Wolverhampton City Council

AUDIT COMMITTEE

OPEN INFORMATION ITEM

Date 16 April 2012

Originating Service Group(s) **OFFICE OF THE CHIEF EXECUTIVE**
Contact Officer(s)/ **JOANNE LANCASTER**
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Title/Subject Matter **OFFICE OF THE CHIEF EXECUTIVE – RISK MANAGEMENT AND GOVERNANCE**

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SUMMARY

That Members note the content of this report which sets out the key high level risks for the Office of the Chief Executive service cluster.

1.0 **Purpose**

1.1 To set out for Members the key high level risk facing the service cluster and to point to the way in which these risk are being addressed.

2.0 **Background**

2.1 The attached appendix to this report sets out:

(i) the key functions of the service cluster

(ii) the key objectives of the service cluster

(iii) a brief description of measures to ensure functions are delivered

(iv) an outline of key risk in 2010/11

2.2 Members should be aware that this is not a full risk analysis for the service cluster. That work is more detailed and takes place within the service levels. This report seeks to isolate the key high level risks.

3.0 **Equality Implications**

3.1 None at this stage.

4.0 **Financial Implications**

4.1 There are no direct financial implications contained within this report. [GE/05042012/Y]

5.0 **Legal Implications**

5.1 There are no direct legal implications arising from this report. [MW/05042012/B]

6.0 **Schedule of Background Papers**

Office of the Chief Executive Risk Management and Governance – Audit Committee March 2009.

Office of the Chief Executive Risk Management and Governance – Audit Committee 15 March 2010.

Office of the Chief Executive Risk Management and Governance – Audit Committee 15 November 2010.

Office of the Chief Executive - Review of Risk Management & Governance Arrangements

Key Issues	Summary of Responses
What are the key functions that the service is required to deliver?	**Corporate Strategy and Improvement Unit** − **Policy and Performance** develops and supports the implementation of the Corporate Plan and the Corporate Performance Framework; supports the Local Information System and provides data analysis and business intelligence; provides support to corporate initiatives and engagement; coordinates information requests under the Freedom of Information Act and the Data Protection Act; coordinates customer complaints, policy and procedures − **Corporate Programme Office** provides corporate support to effective and appropriate programme and project management and oversight of key corporate programmes **Community Safety** provides policy and delivery support to the Safer Wolverhampton Partnership, provides front-line Community Safety services and co-ordinates the Council's activities which contribute to creating a safer city **Mayoral Services** support the mayor and deputy to discharge the civic responsibilities attached to their role as first citizen **Systems Thinking** facilitates the transformation agenda for the Council
What arrangements are in place to ensure that key functions are properly delivered?	Service Plans are used to effectively plan the delivery of key services and ensure that there are links to corporate priorities. Service Plans are monitored at Office of the Chief Executive departmental management team level, and more frequently by Service Managers/Heads of Service as appropriate.

Key Issues	Summary of Responses
What are the main risks that the service group has to manage and how are these risks being managed?	For an overview of the main risks affecting the service this year please see below Each service area also completes a more detailed register of all key risks affecting their service area and the mitigating actions to be taken. In addition to this, as part of the service plan monitoring process service managers identify specific risks to achieving targets on an on-going basis and report these, and identify mitigating actions through the quarterly performance reviews (in accordance with the Corporate performance Management Framework).
What external assurance is available e.g. external inspection reports?	No external inspections are applicable to the majority of these services.
What significant problems have occurred in the past year and what arrangements have been made to avoid such problems reoccurring?	Refocusing and prioritisation of service delivery to meet organisational demands and savings targets has continued through the 2011/12 financial year and builds upon the 'Leading for a Stronger' restructure just over a year ago. The financial pressures which the Savings Programme has been designed to address has also demanded the re-prioritisation of work including supporting key organisational transformation and savings programme work streams from a small number of senior managers. This continues to raise challenges in what is a relatively small service area. These issues have been partly mitigated by preparing and implementing a strategic service plan for OCE during 2011/12 as this plan provides strategic direction and focus of purpose.

Principal Risks	Key Controls	Assurances on Controls	Positive Assurances	Gaps in Control	Gaps in Assurance
What could prevent the objective being achieved	*What controls/systems do we have in place to minimise the risk*	*Where can we gain evidence that tells us whether the controls exist and are working*	*Where is the evidence that shows we are reasonably managing our risks and objectives are being met*	*Where are we failing to put controls in place and/or they are not effective*	*Where are there gaps in the evidence that control mechanisms are working*
OFFICE OF THE CHIEF EXECUTIVE					
Failure to retain service resilience as a consequence of restructuring	Technical advice and governance processes by third parties Scrutiny and oversight by Cabinet and Scrutiny Board	Reports to PGSS	PGSS reports	None	None
CSIU - POLICY AND PERFORMANCE					
External working arrangements with customers, the community, partners and stakeholders do not support the delivery and development of corporate priorities	Maintain formal working arrangements including support to the Local Strategic Partnership (LSP) and the delivery of the City Strategy. Ensure that information from customer, community and stakeholders is commissioned, analysed and disseminated effectively	Attendance at partnership events/meetings Partnership performance reports Use of Local Information System by partners	Corporate and partnership performance outcomes and measures	None	None

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Failure to embed corporate policy requirements resulting in a disconnection between services	Develop implementation plan for Corporate Plan Establish effective communication and working relationship with service managers including periodic testing of awareness and understanding of corporate requirements and appropriateness and deliverability of corporate policy to services	Reports to Cabinet (Performance Management) Panel Corporate Business Planning Process	Delivery against corporate requirements Service Plan consistency	None	None
Failure to deliver the Corporate Performance Management Framework (CPMF) and adequate service planning will result in business and performance management processes not delivering efficient and effective services.	Support to service areas on the delivery of the CPMF will be provided by OCE where required. OCE, supporting the Cabinet (Performance Management) Panel will maintain an overview of the implementation of the CPMF	Advice and guidance packs produced and support delivered on request TEN configured to support corporate needs but also relevant to service management	Central repository exists for service plans. Performance reports reflect corporate priorities	The configuration and resourcing of TEN continues to provide challenges	None

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Failure to deliver against targets and deliverables e.g. resulting in loss of reputation	Maintain effective working relationship with partners and facilitate appropriate and timely performance monitoring arrangements	Performance reports to both the LSP and Cabinet (Performance Management) Panel (with the accompanying organisational tests on performance)	Management of performance data.	None	None
Failure to apply processes and procedures to manage and respond to complaints, Freedom of Information requests and Data Protection Act subject access requests, resulting in repeat complaints, failing to use information as an opportunity to drive improvements, loss of reputation and potentially financial penalties from the ICO	Compliance and enforcement of policy and procedures for handling requests for information through Freedom of Information and Data Protection acts and complaints

Recent Information Commissioner's Office (ICO) consensual audit | Project responding to ICO audit | Performance data/response rates | Systematic capturing of all data routinely.

Failure to publish schedules of information | Consistency in meeting targets |

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At present there are no arrangements in place for data owners to manage their own data and upload new datasets onto the Local Information System (LIS). If arrangements are not put in place then there will be capacity issues for the CSIU analysts to maintain all datasets and the system will quickly become out of data, ineffective and unsustainable	Arrangements and work flow processes for datasets on the system to be managed by respective data owners. Needs buy in from managers to ensure this process is embedded and the system sustained. Train data owners to upload and manage data.	Partnership commitments to project	User feedback/response rates	None	None
IT budgets cut and inability to pay the maintenance and support costs of the LIS	Try to ensure budgets are maintained and that business case for the LIS remains valid. We also look to partners contributing to the IT costs of sustaining the system	Re-evaluate business case	Monitor user profile	None	None
Disengaged community leaders leading to possible isolation and	Ensure Community Cohesion Forum stays in place with the relevant	Annual residents' survey advises of perceptions on cohesion	Representation at Forum meetings	Testing whether the representatives are present from all	None

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impact on community cohesion	representatives from communities. Continue to provide support from the CSIU to oversee the Forums activities			communities	
Risk and rewards associated with bespoke policy analysis are not identified or actioned leading to uninformed decision making	Ensure capacity is in place to undertake bespoke policy analysis within the CSIU	Evidence based decision making being the standard operating model	All decision reports contain evidence	None	None
CSIU – CORPORATE PROGRAMME OFFICE (CPO)					
Directorates not providing information on the delivery of their projects within the Savings Programme on a regular basis	Regular reminders issued for the submission of reports into the CPO and one to one contact made on a regular basis	Evidence exists in the corporate reports of data gaps	All reports are now comprehensive	None	None

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COMMUNITY SAFETY(CS)					
No resource to deliver CS programme from 2013 onwards	Business case to Cabinet Resources Panel during the Autumn for decision. Political support for Partnership delivery to be secured with implications of non-delivery explained.	Discussions with Finance on process and business case development	In year spend profile managed	Police and Crime Commissioner – lack of clarification over commissioning priorities from 2013 onwards	Unknown beyond the current year
Improvements in the perception of crime are not achieved resulting in negative city image	Development of communications plan with proposals to develop use of a wide range of media to communicate progress and achievements	Positive media coverage of services Positive feedback from service users	Use of residents survey to monitor our progress	No control over wider media coverage and impact on perceptions	None
Staff capacity to implement statutory Domestic Homicide Reviews (DHR) when numerous deaths occur	Staff training to improve process Agency training provided for Individual Management Review authors Implement lessons learnt from DHRs to minimise occurrence of future domestic homicides	Training delivered SWP Board to oversee implementation of DHR improvement plans	Staff to record hours allocated for undertaking each DHR to provide evidence of resource commitment	Domestic homicide deaths occurring Changing demographics of local population and barriers to access support services	None

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Failure to integrate gangs delivery into mainstream services so provision is not sustained	Discussions underway with key service areas to integrate approach within existing structures and processes	Attending at key strategic meetings to co-ordinate support and activity	Cross cutting themes being collectively owned and delivered	Resource to commission specialist provision within Third sector	None
Information sharing acts as a barrier to cross agency targeted delivery	Enhancement of LIS to accommodate new requirements in a secure format Development of 2nd and 3rd tier ISPs where appropriate	Existing operating controls on LIS	Guidance sought from Information Commissioner	None	None
Delays in delivery of Ending Gangs and Youth Violence (EGYV) programme Staff capacity to effectively deliver the numerous facets of the programme	Key milestones set for delivery Regular dialogue with partners to steer approach Discussion on progress at SWP Board Secure partner time and commitment to aid delivery	Home Office Peer Review to provide a steer and advice on implementation Catch 22 launch with commitment of additional resources over 4 years	Programme under development	Use of corporate project toolkit will ensure management	None
	Revised Gangs tactical and operational delivery structure under development		Formal West Midlands co-ordination in addition to local programme	None	None

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	Inter-area commitment for joint commissioning of services where appropriate	WM Strategic Gangs Partnership will coordinate across the Force area			
Insufficient reflection of W'ton priorities within PCC regional arrangements	Planned briefings for Elected Members and wider stakeholders Briefing packs for PCC to be developed with input from key stakeholders Attendance at WM Transition Board to coordinate preparations across the Force area	Briefings planned and delivered – June 2012 Absence of information makes this difficult	Debates begun at Scrutiny and SEB Absence of information makes this difficult	Limited guidance from Home Office on preparation Absence of information makes this difficult	Unknown Absence of information makes this difficult
Disruption to ASB service as service review undertaken and changes implemented	Regular communication with staff teams affected Progress reports to Safer Communities Scrutiny Panel Key milestones established and service continuation risks identified at each point	Staff and union meetings held and recorded Consideration and input from Scrutiny is documented and Member input secured	Activity subject to detailed scrutiny. Report due on Phase II	None	None

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	Communications plans are developed pre-launch of new service for city wide promotion	A variety of communication mechanisms to the wider public are established			
Failure to deliver Prevent Action Plan	Channel process under review to ensure commitment from relevant partners Monitoring of progress through SWP structures	Counter Terrorist Local Plan (CTLP) developed Action Plan developed with achievable objectives set Integration of approach within existing structures, securing partner commitment	Counter Terrorism profile reflects relatively low threat levels	Community intelligence gathering is developing	Intelligence gaps can result in an inaccurate assessment of risk
MAYORAL					
Ability to deliver current levels of service if staff cuts are implemented. (Current service operates 7 days a week from 0700 to midnight)	Review hours of operation, prioritise acceptances, consider outsourcing specific services	Commitments managed and monitored	Mayoral activity monitored and reviewed	None	None
SYSTEMS THINKING					
Heads of Service and Assistant Directors may fail to engage with a new approach to performance measures	Use internal support (and external support where necessary) to help change thinking and establish engagement	Activity closely monitored	Reporting through project management route	None	None

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that reflect Systems Thinking					