Corporate Risk Register 28/01/2019

(including draft scores)

Portfolio / Priority	Risk Ref.	Risk Description	Unmanaged Scores			Risk Owner	Existing Mitigation	Owner	Current Scores			Planned Additional Mitigation	Owner	Target Date
			Likelihood	Impact	Total (LxI)				Likelihood	Impact	Total (LxI)			
Finance and Resources	1	**Financial Resilience**	5	5	25	Paul Satoor	Refreshed Medium Term Financial Plan	Shaer Halewood	3	5	15	Consideration of the most appropriate delivery models	Tim Games	ongoing programme
							New budget setting process	Shaer Halewood				Establishment of a Commercial Strategy	Nicki Butterworth	Nov-18
2018/19 Priority Strategic Long Term Financial Plan for Wirral		Failure to effectively manage changes to the way that the Council is funded could lead to poor decisions on service reductions, unplanned efficiencies and in year overspends, resulting in the Council being unable to deliver priority services to vulnerable communities					Robust and rigorous monitoring of budgets and savings plans in year	Shaer Halewood				An MTFS based on investment and income generation - Wirral Together	Daniel Kirwan	Feb-19
							Scrutiny and challenge to ensure future business cases for savings proposals are robust and deliverable	Shaer Halewood				Community Wealth Building programme to keep wealth in the Borough	Shaer Halewood	Jan-19
							Delivery of Investment Strategy	Shaer Halewood				Delivery of business growth plans through Wirral Chamber of Commerce	Alan Evans	ongoing programme
							New Business Case scoring grid to ensure all business cases are agreed as robust before begin released	Shaer Halewood				Refreshed 'Use of Reserves' policy to reduce reliance on reserves through a phased approach	Shaer Halewood	Feb-19
Adult Care and Health	2	**Demand Management**	5	4	20	Graham Hodkinson	Better Care Fund investment in re-ablement services	Graham Hodkinson	4	4	16	Introduction of Capped Expenditure Programme by the Wirral Health & Care Commission	Graham Hodkinson	2019/20
2018/19 Priority Improve Health & Wellbeing by Joining Up Services for Residents		Failure to improve the quality of health and care services through integrated commissioning and delivery arrangements, could lead to demand continuing to increase, leaving the Council exposed to increased financial pressures in relation to meeting social care assessed need					Two key contracts with social care providers have built in demand management	Jason Oxley				Implementation of the Wirral Together Strategy	Rachel Musgrave	2019/20
							Services partly integrated with partners with a section 75 agreement for most services	Graham Hodkinson						
												Implementation of Healthy Wirral Strategy	Simon Banks	from April 2018
Jobs and Growth	3	**Exposure to Economic and Market Risk**	3	5	15	Paul Satoor	Robust financial modelling on business cases	Shaer Halewood	2	5	10	Ensure clarity over the Council approach and appetite to risk management.	Shaer Halewood	Feb-19
							Long-term strategic master plan that phases the Council's approach to economic growth	Alan Evans				Introduce a greater degree of resilience to economic and market changes	Daniel Kirwan	Feb 2019 and ongoing
		The aggregate level of risk presented by multiple regeneration projects is not recognised, leaving the Council over-exposed in the event of a downturn in the economy and/or markets					Monitoring the national and local economic climate to ensure that up/downturns can be forecast and planned for.	Nancy Clarkson				Improve horizon scanning (review of current/forecast economic data)	Nancy Clarkson	for Apr 2019
2018/19 Priority Strategic Long Term Financial Plan for Wirral												Collaborative approach with LCR over the use of SIF funding to mitigate against full council risk on economic growth projects	Alan Evans	March 2019 bids
												Undertake analysis of the aggregate exposure to risk	Shaer Halewood	Feb 2019 and ongoing
Leader	4	**Employee Engagement & Capacity for Change**	4	4	16	Paul Satoor	People Strategy & OD plan *(attracting and retaining talent leadership, values behaviours and performance, embracing change, workplace wellbeing)*	Nikki Boardman	4	4	16	Behavioural framework and Talent Management Programme	Samantha Jones	Mar-19
		There is a risk that insufficient capacity or expertise, cultural resistance from staff or ineffective engagement with partners means that the ambition of the Wirral Plan is not realised, perpetuating inefficiencies and preventing required outcomes from being achieved					Health and wellbeing strategy	Nikki Boardman				Ensure clarity over the skills that are needed for the future	Nicky Boardman	Dec-19
							Staff engagement sessions	Nikki Boardman				Further improve managers' ability to address under-performance	Nicky Boardman	Ongoing programme
Housing and Planning	5	**Local Plan**	4	5	20	Paul Satoor	Programme management approach to Local Plan implementation	Tim Games	4	5	20	Conduct green belt review	David Ball	Determined by Plan process
		A failure to ensure the Council's arrangments for the consultation, publication and implementation of the Local Plan could result in intervention, a loss of control over future development and missed opportunities to promote economic growth.					Council has an agreed timeline for production of the Local Plan	David Ball				Consultation process for the Local Plan	David Ball	From Sep 2018
							Recruitment of additional capacity to Forward Planning Team	David Ball				Further administrative support provided to the Forward Planning Team to assist with Local Plan	David Ball	Feb 2019 and ongoing
2018/19 Priority Local Plan							LGA support	David Ball						
							Weekly 'touch base' meetings	David Ball						
							Engagement with land owners and developers	David Ball						

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Leader	6	**Partnership Working**	4	4	16	Fiona Johnstone	LCR Leaders and CX Groups	Rose Boylan	3	4	12	Joint programme of meetings with Cheshire West & Chester established	Nicki Butterworth	Dec 18 and ongoing
		Inability to take advantage of collaborative opportunities locally and nationally, limiting improvement in economic conditions for the community and the Council's funding position					Officer cross LCR working	Rose Boylan				Liaison with Warrington Council to share mutual work and seeks best	Nicki Butterworth	Jan 19 and ongoing
							The Wirral Partnership	Fiona Johnstone				Membership of CCIN to gain access to network of partners	Nicki Butterworth	Feb 2019 and ongoing
							Integration of health and social care	Graham Hodkinson						
							Delivery of Investment Strategy / access to Single Investment Fund	Alan Evans						
Leader	7	**Governance**	4	4	16	Paul Satoor	Internal governance procedures (DMT, Leadership, SLT, Call over Board, Cabinet/SLT, portfolio holder briefings)	Phil McCourt	3	4	12	Complete the review of the Constitution	Phil McCourt	Apr-19
		Failure to maintain effective corporate governance could result in poor decision-making, malpractice and breach of legislation, leading to regulatory intervention and significant cost, both in financial terms and to the reputation of the Council					Council Constitution	Phil McCourt				Implement the new Scheme of Delegation	Shaer Halewood	March 2019 bids
							Code of Corporate Governance	Phil McCourt				Deliver Member development sessions	Phil McCourt	Apr 2019 and ongoing
							Member / Officer Protocol	Phil McCourt				Establish Chief Executive's office	David Armstrong	Apr-19
2018/19 Priority Strategic Long Term Financial Plan for Wirral							Corporate Policies (e.g. Whistleblowing)	Phil McCourt						
							Ethical Framework for Members	Phil McCourt						
							Oversight provided by Corporate Governance Group	Phil McCourt						
							Annual Governance Statement process	Phil McCourt						
Jobs and Growth	8	**Brexit**	5	5	25	Fiona Johnstone	Maximising extensions for remainder of EU Funding programmes and engagement in negotiations for replacement/aternative	Alan Evans	5	5	25	Monitor the international and national financial climate and to include any potential negative financial impact in the MTFS	Shaer Halewood	Apr 2019 and ongoing
2018/19 Priority Creating Jobs, Driving Regeneration		Uncertainty caused by Brexit adversely affects public and market confidence, impacting demand for housing and the level of inward investment in the borough. Other Brexit implications e.g. lack of workers available for care type work; withdrawal and/or reduction in external funds impacts ability to sustain investment in local programmes					Identification and evaluation of potential implications and development of strategic responses.	Rose Boylan				Take legal advice on the impact of any changes to legislation affecting the council	Phil McCourt	As and when agreed
							Identificaiton of opportunities as arising from Brexit that can be capitalised on	Rose Boylan				Delivery of Brexit Action Plan	Rose Boylan	Quarterly
Adult Care and Health Children and Families	9	**Upstream / Preventative Activity**	4	4	16	Fiona Johnstone / Graham Hodkinson / Paul Boyce	Health and Social Care Integration	Jacqui Evans	4	4	16			
		Insufficient time and resource for preventative and upstream activity mean that outcomes for vulnerable people do not improve, resulting in demand for reactive services not reducing, or increasing.					Delivery of Ofsted Action Plan	Carly Brown						
							Public Health Commissioning	Julie Webster						
Jobs and Growth	10	**Wirral Growth Company**	4	5	20	Paul Satoor	Weekly programme management meetings.	Sian Hartley	3	5	15			
2018/19 Priority Creating Jobs, Driving Regeneration		Failure of the Wirral Growth Company to deliver anticipated benefits undermines the Council budgetary position, economic growth aspirations and public and investor confidence in the authority.					Clearly documented legal framework and partnership agreement	Phil McCourt						
							Existing relationships and historic knowledge with Muse and partners	Paul Satoor						
							Fundng model	Shaer Halewood				Establishment of shareholder board	Phil McCourt	Apr-19

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Adult Care and Health and Children & Families	11	**Significant safeguarding incident**	4	4	16	Graham Hodkinson and Paul Boyce	Wirral Safeguarding Children Board (WSCB)	Simone White	3	4	12	New multi-agency safeguarding arrangements	Paul Boyce	Sep-19
		The Council and its partners do not effectively manage their relevant safeguarding risks, leading to a safeguarding incident, resulting in harm to individuals and/or families, potential legal challenge, resident dissatisfaction and public scrutiny					Children and Families Overview and Scrutiny Committee. Mitigation should include that relating to adults also	Simone White						
							Integrated WSCB and Improvement Board performance management arrangements	Simone White				National Child Safeguarding Review Panel	Paul Boyce	ongoing programme
Finance and Resources	12	**Business Continuity Planning**	2	4	8	Paul Satoor	Business Continuity Policy	Shaer Halewood	2	4	8			
		Failure to coordinate and maintain effective business continuity plans leaves the Council unable to respond to an incident, resulting in a major failure in service delivery					Compliance audits	Mark Niblock						
							BC Tests	Mark Camborne						
Finance and Resources	13	**Cyber Security**	5	5	25	Paul Satoor	Cyber Security Policy	Jeff Ashworth	2	5	10	Programme of migration from Windows 7 to Windows 10	Jeff Ashworth	Jan-20
		IT security is insufficient to deter, detect and prevent unauthorised access to IT systems, resulting in loss of data and disruption to Council services.					Responsibility for Information' training	Sue Blevins						
							Weekly review of security incidents	Jeff Ashworth						
							New threats communicated to staff and Members	Jeff Ashworth						
							Technical controls: 1) Endpoint security software, 2) Network firewall 3), Prevention of downloading of unauthorised software	Jeff Ashworth						
							Implementation of 'patching' policy	Jeff Ashworth						
Environment	14	**Health & Safety Management**	3	4	12	Paul Satoor	Corporate health and safety policy	Andy McMillan	3	4	12			
		If health and safety / compliance policies and procedures are not sufficiently developed, tested or adhered to by officers, members or contractors, this could lead to an incident resulting in harm to employees / Members / members of the public, legal challenge and reputational damage					Implementation of health and safety management arrangements.	Andy McMillan						