Audit Committee – 23 September 2015

Risk Management Update

A strategic risk has been excluded from these papers as it is exempt from publication under paragraphs 1 and 4 of Part 1 of Schedule 12a of the Local Government Act 1972 as amended (as it contains commercially sensitive information). This excluded risk is contained in agenda item number 10.

1.   Summary of report

1.1   This report provides Audit Committee with an update of the corporate risk register (CRR) to enable the Committee to be satisfied that significant business risks are identified and appropriate action taken to manage these risks. This register was reviewed by the Corporate Management Team (CMT) at their meeting on 30 July 2015.

2.   Background papers

2.1   Corporate risk register / files/ working papers.

3.   Recommendations

3.1   Audit Committee are recommended to:

- Note the attached corporate risk register **(Appendix 1)** and comment as appropriate.
- Consider selecting one of the risks from the corporate risk register for review at a future meeting.
- Comment as to whether they wish to receive risk awareness training.

4.   Resource and legal considerations

4.1   There are no direct resource implications relating to this report. However the statutory requirements are detailed in the governance section below.

5.   Governance

5.1   Audit Committee's responsibility for risk management includes the following:
- Reviewing the mechanisms for the assessment and management of risk.
- Giving assurance about the process.
- Ensuring the council meets its statutory requirements, as stipulated within the Accounts and Audit Regulations 2011 as follows:
   o Regulation 4 (1) – The relevant body is responsible for ensuring that the financial management of the body is adequate and effective and that the body has a sound system of internal control which facilitates the effective exercise of that body's functions and which includes arrangements for the management of risk.

5.2 Audit Committee is also required to ensure that it receives reports on risk management on a regular basis and takes appropriate action to ensure that strategic business risks are being actively managed. This report enables Audit Committee to exercise its responsibilities in respect of risk management by reviewing the current CRR; calling in key business risks for review; and seeking assurance that risk management is thoroughly embedded within the organisation.

6. Risk management issues

6.1 Corporate risk management processes continue to be used for the identification and assessment of risks to significant business objectives. The process ensures clear ownership of risks, mitigating controls and improvement actions by assigning accountability to relevant line management.

6.2 Risks are usually reviewed within directorates on a quarterly basis to ensure they remain at the forefront of the management agenda; that controls continue to be effective and mitigating actions are being addressed in a timely manner. Executive Directors are responsible for ensuring that corporate risks are managed within their respective directorates.

6.3 The risk owners across the organisation have reviewed the risks within the corporate risk register and agreed the risk scores and target risk scores.

6.4 At their meeting of 30 July 2015 CMT agreed to:

- Corporate risk number 1 (Delivery of Corporate Plan) to be updated to reflect the rising demand on services generally.
- Corporate risk number 3b (Partnership working – regional) – the proposed West Midlands Combined Authority to become a separate risk.
- Change the risk owner of corporate risk number 5 (Loss of Community Cohesion) to Rory Borealis, Executive Director (Resources).
- Corporate risk number 11 (Demographic Change) to be updated to reflect the change to corporate risk number 16 below.
- Remove corporate risk number 16 (Impact of Care Act) as the risk has reduced due to implementation dates for the relevant parts of the Care Act being postponed. [The Care Act Programme Board was monitoring the phased implementation of the Act (as reflected in corporate risk number 11)].
- Change the joint risk ownership of corporate risk number 21 (Mosaic) to become the responsibility of one risk owner ie: David Haley, Executive Director (Childrens).

These revisions will be reflected within the next iteration of the CRR.

6.5.1 A recent change of risk owner for corporate risk number 8 (Data Control) was made from Head of Business Change (Paul Gordon) to Chief Finance Officer (James Walsh).

7. Training

7.1 Risk management training in the corporate risk methodology can be provided to members if they feel it necessary. A suitable date / time could be arranged to co-incide with officers of the Corporate Management Team.

8. Equality implications

8.1 None arising directly from this report.

9. Consultation

9.1 Managers and colleagues at all levels across the council prepare and monitor risk registers and manage identified risks. All directorates have a number of identified risk champions. The council also consults with external bodies such as brokers, insurers, external consultants and recognised bodies such as ALARM, IRM and CIPFA and the CIPFA Better Governance Forum. It is also a member of the CIPFA Midlands Insurance Officers Group.

James Walsh
Chief Finance Officer
14th September, 2015

Authors
Neil Pearson, Operational Risk, Insurance & Loss Control Manager ☎ 650543
✉ pearsonn@walsall.gov.uk
Pam Cox, Risk Management Officer, ☎ 01922 653792 ✉ coxp@walsall.gov.uk

UPDATE: July 2015

No.	Description of Risk	Risk Owners	April 2015				July 2015				OVER Trend
			Impact	Likeli-hood	Risk Rating	Score Priority	Impact	Likeli-hood	Risk Rating	Score Priority	Trend
FINANCE											
1 (pgs 1-2)	The aims and objectives of the Corporate Plan may not be fully delivered because of the reduction in government funding and rising costs of services. - *Medium term financial plan, Shaping a Fairer Future, Corporate Plan, Walsall Plan, key service area operational plans.*	Chief Finance Officer (JW)	2	4	8	M	2	4	8	M	⟷
9 (pgs 3-5)	Failure to manage institutional and individual change *Downsizing council activity, Shaping a Fairer Future, Smarter Workplaces, service reviews, change management challenges, scrutiny process.*	Chief Executive (PS)	3	5	15	H	3	5	15	H	⟷
PROCESSES & GOVERNANCE											
8	Data control - *Information (data) management, ICT, cyber risk.*	Chief Finance Officer (JW)	3	6	18	M	3	6	18	M	⟷
12	The risk of inadequate governance - *internal/external audit roles, Contract Rules, grants manual, Constitution, Working Smarter Programme, Partnership Framework/Toolkit, project management, performance, Governance Forum.*	Head of Legal and Democratic Services (TC)	2	3	6	M	0	0	0		RM
21 (pgs 7-9)	Failure to implement the new case management system (Mosaic) for Children and Social Care and Inclusion (SCI) within the identified timescales	Programme Board	4	5	20	H	3	4	12	M	⇩

Impact: **1**=Negligible (Little effect to organisational objectives) **2**=Marginal (Affects some of the organisational objectives)   **3**=Critical (Affects most of the organisational obje
4=Catastrophic (Affects all of the organisational objectives).
Likelihood: 1=Almost Impossible; **2**=Very Low; **3**=Low; **4**=Significant; **5**=High; **6**=Very High.
H=HIGH (Red 15-24) M = MEDIUM (Amber 4-12) L = LOW (Green 1-3)   NR=New Risk RM=Risk Managed

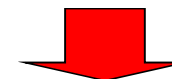| No.	Description of Risk	Risk Owners	April 2015				July 2015				OVE
			Impact	Likeli-hood	Risk Rating	Score Priority	Impact	Likeli-hood	Risk Rating	Score Priority	Trend
PARTNERSHIP WORKING											
3a (pgs 11-12)	Partnership working (Local) - *Borough Management Team / Partnership Tasking and Co-ordination Group, six Area Partnerships.*	Executive Director (Resources) (RB)	3	4	12	M	3	4	12	M	⟷
3b (pgs 13-14)	Partnership working (regional) - *Local Enterprise Partnership (LEP), Black Country LEP/Consortium, Black Country Consortium, City Deal, West Midlands European Service, Combined Authority.*	Executive Director (Economy & Environment) (SN)	3	4	12	M	3	4	12	M	⟷
5 (pgs 15-18)	Loss of community cohesion - *Community Safety Plan 2014-17, Walsall Community Cohesion/Prevent Plan, Walsall Community Safety Partnership, Walsall CONTEST group, inter agency working.*	Executive Director (Economy & Environment) (SN)	3	4	12	M	3	4	12	M	⟷
20a (pgs 19-21)	Failure to safeguard children - *Children Safeguarding Boards, multi-agency partnership working.*	Executive Director (Children's Services) (DH)	3	4	12	M	3	4	12	M	⟷
20b (pgs 22-23)	Failure to safeguard all vulnerable adults - *Adult Safeguarding Boards, multi-agency partnership working.*	Executive Director (Social Care & Inclusion) (KS)	3	4	12	M	3	4	12	M	⟷

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UPDATE: July 2015

| No. | Description of Risk | Risk Owners | April 2015 | | | | July 2015 | | | | OVE |
			Impact	Likeli-hood	Risk Rating	Score Priority	Impact	Likeli-hood	Risk Rating	Score Priority	Trend
CHANGE ACTIVITY (external factors)											
11	Demographic Change *- Adult health and social care plans, Better Care Fund Plan, demographic reviews, medium/long term financial planning.*	Interim Executive Director (Social Care and Inclusion) (KS)	3	4	12	M	3	4	12	M	⟷
16	Impact of Care Act *- Care Act Implementation Board, engagement with ADASS, LGA etc.*	Interim Executive Director (Social Care and Inclusion) (KS)	3	4	12	M	3	4	12	M	⟷

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CORPORATE RISK MATRIX – JULY 2015

Risk Appetite - Risks in this area will be actively managed

Red = High (score 15 -24)

Amber = Medium (score 4 – 12)

Green = Low (score 1 – 3)

Likelihood: 6 = very high, 5 = high; 4 = significant; 3 = low; 2 = very low; 1 = almost impossible

Impact: 4 = catastrophic; 3 = critical;
(Affects all of the organisational objectives) (Affects most of the organisational objectives)

2 = marginal; 1 = negligible
(Affects some of the organisational objectives) (Little effect to organisational objectives)

Risk No	Current score (with current actions)			Target Score			Difference
	I	*L*	*Score*	*I*	*L*	*Score*	
1	2	4	8	2	4	8	0
3a	3	4	12	3	3	9	3
3b	3	4	12	3	3	9	3
5	3	4	12	2	4	8	4
8	3	6	18	TBA	TBA	TBA	TBA
9	3	5	15	3	5	15	0
11	3	4	12	TBA	TBA	TBA	TBA
16	3	4	12	TBA	TBA	TBA	TBA
20a	3	4	12	3	3	9	3
20b	3	4	12	3	3	9	3
21	3	4	12	2	3	6	6

Rolling Year's Trend

	April 2015		July 2015	
	No. of Risks	%	No. of Risks	%
Red	4	33%	2	18%
Amber	8	67%	9	82%
Green	0	0%	0	0%
TOTAL	12		11	
Risks Managed / devolved	1		1	

CORPORATE RISK REGISTER

1	The aims and objectives of the Corporate Plan may not be fully delivered because of the reduction in government funding and rising costs of services.	**Last Reviewed**	**Last Updated**	**Current Risk Score**	**Target Risk Score**	**Achieved by**
		June 2015	March 2015	*(IxL)* 2x4=8	*(IxL)* 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 is placing further pressure on the council.

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.	Head of Finance (VB)
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.	Head of Finance (VB)

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3=Critical (Affects most of the organisational objectives)   4=Catastrophic (Affects all of the organisational objectives)
Likelihood: 1=Almost Impossible; 2=Very Low; 3=Low; 4=Significant; 5=High; 6=Very High.
CMT Risk Register – July 2015

Shaping Fairer Future programme has been introduced to align our resources to the delivery of the council's objectives and to prioritise where these resources are allocated, the programme is also designed to achieve financial savings to meet budget targets.	Executive Director, Resources (RB)
We have produced a Walsall Plan and a Corporate Plan that lays out the priorities for the council in the short to medium term. These plans are produced in consultation with key stakeholders in the local community.	Executive Director, Resources (RB) / Head of Delivery & Governance (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

Are Further Actions required? [If so, list below:]:	By Who: Head of Delivery & Governance (CW)	When: Ongoing
Regular reports will be submitted to Corporate management team on progress against Corporate Plan.		

Progress to Date

Impact: 1=Negligible (Little effect to organisational objectives)   2=Marginal (Affects some of the organisational objectives)
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Likelihood: 1=Almost Impossible; 2=Very Low; 3=Low; 4=Significant; 5=High; 6=Very High.
CMT Risk Register – July 2015

9	Failure to manage institutional and individual change	Last Reviewed	Last Updated	Current Risk Score	Target Risk Score	Achieved by
		Jan 2015	July 2015	*(IxL)* 3x5=15	*(IxL)* 3x5 =15	Sept 015

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. It is possible that developments within the third sector will assist in mitigating the impacts of changes.

Key mitigation activities

There is now widespread acknowledgment of the scale of the challenge within the council. The MTFP is regularly updated and published and briefings have been given by finance staff to all party groups. The Chief Executive has been holding open briefing sessions for all staff for several years. The financial challenge has been explained and is well understood. The Cabinet is in the process of determining its proposals for a four year approach to the council's budget. This was published for consultation 28 October 2015 with ultimate determination by Full Council 25 February 2016. The finely balanced political structure of the council means that there is a risk in the budget process. Whilst the actual disposition of the agreed budget rests with the Cabinet, the overall budget envelope is a matter for the Full Council. The greater degree to which there is a shared understanding across political groups of the key budget decisions will assist in explaining to the public the nature and scale of service changes. Senior and middle management capacity continues to reduce at a time when the volume and complexity of issues has increased. Notable amongst the challenges are negotiations with neighbouring local authorities and with Government around devolution to a Combined Authority. Also the negotiations across the Health and Social Care	Theme leaders Elected Members on Scrutiny Panels

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CMT Risk Register – July 2015

sector to seek greater integration, present major challenges. More so than in previous years the scrutiny process should be used to seek consensus on changes to be made. Traditionally scrutiny recommendations tend to note and reject recommendations from Cabinet. The scrutiny process presents an opportunity for challenge and also to develop consensus about what should be done with perhaps a reduced focus on recommendations that Cabinet 'reconsider'. Development of broad agreement on the response to the financial challenge may be advised by informal cross party discussions and officer briefings to cross party groups. The necessity for staff to continue to develop their appreciation of the need for change will continue to be met. • Chief Executive briefings. • In house written communications. • Directorate based briefings. • Staff involvement through future phases of the 'Shaping of the Future' process. Addressing public expectation is perhaps the least well developed area of the council activity. Inevitably there will be differences of approach between the party groups. This is welcome because it reflects a vibrant democracy. However, there are some common messages about the scale of change that will be required that it may be possible to deliver on a cross party basis. The largest public consultation exercise to date was undertaken for 2015/16 budget. The third sector in Walsall is less well developed that in some parts of the country. The council has significantly increased its grant support to Walsall Voluntary Action to assist in capacity building. Grants and commissioned services to the third sector have so far received a high level of protection from finding cuts. However, there will be a need to see a greater level of activity from the sector if, as some commentators claim, it is to play a significant part in mitigating the consequences of public sector funding reductions.	Cabinet and officers

Are Further Actions required? [If so, list below:]:	By Who:	When:
		}
• Cabinet develop 4 year budget proposals.	Cabinet/CMT	} Ongoing
		}
• Seek to develop appropriate cross party consensus on key changes.	Chief Exec	} Ongoing

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CMT Risk Register – July 2015

Are Further Actions required? [If so, list below:]: **Cont'd**	By Who:	When:
• Agree means of engaging with the public on agreed key changes.	Cabinet/CMT	} Ongoing }
• Continue to develop employee participation in the changes that are required.	CMT	} Ongoing }
• Work with third sector to assist in capacity development.	Political dialogue with local residents	} } Ongoing } }
• The expectations of the community served by the council and what we are able to deliver need to be managed through information and consultation exercises.		} }
• Engagement with the third sector in Walsall needs to be improved and stronger links developed through engagement and consultation.	CMT and specific directors	} Ongoing } }

Progress to Date - Set out above.

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CMT Risk Register – July 2015

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Likelihood: 1=Almost Impossible; 2=Very Low; 3=Low; 4=Significant; 5=High; 6=Very High.
CMT Risk Register – July 2015

21	Failure to implement the new case management system (Mosaic) for Children and Social Care and Inclusion (SCI) within the identified timescales.	Last Reviewed	Last Updated	Current Risk Score	Target Risk Score	Achieved by
		Jan 2015	June 2015	*(IxL)* 3x4=12	*(IxL)* 2x3 =6	December 2015

Risk Owner: Mosaic Programme Board

Risk Description

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

This risk relates to the council failing to safeguard and care for vulnerable citizens (Childrens and Adults) as a result of identified shortfalls in the current case management system and its related processes, together with its non compliance with imminent legislative changes – Childrens and Families Act and the Care Act. The risk will remain high whilst the council continues to use the incumbent system and processes.

Delayed implementation will carry a financial risk as the council would be unable to accurately monitor the financial impact of the new legislation (particularly relating to charging and the Care Act). This could also lead to future Ofsted inspection being unsatisfactory with the progress which the council is making in addressing the required improvements to social care case management.

It is likely that Ofsted will undertake a further inspection of the *Safeguarding* and *Looked After Children* service at some point during the Mosaic programme's implementation. The next Ofsted inspection window is April – August 2015, then further dates from September onwards.

To support the inspection activity, which is predominantly field work/practice based, will lead to the diversion of key social care staff away from the programme's implementation and the timescale for Children's Services implementation will be affected. There will be a key decision point when details of the inspection are known to consider whether to continue with implementation during inspection or to delay implementation to a later date.

In April 2014, Children's Services advised Ofsted that it would replace its existing case management system to a compliant system by the end of 2014. The programme delivery timeline has been reviewed given the scope and resource requirements and is based upon a three phased implementation approach commencing with Phase 1 in May 2015.

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CMT Risk Register – July 2015

Appendix 1(iii)

CoreLogic's Mosaic system was procured as one system jointly implemented in Children's Services and Social Care and Inclusion, 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.

Key mitigation activities

There has been early engagement from key stakeholders across the council, to support the release of skilled resources to implement and embed the new system as effectively as possible.	Executive Directors – Children's (DH) and Social Care and Inclusion (KS)
Effective programme governance arrangements in place to ensure that the outcomes and benefits of the Mosaic Implementation Programme are achieved. Programme management arrangements changed during December 2014, with a recruitment process in place to appoint a technical programme lead with effect from February 2015. This has been revised in May 2015 with a full time Programme Implementation Manager joining the team from 15 June.	Mosaic Programme Board and Business Change – Head of Programme Delivery & Governance (CW)
Ensuring close working with all contributors to the Programme, including CoreLogic (supplier), SCI and Children's, and dedicated support and expert capacity, through the nominated business change managers 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 (DH)
The impact from Ofsted should an inspection be called will require additional resource and expertise to support the process. DCS to formulate contingency measures to ensure an effective balance between Ofsted requirements and the programme delivery schedule can be achieved. Necessary activities to make the decision to go live or not will be drawn up together with detailed communications messages for staff. The impact of inspection being called at various stages of the programme lifecycle has been assessed by the programme board.	Executive Director – Children's Services (DH)
Effort from both Childrens and Adults is being focused through the Programme delivery team to align go live of Phase 2 Childrens and Phase 1 Adults as a concurrent roll out.	Programme Board and Programme Implementation Manager.

Are Further Actions required? [If so, list below:]	By Who:	When:
• Review and revise dedicated expert and support capacity against risks as identified by the Programme Board	ED Children's (DH) and SCI (KS)	Monthly
• Review the programme delivery plan and key milestones ensuring that the programme remains desirable, achievable and affordable.	Mosaic Steering Group and Programme Board.	Monthly

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CMT Risk Register – July 2015

Progress to Date

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

Current risk score has been reduced and agreed by the Mosaic Programme Board from a score of 20 to 12, mitigated by the governance and approach to the programme delivery. We can evidence good progress in the implementation of Mosaic, data migration, testing and training. The programme board has also considered the impact of an Ofsted inspection being called during the implementation period and there are documented procedures to be instigated in the event of an inspection being called during June – August 2015.

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CMT Risk Register – July 2015

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CMT Risk Register – July 2015

3a	Partnership working - local	Last Reviewed	Last Updated	Current Risk Score	Target Risk Score	Achieved by
		April 2015	July 2015	(IxL) 3x4=12	(IxL) 3x3 = 9	October 2015

Risk Owner: Executive Director – Resources (RB)

Risk Description

Partnership Working - Local

In order to address the priorities within the Walsall Plan 2013 - 2016; 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.

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, the Fire and Rescue Service, the Clinical Commissioning Group, Walsall Healthcare NHS Trust, Walsall Housing Group, Dudley and Walsall Mental Health Trust, etc. The BMT is supported by a Partnership Tasking and Co-ordination Group which includes representation from four strategic groups: Safer Walsall Partnership, Walsall's Health & Well Being Board, Walsall's Children & Young Persons' Board and the borough's Economic Board. At a locality level there are six Area Partnerships comprising of the key agencies, including the voluntary and community sector working within localities to improve the quality of life experienced in those areas. Each Area Partnership supports local accountability through the established Area Panels comprising the local councillors for those areas.	Head of Communities and Public Protection / Partnership Manager (KB)
Six Area Partnerships have been operational since 2010 aiming to improve the relationship and involvement of the community through the implementation of Area Plans. Area Partnerships have been re-appraised within a framework for devolution. Following approval for the implementation of a delivery plan in January 2015 work has commenced to engage elected members, partners and colleagues in delivering the actions within the plan.	
There is a comprehensive risk assessment in place for Area Partnerships which comprises of strategic, planning and	

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CMT Risk Register – July 2015

Appendix 1(iii)

operational risks.

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. A Scrutiny Working Group suggested 13 recommendations regarding the future development of Area Partnerships, which were presented to the Neighbourhoods Scrutiny and Performance Panel in April 2015.

Are Further Actions required? [If so, list below:]:	By Who: Head of Communities and Public Protection / Partnership Mngr (KB)	When: Sept 2015
• Measures to assess progress against the Area Partnerships delivery plan as a contributor to the impact of Area Partnerships. The role of the Partnership Tasking and Co-ordination Group (PTCG) is currently under review and performance monitoring measures will be agreed following completion.		

Progress to Date

Delivery against the Walsall Plan is monitored through the Partnership Tasking and Co-ordination Group and the Borough Management Team. Local delivery plans are 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.

In addition to the above, and as part of the council's devolution agenda, Six Area Panels have been established. An evaluation of the devolution agenda was presented to Cabinet on 30 April 2014, with recommendations for further development. These recommendations are reflected in the Area Partnership Delivery Plan being rolled out currently.

Impact: 1=Negligible (Little effect to organisational objectives)   2=Marginal (Affects some of the organisational objectives)
3=Critical (Affects most of the organisational objectives)   4=Catastrophic (Affects all of the organisational objectives)
Likelihood: 1=Almost Impossible; 2=Very Low; 3=Low; 4=Significant; 5=High; 6=Very High.
CMT Risk Register – July 2015

3b	Partnership working (Regional)	Last Reviewed	Last Updated	Current Risk Score	Target Risk Score	Achieved by
				(IxL)	*(IxL)*	October 2015
		March 2015	July 2015	3x4=12	3x3 =9	

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, 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 still developing since the removal of key bodies and previous joint working arrangements, with talks underway to create a structure for regional Joint working. This now includes work to develop proposals for a Combined Authority within the West Midlands area. 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 (excluding Birmingham and Coventry) provide funding to support the WMES (West Midlands European Service), which will end in June 2015. Alternatives to continuing with this arrangement are being considered together with the costs associated with WMES continuation. The appropriate continuation will co-ordinate joint working in the development and delivery of the EU Investment Strategies, together with the development and sharing of best practice and their implementation where appropriate. If the two councils continue to opt out moving forward, the risk of un-coordinated activities in some fields still remains.

Key mitigation activities

Partnership Working - Sub Regional (Black Country): 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

Impact: 1=Negligible (Little effect to organisational objectives)   2=Marginal (Affects some of the organisational objectives)
3=Critical (Affects most of the organisational objectives)   4=Catastrophic (Affects all of the organisational objectives)
Likelihood: 1=Almost Impossible; 2=Very Low; 3=Low; 4=Significant; 5=High; 6=Very High.

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 & 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. 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 will provide additional support in the delivery and development of the Growth Deal and City Deal programmes, taking responsibility for elements delegated as agreed by the LEP board and the JC. **Partnership Working – Regional (West Midlands):** The councils are working on proposals to develop a Combined Authority within the West Midlands area, its membership, size and scope is yet to be determined / agreed but is being worked upon. The West Midlands European Service (WMES) ends in June, its continuation or alternatives for the co-ordination of the EU strategies between the West Midlands LEP's are being considered.	Executive Director – Regeneration (SN) / Head of Strategic Regeneration (ML)

Are further actions required [if so, list below:]	By Who:	When:
• The development of the Joint Committee arrangements for the Black Country to be continued and reported on / monitored.	} Executive } Director -	1.10.15
• The development of the joint working arrangements for the West Midland Region, including the Combined Authority to be continued and monitored.	} Regeneration (SN)/ } Head of Strategic	1.10.15
• The development joint working across the Black Country continued, including the development of the Team Black Country approach.	} Regeneration (ML)	1.10.15

Progress to Date

• JC agreements and Governance Structures now set into place. • Work on the development of regional joint working through a proposed Combined Authority is ongoing. • Work is underway on the development of the Team Black Country approach and capacity.

Impact: 1=Negligible (Little effect to organisational objectives)   2=Marginal (Affects some of the organisational objectives)
3=Critical (Affects most of the organisational objectives)   4=Catastrophic (Affects all of the organisational objectives)
Likelihood: 1=Almost Impossible; 2=Very Low; 3=Low; 4=Significant; 5=High; 6=Very High.
CMT Risk Register – July 2015

5	Loss of community cohesion	Last Reviewed	Last Updated	Current Risk Score	Target Risk Score	Achieved by
				(IxL) 3x4=12	(IxL) 2x4 = 8	
		March 2015	July 2015			Oct 2015

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

Risk Description

There are many different communities and cultures that live and work in Walsall and this diversity is increasing. Budget and service cuts may significantly impact on community cohesion. Down-sizing programmes can impact upon the effectiveness of critical community services and local economic stability. Service and programme cuts can also impact on cohesion leading to increasing community tension.

Globally it has been observed that there is an increase in hate crime against Muslims due to the activity of the Islamic State (IS) in Iraq and Syria, and the subsequent beheading of western aid workers. The activity of this terrorist organisation has seen a number of UK citizens (estimate between 500 – 1000) travel to support and join the group including individuals from the region. The threat these individuals may have upon returning to the UK is recognised and the threat level has increased to SEVERE.

There has been an increase in local support to Islam Walsall (a non violent extremist group) and recent activity by Hizb Ut Tahrir around mosques and leafleting local shops in Caldmore. We are aware of individuals who have travelled to Syria from Walsall.

English Defence League (EDL) activity has continued and it seeks to exploit "their legitimate grievances" (the building of a Mosque, Child Sexual Exploitation and Extremism). Any such activity in Walsall would evoke an increase in their activity and a rise in community tensions. This has been observed in the Beechdale area and wider North Walsall area.

The influx of individuals from other countries and increases in crime and anti-social behaviour has sometimes been attributed to cultural differences. Such activity has obvious repercussions within communities and affects the public's perceptions, feelings of safety and sense of pride community.

The Counter Terrorism and Security Act 2015 will come into force on the 1 July 2015 and Walsall has now been assessed to be a tier 2 priority area. This brings with it £85K for recruiting a co-ordinator and £60K of project funding. A Prevent Co-ordinator has been appointed and should be in post by 1 August 2015.

Impact: 1=Negligible (Little effect to organisational objectives)   2=Marginal (Affects some of the organisational objectives)
3=Critical (Affects most of the organisational objectives)   4=Catastrophic (Affects all of the organisational objectives)
Likelihood: 1=Almost Impossible; 2=Very Low; 3=Low; 4=Significant; 5=High; 6=Very High.
CMT Risk Register – July 2015

There have been 5 arrests and charges brought against Walsall residents linked to terrorism legislation and travel to Syria. This has received wider nationally media coverage, although no obvious increased community tensions have occurred. There has been some recent increases in small sized graffiti promoting Sharia law for UK around Birchills and Aldridge linked to the canals and a recent very offensive anti Islamic printed sticker in Pleck.

An English Defence League (EDL) national demonstration has been announced for 15 August 2015 on the EDL facebook page citing grooming as the reason. Another more localised event has been announced for 3 October 2015 by Walsall patriots, a local EDL splinter group, citing Muslim grooming gangs and the Islamafication of Walsall.

A planning group for the EDL demonstration in August is currently been tasked.

Key mitigation activities

The council has refreshed the Community Safety Plan 2014 – 2017 responding to the strategic assessment and intelligence. This includes the priority "*Community – specific focus on Counter Terrorism, Community Cohesion and Public Perceptions"* and hate crime as a specific data set. Walsall Council is a member of the regional Prevent Group led by West Midlands Police and receives briefings from the Counter Terrorism Unit (CTU) as appropriate. A new regional co-ordinator has been appointed to deliver the regional response. The council's Community Cohesion Officer is in regular dialogue with the CTU and the Local Policing Unit.	Head of Communities & Partnerships (KB) / Area Mngr – Community Safety (LH) /
A reconfiguration of the Community Safety Service has seen the appointment of two additional officers to actively build cohesion and tackle hate crime and the threat of extremism. Walsall Community Safety Partnership has approved £6K as match funding for a Community Organiser post within Walsall Housing Group, the post will focus activity in and around the Eastern European Communities. The council works in partnership with the Police and other interested agencies on matters relating to community cohesion through the Safer Walsall Partnership and, as appropriate, through the council's Resilience Team. For example, the English Defence League demonstration in September 2012 and the Aisha Mosque terrorist bomb in	Head of Communities & Partnerships (KB)

Impact: 1=Negligible (Little effect to organisational objectives)   2=Marginal (Affects some of the organisational objectives)
3=Critical (Affects most of the organisational objectives)   4=Catastrophic (Affects all of the organisational objectives)
Likelihood: 1=Almost Impossible; 2=Very Low; 3=Low; 4=Significant; 5=High; 6=Very High.
CMT Risk Register – July 2015

2013.

Walsall has had the latest 2014 Counter Terrorism Local Profile (CTLP) and has amended the CONTEST plan.

A new CTLP is planned for October 2015 and quarterly intelligence data updates are being planned moving beyond the October CTLP to ensure activity is prioritised considering relevant data.

A Prevent co-ordinator has been appointed, who is a retired ex Counter Terrorist Unit (CTU) Detective Inspector, so improved relationships with the CTU should be achieved.

The Counter Terrorist and Security Act 2015 starts to be measured from the 1 July 2015.

Prevent e-learning level 1 developed and live (mandatory training for all staff).

Prevent Level 2 e-learning to be online by mid July. This will be mandatory for front line staff and staff with supervision responsibility.

Are Further Actions required? [If so, list below:]:	By Who:	When:
• Local priorities are being identified and co-ordinated at a local and regional level.	} Head of }Communities } & }Partnerships } (KB)	Jan 2016
• Further development of the Walsall Community Cohesion/Prevent Plan in accordance with the latest Counter Terrorism Local Profile and intelligence.		Oct 2015
• Increased awareness of the threat of extremism in voluntary and community sectors.	} Community } Safety	Oct 2015
• Increased awareness of the threat of extremism for Elected Members	} Mngr (LH) } Prevent	Oct 2015
• Clarity of the role of CONTEST Group members in sharing messages with their organisations	} Coordinator } (BS)	Oct 2015
• Improved information sharing across partner organisations		Oct 2015
Are Further Actions required? [If so, list below:]: **Cont'd**		

Impact: 1=Negligible (Little effect to organisational objectives)   2=Marginal (Affects some of the organisational objectives)
3=Critical (Affects most of the organisational objectives)   4=Catastrophic (Affects all of the organisational objectives)
Likelihood: 1=Almost Impossible; 2=Very Low; 3=Low; 4=Significant; 5=High; 6=Very High.
CMT Risk Register – July 2015

		By Who:	
• New extremism referral pathway agreed and implemented. • Improved hate crime analysis.		} Head of }Communities } & }Partnerships } (KB) } Community } Safety } Mngr (LH) } Prevent } Coordinator } (BS)	Oct 2015 Oct 2015

Progress to Date

- The CONTEST plan has been revised.
- Referral working group have agreed referral form and guidance.
- A working group is developing approaches to raising awareness within the council and with external partners.
- A training session has been developed for Elected Members and will be delivered in 2015.
- Protocols for sharing information are under review.
- Improved hate crime analysis has been initiated.
- Regional Prevent Co-ordinator appointed.
- Walsall a Priority Area.
- Prevent co-ordinator appointed.
- 3 projects of £60K value have been chosen from the Office of Security and Counter Terrorism best practice catalogue:
  - Upstanding Neighbourhoods
  - Tale of two Cities
  - Mosque Development (linked to UMO).

Impact: 1=Negligible (Little effect to organisational objectives)   2=Marginal (Affects some of the organisational objectives)
3=Critical (Affects most of the organisational objectives)   4=Catastrophic (Affects all of the organisational objectives)
Likelihood: 1=Almost Impossible; 2=Very Low; 3=Low; 4=Significant; 5=High; 6=Very High.
CMT Risk Register – July 2015

20a	Failure to safeguard children	Last Reviewed	Last Updated	Current Risk Score	Target Risk Score	Achieved by
		April 2015	July 2015	(IxL) 3x4=12	(IxL) 3x3=9	Ongoing

Risk Owner: Executive Director - Children's Services (DH)

Risk Description

Failure to ensure effective partnership practice in safeguarding children 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 Children Safeguarding Boards, with good working arrangements and protocols between the Boards that support the protection of vulnerable children.	Executive Director – Children's Srvcs (DH)
Quality and effective front line practice.	Respective safeguarding Boards; Executive Director- Children's Srvcs (DH) and teams
Good multi-agency partnership working.	As above
Effective and comprehensive quality assurance.	Executive Director – Childrens (DH) and teams

Impact: 1=Negligible (Little effect to organisational objectives)   2=Marginal (Affects some of the organisational objectives)
3=Critical (Affects most of the organisational objectives)   4=Catastrophic (Affects all of the organisational objectives)
Likelihood: 1=Almost Impossible; 2=Very Low; 3=Low; 4=Significant; 5=High; 6=Very High.
CMT Risk Register – July 2015

Are Further Actions required? [If so, list below:]:	By Who	When:
Timely replacement of ICS system, comprehensive migration of data and effective training for users.	Integrated Childrens System (ICS) programme board	Start April 2015 and phased to Sept 2015
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 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. There was a final meeting with DfE officials in March 2015 which concluded the DfE's monitoring and intervention in Walsall Children's Services. We regularly self assess and share that with partners, play a full part in 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 Board is chaired by the Chief Executive and attended by the Cabinet Member Children's Services, DCS, Police and Health representatives, independent adviser and chair of the Education Challenge Board.

The Children's Safeguarding Board Chair has been re-appointed until September 2015. The Chair of the Adult Safeguarding Board has resigned which provides an opportunity to recruit to one Chair for the adults and children's Boards. The recruitment process is being managed and the post will be recruited to by the end of July 2015. Organisational changes to bring forward strategic alignment between the Boards is in consideration.

Child sexual exploitation (CSE) is currently a high profile risk element in keeping adults and children safe. Work is current and ongoing to ensure that Walsall's response is proportionate, evidenced and effective. This work has been monitored externally with

Impact: 1=Negligible (Little effect to organisational objectives)   2=Marginal (Affects some of the organisational objectives)
3=Critical (Affects most of the organisational objectives)   4=Catastrophic (Affects all of the organisational objectives)
Likelihood: 1=Almost Impossible; 2=Very Low; 3=Low; 4=Significant; 5=High; 6=Very High.
CMT Risk Register – July 2015

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 very good collaborative working between the Police and the local authority. The establishment of a multi-agency safeguarding hub (MASH) will further strengthen partnership work across agencies. Walsall has a strong strategic and operational group that works to prevent and manage risks to young people.   A programme of 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 much focus in Children's Services on the quality and effectiveness of frontline social work practice. A detailed and robust performance management policy and information is in place to enable effective management of performance improvement. Most indicators are improving; where they are not improvement plans are in place. Monthly audits of practice are undertaken and analysed to identify any weaknesses. Improvement plans are put in place to address weaknesses and senior management oversight is in place with team and practice managers to focus on improving quality of frontline practice. A service restructure in April 2015 introduced the role of a practice manager within each team to focus on practice quality and with manageable case loads in all teams there should be good impact. Observations of practice will be re-introduced from April 2015 alongside supervision, to add to the quality assurance evidence.

Impact: 1=Negligible (Little effect to organisational objectives)   2=Marginal (Affects some of the organisational objectives)
3=Critical (Affects most of the organisational objectives)   4=Catastrophic (Affects all of the organisational objectives)
Likelihood: 1=Almost Impossible; 2=Very Low; 3=Low; 4=Significant; 5=High; 6=Very High.
CMT Risk Register – July 2015

20b	Failure to safeguard all vulnerable adults	Last Reviewed	Last Updated	Current Risk Score	Target Risk Score	Achieved by
		April 2015	July 2015	(IxL) 3x4=12	(IxL) 3x3=9	Ongoing

Risk Owner: Executive Director - Adult Services (KS)

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 (KS)
Quality and effective front line practice.	Respective safeguarding Boards; Executive Director – Adult & Social Srvcs (KS) and teams
Good multi-agency partnership working.	As above
Effective and comprehensive quality assurance.	Executive Director – Adult & Social Srvcs (KS) and teams

Impact: 1=Negligible (Little effect to organisational objectives)   2=Marginal (Affects some of the organisational objectives)
3=Critical (Affects most of the organisational objectives)   4=Catastrophic (Affects all of the organisational objectives)
Likelihood: 1=Almost Impossible; 2=Very Low; 3=Low; 4=Significant; 5=High; 6=Very High.
CMT Risk Register – July 2015

Are Further Actions required? [If so, list below:]:	By Who	When:

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 historically seen less focus at a national level, however, that is changing through government policy and through local practice change.

Impact: 1=Negligible (Little effect to organisational objectives)   2=Marginal (Affects some of the organisational objectives)
3=Critical (Affects most of the organisational objectives)   4=Catastrophic (Affects all of the organisational objectives)
Likelihood: 1=Almost Impossible; 2=Very Low; 3=Low; 4=Significant; 5=High; 6=Very High.
CMT Risk Register – July 2015

Appendix 1(iii)

CORPORATE RISK REGISTER

8	Data control - **Information**
	       - **ICT**
	       - **Cyber Risk**
		Last Reviewed	**Last Updated**	**Current Risk Score**	**Target Risk Score**	**Achieved by**

		Feb 2015	March 2015	(IxL) 3x6=18	(IxL) 3x6=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 April 2015*** Following CMT approval in November 2011, the Information Management project was initiated. The project's purpose is to raise awareness with employees and members, address high level risks relating to the management of information assets and to respond to the requirements of the Information Commissioners Office (ICO) Undertaking. Progress in the following areas has been made: Governance Arrangements An Information Governance Framework Policy has been developed and approved by Cabinet – March 2013, to support a risk based approach is being followed to develop procedures and guidance. A designated Senior Information Risk Owner (SIRO) and Caldicott Guardian exist and Forum for Information	Head of Programme Delivery & Governance (CW) / Information Risk & Governance Manager (NU)

Impact: 1=Negligible (Little effect to organisational objectives)   2=Marginal (Affects some of the organisational objectives)
3=Critical (Affects most of the organisational objectives)   4=Catastrophic (Affects all of the organisational objectives)
Likelihood: 1=Almost Impossible; 2=Very Low; 3=Low; 4=Significant; 5=High; 6=Very High.
CMT Risk Register – April 2015

Appendix 1(iv)

Governance and Assurance (FIGA) is the council's governance group for information. It was established, with membership from Directorate Information Champions, ICT and Audit. The forum meets quarterly (last meeting November 2014) 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 training roll out, risk of memory stick usage, analysis of causes of data breaches, transition to Bring Your Own Device (BYOD) and level of password protection required. Outside of this forum matters of risk are brought to the attention of the SIRO and / or the Information Risk & Governance Manager. Activity and Progress A revised data breach handling procedure has been implemented to help the council to react when a potential breach has been identified to contain the situation, assess the impact of the breach, take remedial action and act on the learning. There is evidence that through the awareness raising activity of the project, significantly more 'potential' breaches are being reported to the team. Learning is taken from the breach investigation to try to minimise future repeat breaches, both actual and 'near misses'. The significant data breach reported to the Information Commissioner's office has now been resolved with an action plan being agreed with the ICO. An updated satisfactory submission of the Public Health Toolkit was made in March 2015. The toolkit ensures that the Public Health team has a level of information management and security to assure NHS partners that sensitive and personal data can be shared. New guidance for staff on the use of the contracts and agreements when working with 3rd party supplier who handle council information (Data Processors) has been published on the intranet. Work continues to identify existing Data Processors that have not yet been contacted to gain their assurance that they will comply with all council requirements in relation to data protection and security. Any *new* contractual arrangements now include clauses relating to data protection and security. In addition the Information Governance Team are also working closely with ICT to identify any new providers of software or services that may require access to council information, and ensure they are reviewed *before* any information is provided and that adequate contract clauses or agreements are put in place. The Information Asset Register has been further developed to create a simpler and more user friendly document that is much easier to complete and interpret. Maintenance of the register is ongoing and it continues to be populated	Head of Programme Delivery & Governance (CW) / Information Risk & Governance Manager (NU)

Impact: 1=Negligible (Little effect to organisational objectives)   2=Marginal (Affects some of the organisational objectives)
3=Critical (Affects most of the organisational objectives)   4=Catastrophic (Affects all of the organisational objectives)
Likelihood: 1=Almost Impossible; 2=Very Low; 3=Low; 4=Significant; 5=High; 6=Very High.
CMT Risk Register – April 2015

Appendix 1(iv)

based on updates from Information Asset Owners with support from the Information Governance Team. Following guidance from the Resilience Team vital assets belonging to business critical service areas will be identified to ensure that they are considered in new business continuity plans and Reissuance Team and ICT are made aware of their importance so they can be properly identified, risk assessed and protected. 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. ICT Security Risks Work continues with ICT to minimise risks which could affect the security of Information Assets, such as the use of removable media (e.g. memory sticks) and considerations for information when staff are using email or working in an agile way. A Mobile Device Procedure has been developed and published to ensure that all users of mobile devices accessing council data are required to sign this to confirm that they are aware of and accept the risks and responsibilities. Single Contract for Off Site Storage The Information Governance Team have reviewed the contact and the information /management/governance/security provisions of the framework and are happy that they meet all council requirements. Legal Services are reviewing a single outstanding contract clause – once approved the new contract will be signed and made available for council wide use. At this stage, plans for the centralisation of storage budgets will be implemented. In preparation for this the existing use of external filing services is being reviewed to ensure records are stored correctly and that staff are fully training on how to use relevant systems. Awareness Raising FIGA members are Information Champions for good practice information management and are active in their directorates. Information Asset Owners and Information Custodian roles have been established within directorates and everyone has received tailored face to face training to understand their role. The information management project continues to produce guidance, briefing sessions and advice to staff via the intranet and Core brief. All employees completed Level 1 protecting information training during 2013/14. This position is subject to changes	Head of Programme Delivery & Governance (CW) / Information Risk & Governance Manager (NU)

Impact: 1=Negligible (Little effect to organisational objectives) 2=Marginal (Affects some of the organisational objectives)
3=Critical (Affects most of the organisational objectives) 4=Catastrophic (Affects all of the organisational objectives)
Likelihood: 1=Almost Impossible; 2=Very Low; 3=Low; 4=Significant; 5=High; 6=Very High.
CMT Risk Register – April 2015

with new starters joining the Council. Most training is completed on line and there are now a 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. Work continues to support school based staff to complete this training, but this is a risk area as levels of completion vary from school to school, overall completion rates for level 1 are approximately 55% A bespoke Walsall Council training module is in the final stages of development following a limited roll out / user testing. The new version of the training will be launched in late spring 2015.	Head of Programme Delivery & Governance (CW) / Information Risk & Governance Manager (NU)
ICT Update April 2015 <u>Workstation Security</u> The deployment of 'thin client' hardware to appropriate staff is nearing completion. 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 also nearing completion. Work is ongoing to ensure that data created using a desktop / laptop is stored in the secure data centre. 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. <u>Mobile Device Security</u> Bring Your Own Device (BYOD) (personal smart phones and tablet devices) have a secure way of accessing email (currently Good For Enterprise) which allows control over council information on personal devices. A new procedure for the use of a council mobile device has been prepared following a decision at FIGA. This policy is called COPE (Corporate Owned Personal Enabled) and allows more flexible personal use of devices within an agreed manageable risk level. Any new devices will, therefore, only be issued under COPE, BYOD or, in exceptional circumstances, under the original corporate lockdown.	Head of Business Change (PG) / ICT Technical Services Manager (MP)

Impact: 1=Negligible (Little effect to organisational objectives)   2=Marginal (Affects some of the organisational objectives)
3=Critical (Affects most of the organisational objectives)   4=Catastrophic (Affects all of the organisational objectives)
Likelihood: 1=Almost Impossible; 2=Very Low; 3=Low; 4=Significant; 5=High; 6=Very High.
CMT Risk Register – April 2015

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Access to corporate email from personal devices using the Outlook Web Access service is restricted to authorised desktops using a certificate to authenticate the device. 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. An external audit of the council's compliance with Payment Card Industry (PCI) standards carried out during 2014 highlighted some minor areas for improvement. Work is ongoing to deal with these matters. ICT have regular checks from external companies who attempt to expose any weaknesses in our infrastructure which may be exploited by "hackers". The reviews identify weaknesses and suggest remedial activities. External penetration tests are carried out quarterly; internal tests monthly; and a PSN approved test is carried out annually. The nature of threats is constantly changing so we can never guarantee infallibility. The Information Governance Team continue to work with ICT on the configuration of the recently purchased software tool that will record and monitor acceptance of procedures and policies disseminated to users via their PCs. Removable Media Only encrypted USB sticks are issued to users. Their use is supported by a Removable Media procedure and User Agreement. The Information Governance team previously issued a recall of all unencrypted USB sticks for replacement. The Information Governance Team have become aware that since the launch of the Removable Media Procedure some services and staff continue to use encrypted USB sticks for the storage of council information. There have been a number of data breaches reported where unencrypted USB sticks have been lost/damaged. In addition there have been examples where unencrypted sticks are being used by council staff based outside of the Civic Centre/Council House based on the need to access/transfer information from/to the main council network. These are dealt with on a case by case basis. The procedure will be re-launched in April 2015. Disaster Recovery / Business Continuity The council have entered into a contractual agreement with Tamworth District Council to share space in their data	Head of Business Change (PG) / ICT Technical Services Manager (MP)

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Likelihood: 1=Almost Impossible; 2=Very Low; 3=Low; 4=Significant; 5=High; 6=Very High.
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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 and protected from malicious attacks and probes. Cloud Based Computing Any new IT system upgrade or implementation that considers hosting council data in the Internet 'cloud' is assessed for good practice security controls.	Head of Business Change (PG) / ICT Technical Services Manager (MP)
Cyber Risk 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 are being 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. 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.	Head of Business Change (PG)

Are Further Actions required? [If so, list below:]:	By Who:	When:
• Continued roll out of 'thin client' and the 'lock down' of traditional workstations (e.g. ensuring staff cannot install unauthorised software and ensuring data created is stored in the secure data centre)	} ICT } Technical	Ongoing
• Continued compliance with the Public Services Network (PSN)	} Services	Ongoing
• Work with the ICT Application Support and Development Manager to deal with Payment Card Industry (PCI) compliance	} Manager } (MP)	Ongoing
• Go-live with off-site storage contract.	} Information	30 June
• Continue to ensure close co-operation and working with the ICO when and if breaches occur	} Risk & } Gov'nce	2015 }
• Maintain the Information Asset Register	} Manager } (NU)	} Business } as usual

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• Information Sharing Agreements to be developed and data sharing agreement promoted. • Work with ICT to ensure that the Public Network Service (PSN) approval is maintained.	} Information } Risk & } Gov'nce } Manager } (NU)	} } Business } as usual } }
• Review computer fraud (cyber risks) – computer 'hacking' requires investigation into how this is being managed within the council and partners' ability to prevent 'hacking'.	Head Business Change (PG)	Business as usual

Progress to Date

Information (data) management - detailed above in 'Key Mitigating Activities'.
ICT matters - detailed above in 'Key Mitigating Activities'.

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11	Demographic Change	Last Reviewed	Last Updated	Current Risk Score	Target Risk Score	Achieved by
		June 2014	April 2015	(IxL) 3x4=12	(IxL) 3x3=9	Sep 2015

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

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 2015/16 has the priority for improving health and well being 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 life long conditions
- Lifespan rising faster than years of healthy life
- Increasing numbers of people with dementia
- Larger numbers of people caring for family or friends
- Lower levels of male adult life spans that the national average
- Higher levels of infant mortality than the national average.

Key mitigation activities

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| | ED –
Resources (RB) /
ED – N/hoods (JM) /
Head of
Finance (VB) /
Economic
Intelligence
Mngr (EC) /
ED – Social
Care &
Inclusion (KS) |
|---|---|
| • 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.
• Maximising prevention, independence and self-reliance through individual, family and community capacity building, to reduce dependence on expensive statutory services.
• 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.
• 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.
• Working towards minimising better outcomes, at lower costs.
• Maximising service user contributions towards meeting the costs of services, while ensuring ability to pay. | |

Are Further Actions required? [If so, list below:]	By Who:	When:
• Ensure fed into the annual budget round, medium term financial plan and long term financial plan	Head of Finance (VB)	Quarterly
• Delivery of Better Care Fund Plan for 2015/16	Executive Director – Social Care & Inclusion (KS)	Ongoing (5 year plan through to 2019/2020)
• Regular review of the demographics; monitor, change and adapt accordingly: - 2011 census detail; - Annual mid year estimates	Economic Intelligence Mngr (EC)	Annual (September)

Progress to Date

The revenue budget for 2015/16 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. There are indications in the acute hospital of greater demand from older people, but to date mitigating action has prevented that

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adversely impacting the Directorate's budget. Reablement and social work services are the key to the mitigation and constitute the main focus for the next 2 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.

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16	Impact of Care Act [previously limited to care funding cap]	Last Reviewed	Last Updated	Current Risk Score	Target Risk Score	Achieved by
		June 2014	March 2015	3x4=12	3x3=9	*Dependent on Care Act guidance which is currently awaited*

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

Risk Description

This risk has previously focussed on the anticipated financial implications of a cap on the amount that any service user has to pay towards the costs of their adult social care. This is one of the proposals contained in the Care Act 2014.

In parallel with the progress of the legislation, national and local thinking on the totality of the financial implications of the Act are developing, and this risk has now been redefined to consider the entirety of the Act. The draft guidance which is the detail necessary to estimate impact is due to be published this month and the analysis will follow this summer. The main changes and their potential financial implications are currently:

Care Act charging implications 2015/16	The Care Act first phase to the charging/contributions that only affects those in the community in 2015/16. Other changes for those in care homes will apply from April 2016.
	Currently people can pay for their care in full when their assets are above £23,250. The baseline level of self funders in Walsall is lower than some other authorities. We are aware currently of 263 self funders in residential homes but this figure could increase as not all details are held. There is an estimate of 2,700 self funders for domiciliary care but again this is an estimate and the number could be significantly higher.
	The new Charging Policy models the estimated impact of being compliant with the Care Act in 2015/16.
Transition of children (under 18) currently in the system into	There could be additional costs arising from a requirement to maintain the same level of service provision when a young person moves from children's to adults services. This could have a

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adult social care who will receive care free for the remainder of their life.	substantial implication if the system remains as it is - currently packages of care are re-assessed on transition and generally the adult package would be at a reduced cost. SC&I need to ensure reassessment happens sooner and work is on track for 2015/16.
Deferred payment of residential fees after client has deceased.	There may be an increase in the number of clients who can defer payment of their residential fees and property. This is a financial risk both to the timing of the capital receipts recovery and the property market – covered for 2015/16 by a government grant.
National minimum threshold for eligibility.	Walsall arranges care for clients whose needs are classed as substantial or critical, which are the new national standards under the Care Act.
Carers entitlements (including young carers).	Under the Act carers are entitled to more support via an assessment and support plan. There could be a significant increase in the number of carers' assessments needed to be carried out and consequent additional support costs. Enhanced rights for young carers are likely to have implications for Children's Services directorate. There is an offsetting government grant for carers in 2015/16.
Increased information, advice and signposting .	Walsall Council currently uses a team of call navigators, the Open Objects gateway and the Third Sector to provide first contact information. However, the Act requires enhanced information, advice and signposting services which is being delivered via the web.
Care Providers – managing market failure.	The Act places greater emphasis than current legislation on the local authority's role to step in when there is any market failure and to ensure continuity of care – this could have financial implications yet to be advised.
Independent personal budgets.	There is a new approach to assessment and support being developed to ensure equitable, personal outcomes at lower costs being introduced in 2015/16 with savings targeted.
Clients with eligible needs request authority brokerage and support for a fee.	There is likely to be an increase in demand and cost – additional government grant to fund extra social care in 2015/16 is planned alongside a new client based management system.
Discussions are now taking place nationally about the way in which the costs of the Act's components can be calculated and funded. Some set up funding has been announced, equivalent to about £0.7m for Walsall in 2015/16. A total grant of £1.4m has been made by the government towards implementation, above that in the Better Care Fund.	

Key mitigation activities

• Close monitoring of the progress of legislation, and ministerial and operational guidance from Department of Health. • Engagement with ADASS (Association of Directors of Adult Social Services), LGA and other representative groups on the financial implications of the Act.	Assistant Director – SC&I (TH) / Senior Finance Manager (LH)

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Are Further Actions required? [If so, list below:]:	By Who:	When:
• Scenario planning for possible statutory financial models, and CSR settlement. • Modelling of the financial implications as they apply to the relevant Walsall populations. • Forward planning of things that need to have been done by adult social care before April 2015 and 2016 (including gathering intelligence on self funders and the self funding market, and developing business and financial systems to gather, judge and process claims for financial support under the new provisions). • The Ministerial guidance that will accompany the Act will be critical – as ever, the devil will be in the detail.	Senior Finance Manager (LH)/ Executive Director – SC&I (KS)	Dependent on Care Act guidance which is currently awaited.

Progress to Date

A Care Act Implementation Board is in place under the Assistant Director Community Care with cross council representation on all key aspects outlined above. National guidance and information events and channels have been used to ensure the Act is fully understood and risks mitigated.

Plans to inform Members in Scrutiny and take policy decisions to Cabinet ahead of implementation from April 2015 are in place.

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