

## Corporate Risks – Status of Additional Controls – 30 June 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 <b>(F11)</b>	<ul style="list-style-type: none"> <li>• Corporate Plan reflects financial challenge</li> <li>• Delivery of budget options projects being progressed</li> <li>• Monitoring of budgetary position by Benefits Realisation Group and SLT</li> <li>• Revenue monitoring on a monthly basis by SLT</li> <li>• Deceleration of Capital Programme spend</li> <li>• Challenge process for budget changes</li> <li>• Quarterly reporting to Cabinet and Scrutiny Committees</li> <li>• Maintain knowledge of external influences on the Council's financial position (e.g. Central Government)</li> <li>• Regular review of MTFS</li> </ul>	<b>12</b>  <b>(4x3)</b>	<p><u>Managing demand</u></p> <ul style="list-style-type: none"> <li>• Implement a new model for our early intervention and prevention services to ensure along with our partners we manage demand efficiently and community based care effectively</li> <li>• Reducing the cost of care</li> </ul> <p><u>Reducing costs</u></p> <ul style="list-style-type: none"> <li>• Implement new Transaction Centre structure</li> <li>• Implement our new approach to strategic commissioning and review our procurement processes</li> <li>• Support the implementation of the Transformation Programme</li> <li>• Support the implementation of the remodelling Programme</li> <li>• Development of the revised transformation framework</li> <li>• Drive forward Office Rationalisation work stream of the Driving Value from Assets</li> </ul>	<ul style="list-style-type: none"> <li>• Wirral Independence Service went live 1<sup>st</sup> July 2015. Existing IMC bed capacity is due to increase from 70 to 110 in September 2015.</li> <li>• Supported Living rate was set in April 2015, delivering an efficiency of £0.1m. In-year effect of Just Enough Support savings to date is £0.4m. Joint reviews with CCG of high cost packages is underway. A number of different initiatives are currently in effect to achieve the full-year saving of £2.6m</li> <li>• Transaction Centre was operational Cheshire Lines from May</li> <li>• The longer term service plan and structure for Procurement is complete and should be agreed in early August</li> <li>• Specific support has been given to the Transaction Centre, Leisure &amp; Culture Review, Early Years &amp; Specialist Services and Wirral Evolutions</li> <li>• Work is underway to scope out the resource requirements to address the scale of change needed to deliver the outcomes in the Council Plan</li> <li>• Key projects are being scoped as part of the Council plan and are scheduled for September</li> <li>• This work stream is progressing well with a number of key buildings vacated in the first quarter of 2015</li> </ul> <p>1. Finance municipal – fully vacated</p>

			<p>programme</p> <ul style="list-style-type: none"> <li>• Implement our asset management strategy</li> <li>• Implement the Council’s Customer Access Strategy</li> </ul> <p><u>Increasing revenue</u></p> <ul style="list-style-type: none"> <li>• Deliver Wirral’s Investment Strategy</li> <li>• Work with partners to increase the supply of new homes in all tenures</li> </ul> <p><u>Improving financial management</u></p> <ul style="list-style-type: none"> <li>• Support robust budget setting processes to deal with financial challenges</li> </ul>	<p>2. South Annex – fully vacated by mid-October</p> <p>3. Release of rear Solar Campus Building to Tranmere Rovers, now bringing in rental amount</p> <ul style="list-style-type: none"> <li>• Good progress is being made across the Asset Implementation Plan. Data migration to the new Asset management System has been undertaken</li> <li>• Delivery of the strategy has continued, building upon the Transaction Centre. Development of the new web-site is on target</li> <li>• Wirral continues to deliver the objectives of the Council’s Investment Strategy. This quarter 28 young people have been supported into jobs and 260 people have been supported through the worklessness contract</li> <li>• Working with the Homes and Communities Agency and Registered Providers 194 units of affordable housing were delivered in the first quarter of 2015/16. Using the New Build Capital Programme the Council has committed 39 units of accommodation to be built</li> <li>• The first milestone update for this project is not due until Q2</li> </ul>
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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?
Major fraud or corruption (FI2)	<ul style="list-style-type: none"> <li>• Counter Fraud and Corruption Policy</li> <li>• Whistle Blowing Policy</li> <li>• Counter Fraud Plan encompasses both proactive and reactive fraud work</li> <li>• Participation in National Fraud Initiative</li> <li>• Codes of conduct for Members and officers</li> <li>• Financial Procedure Rules</li> <li>• Contract Procedure Rules</li> <li>• Sound Internal Control systems</li> <li>• Effective recruitment and selection</li> <li>• Benefits Fraud Investigation team with trained investigators</li> <li>• Procedures for the Declaration of Conflict of Interests, Gifts and Hospitality and Pecuniary Interests</li> <li>• Mandatory training programme and fraud awareness campaign</li> <li>• Use of declarations and fair processing notices</li> <li>• Disciplinary procedures</li> <li>• Partnership working with neighbouring authorities – Mersey Region Fraud Group</li> <li>• Key role in the North West regional counter fraud network</li> <li>• Trained investigator – Corporate Fraud</li> </ul>	<p>6</p> <p>(3x2)</p>	<ul style="list-style-type: none"> <li>• Conduct self-assessment against the Code of Practice on Managing the Risk of Fraud and Corruption</li> <li>• Develop the Council’s Counter Fraud and Corruption Strategy</li> <li>• Conduct data matching exercise with the Mersey Region Fraud Group (MRFG)</li> <li>• Work with MRFG to deliver a regional fraud awareness campaign</li> <li>• Implement a Fraud App</li> </ul>	<ul style="list-style-type: none"> <li>• Launch of the CIPFA assessment tool is currently awaited.</li> <li>• The output from the assessment will inform the Strategy document</li> <li>• Preparations are being made for this exercise to be held later in the year</li> <li>• A date has been set for the conduct of the campaign (November)</li> <li>• Implementation of the App remains on track for September</li> </ul>

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 remodel the Council to meet its future challenges <b>(GO1)</b>	<ul style="list-style-type: none"> <li>• Wirral's vision is set out in Corporate Plan</li> <li>• SLT focus on coherent new model</li> <li>• Revised contract procedure rules introduced</li> <li>• Robust technical design principles</li> <li>• Robust project and risk management arrangements for the remodelling programme</li> </ul>	8  (4x2)	<ul style="list-style-type: none"> <li>• Support the implementation of the remodelling Programme</li> </ul>	<ul style="list-style-type: none"> <li>• Work is underway to scope out the resource requirements to address the scale of change needed to deliver the outcomes in the Council Plan.</li> </ul>
Failure to establish governance arrangements that support wholesale change and enable difficult decisions to be taken <b>(GO2)</b>	<ul style="list-style-type: none"> <li>• Revised Constitution in place</li> <li>• Scheme of Delegation rolled out</li> <li>• Cohesive Strategic Leadership Team</li> <li>• Closer working with Cabinet</li> <li>• New Members briefing and decision-making processes implemented</li> <li>• Leaders Board established</li> <li>• Member development programme</li> <li>• Revised corporate risk management policy adopted</li> <li>• Co-ordination of governance issues through Corporate Governance Group</li> </ul>	6  (3x2)	<ul style="list-style-type: none"> <li>• Review and revise the Council's Contract Procedure Rules</li> <li>• Undertake annual refresh of Council Constitution</li> <li>• Review Code of Corporate Governance</li> <li>• Review / revise Financial Regulations</li> </ul>	<ul style="list-style-type: none"> <li>• The draft document has been completed and will be submitted to Audit &amp; Risk Management Committee in November</li> <li>• Work on all three documents continues and is expected to be completed by September 2015. Revised Financial Regulations will be submitted to Audit &amp; Risk Management Committee in November</li> </ul>

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?
Internal policies & procedures could delay change <b>(GO3)</b>	<ul style="list-style-type: none"> <li>• New Members briefing and decision-making processes implemented</li> <li>• Scheme of Delegation / Member Officer protocol updated</li> <li>• Code of Corporate Governance revised</li> <li>• Robust governance arrangements for the remodelling programme</li> <li>• Key policies reviewed (Whistleblowing, Grievance, transitional pay, redundancy)</li> </ul>	4  (2x2)	<ul style="list-style-type: none"> <li>• Implementation of ModGov reports management function</li> <li>• Development of a new corporate plan and policy framework</li> </ul>	<ul style="list-style-type: none"> <li>• The specification has been approved and a pilot is being conducted.</li> <li>• The new Council Plan has been developed.</li> </ul>
Failure to identify potential changes to government policy early enough to influence and respond <b>(GO4)</b>	<ul style="list-style-type: none"> <li>• Work of the Policy Unit</li> <li>• Policy network established</li> <li>• Regular policy briefings provided to Senior Officers and Members</li> <li>• Individual directorate policy briefing papers introduced for Policy &amp; Performance committees</li> <li>• Performance Management and Business Intelligence resource</li> <li>• Regular item on SLT agenda</li> </ul>	6  (3x2)	<ul style="list-style-type: none"> <li>• Increased visibility of political and executive leaders with national government</li> <li>• Roll-out of LGIU access for all relevant officers</li> </ul>	<ul style="list-style-type: none"> <li>• A pilot has been conducted with a small number of officers</li> </ul>
A failure to maximise our influence with key stakeholders limits our ability to capitalise on opportunities <b>(GO6)</b>	<ul style="list-style-type: none"> <li>• Chief Executive and senior members / officers engage outside Wirral with national decision-makers</li> <li>• Leader of the Council is chair of the Combined Authority</li> <li>• LEP membership</li> <li>• CX influence via LCR Chief Executive group</li> </ul>	4  (2x2)	<ul style="list-style-type: none"> <li>• Further engagement with public and private sector partners</li> </ul>	<ul style="list-style-type: none"> <li>• The Chief Executive hosted a Partnership Summit with Wirral businesses and public sector leaders in July</li> <li>• There has been engagement across the Liverpool City Region leading to devolution proposals in September</li> </ul>

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 maintain a focus on economic growth <b>(G05)</b>	<ul style="list-style-type: none"> <li>• Investment Strategy</li> <li>• Investment Strategy Board</li> <li>• Priority within Corporate Plan</li> <li>• Policy &amp; Performance committee – scrutiny function</li> </ul>	<p>8</p> <p>(4x2)</p>	<ul style="list-style-type: none"> <li>• Deliver Wirral’s investment strategy</li> <li>• Grow Wirral’s economy by working with and supporting businesses and creating environments and opportunities where the private sector wants to invest</li> <li>• Support the delivery of key infrastructure that will enable the creation of jobs and unlock potential for economic growth</li> <li>• Develop and deliver a master plan for Birkenhead Town Centre</li> </ul>	<ul style="list-style-type: none"> <li>• Wirral continues to deliver the objectives of the Council’s Investment Strategy. This quarter 28 young people have been supported into jobs and 260 people have been supported through the worklessness contract</li> <li>• The Regional Growth Fund programme has support 51 projects, helping businesses to expand and create employment opportunities in the borough and this quarter has secured 365 jobs.</li> <li>• A set of projects aimed at supporting delivery of the Liverpool City Region Transport Plan for Growth have been developed for the consideration of Members</li> <li>• The project is progressing well and is on target for delivery in February 2016</li> </ul>
Use of untried / untested models (mutuals, social enterprises, shared services) <b>(G07)</b>	<ul style="list-style-type: none"> <li>• Transformational Change projects based on robust business cases</li> <li>• Learning from other local authorities</li> <li>• Accessing external expertise (legal, financial and operational)</li> </ul>	<p>12</p> <p>(4x3)</p>	<ul style="list-style-type: none"> <li>• Support the implementation of the Transformation Programme</li> <li>• Create a community interest company to deliver sustainable services to schools and ensure resources are used effectively</li> <li>• Launch and establish the local authority company for adult disability services</li> </ul>	<ul style="list-style-type: none"> <li>• Specific support has been given to the Wirral Evolutions (Local Authority Company) project.</li> <li>• Additional external expertise has been engaged on a temporary basis</li> <li>• The new company has been named Edsential and good progress is being made towards meeting the go-live date of 1 September 2015</li> <li>• The new company (Wirral Evolutions) was launched in June. TUPE of staff to take place and contract between DASS and Wirral Evolutions to be agreed.</li> </ul>

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?
Scale and pace of change could exceed organisational capacity – especially in key areas <b>(PE1)</b>	<ul style="list-style-type: none"> <li>• Full senior management team in place</li> <li>• New governance model for programme management</li> <li>• Focus of Change Team</li> <li>• Matrix management arrangements adopted</li> <li>• Weekly project review meetings</li> </ul>	<b>12</b>  <b>(4x3)</b>	<ul style="list-style-type: none"> <li>• Use re-modelling fund for additional capacity, if required</li> <li>• Ongoing resource planning underway</li> <li>• Support the implementation of the Transformation Programme</li> <li>• Undertake an assessment of the capacity / skills needed of enabling strands (as part of the People Strategy)</li> <li>• Optimise the Benefits Realisation Group and use as a driver</li> <li>• Put in place remaining organisational structures</li> </ul>	<ul style="list-style-type: none"> <li>• Key senior interims have been engaged on a temporary basis to support the Council Plan</li> <li>• Work is underway to scope out the resource requirements to address the scale of change needed to deliver the outcomes in the Council Plan</li> <li>• All targets deadlines associated with the People Strategy are currently being met</li> <li>• The Benefits Realisation Group has continued to consider capacity in key areas and work with Directorates to arrange for resources to be directed as needed. T&amp;R DMT also continues to review capacity for enabling services</li> <li>• Of the 80 structures that were to be implemented, 7 remain outstanding.</li> </ul>
Skills within the Council could be insufficient to support our future operating model <b>(PE3)</b>	<ul style="list-style-type: none"> <li>• Redeployment training support in place</li> <li>• Leadership and Management Development Programmes</li> <li>• Performance Appraisals for all staff</li> <li>• Structured professional development based on articulated requirements</li> </ul>	<b>8</b>  <b>(4x2)</b>	<ul style="list-style-type: none"> <li>• Develop and deliver structured skills and development plan for leaders, enablers and groups needing to work differently (as part of the People Strategy)</li> </ul>	<ul style="list-style-type: none"> <li>• All targets deadlines associated with the People Strategy are currently being met</li> <li>• Additional external expertise has been engaged on a temporary basis</li> </ul>

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 ensure that the culture of the organisation supports the future operating model <b>(PE4)</b>	<ul style="list-style-type: none"> <li>• Link of values to behaviours in Performance Appraisal</li> <li>• Leadership and Management Development Programmes</li> <li>• Performance Appraisals for all staff</li> <li>• Improved corporate communications in place</li> <li>• Values based employment policies (e.g. Absence)</li> </ul>	9  (3x3)	<ul style="list-style-type: none"> <li>• Review approach to cultural change (as part of the People Strategy)</li> <li>• Implement and embed new models of working to meet the statutory requirements and new duties of the Care Act</li> </ul>	<ul style="list-style-type: none"> <li>• All targets deadlines associated with the People Strategy are currently being met</li> <li>• Ongoing implementation of Liquidlogic Phase 2 which will see additional modules enhancing accessibility to advice and information go-live from Sept / Oct. Work to develop a single point of contact at Arrowe Park Hospital is ongoing and is due to be in place by April 2016.</li> </ul>
Failure to ensure sufficient capacity and technical knowledge to deliver effective and compliant commissioning and procurement <b>(PE6)</b>	<ul style="list-style-type: none"> <li>• Staff development and training</li> <li>• Recruitment and retention policies</li> <li>• Review of structure</li> </ul>	12  (3x4)	<ul style="list-style-type: none"> <li>• Acceleration of recruitment</li> <li>• Re-allocation of staff with necessary skills</li> <li>• Use of temporary staff</li> <li>• Develop and deliver a longer-term plan for the service</li> <li>• Recruit to support new structure</li> </ul>	<ul style="list-style-type: none"> <li>• Both the Senior Procurement Officer (SPO) and Procurement Officer (PO) have started work. A PO post left vacant by the internal promotion has still not been filled</li> <li>• The existing temporary staff have been made permanent</li> <li>• The longer term service plan and structure is complete and should be agreed in early August</li> <li>• Recruitment and embedding will start once the structure is agreed</li> </ul>



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?
<p>A failure in health and safety management leading to death or serious injury (PE5)</p>	<ul style="list-style-type: none"> <li>• Register of corporate H&amp;S risks</li> <li>• Corporate H&amp;S policy specifies management roles &amp; responsibilities, specific management arrangements have been developed</li> <li>• Legislative Compliance Audit programme &amp; Fire Risk Assessments of all Council premises</li> <li>• Programme of auditing management compliance against H&amp;S policy</li> <li>• Delivery of essential emergency training for fire and first aid</li> <li>• H&amp;S Officers investigate all significant accidents &amp; incidents, including ELI claims</li> <li>• Specific H&amp;S training</li> <li>• Health surveillance arrangements for occupational health risks</li> <li>• Delivery of (IOSH) Managing Safely training to Managers and Supervisors below HoS</li> </ul>	<p style="text-align: center;">8  (4x2)</p>	<ul style="list-style-type: none"> <li>• Continue offering H&amp;S IOSH management training to all managers</li> <li>• Continuous review and develop of H&amp;S arrangements</li> <li>• Continuing programme of compliance audits of H&amp;S policy</li> <li>• Maintaining health surveillance programme for occupational health risks</li> <li>• Continuous programmed assessment of legislative compliance and fire risk at all Council premises</li> <li>• Senior management teams H&amp;S training programme</li> </ul> <p>A series of presentations are being made to all DMTs to discuss health and safety governance</p>	<ul style="list-style-type: none"> <li>• No further courses were run in the last quarter and a waiting list is in place for managers who are still to complete this course</li> <li>• The Health, Safety &amp; Resilience team have been unable to continue with the review of H&amp;S arrangements and carry out its programme of compliance audits, due in part to changes within the Council (such as restructures and reductions in staffing) and short term reduction of capacity within the team itself is impacting its ability to progress these and involvement with the 3 Queens event. The team is however working on the development of online audit programmes and working with other HR and Asset management to support the more efficient use of information</li> <li>• This training programme has not yet begun. It will be commissioned once the senior management restructure is complete</li> </ul> <p>A Health and Safety Officer vacancy has been advertised and an appointment is imminent</p>

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?
Quality and availability of data & intelligence could be insufficient to enable us to design services & target effective interventions <b>(DA1)</b>	<ul style="list-style-type: none"> <li>• Dedicated performance management and business intelligence resource</li> <li>• Provision of regular reports to Policy &amp; Performance committees</li> <li>• Breadth and depth of data from Service Reviews</li> <li>• Corporate Governance Group</li> </ul>	<p style="text-align: center;">9  (3x3)</p>	<ul style="list-style-type: none"> <li>• Greater integration of strategy, performance and intelligence disciplines</li> <li>• Provision of dashboard reports to Policy &amp; Performance committees</li> </ul>	<ul style="list-style-type: none"> <li>• The performance management and business intelligence function has been brought into a restructured Policy, Performance &amp; Scrutiny team</li> </ul>
Withdrawal of support for the content management system could affect the security and effectiveness of the Council's web-site <b>(DA3)</b>	<ul style="list-style-type: none"> <li>• Project plan to rebuild the website approved</li> <li>• IT resources allocated</li> <li>• Temporary web editors in post supporting the project</li> </ul>	<p style="text-align: center;">12  (4x3)</p>	<ul style="list-style-type: none"> <li>• Deliver the rebuild project</li> </ul>	<ul style="list-style-type: none"> <li>• The project is progressing well with delivery expected in September.</li> </ul>

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?
A failure in information governance leading to a significant disclosure of sensitive information <b>(DA2)</b>	<ul style="list-style-type: none"> <li>• IG Board and IG Operational Group established</li> <li>• Guidance on information handling/security circulated</li> <li>• Technical ICT controls</li> <li>• Independent security assessments of the council's ICT infrastructure</li> <li>• PSN accreditation attained</li> <li>• Training delivered to Members and key officers on information governance</li> <li>• IG communications for non-IT users developed</li> <li>• IG checklist for departments/managers developed</li> <li>• Checks to ensure that PSN users are BPSS cleared</li> </ul>	8  (4x2)	<ul style="list-style-type: none"> <li>• Training for IGOs</li> <li>• Annual refresh of training for managers and key staff</li> <li>• Implement the Information Governance Action Plan</li> <li>• Secure all council mobile and printing devices</li> <li>• Implement technical solution to protectively monitor the council's ICT infrastructure</li> <li>• Achieve Level 2 IG toolkit accreditation</li> <li>• Centralise IG policies and procedures and risks</li> </ul>	<ul style="list-style-type: none"> <li>• Information Governance Training is available for all staff. Specific Training for Information Governance Officers is defined and will be implemented for the new post holder</li> <li>• Annual refresher training for the SIRO has been undertaken</li> <li>• Implementation of the Information Governance Action Plan has slowed over the past twelve months due to reductions in staff numbers. Proposals for changes to the council's information governance infrastructure, that will focus resources on implementation of the action plan, are being drafted and will be presented for approval during Q3 2015/16</li> <li>• The new mobile phone contract will provide resources and funding to secure council mobile devices. Specifications for the procurement of a new MFD contract will include requirements for secure printing and additional data loss prevention capabilities</li> <li>• Technical implementation of SIEM is complete</li> <li>• Wirral Council was declared compliant with Level 2 of the Information Governance Toolkit V12 on 3 Feb 2015</li> <li>• The Information Governance Policy acts as a centralised index for all corporate IG-related policies. The policy covers three main areas: Confidentiality and Data Protection; Information Security; and Information Assurance. Several of the more detailed documents referred to in the IG Policy need to be reviewed and refreshed. This</li> </ul>

			<ul style="list-style-type: none"><li>• Retain PSN accreditation</li></ul>	<p>work will be coordinated by the Information Governance and Security Officer on a rolling basis with all documents being presented to the Information Governance Board for sign-off</p> <ul style="list-style-type: none"><li>• Work to retain accreditation will commence in autumn 2015</li></ul>
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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 ensure resilience and cohesion in key partnerships <b>(PA2)</b>	<ul style="list-style-type: none"> <li>• Health &amp; Wellbeing Board established</li> <li>• Local Public Sector Board established</li> <li>• Support for Combined Authority</li> <li>• Review of partnerships conducted</li> <li>• Register of key partnerships developed</li> </ul>	9  (3x3)	<ul style="list-style-type: none"> <li>• Develop the Local Public Sector Board and Health &amp; Wellbeing Board</li> <li>• Refresh partnership toolkit</li> <li>• Maximise the opportunities of the Better Care Fund by developing sustainable 7 day integrated community services, contributing to a reduction in demand in Acute care and improving outcomes for people</li> <li>• Implement and embed new models of working to meet the statutory requirements and new duties of the Care Act.</li> <li>• Implement our health and social care integration plans with our health partners</li> </ul>	<ul style="list-style-type: none"> <li>•</li> <li>•</li> <li>• There has been ongoing engagement with stakeholders and regular monitoring of performance / delivery via performance management dashboard</li> <li>• Ongoing implementation of Liquidlogic Phase 2 which will see additional modules enhancing accessibility to advice and information go-live from September / October. Work to develop a single point of contact at Arrowse Park Hospital is ongoing and is due to be in place by April 2016.</li> <li>• A BCF plan has been approved and is being monitored via the performance management dashboard. DASS representation on Vanguard, Urgent Care and Systems Resilience Groups. Co-location of staff is ongoing.</li> </ul>
Failure of a major provider (private, public or voluntary, community and faith sector) or partner leading to interruption of service <b>(PA4)</b>	<ul style="list-style-type: none"> <li>• External suppliers identified and position statement compiled as to their arrangements</li> <li>• Procurement Strategy and the agreed procurement process checks on potential contractor.</li> <li>• Contract and performance management arrangements</li> <li>• Monitoring of contract delivery by Strategic Directors</li> <li>• Linkages to Business Continuity arrangements</li> </ul>	12  (4x3)	<ul style="list-style-type: none"> <li>• 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</li> <li>• Ensure all external suppliers / contractors provide a position statement in regard to their individual business continuity plans on a two yearly basis</li> <li>• Incorporate an annual financial check</li> </ul>	<ul style="list-style-type: none"> <li>• A review of external providers' arrangements which was completed in September 2013 will be re-visited in September 2015</li> </ul>

			is as part of the regular contract performance management arrangements	
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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?
<p>Inadequate safeguarding arrangements exposing children or vulnerable adults to greater risk of abuse or exploitation <b>(CU1)</b></p>	<ul style="list-style-type: none"> <li>• Local Safeguarding Children Board and Safeguarding Adults Partnership Board monitor serious case review action plans.</li> <li>• Business priorities for the WSCB monitored through the WSCB Executive</li> <li>• Fortnightly performance monitoring of changes to contact and referral taking in CADT.</li> <li>• Reports to SLT and strategic Directors DMT on Corporate Safeguarding performance.</li> <li>• National Notification of Serious Child Care Incidents to OFSTED.</li> <li>• Continuing programme for disseminating learning from serious child care incidents.</li> <li>• Monthly meetings of the Merseyside Child Death Overview Panel.</li> <li>• Continuing review of S118 IRO applications.</li> <li>• Revised social work pay and grade structure.</li> <li>• Reviews carried out by District Managers of children / young people known to a number of different agencies</li> <li>• High-level multi-agency review of individuals leading to</li> </ul>	<p>15  (5x3)</p>	<ul style="list-style-type: none"> <li>• Implement a strengths based model of working with families.</li> <li>• Support Council staff and partners in learning from best practice and serious/critical case reviews.</li> <li>• Evaluate effectiveness of Multi Agency Safeguarding Hub.</li> <li>• Implement 'Making Safeguarding Personal' (MSP) and evaluate its impact</li> <li>• Implement and embed new models of working to meet the statutory requirements and new duties of the Care Act</li> </ul>	<ul style="list-style-type: none"> <li>• Although in its early stages this project is on target</li> <li>• The new framework in place and the first case has been reviewed</li> <li>• The evaluation has been completed</li> <li>• This project remains on target for completion this financial year</li> <li>• Ongoing implementation of Liquidlogic Phase 2 which will see additional modules enhancing accessibility to advice and information go-live from September / October. Work to develop a single point of contact at Arrowe Park Hospital is ongoing and is due to be in place by April 16.</li> </ul>

	<p>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.</p> <ul style="list-style-type: none"> <li>• Strategic Review Process implemented for contracted providers giving cause for concern</li> <li>• Joint Domestic Violence sub-committee of the SAPB and LSCB established</li> <li>• Multi Agency Safeguarding Hub for vulnerable children and adults</li> </ul>			
<p>Child Sexual Exploitation <i>(CU2)</i></p>	<ul style="list-style-type: none"> <li>• Bi-monthly meetings of the Wirral Safeguarding Children Board multi-agency Child Sexual Exploitation (CSE) strategic group</li> <li>• CSE is a priority area of activity for the WSCB, including the Council as the key partner</li> <li>• Agreed pan Merseyside CSE strategy in place</li> <li>• CSE multi-agency training in place and targeted briefings for agencies</li> <li>• Practice Guidance in place detailing referral pathway, reinforced by multi-agency briefings</li> <li>• Catch-22 commissioned to deliver the CSE/ Missing from</li> </ul>		<ul style="list-style-type: none"> <li>• Testing and strengthening of the partnership response to CSE to be a priority area for the WSCB in 2015-16</li> <li>• Publication of partnership response in the 2015-15 Annual Report</li> <li>• Commissioning of a range of multi-agency CSE training including working with parents and carers</li> <li>• Appointment of an apprentice based within LA Corporate safeguarding to work with young people's group to advise on response to CSE</li> <li>• Development of sustainable educational and awareness raising resources and drama performance for schools and professionals</li> <li>• Publication of early help plan to</li> </ul>	<ul style="list-style-type: none"> <li>• This activity is on target</li> <li>• This action is on target for delivery in September</li> <li>• Action was completed on target in April</li> <li>• The target date has been revised and the post was to be advertised in July 2015</li> <li>• This activity is on target for implementation in September</li> <li>• This activity is on target for implementation in</li> </ul>



	<p>Home service on behalf of the WSCB and Council</p> <ul style="list-style-type: none"> <li>• Catch-22 service includes identifying and working with children and young people who are victims of or at risk of CSE</li> <li>• Multi-Agency CSE (MACSE) meetings established. Police led meetings, one a month to consider level of CSE risk for all young people referred</li> <li>• CSE multi-agency performance information reported to the WSCB</li> <li>• CSE part of reports to SLT and strategic Directors DMT</li> <li>• <a href="http://www.listentomystory.co.uk">www.listentomystory.co.uk</a> campaign is live including web based advice, guidance and resources</li> <li>• Regular auditing of Council and multi-agency response to CSE including reviews of actions to support most vulnerable young people who are looked after</li> </ul>		<p>support children at risk of CSE</p> <ul style="list-style-type: none"> <li>• Analysis of CSE and Missing from Home data to inform service provision</li> <li>• LA commissioning strategy and plans specifically related to CSE</li> <li>• Patterns of activity to combat CSE informed by Police intelligence</li> <li>• CSE briefings for identified professionals including Foster carers and Social Workers</li> </ul>	<p>September</p> <ul style="list-style-type: none"> <li>• This activity is on target for implementation in September</li> <li>• Action was completed on target in May</li> <li>• Output was to be published in July</li> <li>• Briefings were completed in June</li> </ul>
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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?
<p>A major physical incident compromises the delivery of essential services <b>(PH1)</b></p>	<ul style="list-style-type: none"> <li>• Dedicated Health, Safety &amp; Resilience Team provides support and guidance with 24/7 duty officer cover</li> <li>• External Partner organisations and suppliers identified and position statement complied as to their arrangements</li> <li>• Awareness sessions delivered to key staff</li> <li>• Exercises conducted to test efficiency of plans</li> <li>• Departmental business continuity plans in place for critical service areas</li> <li>• Wirral Business Continuity Plan</li> <li>• Wirral Flood and Water Management Partnership formed</li> <li>• Review of winter maintenance arrangements conducted.</li> <li>• Merseyside Community Risk Register</li> <li>• Business interruption and Loss of Revenue insurance</li> <li>• Wirral Emergency Volunteer Scheme introduced</li> </ul>	<p style="text-align: center;">8  (4x2)</p>	<ul style="list-style-type: none"> <li>• All critical service areas to complete the new BC template</li> <li>• Critical services areas to exercise their BC plans/template</li> <li>• SLT Training and Exercising programme</li> <li>• Continue to review and capture any lessons learnt from incidents and exercises</li> </ul>	<ul style="list-style-type: none"> <li>• 17 out of 32 critical services have returned BC plans. We are continuing to push for the remaining plans and improve the quality of the information in those submitted to date</li> <li>• A programme of audit/testing to start by the end of 2015</li> <li>• The Corporate Resilience Officer is to run an SLT exercise by end of 2015</li> </ul>

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?
<p>Failure to implement new IT systems / hardware in time to support the new Council model</p> <p><b>(PH2)</b></p>	<ul style="list-style-type: none"> <li>• Replacement / upgrade projects agreed as part of 'Future Council' programme</li> <li>• Control and monitoring meetings for all projects within ICT improvement programme</li> <li>• Temporary engagement of Strategic IT Advisor to provide direction and capacity</li> <li>• Initial group of servers implemented</li> </ul>	<p>9</p> <p>(3x3)</p>	<ul style="list-style-type: none"> <li>• Implement programme of ICT improvements (including refresh of hardware)</li> </ul>	<ul style="list-style-type: none"> <li>• The upgrade to Windows XP is complete. The majority of other infrastructure projects are either complete or on target.</li> </ul>
<p>A sustained catastrophic failure in IT systems</p> <p><b>(PH3)</b></p>	<ul style="list-style-type: none"> <li>• Second machine room</li> <li>• Fire suppressant system in rooms</li> <li>• Additional backup /security based at Cheshire Lines implemented</li> </ul>	<p>10</p> <p>(5x2)</p>	<ul style="list-style-type: none"> <li>• Implement programme of ICT improvements</li> <li>• Review of IT service continuity arrangements</li> </ul>	<ul style="list-style-type: none"> <li>• The upgrade to Windows XP is complete. The majority of other infrastructure projects are either complete or on target.</li> <li>• A number of options for alternative data centres are currently being explored including: 1) Co-location with a public sector organisation 2) Co-location with a commercial organisation 3) Use of Wirral owned assets.</li> </ul>

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?
<p>Welfare Reforms <b>(EC2)</b></p>	<ul style="list-style-type: none"> <li>• Ongoing Council-led strategic approach to assess the implications and prepare effective policy &amp; delivery response e.g. through WEDS &amp; Welfare Reform partnership</li> <li>• Discretionary Funds Housing Payment Fund for those on Housing Benefit impacted by the reforms inc. under occupancy</li> <li>• Localised Welfare Assistance Scheme for those impacted directly or indirectly and at risk</li> <li>• Collaborative working with social and rented sector landlord stakeholders</li> <li>• Collaborative working with DWP Local Partnership Lead</li> <li>• Delivery Partnership Agreement with DWP to April 2015</li> </ul>	<p>16</p> <p>(4x4)</p>	<ul style="list-style-type: none"> <li>• Local Welfare Assistance Member Task and Finish Group for post March 2015 continued support as specific funding ends</li> <li>• Develop a revised strategic approach to addressing the impact of Welfare Reform</li> </ul>	<ul style="list-style-type: none"> <li>• Acting on the output from the Task &amp; Finish Scrutiny Review, Cabinet have agreed a revised Local Welfare Assistance Scheme effective from 1 August 2015</li> <li>• The Strategic Leadership Team has agreed that Welfare Reform will be an enabling project supporting delivery of the new Council Plan</li> </ul>

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?
<p>Increasing demand for socially provided care exceeds the resources available (Council and NHS)</p> <p><b>(SO1)</b></p>	<ul style="list-style-type: none"> <li>• Vision 2018 programme</li> <li>• Integrated Care programme</li> <li>• Joint Commissioning arrangements with the CCG</li> <li>• Enhanced monitoring and reporting arrangements</li> <li>• Joint Carers Strategy between Social Care and Health</li> </ul>	<p><b>16</b></p> <p><b>(4x4)</b></p>	<ul style="list-style-type: none"> <li>• Reducing the cost of care</li> <li>• Maximise the opportunities of the Better Care Fund by developing sustainable 7 day integrated community services, contributing to a reduction in demand in Acute care and improving outcomes for people</li> <li>• Implement our health and social care integration plans with our health partners as part of the vision 2018 approach</li> <li>• Implement a new model for our early intervention and prevention services to ensure along with our partners we manage demand efficiently and community based care effectively</li> </ul>	<ul style="list-style-type: none"> <li>• Supported Living rate was set in April 2015, delivering an efficiency of £0.1m. In-year effect of Just Enough Support savings to date is £0.4m. Joint reviews with CCG of high cost packages is underway. A number of different initiatives are currently in effect to achieve the full-year saving of £2.6m</li> <li>• There has been ongoing engagement with stakeholders and regular monitoring of performance / delivery via performance management dashboard.</li> <li>• The BCF plan has been approved and is being monitored via the performance management dashboard. DASS representation on Vanguard, Urgent Care and Systems Resilience Groups. Co-location of staff is ongoing</li> <li>• Wirral Independence Service went live 1<sup>st</sup> July 2015. Existing IMC bed capacity is due to increase from 70 to 110 in September 2015.</li> </ul>

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?
<p>Poor lifestyle choices adversely affect public health and require different public provision</p> <p><b>(SO2)</b></p>	<ul style="list-style-type: none"> <li>Commissioned lifestyle services (i.e. stop smoking services, weight management, drugs and alcohol services)</li> <li>Role of sports development service</li> <li>Health &amp; Wellbeing Board provides focus and a forum for collaboration</li> <li>Vision 2018 work stream on early intervention and prevention</li> </ul>	<p><b>12</b></p> <p><b>(4x3)</b></p>	<ul style="list-style-type: none"> <li>Development of a new delivery model for Leisure Services</li> <li>Review of Tobacco Control action in the Borough</li> <li>Development of a risk &amp; resilience strategy for 11-19 year olds</li> <li>Development of a service model for wellbeing and lifestyle services</li> <li>Delivery of the Healthchecks programme</li> <li>Securing high quality sexual health services, lifestyle services and drug and alcohol recovering services</li> <li>Effective transition of 0-5 responsibilities from NHS England to Wirral Council</li> <li>Implement and evaluate the impact of Healthy Place investments</li> <li>Joint Strategic Needs Assessment refresh</li> <li>Produce the Public Health Annual Report</li> <li>Deliver the borough wide 'Eatwell Wirral Award' by formally engaging with 100% of all Wirral Takeaways.</li> <li>Deliver an intelligence based program of 'Takeaway for a Change' initiatives in at least ten schools</li> <li>Formally engage with all off licences across Wirral to promote and encourage membership to the 'Reduce the Strength' scheme</li> </ul>	<ul style="list-style-type: none"> <li>This activity has been incorporated into one of the 2020 Council Plan deliverables.</li> <li>Progress in relation to this action is on target</li> <li>Progress in relation to this action is on target</li> <li>Progress in relation to this action is on target</li> <li>Progress in relation to this action is on target</li> <li>Progress in relation to this action is on target</li> <li>Progress in relation to this action is on target</li> <li>Progress in relation to this action is on target</li> <li>Progress in relation to this action is on target</li> <li>The Public Health Annual Report was presented to Cabinet on 29 June</li> <li>The recruitment is progressing and two out of the three posts have been appointed</li> <li>On a temporary basis Trading Standards resources have been redirected to ensure this makes an acceptable level of progress</li> <li>The recruitment process is progressing and Officers are voluntary working additional hours to ensure that an acceptable level of progress is made</li> </ul>

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?
<p>Failure to equip the community to be more self-reliant</p> <p><b>(S03)</b></p>	<ul style="list-style-type: none"> <li>• Asset based community development (ABCD) projects</li> <li>• Public sector transformation network</li> <li>• Existing support through the Voluntary, Community and Faith sectors</li> <li>• Engagement of individuals and groups through Constituency Committees</li> <li>• Wirral Emergency Volunteer Scheme</li> <li>• Direct Payments Advisory Service commissioned</li> </ul>	<p>9</p> <p>(3x3)</p>	<ul style="list-style-type: none"> <li>• Implement the Council's Customer Access Strategy</li> <li>• To review Wirral's Community Safety Strategy, to ensure it meets local needs.</li> <li>• Implement a new model for an all age disability service</li> <li>• Maximise the opportunities of the Better Care Fund by developing sustainable 7 day integrated community services, contributing to a reduction in demand in Acute care and improving outcomes for people</li> <li>• Implement a new model for our early intervention and prevention services to ensure along with our partners we manage demand efficiently and community based care effectively</li> <li>• Implement and embed new models of working to meet the statutory requirements and new duties of the Care Act</li> </ul>	<ul style="list-style-type: none"> <li>• Delivery of the strategy has continued, building upon the Transaction Centre. Development of the new web-site is on target</li> <li>• The first milestone update is not due until Q2</li> <li>• Originally targeted for 1<sup>st</sup> September. The timescale has now slipped. Draft proposal has been completed and a consultant is being employed for 4 months to look at models of delivery</li> <li>• Ongoing engagement with stakeholders and regular monitoring of performance / delivery via performance management dashboard</li> <li>• Wirral Independence Service went live 1<sup>st</sup> July 2015. Existing IMC bed capacity is due to increase from 70 to 110 in September 2015.</li> <li>• Ongoing implementation of Liquidlogic Phase 2 will see additional modules enhancing accessibility to advice and information go-live from September / October. Work to develop a single point of contact at Arrowe Park Hospital is ongoing and is due to be in place by April 16.</li> </ul>

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?
Technological advance leads to digital exclusion of individuals and businesses <b>(TE1)</b>	<ul style="list-style-type: none"> <li>• Use of IT volunteers to support customers with Digital Inclusion.</li> <li>• Wirral Libraries work with two adult learning providers to run courses designed to tackle digital exclusion</li> <li>• Wirral 3Ls run courses targeted at the over 50s</li> <li>• As part of the response to Welfare Reforms, an interactive profile of access and available support has been developed through Wirral Well website</li> </ul>	<b>12</b>  <b>(4x3)</b>	<ul style="list-style-type: none"> <li>• Roll out of ongoing Community learning; training and IT skills, particularly with Housing partners</li> <li>• Roll out of ' Digital Friends' initiative</li> <li>• Merseyside Connected (BDUK) superfast broadband project</li> </ul>	<ul style="list-style-type: none"> <li>• Take up of basic IT courses for the public has remained steady with 168 enrolments between April and June 2015.</li> <li>• There are currently 34 IT volunteers supporting customers with Digital Inclusion</li> <li>• 78.6% of new next generation superfast broadband street cabinets and associated network connections are now live. Wirral is ahead of the government's national target in this area.</li> </ul>
Growth of academies / free schools complicates our ability to raise educational attainment and provide skills <b>(LE1)</b>	<ul style="list-style-type: none"> <li>• Dialogue with schools becoming Academies</li> <li>• Retention of support networks e.g Cluster Headteacher Groups</li> <li>• Wirral Education Quality Services (WEQS) offered to all schools, including Academies</li> <li>• Existing structures (e.g. WASH, WISP, Children's Trust Board) provide focus and forums for collaboration</li> </ul>	<b>9</b>  <b>(3x3)</b>	<ul style="list-style-type: none"> <li>• Development of traded services and other service level agreements</li> <li>• Shared programme with CW&amp;C</li> </ul>	<ul style="list-style-type: none"> <li>• New 3 year service level agreements came into force with effect from 1 April.</li> <li>• The new traded services company (Edsential) jointly owned by Wirral and Cheshire West &amp; Chester Councils was incorporated on 20 April. Arrangements to transfer directly provided services into the company are being progressed. Formal trading is expected to commence in December 2015.</li> </ul>



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?
<p>Growing incidence of extreme weather events</p> <p><b>(EN2)</b></p>	<ul style="list-style-type: none"> <li>• Wirral Flood &amp; Water Management Risk Partnership</li> <li>• Merseyside Strategic Flood &amp; Coastal Risk Management Committee</li> <li>• NW Regional Flood &amp; Coastal Committee</li> <li>• Contribute to existing NW RFCC levy scheme.</li> <li>• Merseyside Local Resilience Forum (Multi-Agency) &amp; Wirral Council Flooding &amp; Adverse Weather Response Plans</li> <li>• Met Office and Env Agency weather and flood alerting systems – council cascade to partner agencies</li> <li>• Wirral Emergency Volunteers Scheme – Flood Wardens</li> </ul>	<p>12</p> <p>(4x3)</p>	<ul style="list-style-type: none"> <li>• Progress implementation of the Wirral Flood Risk Partnership action plan.</li> <li>• Develop a Severe Weather Action Plan</li> <li>• Final Environment Agency approval of Coastal Management Strategy</li> <li>• Cabinet approval of Local Flood and Water Management Strategy</li> <li>• West Kirby Flood Alleviation scheme</li> </ul>	<ul style="list-style-type: none"> <li>• Preparations are being made for the development of a Wirral Council Flood Response arrangements / plan</li> <li>• Individual services have been asked to review output from the initial workshop and respond by 4 September. Draft cold weather and heat wave plans have been produced.</li> <li>• Natural England now supports Wirral's Coastal Strategy, enabling EA approval.</li> <li>• MEAS asked to review consultation comments with a view to move towards approval by Cabinet</li> <li>• AECOM appointed to undertake business case to secure Grant Aid funding.</li> </ul>
<p>Failure to process applications for Deprivation of Liberty Safeguards (DoLS) assessments within prescribed timescales</p> <p><b>(LE2)</b></p>	<ul style="list-style-type: none"> <li>• DoLS manager and administrative support in place</li> <li>• Prioritisation of cases to reduce risk to individuals</li> <li>• Regular reporting to Strategic Leadership Team</li> <li>• Best interest assessors (3 FTE's) seconded into DoLS team</li> </ul>	<p>12</p> <p>(3x4)</p>	<ul style="list-style-type: none"> <li>• Extend mental capacity assessment across the workforce</li> <li>• Train additional Best Interest Assessors (BIA)</li> </ul>	<ul style="list-style-type: none"> <li>• A number of cases are being allocated to independent (external) Best Interest Assessors</li> <li>• Work continues to plan the training of BIA staff from the Experienced Social Worker staff group, and for authorisations to be done by operational team managers in addition to Senior Managers.</li> </ul> <p>Despite the above, the backlog of DOLS assessments and authorisations has grown</p>