

2016/17 Corporate Risk Register – Q4 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 Likelihood 4 x Impact 5	<ul style="list-style-type: none"> Financial planning, management and reporting Management of demand Programmes to reduce costs Programmes to increase revenue 		12 Likelihood 3 x Impact 4
Lead Responsibility	Assistant Director: Finance / S151 Officer				
Additional Controls – Quarter 4 update	<p>Future budgets and funding – The Local Government Finance Settlement was confirmed in February 2017 and additional Adult Social Care Funding announced for 2017/20. Council agreed 2017/18 Budget and Medium Term Financial Strategy on 6 March 2017.</p> <p>Reducing costs <u>Integration with Health</u> - The Integrated Care Team with Wirral Community Foundation Trust will go-live from June 1st 2017, following a further period of negotiation and consultation. Work on the Integrated commissioning hub has commenced with workshops completed and a draft structure has now been created. A draft memorandum of understanding has been developed supported by an accompanying financial framework. A due diligence exercise is currently underway with a view to move to a formal arrangement being in place for Autumn 2017. <u>Enhanced Transformation Programme</u> - The Transformation Programme is established with Customer Experience and Asset programme definitions completed and programme managers in position. 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. 2 new programmes have recently been established for digital and libraries Leisure and Cultural Services – recruitment is underway for 2 additional programme managers. A review of the structure content and governance of Transformation Programme is being undertaken by the new Director who took up the post in February. <u>Working across the Liverpool City Region (LCR)</u> - LCR Chief Executives group are progressing the LCR Public Service Transformation Programme to reduce duplication, deliver better outcomes and generate significant financial efficiencies across the City Region. The Programme is a key strategic priority for the CEXs group, and is producing a set of feasibility studies and business cases to develop new partnership delivery proposals for a number of services. Strategic linkages continue to be developed with Wirral’s Transformation Programme to identify opportunities to collaborate across the LCR to accelerate local proposals and maximise opportunities to generate additional savings.</p> <p>Increasing revenue <u>Business Rates Retention Pilot</u> - This Liverpool City Region Pilot will commence April 2017. Agreement with Government signed in March 2017 which includes there being no financial detriment from participation.</p>				

Commercialisation/Income Maximisation - The main activity for quarter 4 included:

- Income collection report and recommendations passed across to BAU
- Investments – developing a proposal for increasing investment in assets
- Property company development
- Energy Company report through Cabinet
- Commercial training programme for managers being developed
- Work is ongoing with the positioning of the commercial strategy and subsequent governance and support being determined
- Additional income through increased fees and charges assessed and final figures being agreed through Finance

Implementation of Growth Plan - A range of actions are in place in order to deliver the Growth Plan. Outcomes were as follows:

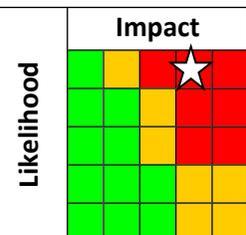
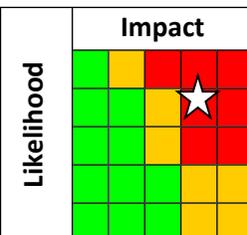
Greater Job Opportunities: Delivery of the Wirral Ways to Work programme is progressing well, with 1,426 clients engaged across all 4 Ways to Work projects as at the 31st March 2017.

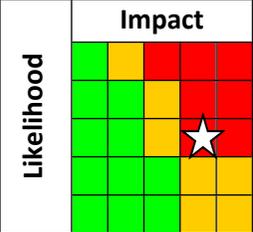
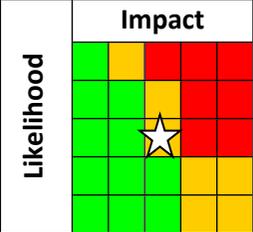
Delivery of the two services which make up the Wirral Health Related Worklessness programme began on 1 February.

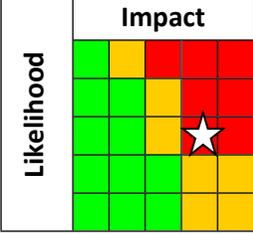
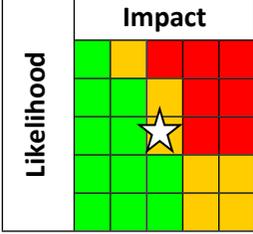
Of the Wirral applications to the Liverpool City Region Single Investment Fund (SIF), 3 have been invited to proceed to Round One Second Stage and 2 have been invited to proceed via an alternative route. The Council is supporting applicants proceeding to the Round One Stage Two application process and further work is planned to prepare further strategic projects for submission to SIF Round Two, expected Summer 2017.

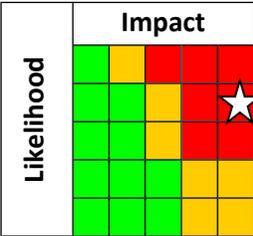
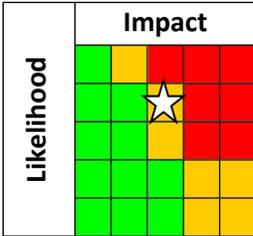
Work between the Combined Authority and the DWP to design future employment support for harder to reach claimants is complete and supplier selection is underway, with final contract award scheduled for September.

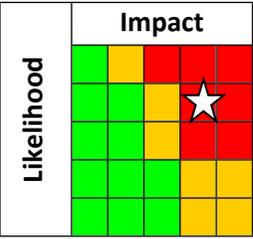
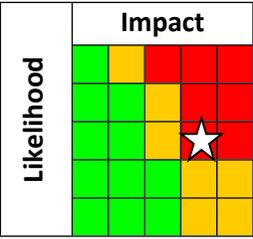
Growing Competitive businesses: Contract mobilisation by the new business support supplier is underway, with a scheduled start date of 1st June. Key activities include: sector networking, start-up and growth support, workforce development and pilot projects in support of town centre high streets.

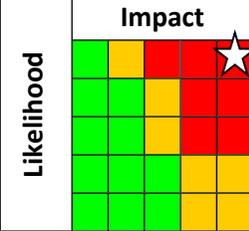
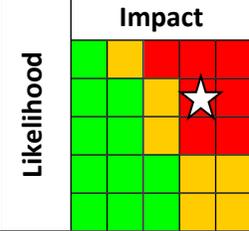
Risk Number and Description	Unmanaged Risk Rating	Original Risk Score	Key Existing Controls	Current Risk Rating	Current Risk Score
2.Organisation Development and Pace of Transformational Change		20 Likelihood 5 x Impact 4	<ul style="list-style-type: none"> • Performance appraisals • Accountability statements • Ad-hoc initiatives -e.g. Children’s Social Work • HR involvement in development of business cases for Alternative Delivery Models 		16 Likelihood 4 x Impact 4
Lead Responsibility	Director for Transformation				
Additional Controls – Quarter 4 update	<p>Capacity and Expertise – The work on organisational culture is being finalised and will feed into the Organisational Development Plan – April. Team’s culture plans are to be included within the accountability framework to be issued in May. A report on progress will be taken to the Strategic Leadership Team in May.</p> <p>Transformation <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 the Strategic Hub continues to ensure the totality of change initiatives is documented. HR colleagues attend Project / Programme Boards. The Transformational Change programme has been agreed and resourced. A Director of Transformation (a key role in driving transformation at the required pace) was appointed and started in February. The Transformation Office continues to recruit resources through a mixture of permanent, interim, and specialist staff. Recent appointments due to start in May are 2 Programme support officers and recruitment process is underway for 2 programme managers. An appraisal of resources required to support the transformation programme has been conducted and reported to Business Services in February.</p> <p><u>Implementation of agreed governance to monitor and control delivery</u> – Governance arrangements have continued as programmes are established. Gateway model for business case development has been agreed, based on the HM Treasury five case model.</p> <p><u>Strengthen programme management arrangements using standardised tools and techniques</u> - Configuration of the Concerto system is complete, with ongoing upload of Projects. Concerto training continues to be delivered for officers outside the Transformation Office but who are involved in project delivery and programme management. A project toolkit has been developed with standard guidance and templates. This is available to the project management community via Concerto and is scheduled to be launched on the intranet in Q1 for access by the wider organisation. A Transformation Office web page launched with overview, links to the commercialisation and Alternative Delivery Model toolkits and individual pages for the transformation projects that currently impact on staff, so they have a central point for any communication. Further development required in Q1 for the Transformation Team, Roles, and Governance along with the publication of the supporting toolkits and documentation for the wider organisation. Business analyst framework developed and being used by the Transformation Office. Scheduled to be launched on the intranet in Q1, for access by the wider organisation</p> <p><u>Establish a central Transformation Office with clearly defined roles / responsibilities</u> –Resourcing of the transformation Office continues to be kept under review as the programme(s) develop. Additional recruitment was established in Q4 and further permanent resource is to be recruited in Q1.</p>				

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3.Partnerships		<p>12</p> <p>Likelihood 3 x Impact 4</p>	<ul style="list-style-type: none"> The Wirral Partnership agreed a single Wirral Plan with joint priorities, and committed to a partnership approach with collective actions to deliver it Partners have lead responsibility for a number of the Pledges and are involved in delivery of all of them 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 		<p>9</p> <p>Likelihood 3 x Impact 3</p>
Lead Responsibility	Chief Executive				
Additional Controls – Quarter 4 update	<p>Implementation of new governance arrangements - Established governance and reporting processes for the Wirral Plan and strategies continue to drive the production of comprehensive progress reports. Q4 performance/implementation reports have now been produced and will be considered by Cabinet, SLT and the Wirral Partnership. A comprehensive Review of the Wirral Plan and Pledges has been taking place with partners, to systematically assess the implementation, performance and achievements of all the Pledges to date, and to ensure that future action plans, partnerships and delivery arrangements are the most effective they can be .</p> <p>Activity to strengthen links between the Partnership Development Group (PDG) and other groups/boards - As referenced above, the Review of the Wirral Plan has been systematically considering 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 commenced in February 2017. Wirral’s Programme is based on the national commissioning academy programme, uses a collaborative learning approach and is attended by senior representatives of the Wirral Partnership. The Programme is significantly building greater collaboration across the Partnership to deliver the Wirral Plan and Pledges and through the underpinning Pledge Boards, to utilise collective resources to deliver better outcomes for Wirral residents.</p>				

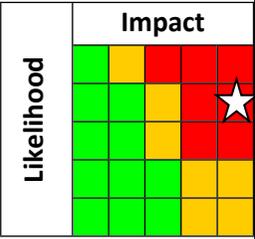
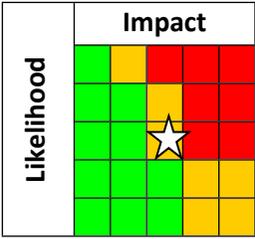
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4.Devolution		<p>12</p> <p>Likelihood 3 x Impact 4</p>	<ul style="list-style-type: none"> To ensure up to date knowledge and communication of developments: Regular updates and briefings with elected members and Strategic Leadership Team (SLT) i.e. through Leader’s Portfolio reports; Policy & Performance progress reports; Scrutiny Review; SLT discussions To optimise Wirral’s influence: Wirral’s Chief Executive and Leader part of regular LCR meetings to develop new LCR arrangements and devolution deal Wirral elected members appointed to LCR Scrutiny and other thematic Boards Wirral officers represent Wirral’s interests and priorities at relevant LCR boards and networks Ongoing activity to develop Wirral projects and ensure that they are represented within LCR strategic priorities 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 		<p>9</p> <p>Likelihood 3 x Impact 3</p>
Lead Responsibility	Chief Executive				
Additional Controls – Quarter 4 update	<p>Review arrangements for City Region governance and implementation - Following the Liverpool City Region (LCR) 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 LCR Combined Authority has since taken place and a revised Constitution will be considered by the Combined Authority in April.</p> <p>Consultation to enable Wirral and partners to play an effective role in the new arrangements - The LCR Combined Authority mayoral election was launched on 24th March, with the election to take place on 4th May 2017. Following the election, further detailed proposals for implementation (including the new Mayor’s Office) will be produced. To ensure Wirral awareness, understanding and effective input into all LCR developments, the Policy Team continues to deliver a set of structured updates and briefings including at Scrutiny Committee; Cabinet/SLT; Leadership; the Wirral Partnership.</p>				

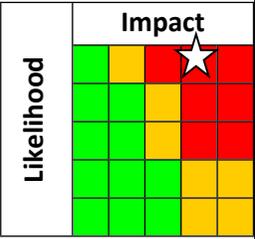
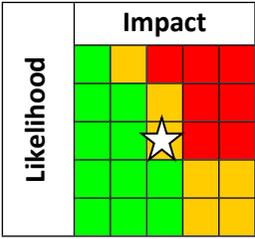
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5.Integration of health and social care		20 Likelihood 4 x Impact 5	<ul style="list-style-type: none"> Integration of community and older people's services Integrated commissioning hub Integration project for all age mental health services Integration of all age disability services Initiative to reduce long term care admissions Initiatives around review of activity and replacement with alternatives (e.g. assistive technology) Wirral Independence Service Short term crisis support, to avoid admission STAR Re-ablement service Integrated single gateway into services Rapid Community Response Service – with Wirral Community NHS Trust 		12 Likelihood 4 x Impact 3
Lead Responsibility	Director for Health and Care				
Additional Controls – Quarter 4 update	<p>Introduction of on-line self-assessment - Self-assessment has been fully rolled out and we are now receiving online submissions for individuals and carers seeking support. A review of the current process is underway and further actions in place to improve activity in this area. We are continuing to work with partner agencies to maximise uptake of self-assessments. Care connectors are facilitating self-assessment within community settings.</p> <p>Development of extra care housing - Challenges remain with the Government not having resolved the issues in relation to the local rent levels, and potential caps. There are concerns as to how the Chancellor's plans to cap the amount of rent that Housing Benefit will cover in the social sector will apply to supported housing. The new system is planned to be implemented from 2019 and the proposed Local Housing Allowance (LHA) cap will not apply to supported and sheltered housing until then. A consultation by the Government on the proposals closed in February. No conclusions or recommendations have yet been published. This has resulted in continued resistance from registered providers (RP) of housing to develop Extra Care at risk, given the capital and revenue implications. Capital and Assets group have been given an exception report outlining these risks and action planned to address them.</p> <p>Review of the supported living service model – Work is underway with providers to 'pilot' the new model which has been agreed as part of the annual fees work, and two agencies have volunteered to work with the local authority on testing it. The work on the model has been shared with colleagues in the Liverpool City Region as part of the "new models of care" group and interest has been shown from other areas on the outcomes including Cheshire West & Chester.</p> <p>Support regional work around specialist services and fees - A cost of care indicator tool introduced to look at placements that cannot be placed at standard Wirral rates is being used to work with providers and operational staff to provide costs on individual cases for placement. We continue to attend the Liverpool City Region "models of care" group for specialist services with identified commissioning leads in place.</p>				

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6.Effect of demographic changes on demand for services		<p>16</p> <p>Likelihood 4 x Impact 4</p>	<ul style="list-style-type: none"> • Integrated Care programme • Joint Commissioning arrangements with the Clinical Commissioning Group • Delivery of commissioned lifestyle services - Head of Public Health • Vision 2018 work stream on early intervention and prevention 		<p>12</p> <p>Likelihood 3 x Impact 4</p>
Lead Responsibility	Director for Health and Care				
Additional Controls – Quarter 4 update	<p>Integration agenda (Healthy Wirral) - The Business Intelligence Hub has now been formed and is working with commissioners as part of the Integrated Commissioning Hub project. Commissioners and Intelligence staff are working collaboratively to agree shared work plans. A Wirral Intelligence Network has also been set up with health and other key public sector partners. This group will seek to embed a culture of partnership working and will explore opportunities for maximising the use of intelligence across all partners. The marketplace and self-assessment tools are available to the public and work is remains on going across the Liverpool City Region regarding publicity and branding of the marketplace.</p> <p>Programmes of early intervention and prevention - 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>Implement health and social care integration - Approval has been given by both Cabinet and the NHS Community Foundation Trust Board. Implementation is underway following consultation with staff. The go-live date is 1st June and will see a phased transfer of staff to Wirral Community Foundation Trust. Dedicated work streams remain on going to work through the practicalities of the transfer and also agree the contractual relationship which will be underpinned by the Section 75 agreement. The Section 75 agreement has been drawn up and an initial draft has been shared with the Community Trust. Comments have been received back by the Council and are currently being worked through. A final version of the agreement will be in place by 18th May.</p>				

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7.Safeguarding		<p>25</p> <p>Likelihood 5 x Impact 5</p>	<ul style="list-style-type: none"> • 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. • Deputy Director for Children’s Care Services and an Independent Chair of the Wirral Safeguarding Children Board recruited. • Interim strategic lead for children’s social care and experienced social work practice improvement lead appointed • 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. • 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. • 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. 		<p>16</p> <p>Likelihood 4 x Impact 4</p>
Lead Responsibility	Director for Children				

Additional Controls – Quarter 4 update	<p>Implement service improvement plan resulting from the recent diagnostic and self-assessments – actions identified within the Plan which commenced prior to the Ofsted visit continue to be refined in the light of further work to ensure there is a robust plan in place to deliver the improvement.</p> <p>Implement programme in relation to children in care and on the edge of care – as above the actions identified within the Programme are being progressed to improve and strengthen our approach in this area.</p> <p>Deliver the priorities of the Local Children’s Safeguarding Board (LSCB) and the Safeguarding Adults Partnership Board (SAPB) –In relation to Adult Safeguarding there is now a combined authority SAPB established across Liverpool, Sefton, Wirral and Knowsley. Its inaugural meeting was held in April month, and a new set of priorities for joint working was agreed</p> <p>Implement ‘Making Safeguarding Personal’ (MSP) and evaluate its impact – There has been a programme of audits to evaluate the approach and inform a refresh of the safeguarding procedures</p>
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8.Governance (including information governance)		20 Likelihood 4 x Impact 5	<ul style="list-style-type: none"> • Council Constitution • Code of Corporate Governance • Member / Officer Protocol • Staff Policies (e.g. Dignity at Work) • Corporate Policies (e.g. Whistleblowing) • Operational policies (e.g. Information Governance, Gifts and Hospitality) • Ethical Framework for Members • Regulatory policies - Planning and Licensing 		9 Likelihood 3 x Impact 3
Lead Responsibility	Assistant Director - Law & Governance				
Additional Controls – Quarter 4 update	<p>Review the Constitution, Code of Corporate Governance and Members Code of Conduct - The revision of the Constitution continues to be overseen by the Standards and Constitutional Oversight Committee. In the quarter there have been further amendments to the Constitution which have been considered by the Standards and Oversight Committee and subsequently approved by Council in Dec 2016. The Code of Corporate Governance has been refreshed and also approved by Council at its meeting in Dec 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 was to be reviewed by the Standards and Constitutional Oversight Working Group during Q4 and report any recommendations to the Standards and Constitutional Oversight Committee by the end of this Municipal Year, however due to the untimely passing of the Chairperson, Cllr Denise Roberts, the scheduled work of the Working Group has been postponed to the next Municipal Year.</p> <p>Introduce the webcasting of Council Committee and Cabinet meetings – 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 has now been approved and the tendering exercise is to commence next month (May 2017).</p> <p>Review and enhance information governance arrangements – The Information Governance Delivery Group has continued to implement the action plan drafted to address the recommendations in the report produced by the Information Commissioners’ Office following the review undertake in 2016. A review of the Information Governance and Security policy and guidance documents and Intranet content has begun.</p>				

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9.Economic Activity	 <p>Impact</p> <p>Likelihood</p>	<p>20</p> <p>Likelihood 5 x Impact 4</p>	<ul style="list-style-type: none"> Implementation of the Growth Plan 	 <p>Impact</p> <p>Likelihood</p>	<p>9</p> <p>Likelihood 3 x Impact 3</p>
Lead Responsibility	Strategic Commissioner - Growth				
Additional Controls – Quarter 4 update	<p>Implementation of place marketing activities – The City Region ERDF Bid for Place Marketing activities was successful and work is underway to develop sector focused foreign direct investment marketing in conjunction with Liverpool Vision and Combined Authority partners for 2017/18. Investor delegations from Netherlands, China and Indonesia have been supported. Investor focused: wirralwellmade.com was launched in March to coincide with the Council’s presence at MIPIM Cannes.</p> <p>Delivery of programmes to drive key growth sectors, such as the Maritime Knowledge Hub - Skills Brokers have engaged with 30 employers across Wirral during 2016/17 with 349 Wirral based employees receiving training to strengthen businesses in key growth sectors. A Single Investment Fund application for funding to deliver Phase 2 of the Maritime Knowledge Hub was successful at Stage One of the process and the Stage Two application: Outline Business Case is being prepared for submission in April 2017.</p> <p>Implementation of the Wirral Waters Investment Fund - The collaboration agreement has been finalised between the Council and Peel, with the formal signing scheduled for April 2017. Applications for the Investment Fund are now being prepared by Peel for submission.</p> <p>Delivery of the Ways to Work programme - Delivery of the Wirral Ways to Work programme is progressing well, with 1,426 clients engaged across all 4 Ways to Work projects as at the 31st March 2017.</p>				

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10.Resources and Infrastructure		<p>16</p> <p>Likelihood 4 x Impact 4</p>	<ul style="list-style-type: none"> Implementation of current asset management strategy. Business continuity policy. Additional backup /security at Cheshire Lines. Standardised, refreshed IT hardware. 		<p>9</p> <p>Likelihood 3 x Impact 3</p>
Lead Responsibility	Director for Business Services				
Additional Controls – Quarter 4 update	<p>Establishment of data centres –The decision was taken in January to develop the Merseytravel Georges Dock facility as the primary Council datacentre, by re-provisioning all productions services to Georges dock. The Treasury building datacentre is to be repurposed as the council’s Disaster Recovery site. This not only reduces costs, but also gives greater flexibility in terms of the future usage of sites. The specification of a tender for the migration of services has been drafted and the Invitation to Tender published, with a return date of the end of April. The fibre ring serving key Council buildings in central Birkenhead (including the Treasury) has been upgraded to give improved resilience and provide a link to the Merseytravel data centre.</p> <p>Implementation of new Digital Strategy (including Rationalisation and standardisation of systems and applications) – As part of the comprehensive Review of the Wirral Plan and Pledges, the Digital Strategy is currently being reviewed to assess progress and further refine future priorities and drive forward key actions. 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 reviewed to ensure a single, co-ordinated and strategic Digital approach. The refreshed Digital Action Plan will be produced in May.</p> <p>Implementation of new Asset strategy - Unfortunately the One Public Estate bid was unsuccessful, which will not allow us to appoint additional support for the project. In the absence of external funding, support will be provided by the Transformation office to Asset Management which will be aligned to the new Civic Hub Project. The accommodation risks associated with Council-wide Transformation projects have largely been managed within existing Council structures. However, some of the identified risks are controlled by non-Council organisations. Better communication between project leads for the key Transformation projects has helped manage the risk more effectively. But this still requires improvement for some projects. Key decisions have been made to vacate and demolish operational premises, which reduces the risk of revenue overspend; this will continue into the new reporting year. A clearer vision has been developed for the future use of premises across the Borough, linked to the new Civic Hub and the formation of PropCo. There remains an issue with the slow progress of approval for release and the low Capital potential of sites identified for sale, many of which had been withdrawn for sale due to objections. The anticipated progress made towards the end of Q4 should start to accelerate the disposal process. Improved dialogue with Cabinet members will assist to accelerate the approvals to sell.</p> <p>Roll out of testing programme for business continuity plans – Desktop exercises have been carried out on 10 plans (Building Control, Env Health, Payroll, One Stop Shops, Electoral Services, Legal & Member Services, Strategic Housing, Public Health, Registrars & CYPD Specialist Services). Reminder emails are being sent to plan owners to schedule in their desk top exercises.</p>				