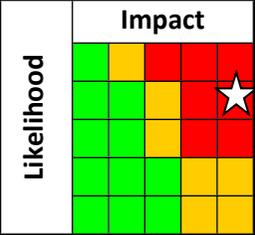
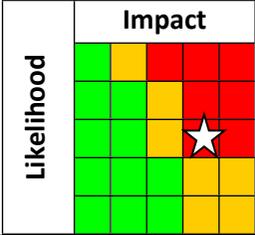


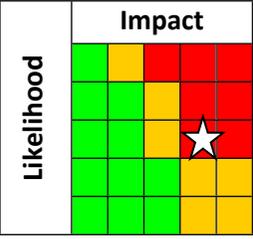
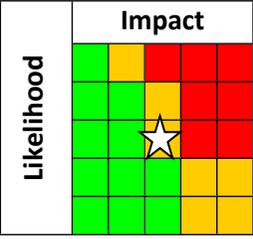
## 2016/17 Corporate Risk Register – Q3 Update Report

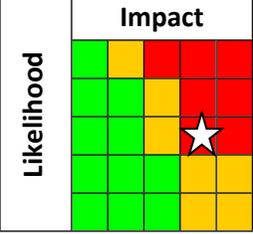
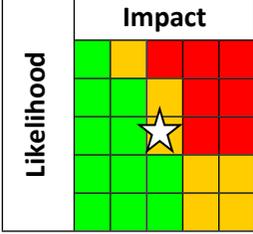
Risk Number and Description	Unmanaged Risk Rating	Original Risk Score	Key Existing Controls	Current Risk Rating	Current Risk Score
1.Financial Resilience		20	<ul style="list-style-type: none"> <li>Financial planning, management and reporting</li> <li>Management of demand</li> <li>Programmes to reduce costs</li> <li>Programmes to increase revenue</li> </ul>		12
<b>Lead Responsibility</b>	Assistant Director: Finance / S151 Officer				
<b>Additional Controls – Quarter 3 update</b>	<p><b>Future budgets and funding</b> – The Chancellor’s Autumn Statement preceded the Government issuing the Provisional Local Government Finance Settlement in December 2016. Council position was reported to Cabinet 8 December 2016 and will be updated at the 20 February 2017 meeting.</p> <p><b>Reducing costs</b>  <u>Integration with Health</u> – Integrated commissioning board is now established with the working group, supporting key priorities. Project support is now in place from corporate Transformation Team. The pooled budget between Clinical Commissioning Group and the Council with Section 75 agreement and supporting financial framework is under discussion and progressing for March Cabinet. Now connects with Better Care Fund (BCF) pooled budget and priorities and overseen by monthly BCF board with sign off at Health &amp; Wellbeing Board.  <u>Enhanced Transformation Programme</u> - The Transformation Programme is established with Customer Experience and Asset programme definitions completed. A Portfolio Board reviews a dashboard setting out the programmes financial benefits, key milestones risk and issues. This is underpinned by monthly Programme Boards for Customer Experience and Assets. .  <u>Working across the Liverpool City Region (LCR)</u> - The LCR Chief Executives group continues to drive forward the Public Service Transformation Programme to reduce duplication, deliver better outcomes and generate significant financial efficiencies. A detailed programme has been developed, which sets out the focus for reform; action plans and a series of feasibility studies and options appraisals. Scoping papers and feasibility studies will now be developed for a number of specific service areas to explore potential new models for delivery. Chief Executives are currently reviewing the feasibility study to agree next steps, including commissioning the production of full business cases where appropriate. Strategic linkages have been made with Wirral’s Transformation programme to identify opportunities to collaborate across the LCR to accelerate proposals and generate additional savings.</p> <p><b>Increasing revenue</b>  <u>Business Rates Retention Pilot</u> - This Liverpool City Region Pilot will commence April 2017. Government has advised there is no financial detriment from participation. Final details are expected in January 2017.</p>				

Commercialisation/Income Maximisation - The main activity for quarter 3 included:

- Debt Management
- Investments – developing a proposal for increasing investment in assets.
- Property company
- Energy Company
- Commercial training programme for staff being developed with 2 online e-learning modules available for January.
- Work is ongoing with the positioning of the commercial strategy and subsequent governance and support being determined

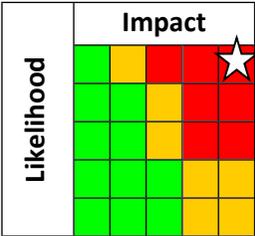
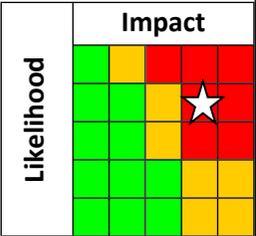
Risk Number and Description	Unmanaged Risk Rating	Original Risk Score	Key Existing Controls	Current Risk Rating	Current Risk Score
2.Organisation Development and Pace of Transformational Change		20	<ul style="list-style-type: none"> <li>• Performance appraisals</li> <li>• Accountability statements</li> <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>	Director for Transformation				
<b>Additional Controls – Quarter 3 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. At the end of Q3 workshops had been facilitated with management teams across the council and areas for cultural change identified, with actions to support the change. This work is being finalised and will feed into the Organisation Development Plan – April 2017.</p> <p><b>Transformation</b></p> <p><u>Resources needed to support Alternative Delivery Models</u> – Programme Boards receive monthly updates on the work in progress and work within the pipeline to be initiated. Work with strategic hub continues to ensure the totality of change initiatives are....?? Resource revised Transformational Change programme - Director of Transformation has been appointed and will commence work on 1<sup>st</sup> February2017. This is a key role in driving transformation at the required pace. The Transformation Office has continued to recruit resource through a mixture of permanent, interim, and specialist staff. An appraisal of resources required to support the transformation programme has been assessed and will be reported to Business Services in February 2017 (Q4)</p> <p><u>Implementation of agreed governance to monitor and control delivery</u> – A gateway model for business case development has been agreed and is based on the HM Treasury five case model.</p> <p><u>Strengthen programme management arrangements using standardised tools and techniques</u> - Configuration of Concerto PPM system is complete, with ongoing upload of Projects. A project toolkit has been developed with standard guidance and templates. This is available to the project management community and is scheduled to be launched on the intranet in Q4 for access by the wider organisation.</p> <p><u>Establish a central Transformation Office with clearly defined roles / responsibilities</u> – The establishment and initial structure was agreed and internal recruitment completed. Further recruitment exercise for interim and permanent resource was completed in quarter 3. This will be kept under reviewed as the programme develops.</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 3 update</b>	<p><b>Implementation of new governance arrangements</b> - Established governance and reporting processes for the Wirral Plan and strategies continue to drive the production of comprehensive progress reports. Q3 performance/implementation reports have now been produced and will be considered by Cabinet, SLT and the Wirral Partnership. An Annual Strategy Review of the Wirral Plan commenced in December 2016 and is currently systematically reviewing all of the Action Plans to identify any issues and propose solutions.</p> <p><b>Activity to strengthen links between the Partnership Development Group (PDG) and other groups/boards</b> - As referenced above, the Annual Strategy Review of the Wirral Plan commenced in December 2016 and is currently systematically reviewing all of the Action Plans and Partnership Groups to summarise progress, identify any issues and propose solutions in relation to governance, partnership working and effective delivery. The Wirral Leadership Academy Programme has now been agreed and will enhance and formalise greater collaboration across the Partnership to deliver the Wirral Plan and Pledges and through the underpinning Pledge Boards.</p>				

Risk Number and Description	Unmanaged Risk Rating	Original Risk Score	Key Existing Controls	Current Risk Rating	Current Risk Score
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 3 update</b>	<p><b>Review arrangements for City Region governance and implementation</b> - Following the recent Governance Review and public consultation, in December 2016 Wirral, the other City Region Local Authorities, and the LCR Combined Authority agreed the final legal and governance requirements to establish the Liverpool City Region Combined Authority (LCRCA) Mayoral Model with the devolved powers and functions agreed as part of the Devolution Deal in November 2015. A review of the LCRCA constitution is now underway, and a revised constitution will be circulated imminently to fully reflect the powers and functions within the LCR Order, together with how they will be implemented. Details and timescales for the Mayoral Elections are currently being finalised.</p> <p><b>Consultation to enable Wirral and partners to play an effective role in the new arrangements</b> - To ensure Wirral awareness and understanding of LCR developments, a series of ongoing updates, briefings and discussions continue to be held including at Scrutiny Committee, Cabinet/SLT, Leadership and Wirral Partnership.</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 for Health and Care				
<b>Additional Controls – Quarter 3 update</b>	<p><b>Introduction of on-line self-assessment</b> - Self-assessment has been fully rolled out and we are now receiving online submissions for individuals and carers seeking support. We are continuing to work with partner agencies to maximise uptake of self-assessments. As part of the submission process, individuals have to create an online account and we are currently reviewing how we communicate with individuals who have an online account and the information that they receive such as factsheets about charging and the like.</p> <p><b>Development of extra care housing</b> - Challenges remain in the development of Extra Care with the Government not having resolved the issues in relation to the local rent levels, and potentials caps. This has resulted in continued resistance from registered providers (RP) of housing to develop Extra Care at risk, given the capital and revenue implications. Some providers continue to progress with developments at risk and Verum Victum health care are on site “at risk”. Homes and Communities Agency funds have been secured for a site In Rock Ferry, which may help the RP to progress the scheme with this additional funding. A further RP has approached with its own capital to develop Extra care on the Foxfield school site. A paper has progressed at Capital group to confirm investments in available sites and return on revenue implications and recoup of funds.</p> <p><b>Review of the supported living service model</b> – The model for Outcome based commissioning has been approved to run as a pilot and key providers have been identified to take this forward in the near future. Operational social work staff has been identified to work alongside commissioners, contract managers and providers to roll out and test the new model, prior to any final decision. The model has been shared with colleagues in the Liverpool City Region as part of the new Models of care group.</p> <p><b>Support regional work around specialist services and fees</b> -A cost of care indicator tool has been introduced to look at placements that cannot be placed at standard Wirral rates. The tool was introduced in Autumn 2016 and is being used to work with both providers and operational staff to provide costs on individual cases for placement.</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>	Director for Health and Care				
<b>Additional Controls – Quarter 3 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> -The Business Intelligence (BI) Hub has now been formed and is working with commissioners as part of the Integrated Commissioning Hub project. There is a dedicated BI work stream which will seek to set out the work plan for the Hub, to ensure it is aligned with commissioning plans. The marketplace and self-assessment tools are available to the public and further work is currently taking place across the Liverpool City Region regarding publicity and branding of the marketplace. This work will also look to bring additional functionality to the marketplace product including embedding links to the NHS Choices directory to provide a seamless advice and information service across health and social care.</p> <p><b>Programmes of early intervention and prevention</b> -The joint commission for advice and information contract has been awarded and will commence in April 2017. Work is currently underway with the third sector to look at a Wirral offer across to respond positively to council commitments. This work is being led by Adult social care and includes the requirements for adults, children, public health and the Clinical Commissioning Group.</p> <p><b>Implement health and social care integration</b> - Following Cabinet approval, staff consultation is planned to commence early February 2017. Final negotiations are taking place in relation to two issues, pensions and budget spend arrangements. Plans are in place for full report to Cabinet in March 2017 and to NHS Community Foundation Trust Board in early March 2017, both for approval. Implementation for April 2017 is currently on track</p>				

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7.Safeguarding		25	<ul style="list-style-type: none"> <li>An Improvement Board was established 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>Deputy Director for Children’s Care Services and an Independent Chair of the Wirral Safeguarding Children Board recruited.</li> <li>Interim strategic lead for children’s social care and experienced social work practice improvement lead appointed</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 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>	Director for Children				

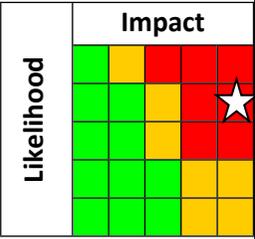
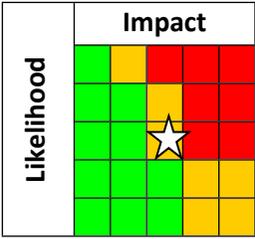
**Additional Controls –  
Quarter 3 update**

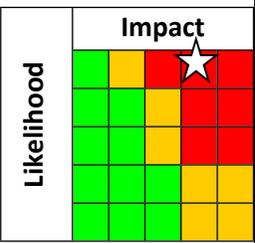
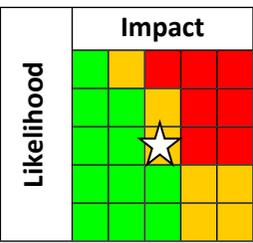
**Implement service improvement plan resulting from the recent diagnostic and self-assessments** – The service plan is being progressed. A detailed and robust plan is in development to strengthen our approach towards Safeguarding, which was developed immediately prior to the Ofsted inspection in July, and informed by their emerging findings during the inspection. This plan is currently being updated to review the improvements and ensure robust actions are in place to continue with the improvement.

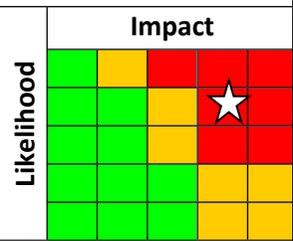
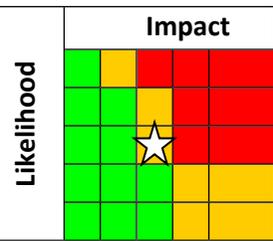
**Implement programme in relation to children in care and on the edge of care** – As above: as part of the response to the Ofsted inspection a detailed and robust plan is in development to improve and strengthen our approach.

**Deliver the priorities of the Local Children’s Safeguarding Board (LSCB) and the Safeguarding Adults Partnership Board (SAPB)** – This is progressing as expected. The LSCB has developed an improvement plan following the Ofsted report. Maggie Atkinson has been appointed as the independent chair of the board and is currently reviewing the plan. The SAPB is progressing work on the priorities, whilst also supporting the development of a Combined Authority SAPB.

**Implement ‘Making Safeguarding Personal’ (MSP) and evaluate its impact** – This initiative is progressing as expected.

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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>	Assistant Director - Law & Governance				
<b>Additional Controls – Quarter 3 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 (SCOC). In the quarter there has been further consultation over potential changes. It is still expected that the SCOC will approve proposed amendments to the document within the current municipal amendments to the Constitution which have been considered by the Standards and Oversight Committee and subsequently approved by Council in December 2016. The Code of Corporate Governance has been refreshed and also approved by Council at its meeting in December 2016 and will be subject to an annual review thereafter. The Constitution has been updated to reflect the approved changes and to include the revised Code of Corporate Governance. The Members’ Code of Conduct is currently being reviewed by the Standards and Constitutional Oversight Working Group, which should report any recommendations to the Standards and Constitutional Oversight Committee by the end of this municipal year.</p> <p><b>Introduce the webcasting of Council Committee and Cabinet meetings</b> – Soft marketing testing has been completed, suppliers identified and tender documentation drafted. SLT and Leadership have approved the specification and tendering arrangements for this project. Funding avenues for the project are currently being explored through IT and possibly the Transformation Fund. The tendering exercise will be commenced once the funding source has been satisfactorily identified.</p> <p><b>Review and enhance information governance arrangements</b> – The finalised Information Commissioner’s Office (ICO) report was agreed, along with the Council’s action plan. Both documents were finalised and the Information Governance Delivery Group is working through that action plan to address all the recommendations before the ICO conducts a review in May 2017.</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>	Strategic Commissioner - Growth				
<b>Additional Controls – Quarter 3 update</b>	<p><b>Implementation of place marketing activities</b> – No developments reported.</p> <p><b>Delivery of programmes to drive key growth sectors, such as the Maritime Knowledge Hub</b> - The review of the post-16 provision is due to be published on 10<sup>th</sup> January 2017, with the agreed recommendations to be taken forward through the Employment and Skills Board. Skills Brokers are now in place and working alongside the Liverpool City Region Growth Hub to provide independent advice regarding skills, including apprenticeship levy reforms.</p> <p><b>Implementation of the Wirral Waters Investment Fund</b> - The Investment Fund collaboration agreement is still in the final stages. Issues with the Business Rates Repayment model meant that sign off was unable to be achieved in this quarter. The first projects in the Phase 1 pipeline are still ready to progress as soon as the agreement is finalised, which will now be in Q4. The strategic narrative exercise for Inward Investment is now complete. After consultation with businesses the ‘Wirral Well Made’ brand has been designed and an Inward Investment report is now going to Cabinet in January 2017, alongside the request for the new post within the Investment Team to support this area of work.</p> <p><b>Delivery of the Ways to Work programme</b> - Delivery of the Wirral Ways to Work programme has now been up and running for 2 quarters. The project is progressing well, with 598 clients engaged across all four Ways to Work projects as at 31<sup>st</sup> December 2016, and 116 clients already supported into employment or training.</p>				

Risk Number and Description	Unmanaged Risk Rating	Original Risk Score	Key Existing Controls	Current Risk Rating	Current Risk Score
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>	Director for Business Services				
<b>Additional Controls – Quarter 3 update</b>	<p><b>Establishment of data centres</b> – A project to link our fibre network with the Merseytravel network has been completed. The design phase of the necessary networking infrastructure is underway. Final design documents should soon be complete. We will purchase any additional equipment that may be required and will go out to procurement by mid-February to identify a partner that will project manage the decommissioning of equipment, move and recommissioning of the equipment in the Merseytravel datacentre.</p> <p><b>Implementation of new Digital Strategy (including Rationalisation and standardisation of systems and applications)</b> – There has been ongoing activity to develop actions to implement the Strategy. It 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 will be established to oversee governance and delivery. In Q3, a number of workshops have been held through the Wirral Partnership; the Strategic Hub and Customer Access Transformation Programme; and with key stakeholders to further refine priorities and drive forward key actions.</p> <p><b>Implementation of new Asset strategy</b> Q3 has seen asset intelligence drawn from a wide range of public sector partners and aligned with the wider Wirral transformation projects. The outcome of the One Public Estate bid (expected in Q4) would give much needed support to deliver key asset projects across the Wirral Partnership; without this funding the risk rating would increase. Council service asset reviews are being undertaken to support a range of projects such as: DASS/NHS Integration &amp; Safer Wirral Hub. These are presenting challenges for future accommodation requirements; this challenge is being met whilst recognising the necessity to reduce operational running costs through rationalisation and the vision. Asset condition data is being gathered and the new asset management system is enabling building intelligence to be used more strategically which reduces risk to the Council. Opportunities involving operational and vacated assets which support the Asset Strategy which arose in the quarter will support the Growth Plan and the Birkenhead Regeneration vision. These are being progressed. Work in Q4 will require an acceleration of key assets in delivering either savings or enabling regeneration. The New Wirral Civic Hub project will require a fundamental rationalisation of assets across the Borough; good project management and communication is critical for managing a range of risks. Budget pressures have brought focus on the sale of assets to raise Capital receipts of £15m in 2017/18. Work has identified likely disposal routes for the various sites, some of which will be complex and protracted. A Commercial Assets Optimisation Review is being undertaken for which a range of advice is required in order to minimise financial risk.</p> <p><b>Roll out of testing programme for business continuity plans</b> – Currently 7 desktop exercises have been completed (Building Control, Environmental Health, Payroll, One Stop Shops, Electoral Services, Legal &amp; Member Services and Strategic Housing) with Public Health scheduled in for testing shortly.</p>				

