wirral SME to cover broadband connection charges. This scheme runs for 12 months.

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Growing incidence of extreme weather events (EN2)	<ul style="list-style-type: none"> • Wirral Flood & Water Management Risk Partnership • Merseyside Strategic Flood & Coastal Risk Management Committee • NW Regional Flood & Coastal Committee • Contribute to existing NW RFCC levy scheme. • Merseyside Local Resilience Forum (Multi-Agency) & Wirral Council Flooding & Adverse Weather Response Plans • Met Office and Env Agency weather and flood alerting systems – council cascade to partner agencies • Wirral Emergency Volunteers Scheme – Flood Wardens 	12 (4x3)	<ul style="list-style-type: none"> • Progress implementation of the Wirral Flood Risk Partnership action plan. • • Wirral Coastal Strategy 2013 – resultant Action Plan identifies 4 areas where intervention is required within 20 years • Surface Water Investigation work (RFCC Levy Bid for works to be delivered in 2014/15) • Develop a Severe Weather Action Plan 	<ul style="list-style-type: none"> • A meeting of the Wirral Flood and Water Management Partnership on 7 October 2014 considered a report on the floods in December 2013 and a series of improvements actions. • Bids for Grant Aid funding for 3 of the 4 priority areas included in EA 6 Year Programme. Local Levy and internal Capital funding bids made for scheme delivery at first priority area of West Kirby 12/16 & 16/17. • Business Case in progress to secure EA Grant Aid for West Kirby • Consultation on draft Local Flood Risk Management Strategy now closed • Partnership working with other Flood Risk Management agencies to identify areas where collaborative working can inform understanding of existing and future flood risk. Draft report now complete • Information from Council officers and representatives of partner agencies is being collated to inform the Plan
Growth of academies / free schools complicates our ability to raise educational attainment and provide skills (LE1)	<ul style="list-style-type: none"> • Dialogue with schools becoming Academies • Retention of support networks e.g Cluster Headteacher Groups • Wirral Education Quality Services (WEQS) offered to all schools, including Academies • Existing structures (e.g. WASH, WISP, Children’s Trust Board) provide focus and forums for collaboration 	9 (3x3)	<ul style="list-style-type: none"> • Exploring with schools grouped Academy structures • Facilitating continuing dialogue with schools re Academy options • Expand and enhance the traded services offer to schools 	<ul style="list-style-type: none"> • The Community Interest Company owned and controlled jointly by Wirral and CW&C Councils to provide traded services has been formed.

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Failure to process applications for DoLS assessments within prescribed timescales (LE2)	<ul style="list-style-type: none"> • DoLS manager and administrative support in place • Prioritisation of cases to reduce risk to individuals • Regular reporting to Strategic Leadership Team • Best interest assessors (3 FTE's) seconded into DoLS team 	<p style="text-align: center;">12</p> <p style="text-align: center;">(3x4)</p>	<ul style="list-style-type: none"> • Extend mental capacity assessment across the workforce • Train additional Best Interest Assessors (BIA) 	<ul style="list-style-type: none"> • Two social workers completed the DoLS training in January 2015. • A number of other social workers are completing the BIA training. <p>The backlog of unallocated assessments has increased. The department has been allocated a one-off government grant of £192,000 and there are on-going discussions regarding its use.</p>