

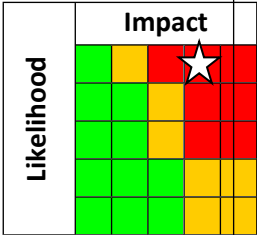
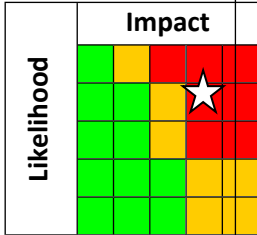
## 2016/17 Corporate Risk Register – Q2 Update Report

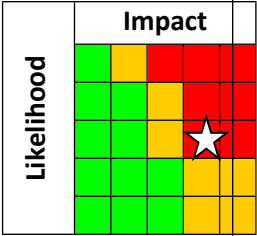
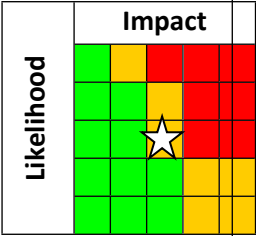
Risk Number and Description	Unmanaged Risk Rating	Original Risk Score	Key Existing Controls	Current Risk Rating	Current Risk Score
1.Financial Resilience		20	<ul style="list-style-type: none"> <li>Financial planning, management and reporting</li> <li>Management of demand</li> <li>Programmes to reduce costs</li> <li>Programmes to increase revenue</li> </ul>		12
<b>Lead Responsibility</b>	Director of Finance / S151 Officer				
<b>Additional Controls – Quarter 2 update</b>	<p><b>Future budgets and funding</b> – An application was submitted to accept the Government 4 Year Settlement Funding Offer on 14 October 2016. An announcement on future funding is expected as part of Chancellor’s Autumn Statement on 23 November 2016.</p> <p><b>Reducing costs</b>  <u>Integration with Health</u> – Work has continued towards implementation of Integrated Community Hubs for Adults and Older People Services and the development of an integrated commissioning hub which will see the implementation of a single pooled budget. An Integrated Commissioning Hub workshop to be held on 10 November to determine its strategic scope and gain consensus for Wirral CCG and the Council to work together as a strategic Commissioner.</p> <p><u>Enhanced Transformation Programme</u> - Transformation Programme development has continued, with Customer Experience and Asset programme definition nearing completion. Programme Boards for Customer Experience and Asset have been agreed and inaugural meetings are to take place in October. Financial outcomes against Medium Term Financial Strategy themes for 2016/17 were reported to the Portfolio Board on 11 July. Further activity to deliver savings for 2017/18 is ongoing.</p> <p><u>Working across the Liverpool City Region (LCR)</u> - Alongside the devolution deal, LCR Chief Executives group are driving forward a number of approaches to accelerate further joint working, reduce duplication, deliver better outcomes and generate significant financial efficiencies. The development of a Programme of Public Sector Transformation Reform is currently underway with a focus on a number of ‘big ticket items’ which will enable fundamental shifts in delivery of services. A City Region Transformation group has been set up to lead the work, and they are developing a detailed Programme which will set out key actions, timescales and the focus for reform, as well as co-ordinating and producing feasibility studies and options appraisals.</p> <p><b>Increasing revenue</b>  <u>Business Rates Retention Pilot</u> - Negotiations are continuing over the detail of the pilot. The Council has made it clear to the DCLG that there must be no detriment to Wirral from its participation. The likely start date remains April 2017.</p> <p><u>Commercialisation/Income Maximisation</u> - The currently focus is on delivering £2m worth of additional surplus from our commercial approach for 2017/18. This will mostly be made up of reviewing and looking for increased return from set fees and</p>				

charges through appropriate challenge to the respective services.

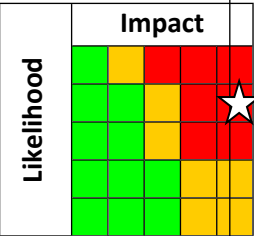
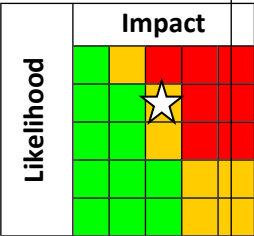
Implementation of Growth Plan

- Greater Job Opportunities – Market engagement has now taken place as a first stage for implementing the Wirral Health Related Worklessness programme. Key Wirral projects have been included in the Liverpool City Region’s Land and Property Development pipeline and work will now take place to enable funding applications and delivery to take place.
- Increase Inward Investment – The International Festival for Business took place in the Liverpool City region with over 100 delegations from 95 countries representing around 800 companies visiting the festival. Wirral’s key investment assets and businesses were showcased as part of the festival.
- Growing Competitive businesses – the current collaboration agreement with the Chamber of Commerce has been refreshed to ensure that we continue to increase the number of businesses operating within the Borough.

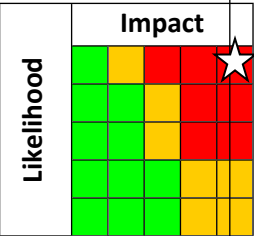
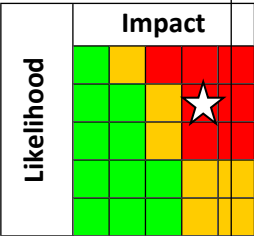
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2.Organisation Development and Pace of Transformational Change		20	<ul style="list-style-type: none"> <li>• Performance appraisals</li> <li>• Accountability statements</li> <li>• Ad-hoc initiatives -e.g. Children’s Social Work</li> <li>• HR involvement in development of business cases for Alternative Delivery Models</li> </ul>		16
<b>Lead Responsibility</b>	Strategic Director – Transformation & Resources				
<b>Additional Controls – Quarter 2 update</b>	<p><b>Capacity and Expertise</b> – The Head of HR/OD is leading on a piece of work to develop a culture change programme for the organisation. This is progressing and a series of culture workshops have commenced with senior managers. Establishment and initial structure for the new Transformation Office has been agreed and internal recruitment is complete. A Further recruitment exercise for interim and permanent resource commenced in quarter 1, but will conclude in quarter 3. Support from a partner to develop and resource transformational change is ongoing and will end in quarter 3.</p> <p><b>Transformation</b> –Governance arrangements developed and agreed by SLT in quarter 1 were formally agreed at the inaugural Portfolio Board meeting on 11 July. Implementation is ongoing as Programmes and Projects are initiated. Configuration of the Concerto Programme and Project Management system has been completed, and Projects uploaded onto it, pending Programme definition approval. Templates and guidance will be completed early in quarter 3. Establishment and initial structure for the new Transformation Office has been agreed and internal recruitment is complete. A Further recruitment exercise for interim and permanent resource commenced in quarter 1, but will conclude in quarter 3. Support from a partner to develop and resource transformational change is ongoing and will end in quarter 3.</p>				

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3.Partnerships		12	<ul style="list-style-type: none"> <li>The Wirral Partnership agreed a single Wirral Plan with joint priorities, and committed to a partnership approach with collective actions to deliver it</li> <li>Partners have lead responsibility for a number of the Pledges and are involved in delivery of all of them</li> <li>To ensure a single approach, the Partnership Delivery Group (PDG) meets regularly, bringing together Chief Executives of partner organisations to co-design implementation of the Plan and emerging strategies</li> </ul>		9
<b>Lead Responsibility</b>	Chief Executive				
<b>Additional Controls – Quarter 2 update</b>	<p><b>Implementation of new governance arrangements</b> - New governance and reporting processes for the Wirral Plan and strategies have previously been agreed by Cabinet, SLT and the Wirral Partnership Delivery Group (PDG), and these continue to drive the production of comprehensive progress reports. Q2 performance/implementation reports have now been produced and will be considered by Cabinet, SLT and the Wirral Partnership.</p> <p><b>Activity to strengthen links between the PDG and other groups/boards</b> - Since the Wirral Partnership was established in July 2015, partnership working has continued to deliver the Wirral Plan Pledges and Strategies to improve outcomes for residents. The PDG has now agreed the new Partnership Framework, which sets out a single consistent and coherent approach to link the Wirral Partnership and the relevant sub-partnerships/boards to deliver the Wirral Plan and 20 pledges. A key enabler for strengthening these links is the formalised learning Programme being developed through the Wirral Leadership Academy. This will bring together key partners to embed the new approach within partner organisations, identify new opportunities and address challenges and barriers to delivery.</p>				

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4.Devolution		12	<ul style="list-style-type: none"> <li>To ensure up to date knowledge and communication of developments: Regular updates and briefings with elected members and Strategic Leadership Team (SLT) i.e. through Leader’s Portfolio reports; Policy &amp; Performance progress reports; Scrutiny Review; SLT discussions</li> <li>To optimise Wirral’s influence: Wirral’s Chief Executive and Leader part of regular LCR meetings to develop new LCR arrangements and devolution deal</li> <li>Wirral elected members appointed to LCR Scrutiny and other thematic Boards</li> <li>Wirral officers represent Wirral’s interests and priorities at relevant LCR boards and networks</li> <li>Ongoing activity to develop Wirral projects and ensure that they are represented within LCR strategic priorities</li> <li>SLT ongoing discussions to ensure a strategic and comprehensive knowledge of developments; to agree Corporate approach; and identify Wirral’s priority focus and projects for the short, medium and long term</li> </ul>		9
<b>Lead Responsibility</b>	Chief Executive				
<b>Additional Controls – Quarter 2 update</b>	<p><b>Review arrangements for City Region governance and implementation</b> - On 18 June 2016, the LCR Combined Authority agreed a draft Governance Review and Scheme with detailed proposals for future governance and delivery of LCR activity and the devolution deal. Subsequently, these proposals were formally consulted on across the City Region during the Summer.</p> <p><b>Consultation to enable Wirral and partners to play an effective role in the new arrangements</b> - To increase Wirral awareness and understanding of the new proposals, ongoing updates, briefings and discussions continue to be held including at Scrutiny Committee; Cabinet/SLT; Leadership; Wirral Partnership, as well as a dedicated Wirral workshop for elected members, which was held on 26 July. The finalised proposals will be considered by Wirral and all constituent Councils, and the Combined Authority October/November 2016</p>				

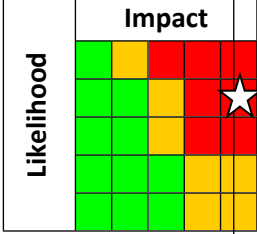
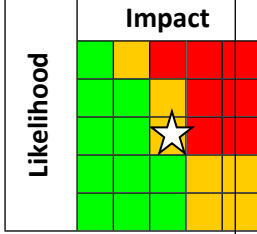
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5.Integration of health and social care		20	<ul style="list-style-type: none"> <li>• Integration of community and older people's services</li> <li>• Integrated commissioning hub</li> <li>• Integration project for all age mental health services</li> <li>• Integration of all age disability services</li> <li>• Initiative to reduce long term care admissions</li> <li>• Initiatives around review of activity and replacement with alternatives (e.g. assistive technology)</li> <li>• Wirral Independence Service</li> <li>• Short term crisis support, to avoid admission</li> <li>• STAR Re-ablement service</li> <li>• Integrated single gateway into services</li> <li>• Rapid Community Response Service – with Wirral Community NHS Trust</li> </ul>		12
<b>Lead Responsibility</b>	Director of Adult Social Services				
<b>Additional Controls – Quarter 2 update</b>	<p><b>Introduction of on-line self-assessment</b> - New portals linked to Liquidlogic were implemented in July 2016. Public publicity of the new portals is due to take place in October 2016, by which time new processes will be fully embedded. We are also actively working with partner agencies who are offering services to support individuals to complete self-assessments in hospital settings, for example. Mobile devices have been commissioned for partner agencies to use in order to support people to complete self-assessments whilst in hospital for example. Alongside self-assessment of care needs we have also gone live with Online Financial Assessments (OFA), which allow members of the public to complete an indicative financial assessment that can be submitted to the Council's Personal Finance Unit for processing, thereby setting out the application of a charge and the potential amount to be charged ahead of care being received.</p> <p><b>Development of extra care housing</b> - Several schemes have been approved. However recent proposed changes to housing rent levels have resulted in schemes stalling on the basis that exempt level rents will no longer be payable. Those changes include the capping of social housing rents and a required 1% reduction per year in social housing rents.</p> <p><b>Review of the supported living service model</b> – The new model is being developed on an outcomes basis. Further workshops have taken place with providers and consultation is due to commence with them in November 2016. The model is due to be finalised in December 2016, with Cabinet sign off in February 2017.</p> <p><b>Support regional work around specialist services and fees</b> - Work has continued with colleagues from the Liverpool City Region on the new models of care, linked to the NHS England Transforming Care Partnership programme. Workshops have been held with providers and consultation commenced in September. To support this work a 'Care cost calculator model' is being implemented.</p>				

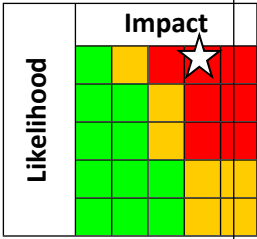
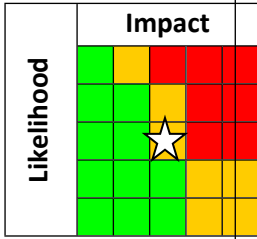
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6.Effect of demographic changes on demand for services		16	<ul style="list-style-type: none"> <li>• Integrated Care programme</li> <li>• Joint Commissioning arrangements with the Clinical Commissioning Group</li> <li>• Delivery of commissioned lifestyle services - Head of Public Health</li> <li>• Vision 2018 work stream on early intervention and prevention</li> </ul>		12
<b>Lead Responsibility</b>	Strategic Director – Families & Wellbeing				
<b>Additional Controls – Quarter 2 update</b>	<p><b>Develop a more comprehensive programme of education and advice</b> – Collaboration has continued with colleagues in Public Health and the Clinical Commissioning Group on a revised advice and information offer, to include community connectors.</p> <p><b>Integration agenda (Healthy Wirral)</b> - Work streams have been pulled together, despite the non-progression of “vanguard” monies for Wirral. Work is approaching completion on the review of reablement and intermediate care provision in Wirral. This will inform the future work for impact assessment on demographic growth. Online self-assessment has been introduced as a tool for practitioners and the public to use in order to make informed decisions about future service provisions and to reduce demand on commissioned service provision. The Council’s new operating model will be effective from the 1 November 2016 and will see the formation of a Business Intelligence hub, whose role will be to support the integrated commissioning hub through the provision of customer insight information and forecast future demand to ensure appropriate services are commissioned.</p> <p><b>Programmes of early intervention and prevention</b> - A further early intervention and prevention commission will go out in November 2016, which will include a carer’s commission.</p> <p><b>Implement health and social care integration</b> - Full business cases are currently in development to scope the development of Integrated Community Hubs. CAPITA are supporting with the development of the business cases. A demand model has been developed alongside partner organisations, with information from this model being used to inform the business cases and to ensure that the services will have the necessary capacity to be able to meet future demand. A due diligence exercise has now been completed and the report has been finalised. A final proposal is to be taken to the Trust Executive Board on 7 December and to Cabinet on 8 December for ratification. The operating model and contract specification have been drafted.</p>				

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7.Safeguarding		25	<ul style="list-style-type: none"> <li>An Improvement Board was established in September 2016 to drive the improvements needed to respond to the Ofsted recommendations; the board meets monthly to ensure the improvement plan including the safeguarding board. recommendations are gripped, and progress is monitored and challenged. The Board now includes an independent chair and an independent adviser appointed by the DFE.</li> <li>Recruitment is underway for an experienced permanent Deputy Director for Children’s Care Services and an Independent Chair of the Wirral Safeguarding Children Board.</li> <li>Interim strategic lead for children’s social care and experienced social work practice improvement lead appointed May 2016 and October 2016 respectively</li> <li>Children’s early help and intervention offer strengthened through increased partnership engagement to meet children’s needs earlier and so reduce demand for children’s social care.</li> <li>Single senior manager established to lead and oversee the MASH (Multiagency Safeguarding Hub) Performance management and reporting arrangements for managers, leaders and elected members will be overhauled to ensure these are based on accurate, reliable data that is used to effectively measure and inform service improvements.</li> <li>An HR and OD team will be co-located in the Children and Young People’s Department enabling close working with service managers to rapidly recruit, induct, develop and retain social workers and social work managers; and support managers at all levels to develop and challenge staff to meet the higher bar set through the Wirral Social Work Practice Standards.</li> </ul>		16



<b>Lead Responsibility</b>	Strategic Director – Families & Wellbeing
<b>Additional Controls – Quarter 2 update</b>	<p><b>Implement service improvement plan resulting from the recent diagnostic and self-assessments</b> – The service plan is being progressed. A detailed and robust plan is in development to strengthen our approach towards Safeguarding, which was developed immediately prior to the Ofsted inspection in July, and informed by their emerging findings during the inspection. Further work and development on the plans will be delivered following the workshop with Ofsted on the 1<sup>st</sup> November and input from the appointed DfE advisor.</p> <p><b>Implement programme in relation to children in care and on the edge of care</b> – As above: as part of the Ofsted inspection a detailed and robust plan is in development to improve and strengthen our approach</p> <p><b>Deliver the priorities of the Local Children’s Safeguarding Board (LSCB) and the Safeguarding Adults Partnership Board (SAPB)</b> – The LSCB has developed an improvement plan following The Ofsted report. The SAPB is progressing work on the priorities, whilst also supporting the development of a Combined Authority SAPB.</p> <p><b>Implement ‘Making Safeguarding Personal’ (MSP) and evaluate its impact</b> – A task and finish group is being established to provide greater focus on this work.</p>

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8.Governance (including information governance)		20	<ul style="list-style-type: none"> <li>• Council Constitution</li> <li>• Code of Corporate Governance</li> <li>• Member / Officer Protocol</li> <li>• Staff Policies (e.g. Dignity at Work)</li> <li>• Corporate Policies (e.g. Whistleblowing)</li> <li>• Operational policies (e.g. Information Governance, Gifts and Hospitality)</li> <li>• Ethical Framework for Members</li> <li>• Regulatory policies - Planning and Licensing</li> </ul>		9
<b>Lead Responsibility</b>	Head of Legal & Member Services / Monitoring Officer				
<b>Additional Controls – Quarter 2 update</b>	<p><b>Review the Constitution, Code of Corporate Governance and Members Code of Conduct</b> - The revision of the Constitution continues to be overseen by the Standards and Constitutional Oversight Committee. In the quarter there has further consultation over potential changes. It is still expected that the SCOC will approve proposed amendments to the document within the current municipal year. A revised Code of Corporate Governance has been considered by the Corporate Governance Group and by the Strategic Leadership Team and will be presented to Audit &amp; Risk Management committee on 22/11/2016.</p> <p><b>Introduce the webcasting of Council Committee and Cabinet meetings</b> – Soft market testing has been completed, suppliers identified and tender documentation prepared.</p> <p><b>Review and enhance information governance arrangements</b> – The ICO has undertaken a consensual best practice audit of the Council’s Governance arrangements in respect of Subject Access Requests and Records Management. The 1<sup>st</sup> draft report was received in mid-September. This has been checked it for factual accuracy and a response given to the ICO. The 2<sup>nd</sup> draft was received on 30 September along with the 1<sup>st</sup> draft of the Executive Summary. Again, both documents will be reviewed. In particular, the Council must review the recommendations and indicate, firstly, if it fully accepts, partially accepts or rejects each recommendation made and then subsequently detail what action will be taken to implement each recommendation.</p>				

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9.Economic Activity		20	<ul style="list-style-type: none"> <li>Implementation of the Growth Plan</li> </ul>		9
<b>Lead Responsibility</b>	Head of Business and Investment				
<b>Additional Controls – Quarter 2 update</b>	<p><b>Implementation of place marketing activities</b> - The development of a strong Place Marketing platform for Wirral is underway, which will support the outcome to increase inward investment. Intensive stakeholder research is complete, marketing collateral has been developed for MIPIM UK and a final report and recommendations is due in Quarter 3. The City Region ERDF bid is being considered by DCLG and draft contractual arrangements are underway. This will support the recruitment of additional capacity to progress Inward Investment activity across the city region.</p> <p><b>Delivery of programmes to drive key growth sectors, such as the Maritime Knowledge Hub</b> - An application to the Single Investment Fund is being developed which, if approved, will strengthen the skills offer of the Maritime Knowledge Hub.</p> <p><b>Implementation of the Wirral Waters Investment Fund</b> - The collaboration agreement is in the final stage of the legal process. This is supported by the phase 1 business plan pipeline for the first projects coming through the fund.</p> <p><b>Delivery of the Ways to Work programme</b> - Delivery of all services within the Wirral Ways to Work Programme commenced in July 2016. Performance to date includes 203 participants engaged on the programme by 31August 2016. All contracts are performing on target and so far the programme has achieved 4 employment outcomes ahead of schedule.</p>				

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10.Resources and Infrastructure		16	<ul style="list-style-type: none"> <li>Implementation of current asset management strategy.</li> <li>Business continuity policy.</li> <li>Additional backup /security at Cheshire Lines.</li> <li>Standardised, refreshed IT hardware.</li> </ul>		9
<b>Lead Responsibility</b>	Strategic Director – Transformation & Resources				
<b>Additional Controls – Quarter 2 update</b>	<p><b>Establishment of data centres</b> – A contract has been signed a contract with Merseytravel. They have completed the capital works to prepare for the Council’s equipment. A procurement exercise is underway for a number of services which are needed within the transfer project. The second data centre will remain in the Treasury Building, which will be refurbished. The data centre will be updated and the facilities will be enhanced to improve resilience. The refurbishment of the Treasury Building will begin in October and the Digital Service is working with colleagues in Asset Management to finalise the plans and floor layouts.</p> <p><b>Implementation of new Digital Strategy (including Rationalisation and standardisation of systems and applications)</b> –The Digital Strategy was approved by Cabinet on 18 July 2016. Since then, there has been activity to develop the actions and implement the Strategy. The Strategy is a key enabler to the Wirral Plan and many of the Pledges, and has a number of cross-cutting measures and action plans, which are currently being mapped out in detail. A strategic steering group with partner and member involvement is being established to oversee governance and delivery.</p> <p>In addition, building on the Partner Workshop that was held earlier this year, a number of strategic workshops with key stakeholders are planned for Autumn 2016 to further develop the specific actions and fully maximise the creative opportunities that digital brings.</p> <p><b>Implementation of new Asset strategy</b> –The Wirral Property Board has been established and there has been increased focus on asset strategy within the wider Wirral transformation project. A One Public Estate bid has been submitted which, if successful, will provide much needed support to deliver key asset projects across the Wirral Partnership.</p> <p>The New Operating Model and the DASS/NHS Integration Project are presenting challenges for future accommodation requirements; these are being met whilst recognising the necessity to reduce operational running costs through rationalisation. Asset condition data is being gathered and the new asset management system is helping to build intelligence to be used strategically.</p> <p>Opportunities involving operational and vacated assets which support the Asset Strategy have arisen supporting the Growth Plan and the Birkenhead Regeneration vision; these are being considered and progressed. Work in Q3 will require an acceleration of key assets in delivering either savings or enabling regeneration. Budget pressures have brought focus on the sale of assets to raise Capital receipts; work in Q3 will develop the disposal process for the various sites, some of which will be complex.</p> <p><b>Roll out of testing programme for business continuity plans</b> – Five desktop exercises have taken place so far (Building Control, Environmental Health, Payroll, One Stop Shops &amp; Electoral Services) with a further four scheduled (Public Health, Legal &amp; Member Services, Strategic Housing and Transport Maintenance). A reminder email has been sent to plan owners that have yet to make arrangements for their Business Continuity plan to be tested.</p>				