Corporate Risk Register 28/01/2019

(including draft scores)

Portfolio / Priority	Ref.	Risk Description	Unma	anaged S	Scores	Risk Owner	(including dra Existing Mitigation	Owner	Cur	rent S	Scores	Planned Additional Mitigation	Owner	Target Date	Tar	get So	ores	Current
	Risk R		Likelihood	Impact	Total (LxI)				Likelihood	Impact	Total (LxI)				Likelihood	Impact	Total (LxI)	Risk Status (▲ ▼ ◀ ▣
	1	Financial Resilience	5	5	25	Paul Satoor - Corporate	Refreshed Medium Term Financial Plan	Shaer Halewood - Director of	3	5	15	Consideration of the most appropriate delivery models	Tim Games	ongoing			0	
Finance and Resources						Director	New budget setting process	Finance				Establishment of a Commercial	Nicki	programme Nov-18	-			
						for Business		& Investment				Strategy	Butterworth	F - h 40	-			
		Failure to effectively manage changes to				Management	Robust and rigorous monitoring of budgets and savings plans in year					An MTFS based on investment and income generation - Wirral Together	Daniel Kirwan - AD - Finance	Feb-19				
		the way that the Council is funded could					Scrutiny and challenge to ensure future	1				Community Wealth Building	Shaer Halewood	Jan-19	t			
2018/19 Priority		lead to poor decisions on service reductions, unplanned efficiencies and in					business cases for savings proposals are robust and deliverable					programme to keep wealth in the Borough						
Strategic Long Term		year overspends, resulting in the Council					Delivery of Investment Strategy	†				Delivery of business growth plans	Alan Evans		+			
Financial Plan for Wirral		being unable to deliver priority services										through Wirral Chamber of						
		to vulnerable communities							-			Commerce Refreshed 'Use of Reserves' policy	Shaer Halewood	Feb-19	+			
												to reduce reliance on reserves	Chaci Halewood					
			_									through a phased approach		0040/00				
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 &	Graham Hodkinson	2019/20			0	
						Director for		r loakinoon				Care Commission	r louid loon					
							Services partly integrated with partners with a	1				Implementation of the Wirral	Rachel	2019/20	İ			
		Failure to improve the quality of health and care services through integrated				Care & Health	section 75 agreement for most services					Together Strategy	Musgrave - Consultant in					
2018/19 Priority		commissioning and delivery											Public Health					
Improve Health & Vellbeing by Joining Up		arrangements, could lead to demand continuing to increase, leaving the					Two key contracts with social care providers	Jason Oxley -				Evenual full pooling of funds under a						
Services for Residents		Council exposed to increased financial					have built in demand management	AD - Health and Care Outcomes				section 75 agreement for all services						
		pressures in relation to meeting social							1			Implementation of Healthy Wirral		from April	t			
		care assessed need										Strategy		2018				
	3		3	5	15	Paul Satoor -	Robust financial modelling on business cases	Shaer Halewood	2	5	10	Ensure clarity over the Council	Shaer Halewood				0	1
Jobs and Growth		Exposure to Economic and Market Risk				Corporate Director						approach and appetite to risk management.						
		Non				for Business						indiagement.						
						Management	Long-term strategic master plan that phases	Alan Evans - Al				Introduce a greater degree of	Daniel Kirwan		Ì			
							the Council's approach to economic growth	Regeneration & Inward	•			resilience to economic and market changes						
		The aggregate level of risk presented by						Investment				Improve horizon scanning (review of	Nancy Clarkson		+			
		multiple regeneration projects is not						New Olarka	4			current/forecast economic data)			-			
		recognised, leaving the Council over- exposed in the event of a downturn in					Monitoring the national and local economic climate to ensure that up/downturns can be	Nancy Clarkson Head of				Collaborative approach with LCR over the use of SIF funding to	Alan Evans					
2018/19 Priority		the economy and/or markets					forecast and planned for.	Intelligence				mitigate against full council risk on						
Strategic Long Term									-			economic growth projects Undertake analysis of the aggregate	Shaer Halewood	1	-			
												exposure to risk						
	4		4	4	16	Paul Satoor -	People Strategy & OD plan (attracting and	Nikki Boardman	4	4	16	Behavioural framework and Talent	Samantha	Mar-19			0	+
	-	Employee Engagement & Capacity for				Corporate	retaining talent leadership, values behaviours	Director of				Management Programme	Jones - OD					
Leader		Change				Director for Business	and performance, embracing change, workplace wellbeing)	Change & Organisation					Manager					
						Management	Health and wellbeing strategy	Design				Ensure clarity over the skills that are	Nikki Boardman	Dec-19				
		There is a risk that insufficient capacity or expertise, cultural resistance from				-	Treattrand weilbeing strategy					needed for the future	NIKKI BUAIUIIIAII	Dec-19				
		staff or ineffective engagement with					Staff engagement sessions	1				Further improve managers' ability to	Nikki Boardman	0 0	1			
		partners means that the ambition of the							4			address under-performance		programme				
		Wirral Plan is not realised, perpetuating inefficiencies and preventing required																
		outcomes from being achieved																
	5		4	5	20	Paul Satoor -	Programme management approach to Local	Tim Games - Head of Bus	4	5	20	Conduct green belt review	David Ball				0	
		Local Plan				Corporate Director	Plan implementation	Change & Prog										
Housing and Planning						for Business		Management										
		A failure to ensure the Council's arrangments for the consultation,				Management	Council has an agreed timeline for production of the Local Plan	David Ball - AD Major Growth				Consultation process for the Local	David Ball	From Sep 2018				
		publication and implementation of the					Recruitment of additional capacity to Forward	Projects & Hsg				Plan Administrative support provided to	David Ball	2010	ł			
		Local Plan could result in intervention, a					Planning Team	Delivery				the Forward Planning Team to assist						
		loss of control over future development and missed opportunities to promote					LGA support		1			with Local Plan						
2018/19 Priority Local Plan		economic growth.					Weekly 'touch base' meetings	1										
r ian							Engagement with land owners and developers	1		1					t			

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	6	Partnership Working	4	4	16	Johnstone -	LCR Leaders and CX Groups	Rose Boylan - Policy and	3	4	12					0	
Leader		Inability to take advantage of				Corporate Director	Officer cross LCR working	Strategy Manager - External Fiona Johnstone									
		collaborative opportunities locally and nationally, limiting improvement in				Partnerships	The Wirral Partnership Integration of health and social care	Graham	-								
		economic conditions for the community and the Council's funding position					Delivery of Investment Strategy / access to	Hodkinson Alan Evans	-								
	7		4	4	16		Single Investment Fund Internal governance procedures (DMT,	Philip McCourt -	- 3	4	12	Complete the review of the	Philip McCourt			0	
	1	Governance	4	-	10	Corporate Director	Leadership, SLT, Call over Board, Cabinet/SLT, portfolio holder briefings)	Director of Governance and Assurance			12	Constitution					
Leader						Management	Council Constitution	Assurance				Implement the new Scheme of Delegation	Shaer Halewood				
		Failure to maintain effective corporate					Code of Corporate Governance					Deliver Member development sessions	Philip McCourt				
		governance could result in poor decision- making, malpractice and breach of					Member / Officer Protocol					Establish Chief Executive's office	David Armstrong -				
		legislation, leading to regulatory intervention and significant cost, both in financial terms and to the reputation of					Corporate Policies (e.g. Whistleblowing)						Corporate Director Delivery Srvs	,			
2018/19 Priority Strategic Long Term Financial Plan for Wirral		the Council					Ethical Framework for Members										
							Oversight provided by Corporate Governance Group	-									
	8		5	5	25	Fiona	Annual Governance Statement process Maximising extensions for remainder of EU	Alan Evans	5	5	25		Shaer Halewood			0	
Jobs and Growth		Brexit				Acting	Funding programmes and engagement in negotiations for replacement/aternative					national financial climate and to include any potential negative					
		Uncertainty caused by Brexit adversely affects public and market confidence, impacting demand for housing and the				Director	Identification and evaluation of potential implications and development of strategic responses.	Rose Boylan				financial impact in the MTFS Take legal advice on the impact of	Philip McCourt				
2018/19 Priority Creating Jobs, Driving Regeneration		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										any changes to legislation affecting the council					
		external funds impacts ability to sustain investment in local programmes										Delivery of Brexit Action Plan	Rose Boylan				
Adult Care and Health	9	Upstream / Preventative Activity	4	4	16	Fiona Johnstone / Graham Hodkinson /	Health and Social Care Integration	Jacqui Evans - AD - Integrated Commissioning Programme		4	16					0	
Children and Families		Insufficient time and resource for preventative and upstream activity mean that outcomes for vulnerable people do				Paul Boyce	Delivery of Ofsted Action Plan	Carly Brown - Asst Director - Modernisation & Support	k								
		not improve, resulting in demand for reactive services not reducing, or increasing.					Public Health Commissioning	Julie Webster - Director for Health and Wellbeing									
Jobs and Growth	10	Wirral Growth Company	4	5	20	Corporate Director	Weekly programme management meetings.	Sian Hartley - Programme Manager	3	5	15					0	
		Failure of the Wirral Growth Company to					Clearly documented legal framework and partnership agreement	Philip McCourt	1								
2018/19 Priority Creating Jobs, Driving Regenration		deliver anticipated benefits undermines the Council budgetary position, economic growth aspirations and public					Existing relationships and historic knowledge with Muse and partners	Paul Satoor									
		and investor confidence in the authority.					Fundng model	Shaer Halewood	ł			Establishment of shareholder board	Philip McCourt				

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	a	Significant safeguarding incident 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	4	4	16	Graham Hodkinson - Director for (Adult) Care & Health and Paul Boyce - Corporate Director for Children's Services	Wirral Safeguarding Children Board (WSCB) Children and Families Overview and Scrutiny Committee. Mitigation should include that relating to adults also Integrated WSCB and Improvement Board performance management arrangements	Simone White - Deputy Director for Children	3	4	12	New multi-agency safeguarding arrangements National Child Safeguarding Review Panel	Paul Boyce Paul Boyce	Sep-19			0	
	b	Business Continuity Planning 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	2	4	8	Paul Satoor - Corporate Director for Business Management	Business Continuity Policy Compliance audits BC Tests	Shaer Halewood Mark Niblock - Senior Manager Internal Audit Mark Camborne - Lead Commissioner Comm Svs & Resilience		4	8						0	
	c	Cyber Security IT security is insufficient to deter, detect and prevent unauthorised access to IT systems, resulting in loss of data and disruption to Council services.	5	5	25	Paul Satoor - Corporate Director for Business Management	Cyber Security Policy Weekly review of security incidents New threats communicated to staff and Members Technical controls: 1) Endpoint security software, 2) Network firewall 3), Prevention of Implementation of 'patching' policy Responsibility for Information' training	Jeff Ashworth - Head of ICT & Digital Sue Blevins - Senior HR Manager Schools & Commercial	2	5	10	Programme of migration from Windows 7 to Windows 10 Responsibility for Information' training	Jeff Ashworth Sue Blevins	Jan-20			0	
	d	Health & Safety Management 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	3	4	12	Paul Satoor - Corporate Director for Business Management	Corporate health and safety policy Implementation of health and safety management arrangements.	Andy McMillan - Health, Safety & Wellbeing Manager	3	4	12						0	