

## **CORPORATE RISK REGISTER**

1	<b>The aims and objectives of the Corporate Plan may not be fully delivered because of the reduction in government funding; the rising costs of services; and the cause and effect of demographics and demand management.</b>	<b>Last Reviewed</b>	<b>Current Risk Score</b>	<b>Target Risk Score</b>	<b>Achieved by</b>
		Sept 2016	(1xL) 4x3=12	(1xL) 2x4=8	Ongoing

Risk Owner: Chief Finance Officer (JW)

### **Risk Description**

The council is facing a dual challenge of having to meet an increased demand for its services against a backdrop of reducing financial support from Central Government. Alongside this the uncertainty in general economic climate, particularly following the Brexit vote, is placing further pressure on the council. The Comprehensive Spending Review (CSR) showed a further significant reduction in funding to local authorities. Significant cost pressures within Adult Social Care and Children services continue arising from both inflationary pressures as a result of the government increasing the minimum wage and the continued demographic increases. Further potential pressures may arise as a result of pressures on the health service nationally and locally.

To meet this challenge the council must have a well defined medium term (1-5 year) plan to match its expected limited resources against the anticipated demand levels and we need to make sure that we have a flexible workforce that is capable with the necessary skills to deliver these services in these challenging times.

We need to be creative in terms of service delivery considering new ways of delivery including the involvement of the third sector.

### **Key mitigation activities**

We have a well established financial strategy which is closely monitored. This is discussed and agreed with cabinet and council. Actual spend against budget is monitored on a regular basis and reported to officers and Members regularly with variations against expectations investigated and corrective action identified at an early stage. The council has developed a longer term outlook (10 years) to support longer term planning.	Head of Finance (VB)
The medium term financial outlook is updated regularly with the impact of incoming changes and the levels of provisions reserves and contingencies are also reviewed on a regular basis. The medium term financial plan forms the basis of budget setting decisions. A four year plan is currently being considered by Members.	Head of Finance (VB)
We have produced a Walsall Plan and a Corporate Plan that lays out the priorities for the council in the short to	Chief Finance

medium term. These plans are produced in consultation with key stakeholders in the local community.	Officer (JW) / Head of information, Communication & Technologies (CW)
Operational plans are in place for the key service areas of the council which lay out the plans for those areas and map their resources to their available resources including financial staffing and other resources.	Individual Heads of Service
Detailed delivery plans for key budget savings have been produced and risk assessed. Mitigating action is identified as required, including alternative in year actions. Emerging risks are reported, then reviewed and updated on a frequent (at least monthly) basis and forecasts amended as appropriate.	Chief Finance Officer (JW) / Head of Finance (VB)

<u>Are Further Actions required? [If so, list below:]</u>	<u>By Who:</u>	<u>When:</u>
Regular reports will be submitted to Corporate management team on progress against Corporate Plan.	Head of ICT(CW) } Executive } Directors } (PF/DH/SN) } and Chief } Executive (PS)	Ongoing
Rising costs within Children and Adults must be targeted with dedicated resources allocated to achieving this. This is under review as part of budget setting.		Ongoing
Following CSR publication detailed budget options need to be produced for years 2017/18 – 2019/20.		September and ongoing

***Progress to Date***

Budget proposals for 2016/17 were submitted to Cabinet and agreed by Council, with some amendments in February 2016. Detailed delivery plans were submitted and reviewed by the Head of Finance. New and emerging risks since then have been monitored and reported. Pressures in Children and Adult services continue to arise in 2016/17 and actions taken in year to mitigate as far as possible. The budget setting process for 2017/18-2020/21 and the 10 year plan seeks to address pressures on an ongoing basis in these areas. Significant budget reductions and pressures lead to a £86k financial gap. Options to close this are being presented to Cabinet members in September and a draft budget will be reported to Cabinet in October.

9	Failure to manage institutional and individual change	Last Reviewed	Current Risk Score	Target Risk Score	Achieve by
		April 2016	3x5 =15	3x5=15	

Risk Owner: Chief Executive (PS)

### Risk Description

The need of the State to deliver a reduced range of services with significantly fewer resources is presenting significant challenges. Over the medium term (6-7 years) there will be a need to seek to reconcile public expectations about the range and scale of council services and the reality of what can be afforded. Citizens will need to continue to develop their personal responsibility for key issues as the reach of the State reduces. There are challenges for individual citizens, for political groupings, for employees and for the council as a whole.

### Key mitigation activities

Within the Council, there is widespread acknowledgement about the scale of the financial challenge facing the organization. The medium term financial outlook (MTFO) is regularly updated and reports on financial performance are presented to Cabinet and available to all Members of the Council. Briefings on the financial outlook and budget performance are available to opposition Group Leaders and these are taken up. The Chief Executive has been holding open staff briefing sessions for several years. The nature and scale of the financial challenge is well understood by staff as is the need for all employees to embrace new approaches to the way the organization is designed and provides services to the public.

The Council is now (2015/2016) in the fourth year of the Government's 'austerity programme'. Approximately £100million savings have been made since 2010/2011.

In 2010 the Council employed 3726 people; today the figure is 2921.

By Who:  
Chief Executive/CFO

The numbers of senior and middle managers continue to fall and there is an ongoing process of restructuring within and across directorates. The scale of these changes is leading to new approaches to service provision often being managed by people who have been asked to take responsibility for services not previously managed. It is acknowledged that the pace of change and different ways of working are unfamiliar and will take time for Members and officers to become familiar with.

The Council has maintained its practice of preparing a detailed budget for the following financial year with indicative budgets for the subsequent year. The Council has not yet implemented a four year budget approach and this will need to be addressed.

There appears to be an apparent dissonance between the acknowledgement that service design, delivery and scale have and will continue to change and the expectation that somehow the Council will maintain long standing approaches and service levels. This will need ongoing attention both within the Council and in order to ensure that the scale of the change is understood by the people of Walsall.

Rightly, the scrutiny process is used to challenge and, when considered necessary, to reflect or refer back to Cabinet its decisions. The opportunity also exists for the scrutiny process to be used to seek to develop cross party consensus about how the financial challenge can be effectively met. It is often claimed that scrutiny has limited ability to influence Council policy but it is not the case. It would be possible for scrutiny, for example, seek to identify processes for agreeing an overall approach to preparing a four year budget. Given that there is broad, although not universal acknowledgement of the need for the Council to continue to downsize, scrutiny could look at ways in which this broad acknowledgement may be explained to local people so that they are better able to respond. This issue of addressing public expectation is perhaps the least well developed area of Council activity and the public might well be less than clear about the overall direction of travel towards a smaller state. Inevitably, there will be differences of approach between Party Groups. This is welcome because it reflects vibrant democracies. However, there are common understandings about the scale of change required and the scrutiny process may offer an opportunity to help to explain agreed matters.

A particularly complex area of change relates to the expectation of greater integration between the NHS and Social Care. In addition, to its complexity, the work requires agreement across a number of commissioning and provider bodies. Whilst there is room for optimism in the inter agency arrangements at a local level, the NHS is greatly

<p>influenced by national and regional policy which do not always operate in a sympathetic way to Walsall systems and relationships.</p> <p>Over the past two years, the Council has committed considerable resources to the establishment of the West Midlands Combined Authority and the 'devolution deal' associated with it. A successful Combined Authority, in which Walsall is able to secure greater investment in the Borough, will require an ongoing commitment of management and political resources. A failure to secure a fair outcomes would adversely impact upon the Borough.</p>	
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<u>Are Further Actions required? [If so, list below:]</u>	<u>By Who:</u>	<u>When:</u>
Chief Executive open staff briefings to continue in order to seek to ensure that employees are as aware as possible of the scale of change and the reasons for it.	CEx	Ongoing (summer each year)
Maintain written challenges of communication with staff	CEx and EDs	Ongoing (Core Brief; direct communication on specific matters)
Seek to develop appropriate cross party understanding around broad parameters of change	CEx and CFO	Ongoing
Provide challenge and support for scrutiny system to consider Council plans for communication with the public about the nature and scale of change and the potential impact upon individuals	Scrutiny Lead and EDs	Ongoing
Continue to work with colleagues in the NHS to identify and implement the most effective integration arrangements	CEx and ED - Adult Social Care	Ongoing

<p>Continue to work with the Walsall voluntary and community sector to move from grant aid to commissioning. Also to seek to develop the scope and role for volunteering</p> <p>Continue to ensure that the appropriate political, managerial and professional resources are available in order to secure the best possible outcomes from the Combined Authority.</p>	<p>Head of Business Change</p> <p>CEx and ED (E&amp;E)</p>	<p>Ongoing</p> <p>June 2016 – WMCA established</p> <p>Ongoing (Proposed Elected Mayor; Support to CA' Devolution Deal)</p>
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### Progress to Date

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8	<b>Data control - Information</b> - ICT - Cyber Risk	Last Reviewed	Current Risk Score	Target Risk Score	Achieve by
		Feb 2016	(I x L) 3 x 6 = 18	(I x L) 3 x 6 = 18	July 2016

Risk Owner: Chief Finance Officer (JW)

### Risk Description

The council is increasingly managing personal data and information in the delivery of its services. With data held in a vast array of places, and transferring between supply chain partners, it becomes susceptible to loss, protection and privacy risks. This leaves the council vulnerable to significant fines and bad publicity should events of this nature occur.

An agreed action identified that there was a need to quantify the risk of a breach of security of information assets and thus take steps to mitigate such a risk.

### Key mitigation activities

The Corporate Management Team recognises that data, information and records are organisational assets which must be managed and secured appropriately according to their level of sensitivity.

#### **Information (data) Management Update February 2016**

The Information Governance Team along with the Forum for Information Governance and Assurance (FIGA) continues to raise awareness and put in places measures to identify and mitigate risk relating to the management of information assets and to responding to the requirements of the Information Commissioners Office. The Forum meets focusing on key risks around the way we manage our information and providing assurance to the Chief Executive and CMT that there is a programme in place to mitigate risks. Aspects considered range from mandatory training, use of removable media, analysis of causes of data breaches, Bring Your Own Devices (BYOD) and password security. Outside of the forum matters of risk are brought to the attention of the Senior Information Risk Owner (SIRO) and / or the Information Risk and Governance Manager and, where appropriate, the Caldicott Guardian.

The Information Rights team is currently working with Childrens Services and Money Home Job to support the

Head of Information, Communication and Technology (CW) / Information Risk & Governance Manager (NU)



<p>handling of low level Freedom of Information requests. The team works with colleagues to minimise any risk of inappropriate release of information and will seek to extend this approach across the council over the next 6 months.</p> <p>The council has agreed with the Information Commissioner to undertake a consensual audit of the council's response to data protection practice within the next 6 months, due to the length of time to respond to Data Protection Subject Access requests.</p> <p><u>Activity and Progress</u></p> <p>The council is now fully compliant with the Health and Social Care Information Centre requirement for data breaches involving health or social care data to be categorised, used a nationally approved risk assessment tool and reported via the NHS toolkit. Thus far 3 incidents have been reported in this manner. This requirement means that data breaches reported may be published and reported to the Information Commissioner directly.</p> <p>New guidance relating to the use of cloud storage facilities and the risks presented by the increased use of web based systems has been developed and shared across the council along with reminders about the requirements to comply with the council retention and destruction schedule. Cloud storage is also a feature of the mandatory training.</p> <p>Maintenance of the Information Asset register, including identification of business critical assets and services, is ongoing and it continues to be populated based on updates from Information Asset Owners with support from the Information Governance Team towards ensuring that assets are properly identified, risk assessed and protected.</p> <p>Information Sharing Agreements continue to be developed to ensure that we share information, where appropriate, lawfully and safely. Recent guidance has also been developed and published to reinforce and clarify information sharing responsibilities alongside our duties in regard to child protection. Information Sharing Agreements are routinely approved by the Information Governance team prior to information sharing taking place.</p>	<p>Head of Information, Communication and Technologies (CW) / Information Risk &amp; Governance Manager (NU)</p> <p>Information Risk &amp;</p>
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<p><u>Privacy Impact Assessments</u> Privacy impact assessments (PIAs) are now used as a tool to assist services with identifying the most effective way to comply with our data protection obligations. They are used to help identify and fix problems at an early stage, reducing the associated costs and damage to reputation which might otherwise occur. All PIAs are reviewed by the Information Governance Team.</p> <p><u>Single Contract for Off Site Storage</u> The Information Governance Team has reviewed the contract and the information /management/governance/security provisions of the framework and are happy that they meet all council requirements. In preparation for the use of this the existing use of external filing services is being reviewed to ensure records are stored correctly and that staff are fully trained on how to use relevant systems. Changes to service delivery relating to budget proposals are also being considered to ensure information is protected.</p> <p><u>Awareness Raising</u> A revised version of the Protecting information Training was launched in January 2016. Most training is completed on line and updates are currently being done to the number of solutions in place to allow us to provide training to those staff that do not have access to ICT depending on specific requirements.</p> <p>The revised training will also be offered to school based staff.</p> <p>FIGA will also run a Protecting Information Day which will highlight key risk areas across the council and remind staff of their responsibilities when handling information.</p>	<p>Governance Manager (NU)</p> <p>Information Risk &amp; Governance Manager (NU)</p>
<p><b><u>ICT Update February 2016</u></b></p> <p><u>Workstation Security</u> The deployment of 'thin client' hardware to appropriate desks and staff in the organisation is complete. This system ensures information is stored centrally in the secure data centre. Where 'thin client' hardware does not meet customer needs a desktop or laptop is provided. These workstations use the Windows 7 operating system ensuring the continued deployment of security patches. The removal of all Windows XP workstations is complete eliminating any security vulnerability arising from unsupported software.</p>	<p>Head of Information, Communication and Technologies (CW)) / ICT</p>

All newly issued council laptops are encrypted. The majority of legacy laptops are also encrypted. The remainder will be dealt with on an exception basis (e.g. occasional use laptops stored in cupboards).

Where access to IT systems is required from a 'non council' location using a council laptop then secure access is provided with 2 factor authentication. This means that users need a physical key fob as well as a password.

As there are no material matters of concern, workstation security will be removed from future updates unless areas of concern arise.

#### Mobile Device Security

There are no outstanding matters of concern for this topic.

#### Compliance

The council's IT network and supporting systems have passed the necessary security requirements to comply with the Government Public Services Network (PSN) Code of Connection. The council's PSN submission for 2015 was successful. There are a few areas of concern (weak passwords, security patch delays, upgrading unsupported server operating system for legacy systems), there are action plans in place to deal with this and suitable interim protection of systems.

The council's ability to continue to make payments using computer systems is governed by the Payment Card Industry (PCI) standard. A new version of the standard has highlighted some areas for improving security. Work is being planned to deal with these matters.

#### Removable Media

There are no particular matters of concern. The usage procedure that staff adhere to is being reviewed for update as a matter of course.

#### Disaster Recovery / Business Continuity

The council continue to a contractual agreement with Tamworth District Council to share space in their data centre to host some of our systems thus giving us a secondary site in order to improve our resilience with loss of access to data. Council data in Tamworth will still be within the protection it has on Walsall Council's network

Technical Services  
Manager (MP)

Head of  
Information,  
Communication  
and Technologies  
(CW) / ICT  
Technical Services  
Manager (MP)

<p>and protected from malicious attacks and probes. This arrangement provides the foundation for disaster recovery. Some hardware resides at Tamworth to start the process of recovering systems following a major incident.</p> <p>ICT will be working with the Resilience Unit to review the recently completed Corporate Business Continuity Plan and resulting disaster recovery requirements. Solutions and costs to meet requirements will be designed and reviewed against priorities. Requests for funding will arise from this work for implementation in future years</p> <p><u>Cloud Based Computing</u> Any new IT system upgrade or implementation that considers hosting council data in the Internet 'cloud' is assessed for good practice security controls. An internal audit of cloud computing good practice is underway.</p>	
<p><u>Cyber Risk</u> Major organisations continue to be targeted by criminal elements through the internet. There continues to be attacks on high profile organisations causing reputational, data protection and financial risk. Strategies around information security and infrastructure protection have been introduced however, the council's firewall, virus protection and penetration testing form part of the council's response to the risk. All three elements are updated appropriately and the latest trends in terms of cyber-attack are being monitored.</p> <p>The council is expected to comply with the security requirements from the Cabinet Office which stipulate the network security standards that must be met by all organisations connecting to Revenue and Benefit systems and other systems containing sensitive and protected data held by central government. The council's IT department meet these standards.</p>	<p>Head of Information, Communication and Technologies (CW)</p>

<p><u>Are Further Actions required? [If so, list below:]</u> As described above in the main text.</p>	<p><u>By Who:</u></p>	<p><u>When:</u></p>
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### Progress to Date

<p>Information (data) management - detailed above in 'Key Mitigating Activities'.</p>
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ICT matters	- detailed above in 'Key Mitigating Activities'.
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21	<b>Failure to implement the new case management system (Mosaic) for Children's and Social Care and Inclusion (SCI) within the identified timescales</b>	Last Reviewed	Current Risk Score	Target Risk Score	Achieve By
		July 2016	(I x L) 3 x 4 = 12	(I x L) 2 x 3 = 6	Oct 2016 (phase 2)

Risk Owner: Executive Director, Children's Services (D Haley)
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### Risk Description

A number of previous Ofsted inspections have identified that the Council's Social Care case management system (PARIS) was not fit for purpose and unable to help the Council to manage the lives of some of our most vulnerable citizens.

CoreLogic's Mosaic system was procured as one system jointly implemented in Children's Services and Adult Social Care, along with professional services from the supplier together with an in-house implementation team to install, configure, migrate data from Paris, train and support users of the system.

The risk relates to the Council failing to safeguard and care for vulnerable citizens (Children and Adults) as a result of identified shortfalls in the case management system and its related processes, together with its non-compliance with imminent legislative changes – Children's and Families Act and the Care Act. It is also likely that Ofsted will undertake a further inspection for Children's Services Social Care within the next 12 months.

The first phase of the new Mosaic system has been implemented across both Children's and Adults and went live in November 2015 now 'live'. The previous PARIS system has now been fully closed-down and all information migrated into the new system. Whilst, the new system is now operational, it is still being fully embedded and 'teething problems' need to be resolved, particularly around report development. Phase 2 is currently underway to increase system functionality.

## Key mitigation activities

There was early engagement from key stakeholders across the Council, which has continued throughout the programme, to support the release of skills and resources to implement and embed the new system as effectively as possible.	Executive Directors Children's – D Haley Adults – P Furnival
Effective programme Governance arrangements are in place to ensure that the outcomes and benefits of the Mosaic Implementation Programme are achieved. Programme management arrangements changed during December 2012, with a recruitment process in place to appoint a technical programme lead with effect from February 2015. This was reviewed in May 2015 with a full time programme Implementation Manager joining the team from 15 June 2015. Effective management arrangements remain in place and will continue until each phase is completed.	Mosaic Programme Board and Business Change – Head of Programme Delivery and Governance – C Williams
Ensuring close working with all contributors to the Programme including CoreLogic (supplier), SCI and Children's, and dedicates support and expert capacity, through the nominated Business Change Manager and subject matter experts, ICT and the Programme Delivery Team.	Mosaic Implementation Board and Steering Group
Maintaining regular communications between Walsall Council and Ofsted to clarify any expectations on potential inspection dates and impact on the implementation of the new system.	Executive Director Children's Services – D Haley
The impact from Ofsted should an inspection be called will require additional resources and expertise to support the process. DCS to formulate contingency measure to ensure an effective balance between Ofsted requirements and the programme delivery schedule can be achieved. The impact of inspection being called at various stages of the programme lifecycle has been assessed by the programme board and is included in the Board's Risk Register. This is particularly relevant to Annex A.	Executive Director Children's Services – D Haley
Effort from both Children's and Adults is being focussed through the programme Delivery team to align 'go live' of each phase.	Programme Board and Programme Implementation Manager.
Additional resource and capability sought to enable fast progress around report development and full implementation of programme, strengthening programme delivery with practice improvement and performance monitoring.	Executive Director Children's Services – D Haley
Further investment of £250 K into Children's workforce training and development programme to support staff.	Executive Director Children's Services – D Haley

<u>Are Further Actions required? [If so, list below:]</u>  Review and revise dedicated expert and support capacity against risks as identified by the Programme Board	<u>By Who:</u>  Executive Directors Children's – D Haley Adults – P Furnival	Monthly
Review the programme delivery plan and key milestones ensuring that the programme remains desirable, achievement and affordable	Mosaic Steering Group and Programme Board	Bi-monthly
Review the implementation and impact on service to ensure benefits are achieved and any adverse impact it addressed.	Mosaic Steering Group and Programme Board	Bi-monthly

### Progress to date

This risk has been accepted and is part of the Corporate Risk Register. Reviewed and revised monthly at Programme Board.

In November 2015, CMT recommended that the score be reduced down to 3 (Impact Critical) x 3 (Likelihood Low) = 9. However on further review of implementation progress, the risk owners recommends that 3 (Impact Critical) x 4 (Likelihood Significant) = 12 remains for the following reasons:

- There have been some time delays in people being trained.
- Technical errors and issues have had to be rectified causing some delay.
- Reports are not yet fully operational across the services
- Challenges in Social Worker usage of the system
- OfSted Inspection compromised.

3a	Partnership working - local	Last Reviewed	Current Risk Score	Target Risk Score	Achieved by
		September 2016	(1xL) 3x5=15	(1xL) 3x3 =9	April 2017

Risk Owner: Head of Business Change (PG)

### Risk Description

#### Partnership Working - Local

In order to address the priorities within the Walsall Plan 2013 – 2016 and the Corporate Plan 2016-2020, it is important that the council and its partners deliver services and interventions that meet the needs, aspirations and priorities of local communities. Budget savings have significantly impacted on public and community sector organisations. In order to mitigate any risk to resources and reputation it is crucial that partnership working is joined up at a borough-wide and locality level, that the involvement of private sector partners is encouraged and that we ensure a collaborative approach is taken to meet the priorities identified in the Walsall Plan. There is a risk that, due to reducing council and partner resources, there will be a reduction in council services' and partner organisations' ability to support partnership working arrangements at both borough-wide and locality levels.

### Key mitigation activities

#### Partnership Working - Local

At a borough-wide level, the council's approach to partnership working is supported by the Borough Management Team (BMT) which consists of key agencies including Walsall Council, the police, Walsall College, West Midlands Fire Service, the Clinical Commissioning Group, Walsall Healthcare NHS Trust, Walsall Housing Group, Dudley and Walsall Mental Health Trust, Walsall Voluntary Action, etc. The BMT was supported by the Partnership Tasking and Co-ordination Group which included representation from the four strategic groups: Safer Walsall Partnership, Walsall's Health and Well Being Board, Walsall's Children and Young Persons' Board and the borough's Economic Board. At a locality level there are six Area Partnerships comprising key agencies, including the voluntary and community sector, working within localities to improve the quality of life experienced

Paul Gordon,  
Head of Business  
Change /  
Jo Lowndes,  
Partnership  
Manager



<p>in those areas. Each Area Partnership supports local accountability through the established Area Panels, comprising the local councillors for those areas.</p> <p>Six Area Partnerships have been operational since 2010 aiming to improve the relationship and involvement of the community through the implementation of Area Plans. The future role of Area Panels is currently under review.</p> <p>There is an internal risk assessment in place for Area Partnerships which comprises strategic, planning and operational risks.</p> <p>Regular reports on Area Partnerships were made to the council's Neighbourhoods Scrutiny and Performance Panel and to the Partnership Tasking and Co-ordination Group. An update report of the Area Partnership Working Group recommendations (from the former Neighbourhoods Overview and Scrutiny Committee) was presented to the Corporate and Public Services Overview and Scrutiny Committee on 14 April 2016. The findings and recommendations of the Neighbourhood Services, Scrutiny and Performance Panel were discussed; it was acknowledged that there is an ongoing review of partnership working at a strategic and locality level and a further report will be presented to the appropriate scrutiny panel once this review has been completed.</p> <p>The Council is supporting the development of the re-energised Walsall Voluntary Action that will play its part in ensuring the voluntary and community sector is a strong partner in the future.</p>	
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<p><u>Are Further Actions required? [If so, list below:]</u></p> <ul style="list-style-type: none"> <li>• The role of the Partnership Tasking and Co-ordination Group (PTCG) is currently under review and performance monitoring measures will be agreed following completion.</li> <li>• As part of the review of the voluntary sector infrastructure, it is anticipated that there will be closer working between the sector and the council and partner agencies, including developing a volunteering strategy.</li> </ul>	<p><u>By Who:</u></p> <p>Paul Gordon, Head of Business Change</p>	<p><u>When:</u></p> <p>April 2017</p>
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## Progress to Date

Delivery against the Walsall Plan was monitored through the Partnership Tasking and Co-ordination Group and the Borough Management Team. Local delivery plans were being updated to take account of profile data which will inform the relevant themes in each area. A strategic partnership event took place in March 2015. A voluntary and community sector and local delivery partners' event took place in May 2015 to begin to map local delivery against the strategic priorities of the Walsall Plan. A Partnership workshop was held in May 2016.

As the partnership and locality review develops, plans are being made for a refresh of the Walsall Plan 2013 – 2016 and local delivery plans to monitor performance. These will be influenced by the outcomes of the partnership workshop held in May 2016 and facilitated by Accenture (Police 2020 programme consultants). A report has been finalised and there are a number of outcomes to be implemented through a developing action plan – this will be overseen by the Leadership Group and reported to BMT.

Discussions at the workshop included potential alignment of locality boundaries, more efficient ways of partnership working (including meetings and support resources), asset mapping of buildings / organisations, services being delivered and by who, and where the opportunities, duplications and gaps lie.

At the workshop, it was agreed to develop the Children's and Adults Safeguarding Boards, to include a wider range of partners, and become the Leadership Group – this would replace the Partnership Tasking and Co-Ordination Group. Terms of reference are currently being developed.

Area Partnerships are currently under review as part of the budget process. For this current financial year, Area Panels remain formal committees of the council, but with a reduced budget from £40,000 to £30,000.

A significant investment has been made in a re-energised WVA and regular meetings are held to ensure they continue their increased contribution to our work.

3b	Partnership working (Regional)	Last Reviewed	Current Risk Score	Target Risk Score	Achieved by
		April 2016	(1xL) 3x3=9	(1xL) 3x3 =9	Achieved

Risk Owner: Executive Director – Economy and Environment (SN)

### Risk Description

**Partnership Working – Sub Regional (Black Country):** The Black Country Local Enterprise Partnership (LEP) is now established. With Government funding now increasingly channelled / influenced by / awarded to LEP's, there is a risk that without effective co-ordination and a formal basis through which this can be achieved, it will put at risk existing programmes like: City Deal, the Local Growth Fund and the European round for 2014 – 2020, and new programmes under development including the Devo Deal and the Combined Authority development etc. undermining our ability to secure a fair share of resources moving forward.

The Black Country Consortium (BCC) relies for its existence on the four councils providing core funding, with an evolving role moving towards providing secretariat support for the BC LEP. With austerity pressure placed on all councils to reduce their funding contributions, this will put at risk the BCC's capacity to meet its role, unless alternative funding can be secured.

**Partnership Working – Regional (West Midlands):** Joint working at the West Midlands level is developing quickly through the Combined Authority work, the Devo Deal and the emerging CA Strategic Economic Plan (SEP). Without effective joint working arrangements and structures we risk losing both funding and positioning opportunities and the West Midlands will be seen by Government as a un co-ordinated and non-effectual region.

West Midlands LEP's are tasked with the delivery of their individual EU Investment Strategies (ESIF's), these then attract significant EU funding to support agreed priority areas and outcomes. There are risks associated with the delivery of sufficient outcomes to meet targets set by Government departments on behalf of the EU commission, together with risks associated with claw back and eligibility. LEP's also need to develop cross working in the delivery of joint EU programmes to maximise efficiencies and outcomes.

## Key mitigation activities

<p><b>Partnership Working - Sub Regional (Black Country):</b> To mitigate this risk a Joint Committee (JC) structure, which complements and works with the LEP board is now in place. The delegation of powers to the JC members has been agreed and a detailed Terms of Reference and signed (May 2014) Collaboration Agreement set into place. The JC is responsible for approving the appointment of Accountable Bodies for the variety of public funds allocated to the LEP, playing the appropriate role in steering and monitoring performance, assisted by the Advisory Board &amp; Heads of Regeneration. Walsall Council has been appointed as the Accountable Body for the Growth Deal and Managing / Co-ordinating Authority for the City Deal programme.</p> <p>The Black Country Consortium (BCC) supports the LEP and the four councils in the execution of agreed duties, against agreed annual allocations from the four councils and is developing new funding streams to support its LEP secretariat role. The delivery of key initiatives like City Deal and the Local Growth Fund, together with Strategic Economic Plan (SEP) and the EU Investment Strategy will continue to be delivered through identified resources. A dedicated programme office has now been established and sits within the BC Consortium. This provides support in the delivery and development of the Combined Authority / Devo Deal work together with the existing Growth Deal, City Deal programmes, by taking responsibility for all elements delegated as agreed by the LEP board and the JC.</p> <p><b>Partnership Working – Regional (West Midlands):</b> Black Country Councils have developed proposals, now accepted by Government for the formation of the West Midlands Combined Authority, including its membership, size and scope which is now agreed, together with the associated deals with Government. [See corporate risk number 22]. This process is now continuing.</p> <p>Cross LEP joint working on the successful delivery of a range of initiatives and funding streams will continue and be aided by the formation of the Combined Authority structures.</p> <p>The LEP’s Technical Assistance teams will continue with their roles funded through local contributions and the EU programme through to the end of their current agreements, the end of 2018 and will through this support joint working and successful delivery etc.</p>	<p>Executive Director – Economy and Environment (SN) / Head of Programme Management (ML)</p>	
<p><u>Are further actions required [if so, list below:]</u></p> <ul style="list-style-type: none"><li>• The development of the joint working arrangements for the West Midland Combined Authority</li></ul>	<p><u>By Who:</u></p> <p>} Executive</p>	<p><u>When:</u></p> <p>31.03.17</p>

to be serviced, continued and monitored to gain the best results for Walsall and the Black Country. • TA team working to continue across the West Midlands region, the effects of the EU exit on their ability to continue past 2018 to be monitored and contingency arrangements to be developed / made etc. as required.	} Director - } Economy and } Environment (SN)/ } Head of Programme Management (ML)	31.03.17
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### Progress to Date

• Combined Authority work towards implementation well under way and continuing. • A successful Technical Assistance Team is in place for the Black Country.
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22	West Midlands Combined Authority	Last Reviewed	Current Risk Score	Target Risk Score	Achieved by
		Sept 2016	(1xL) 3x3=9	(1xL) 3x2 =6	Dec 2016

Risk Owner: Chief Executive (PS)

#### Risk Description

##### **Project Update**

As reported in the previous update (March 2016) a series of key decisions had been made to date by the Cabinet which resolved to make Walsall MBC a constituent member of the West Midlands Combined Authority (WMCA).

In June 2016, Cabinet resolved the following in line with progress that has been made to form the necessary governance arrangements to establish the WMCA but also amend these arrangements to include a proposed elected Mayor for the West Midlands in accordance with the initial West Midlands Devolution Deal.

- (1) That Cabinet, as a Constituent Member of the West Midlands Combined Authority agrees the Mayoral Governance Review (appendix 1), and recommends to Council the approval of the Mayoral Governance Review.
- (2) That Cabinet, as a Constituent Member of the West Midlands Combined Authority, agrees with the content the draft West Midlands Mayoral 'Elections' Order (appendix 3) establishing the position of Mayor and enabling elections to occur in 2017, and recommends to Council the approval of the Mayoral Order subject to recommendation (3) below.
- (3) That Cabinet delegates authority to the Chief Executive in consultation with the Leader of the Council to agree minor non-material amendments to the West Midlands Mayoral 'Elections' Order.
- (4) That Cabinet, as a Constituent Member of the West Midlands Combined Authority, approves the draft Mayoral West Midlands Combined Authority Scheme (appendix 2) setting out the Mayor's 'Powers and Functions' to deliver the West Midlands Devolution Deal, and in doing so, agrees that the Mayoral Scheme be consulted upon and recommends the same to Council.
- (5) That Cabinet is satisfied with the content and recommends to Council the, approval of the West Midlands Devolution Deal (appendix 4)
- (6) That Cabinet agrees to receive a future report containing the draft Mayoral West Midlands Combined Authority 'Powers and Functions' Order
- (7) That Cabinet agrees, subject to the terms of a agreement, to underwrite one seventh of Birmingham City Council's revenue account losses arising from its role as Accountable Body for the West Midlands Collective Investment Fund ('CIF') until such time that the West Midlands Combined Authority is able to borrow funds for non-transportation purposes in its own right. This would support early implementation of the CIF (see paragraph 6.4).

Further to the Cabinet and Council meetings, public consultation has taken place of the summer months upon the WMCA Scheme. At the time of writing this project update the consultation report was being prepared ready for publication on the WMCA website as well as being submitted to the Secretary of State at DCLG.

### Next steps

- Consultation results to be reviewed by the Secretary of State and if agreement can be reached on the 'functions and powers' afforded to a Mayoral WMCA, then a draft Mayoral 'Functions and Powers' Order will be prepared by DCLG and provided back to the WMCA and the respective Constituent Council's for approval.
- Cabinet will be asked to review and approve the draft Mayoral Order later in the autumn of 2016. If approved by all the Constituent Council's then parliament will be asked to approve the Order in November 2016.
- Work will continue to develop the WMCA work plan formed around the first Devolution Deal and day-to-day operations of the WMCA, these include the WMCA Investment Strategy, Programme and Risk Management, consideration of future delivery mechanisms and considerations including the SEP, DIEM and Infrastructure Plan.
- The WMCA Commissions for land, productivity and mental health are now fully operational, the land and productivity commissions presently have a 'call for evidence' underway, whilst the mental health commission is already reporting initial recommendations.
- Continued consideration to future devolution deals will be made in light of the three commission's recommendation and the objectives of the West Midlands Strategic Economic Plan (WMSEP).

### Key risks

These risks need to be balanced against the risk that Walsall fails to close the gap in its economic performance relative to England. The wellbeing of Walsall's economy directly affects the wellbeing of the people who live here; a weak local economy has a massive impact on all the services provided by the local authority and its partners. The Combined Authority proposals seek to mitigate this by drawing together strategic work across economic development, transport, housing and employment and skills and to potentially access additional funding from Government - tackling longstanding challenges of the West Midlands in a new way.

- *Pace of proposals*

**Update:** There continues to be momentum behind the WMCA Work Programme. This is linked to the continued work, at pace, on the revised governance arrangements, work programme associated with the delivery of the first devolution deal and the preparation of new strategies, policies and ways of working for the new WMCA. There therefore continues to be both programme delivery risk and reputational risk associated with the establishment of this new way of working.

- *Uncertainty over geographical scope*

**Update:** Given the proposed Mayoral WMCA governance arrangements, which proposed further non-constituent members who will have to await the Mayoral elections in May 2017 before they can formally join the WMCA, there continues to be an opportunity for other partners to become part of the WMCA. Further to the list of additional non-constituent members listed in

the draft Mayoral Scheme, other geographies have sought to become non- constituent members. To facilitate this ask amongst the formal process being undertaken, the WMCA has agreed that a number of Councils, LEPs and Police & Crime Commissioner and Fire Authority can attend meetings in an observatory role

- *Political support*

**Update:** As reported elsewhere formal decision making by this Cabinet/ Council continues to be an important milestone in the formation of the WMCA. Continued support for the Mayoral WMCA will need to be obtained from all Constituent Councils.

- *Failure to deliver benefits*

**Update:** There is a risk that the WMCA will fail to deliver economic benefits at a number of levels:

- There will be disproportionate benefits to the members of the WMCA, and Walsall will fail to derive any economic benefit from its participation in the combined authority (i.e. there will be a lack of balance in the benefits experienced by constituent members of the WMCA). Locally there is an ambition that the combined authority must seek to protect Walsall's priorities and seek the best advantage for our communities.
- The combined authority will not deliver additional economic benefits above and beyond those that could be achieved by the 3 constituent Local Enterprise Partnerships individually (i.e. the CA benefits will not be greater than the sum of its parts).
- The WMCA Dynamic Economic Impact Model (DEIM) has been approved by the WMCA and work continues to ensure the Model is used to underpin future policy formulation and inform decision making. The Model, which has 'balance principles' as agreed by the WMCA contained within it, enables informed decision making by the WMCA to fully understand the net benefit of an intervention/ investment on parts or the whole of the WMCA.

- *Devolution of powers*

**Update:**The first devolution deal for the West Midlands is inter-linked to the progress of the Mayoral WMCA and the Parliamentary Order. Whilst the deal has been agreed, the associated investment can only be drawn down in accordance with the proposed governance arrangements. In preparation, the WMCA have been undertaking work to be ready to deliver against the projected devolution budget in the first five years (the first gateway test). In order to also secure further devolution, policy making has continued, and programmes are currently being designed that may benefit from further devolution powers and budgets.

- *Capacity*



**Update:** As reported to Cabinet in June 2016 there continues to be significant calls upon senior Members, senior management and officers across the organisation to take forward the WMCA work programme and devolution implementation plan. The Council's mainstream revenue funding position may continue to place limitations on Walsall's ability to resource such work. Ultimately, it will be a political choice through Cabinet to the extent to which Members will want to protect such capacity when balanced against other significant funding pressures across the authority of equal merit.

- *Financial implications*

**Update:** A further £500,000 was approved by Cabinet/ Council in March 2016 forming a contribution to the WMCA 2016/17, these monies are intended to be the transitional fund until such time that the WMCA can secure its own revenue income afforded through the Devolution Deal. In line with the Devolution Deal funding commitments, an Investment Strategy is being prepared by the Finance Workstream which will articulate and propose the revenue and capital implications and funding options of the WMCA programmes/interventions.

- *Engagement and Local support*

**Update:** The latest period of consultation on the Mayoral WMCA has sought to seek public opinion on the proposals as set out in the Mayoral Scheme. This is part of a continued commitment by the WMCA to engage with the public. There will be continued opportunities for the public to learn more about the activities of the WMCA; an updated website has been launched and now all of the WMCA Board meetings are made public.

### **Key mitigation activities**

<i>Pace of proposals-</i> The risk is being mitigated through robust programme management and the WMCA governance arrangements that oversees delivery of the work activity.	Chief Executive (PS)
<i>Uncertainty over geographical scope--</i> To ensure there is still collaboration with the local councils, the WMCA Board will continue to hold meetings with local councils and other bodies where representatives can attend in an observer's capacity until such time that they can formally be invited to join the WMCA.	Chief Executive (PS)
<i>Political support-</i> There will be further decisions needed of the Cabinet and Council in due course; and specifically on the draft Mayoral Functions and Powers Order. The risk has been mitigated through the June 2016 report and the consultation that has occurred.	Chief Executive (PS)/ Head of Law (SP)
<i>Failure to deliver benefits-</i> The utilisation of the Dynamic Economic Impact Model, and the associated workstreams to develop the Investment Strategy and Prioritisation Framework Assessment, all contribute to reducing the risk that Walsall and other areas no not derive any benefit from the WMCA	Executive Director Economy & Environment (SN)

and the devolution deal.	
<i>Devolution of powers</i> -See elsewhere for mitigation commentary.	Chief Executive (PS)
<i>Capacity</i> - The review of officer capacity is continually reviewed through regular internal WMCA meetings chaired by the Chief Executive. In turn the Economy and Environment senior management team review individual work plans to ensure competing priorities are managed and mitigation steps are taken accordingly.	Chief Executive (PS) / Executive Director Economy & Environment (SN)
<i>Financial implications</i> - Work continues to manage the investment strategy for the WMCA which will better inform the financial implications for the WMCA itself and the local councils.	Chief Executive (PS)
<i>Engagement and Local support</i> - As a Constituent Member of the WMCA, Walsall is represented in a Communications Group and plays an active role in the delivery of the WMCA Communication Plan.	Head of Information, Communications and Technologies (CW)

Are Further Actions required? [If so, list below]: None at this time of assessment.	<u>By Who</u>	<u>When:</u>
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### ***Progress to Date***

<p>In addition to the ongoing mitigation activities outlined above the WMCA Work Programme in concentrating upon:</p> <ul style="list-style-type: none"> <li>• Creation the Mayoral WMCA through the Functions and Powers Order</li> <li>• Development of the WMCA Investment Strategy in accordance with the Devolution Deal proposals.</li> <li>• Interim appointments to the roles of WMCA Chief Executive and Chief Operating Officer.</li> <li>• Delivery of the WMCA Strategic Economic Plan and Performance Management Framework.</li> <li>• Utilising the Urban Economic Impact Model to inform future investment decision making and test outcomes/outputs.</li> <li>• Continued momentum through the Land, Productivity and Mental Health, Commission on the formation of policy recommendations.</li> <li>• Identification of workstreams within the Public Sector Reform agenda; including Criminal Justice and Skills.</li> <li>• Active participate by WMCA Board representatives in the Midlands Engine and launch of the Midlands Engine Investment Prospectus.</li> <li>• Launch of the West Midlands Collective Investment Fund (CIF); loan finance for property investment into commercial buildings</li> <li>• New WMCA website and other communication tools being developed.</li> </ul>
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5	Loss of community cohesion	Last Reviewed	Current Risk Score	Target Risk Score	Achieved by
		September 2016	(1xL) 3x4=12	(1xL) 2x4=8	March 2017

Risk Owner: Head of Business Change(PG)

### Risk Description

#### **Risk: the impact of migrant communities**

The population of Walsall continues to increase and diversify. Numbers of eastern European migrants have grown, with concentrations in areas such as Caldmore and Darlaston. An increase in the number of Houses in Multiple Occupation (HMO's) has caused significant issues in some areas, where local residents feel the dynamics of their existing community are being threatened by these properties, which, it is perceived, are specifically aimed at housing migrants to Walsall, ex-offenders etc. An ongoing issue in areas, such as Caldmore, is the impact of differing lifestyles. Groups gathering on the street to drink alcohol and other anti-social behaviour (ASB) are having an ongoing impact on some sectors of the local community. Female residents have reported that such gatherings compromise their feelings of safety and others that the behaviour of the incoming migrant communities is at odds with that of the existing residents. In Caldmore, and in some town-centre locations, there has been an increase in the reporting of ASB and crime-related issues which affect open spaces and some residential areas, again related to street drinking, urination, sexual activity etc. in public view. The actions of these small groups unfairly influences opinions of existing residents about migrant communities and, in turn, affects cohesion.

#### **Risk: counter-terrorism arrests and the impact upon the muslim community and broader community tensions**

Recent arrests in Walsall under Counter Terrorism (CT) legislation have necessitated the need for partners to deliver targeted work to monitor community tensions and support the local muslim community. However, no specific tensions have been identified, although there may be further exploration of the impact of Prevent as part of the forthcoming Cohesion Strategy and Action Plan. The council continues to work with communities and partners in delivering the Prevent duty under the Counter Terrorism and Security Act 2015.

#### **Risk: arrests and media attention around so called 'hidden crimes' such as Child Sexual Exploitation (CSE) and human trafficking and the impact upon certain communities and professions**

So-called 'hidden crimes' such as CSE, human trafficking and female genital mutilation (FGM) continue to place a focus, sometimes

unwarranted, on certain communities and professions, which can impact upon cohesion and prevalence of hate crimes.

**Extreme Right Wing (XRW): arrests, local, national and international events which place media attention upon our muslim communities. Historic and ongoing local links to extreme right-wing (XRW) organisations.**

Local, national and international CT and CSE-related arrests have attracted the attention of extreme and perceived to be right-wing organisations. Since an English Defence League (EDL) gathering in the town centre in 2015, there have been a number of smaller protests by a so-called patriotic local group. These were not well attended. With court appearances by those arrested under CT legislation, Walsall continues to be on the radar of XRW groups. In addition, there is evidence of right-wing support/activity of eastern European XRW organisations. There is potential for these supporters to swell the ranks of existing organisations known to us which may target Walsall.

### **Emerging Issues**

A challenge for cohesion is that, given the resources available and the 'higher profile' and more immediate issues that are presenting in the borough, other groups and communities with protected characteristics may be disadvantaged in terms of focus, support and services.

### Key mitigation activities

<p>The annual refresh of the Safer Walsall Partnerships Community Safety Plan will continue to show counter-terrorism, community cohesion and hate crime as strategic priorities</p> <p>The work of the Corporate and Public Services Overview and Scrutiny Committee on cohesion has been completed, with a number of recommendations being presented to Cabinet in September 2016.</p> <p>A borough-wide consultation exercise will further inform these recommendations and will form the basis of a council cohesion strategy and action plan, which has a launch date of April 2017.</p> <p>Walsall continues to deliver its requirements under the Counter Terrorism and Security Act (2015).</p>	<p>Community Safety Manager (LDH)</p>
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<u>Are Further Actions required? [If so, list below:]</u>	<u>By Who:</u>	<u>When:</u>
<ul style="list-style-type: none"> <li>Improved hate crime analysis needs to be delivered.</li> </ul>	} Community } Safety } Manager } (LDH)	Mar 2017
<ul style="list-style-type: none"> <li>Conclude consultation and draft the overall strategy and action plan.</li> </ul>		Mar/Apr 2017
<ul style="list-style-type: none"> <li>Ensure spend is against identified strategic priorities.</li> </ul>		Mar 2017
<ul style="list-style-type: none"> <li>Improve links with Strategic Housing and other providers in order to monitor incoming migrant/refugee communities and ensure early and appropriate engagement takes place.</li> </ul>		Mar 2017

### Progress to Date

<ul style="list-style-type: none"> <li>In response to the Counter Terrorism and Security Act (July 2015) the governance structure around this agenda has changed and now consists of a high level CONTEST group and a PREVENT group which supports partners in ensuring the council and its partners meet the statutory 'PREVENT DUTY.' A revised strategic plan reflects this.</li> <li>Improved hate crime analysis has been initiated, but may change as SWP will lose its dedicated analytical provision in Mar2017</li> <li>Cohesion projects continue to be targeted to those communities most at risk, though abstraction remains a concern, given the need to respond to ongoing presenting risks.</li> <li>Funding has been identified to commission a 3-month project on direct work with migrant communities.</li> </ul>
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20a	Failure to safeguard children		Current Risk Score	Target Risk Score	
		Last Reviewed			Achieved By
		July 2016	(1xL) 3 x 4 = 12	(1xL) 3 x3 = 9	Ongoing

Risk Owner: Executive Director, Children's Services (D Haley)

### Risk Description

Failure to ensure effective partnership practice in safeguarding children will result in significant harm, abuse or death for vulnerable children. This has serious regulatory and reputational implications and risk, including intervention, for the Council and the wider partnership with serious consequences for service users and loss of confidence by local residents. It makes the Council and its partners at risk of not being graded 'required improvement' or 'good' by Ofsted in an inspection of the Council and the Local Children's Safeguarding Board.

### Key mitigation activities

Effective Children's Safeguarding Board with good working arrangements and protocols between the Boards and support the protection of vulnerable children.	Executive Director Children's Services – D Haley
Quality and effective frontline practice supported by good multi-agency partnership work	Respective Safeguarding Boards, Executive Director Children's Services – D Haley and teams.
Effective and comprehensive quality assurance	Executive Director Children's Services – D Haley

Are further action required? (If so, list below)	By Who:	When:
Timely replacement of ICS system, comprehensive migration of data and effective training for users. Complete implementation and embed the new ICS system (Mosaic) and use effectively throughout the service to raise the standard and quality of practice.	Mosaic Programme Board	Start Nov 2015 end phase 2 Oct 2016.
Review of partnership arrangements to identify and respond to the scale of child sexual exploitation (CSE) is a fast emerging high risk for both children and adults safeguarding.	Safeguarding Boards working with regional PVVP Group to ensure effective oversight.	Ongoing

### Progress to date

The key mitigating activities are in place but it is critical to ensure that they continue in a sustainable and improved way. For Children we have reported actions and their impact to the Improvement Board since September 2012. There was a final meeting with DfE Officials in March 2015 which concluded the DfE's monitoring and intervention in Walsall Children's Services. As an outcome of our self-evaluation there are a number of areas of practice that require continued focused improvement, monitoring and quality assurance. Following the half yearly performance review identifying significant priorities, a monthly Performance Board to challenge practice and monitor impact and progress has been put in place from April 2016, chaired by the DCS and with external challenge and scrutiny. Significant improvement work is taking place against a set of priority to ensure that the services work is at least 'adequate' and rapidly working to 'good'

We regularly self-assess and share that with partners, play a full part if our safeguarding Board, conduct assurance meetings in line with guidance and are regulated regularly. A six weekly assurance meeting of the impact, outcomes and progress of the Children's Safeguarding Boards is Chaired by the Chief Executive and attended by the Cabinet Member Children's Services, DCS, Policy and Health representatives, independent adviser and Chair of the Education Challenge Board.

The newly appointed Safeguarding Board Chair across Adults and Children's took appointment in September 2015. Organisational changes to bring forward strategy and operational alignment between the Boards is in consideration and will result in changes from next financial year. A Partnership Executive Leadership Group has been established to strategically manage priorities and improve partnership outcomes.

Child sexual exploitation (CSE) is a high profile risk element in keeping adults and children safe. Work is current and ongoing to

ensure that Walsall's response is proportional, evidenced and effective. This work has been monitored externally with ongoing with very positive outcomes. It has been reported to Children's Scrutiny Panel, Health and Wellbeing Board and Children and Young People's Partnership Board. There is a very good collaborative working between the Policy and the Local Authority. The Multi-Agency Safeguarding Hub (MASH) is now operation and will further strengthen partnership work across agencies. Walsall has a strong strategic and operational group that works to prevent and manage risk to young people. A programme for multi-agency audits managed by the Safeguarding Children's Board helps to identify themes, areas of improved action and next step priorities to safeguard children across the Partnership, For example CSE.

There is a sustained focus in Children's Services on the quality and effectiveness of frontline social work practice. The new Information Management System was successfully introduced in November 2015 and is now being embedded and sustained in practice. This is supporting robust performance management and most indicators are improving; where they are not there are improvement plans in place. Monthly audits of practice are undertaken and analysed to identify any areas of weaknesses. Both performance data and feedback from audits and complaints are reviewed at the monthly Performance Board which is chaired by the DCS.

A service restructure in April 2015 introduced the role of a practice manager – retitle assistant team manager within each team to focus on practice quality... A corporate resource of £1 million was identified to increase the number of social workers to deliver caseload guarantee of a maximum of 20 cases (15 for NQSW). Observations of practice take place alongside supervision, to add to the quality assurance evidence. There has been additional investment which has delivered a revised learning and development offer.



20b	Failure to safeguard all vulnerable adults	Last Reviewed	Current Risk Score	Target Risk Score	Achieve by
		August 2016	(1xL) 3x4=12	(1xL) 3x3 =9	Ongoing

Risk Owner: Executive Director - Adult Services (PF)

### Risk Description

Failure to ensure effective partnership practice in safeguarding vulnerable adults will result in significant harm, abuse or death for vulnerable residents of all ages. This has serious regulatory and reputational implications and risks, including intervention, for the council and the wider partnership, with serious consequences for service users and loss of confidence by local residents.

### Key mitigation activities

Effective Adult Safeguarding Boards, with good working arrangements and protocols between the Boards that support the protection of vulnerable adults.	Executive Director – Adult & Social Srvcs (PF)
Quality and effective front line practice.	Respective safeguarding Boards; Executive Director – Adult & Social Srvcs (PF) and teams
Good multi-agency partnership working.	As above
Effective and comprehensive quality assurance.	Executive Director –

	Adult & Social Srvcs (PF) and teams
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<u>Are Further Actions required? [If so, list below:]</u> <ul style="list-style-type: none"> <li>Ensure Mental Capacity Act [especially Deprivation of Liberty (DOLS) requirements in the light of legal judgements] is applied across all partners and assured through the Safeguarding Adults Board. The specific risk is the significant rise since April 2014 (in line with national trends) in the volume of DOLS referrals and the capacity to meet those.</li> <li>Awareness / training across elected Members and council staff.</li> </ul>	<u>By Who</u> Head of Community Care (AC)	<u>When:</u> Ongoing
	Workforce Development Mngr (LK)	Ongoing

### Progress to Date

The key mitigating activities listed above are in place but it is critical to ensure that that they continue in a sustainable and improved way. For Children we have reported actions and their impact to the Improvement Board since September 2012.

Safeguarding of Adults has been place on a statutory basis since April 2015 with extensive cross agency training and a revised Safeguarding Adults Board governance. The progress by the board is reported annually to Scrutiny and in a published report (ie: November 2015).

Further work on awareness and training across elected Members and council staff generally is still necessary. Cross agency training and practice development is necessary to fully implement the Making Safeguarding Personal requirements under the Care Act. There have been two Serious Case Reviews carried out and progress against action plans is being monitored through the Safeguarding Adults Review sub-group. A further Safeguarding Adults Review is in the process of being commissioned.

The Adult Social Care has appointed a Group Manager for Safeguarding and Principle Social Worker, who will drive forward workforce practice development drawing on the lessons learned from the reviews and national best practice.

The Adult Safeguarding Quality Assurance subgroup will continue to monitor the quality of our response to safeguarding concerns

across the partnership.

Additionally, Adult Social Care is in the process of reviewing its internal case file audit processes/procedures to ensure safeguarding practice is monitored on an individual worker basis and reviewed on a service wide basis, which in turn will feed into the overall training needs analysis and workforce practice improvement/development.

The DOLs co-ordinator has developed a range of materials for partners to ensure appropriate practice is applied across all partners. Progress (and issues) will be reported through the Safeguarding Adults Board in September 2016.

11	Demographic Change	Last Reviewed	Current Risk Score	Target Risk Score	Achieve by
		August 2016	(1xL) 3x4=12	(1xL) 3x4=12	Nov 2016

Risk Owner: Executive Director – Social Care & Inclusion (PF)

### Risk Description

The tension between short-term cuts and long-term goals is illustrated by demographic changes. Demographic change could in future have a significant impact on the delivery of the council's objectives. The Corporate Plan 2016-2020 has the priority for improving health and wellbeing includes the following desired outcomes:

- Gaps in life expectancy between the least and most deprived wards in the borough are reduced
- More people living healthier and more active lifestyles
- Reduced childhood obesity leading to healthier adult lifestyles
- Fewer vulnerable adults and older people needing intensive support and for shorter periods
- More vulnerable adults living meaningful lives in their own homes with fewer people living in long term residential or nursing care

But Walsall has a changing and ageing population and there will be challenges as this demographic transition occurs.

There are rising numbers of very elderly and disabled people liable to need support, because of:

- High birth rate in 1920s (between end of WW1 and 1930s depression) and in the 1960's
- Larger numbers of disabled children and adults with lifelong conditions
- Lifespan rising faster than years of healthy life (the anticipated rise in people over 65 years is nearly twice the national average i.e. 45% in the next 10 years)
- Increasing numbers of people with dementia
- Larger numbers of people caring for family or friends
- Lower levels of male adult life spans than the national average
- Higher levels of infant mortality than the national average.

## Key mitigation activities

<ul style="list-style-type: none"> <li>• Good intelligence on the structure and dynamics of the borough's population, e.g. rising birth rate coinciding with increasing numbers of very elderly, stretching the working age population dependency ratio. Public health and a joint Council/CCG commissioned study into demand and demographic factors is under way.</li> <li>• Maximising prevention, independence and self-reliance through individual, family and community capacity building, to reduce dependence on expensive statutory services.</li> <li>• Adult health and social care plans which maximises preventative interventions, thereby reducing the need for long term intensive and expensive care, and targeting help to those most at risk of admissions to hospital or care homes. The integration of health and social care is underway in identifying and working those people over 75 years most at risk of hospital and care home admissions.</li> <li>• Understanding and acting on the role of all council – and partner – services in the prevention agenda. This is not exclusively a children's and adult social care issue. Reducing demand on public support is explicit within the new cross directorate service and budget plans for 2016-20.</li> <li>• Working towards minimising better outcomes, at lower costs through a new delivery plan from January 2016 following a peer challenge in November 2015.</li> <li>• Maximising service user contributions towards meeting the costs of services, while ensuring ability to pay through the Community Based Charging Policy.</li> <li>• Work continues between Bereavement and Registration Services and the muslim communities in order to accommodate the requirements of their faith and ensure burial takes place as soon as possible after death [corporate risk number 5 refers].</li> </ul>	Public Health (BW) / Head of Finance (VB)/ Economic Intelligence Mgr (EC) / ED – Social Care & Inclusion (PF)/ Bereavement and Registration Services Manager (SB)
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<u>Are Further Actions required? [If so, list below:]</u>	<u>By Who:</u>	<u>When:</u>
<ul style="list-style-type: none"> <li>• Ensure fed into the annual budget round, medium term financial plan and long term financial plan – explicit reference to mitigations outlined in the draft budget plan 2016-2020.</li> </ul>	Head of Finance (VB)	Quarterly
<ul style="list-style-type: none"> <li>• Plans for continued joint health and social care commissioning in 2016/17.</li> </ul>	Executive Director – Social Care	Ongoing (5 year plan through to

<ul style="list-style-type: none"> <li>Regular review of the demographics; monitor, change and adapt accordingly: <ul style="list-style-type: none"> <li>2011 census detail; - Annual mid-year estimates</li> </ul> </li> </ul>	& Inclusion (PF)	2019/2020)
	Economic Intelligence Mngr (EC)	Annual (September)

### Progress to Date

The revenue budget for 2016/17 and in draft plans for 2016-2020 reflects the mitigation activities detailed above, in particular the maximisation of prevention and alignment of our operating model. The development of the Better Care Fund Plan, the new Charging Policy, and the implementation of the Care Act are all on track. A revised analysis of demand from older people has been commissioned for Joint Commissioning Committee by April 2016.

There are indications in the acute hospital of greater demand from older people which is placing pressure upon the whole system. Reablement and social work services, working closely with NHS partners, are the key to the mitigation and constitute the main focus for the next two years on containing demand.

The Children and Families Act 2014 is providing requirements and opportunities this year to develop joint working with Children's services for those in transition and thereby ensure better outcomes at lower costs in meeting that demand. A more detailed and targeted action plan for special education needs and disabilities is underway for 2016/17.