Portfolio / Priority	Ref.	Risk Description	Unma	naged S		Risk Owner	Existing Mitigation	Owner	Cui	rrent So		Planned Additional Mitigation	Owner	Target Date	Curren Risk	
	Risk Ref.		Likelihooc	Impact	Total (LxI)				Likelihooc	Impact	Total (LxI)				Status	
Finance and Resources	1	Financial Resilience	5	5	25	Shaer Halewood - Director of Finance	Refreshed Medium Term Financial Plan based on investment and income generation approved at Council in March 2019		3	5	15	Mapping new and potential businesses in pipeline to quantify new income from business rates	Daniel Kirwan - AD Finance & Investment	Initial review Sept-19 but is ongoing		
						& Investment	Continual (not annual) budget setting process with scrutlny and challenge to ensure future business cases for savings proposals are robust and deliverable	Shaer Halewood - Director of Finance				Community Wealth Building Strategy to keep wealth in the Borough	Shaer Halewood - Director of Finance &Investment	Draft Jul-19; Final Nov - 19		
2019/20 Priority Strategic Long Term Financial Plan for Wirral							Robust and rigorous monitoring of budgets and savings plans in year	& Investment				Complete mandatory Budget workshops for all Budget Holders	Daniel Kirwan - AD Finance & Investment	Majority Jul- 19: All Sept- 19		
		Failure to effectively manage changes to the way that the Council is funded could						Suzanne Moore - Head of Org Dev & Design				Implement new Capital Budget arrangements with revised reporting and monitoring Refreshed Financial Resilience Strategy includng reducing reliance on reserves through a phased approach	Daniel Kirwan - AD Finance & Investment Daniel Kirwan - AD Finance & Investment	From Sept 19 - ongoing during 19-20 Nov-19		
		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					Establishment of a Financial Governance Structure to improve Accountability, Management and Monitoring of Budgets	Shaer Halewood - Director of Finance & Investment				Develop a funding/investment strategy to identify internal finance pressures and external funding sources to support planned growth	Shaer Halewood - Director of Finance &Investment	Dec-19		
							Establishment of a Commercial Strategy and Commercial Ideas Panel	Nicki Butterworth - AD Commercial Management								
							Implementation of new Agency arrangements to minimise reliance on and length of agency placements	Nicki Butterworth - AD Commercial Management								
							reported to Cabinet for early intervention and	Daniel Kirwan - AD Finance & Investment								
Adult Care and Health	2	Demand Management	5	4	20	Graham Hodkinson - Director for (Adult) Care & Health	Better Care Fund investment in preventative and re-ablement services. NHS providers have agreed review targets to meet growth in demand. LD savings plan rolled forward under new commissioning lead	Graham Hodkinson	2	4	8	Implementation of the Wirral Together Strategy to minimise reliance on public services through a phased programme over the next decade	Rachel Musgrave - Consultant in Public Health	From April 19 - ongoing during 19/20		
2019/20 Priority Improve Health &		Failure to improve the quality of health and care services through integrated commissioning and delivery arrangements, could lead to demand					Domicilliary Care recommissioned to manage demand and responsiveness of the market. Responding effectively and in a timely manner now exceeding residential care					Implementation of the Home First	Jacqui Evans - AD, Unplanned Care and	From	/	
Vellbeing by Joining Up Services for Residents		continuing to increase, leaving the Council exposed to increased financial pressures in relation to meeting social care assessed need					,	Jason Oxley - AD - Health and Care Outcomes				Pathway	Community Care Market commissioning	01/06/2019		
						Implementation of Healthy Wirral Strategy	Graham Hodkinson									
	3	Exposure to Economic and Market Risk	3	5	15	Alan Evans - Corporate Director of Economic &	Robust financial modelling on business cases with external due diligence as required	Shaer Halewood	2	5	10	Ensure long term project milestone plan to determine capacity and capabilty to deliver so as not to over expose the council to risk	Shaer Halewood	From July 19 - ongoing during 19/20	- I	
Jobs and Growth						Housing Growth	Long-term strategic regeneration framework that articulates the Council's approach to economic growth and investment.	Sally Shah - AD Regeneration & Inward Investment	1			Improve horizon scanning through Local Economic Assessment production	Nancy Clarkson	Sep-19		
		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					A collaborative relationship with the LCR Combined Authority has been established to engage Strategic Investment Fund investment in Wirral growth projects	Sally Shah - AD Regeneration & Inward Investment				Develop detailed place specific 'blueprints/masterplans' to articulate a phased approach to growth projects				
2019/20 Priority Strategic Long Term inancial Plan for Wirral	-	and a mando						Risk exposure analysis undertaken of immediate growth projects	Shaer Halewood - Director of Finance & Investment				Assessment of financial impact of market risk included in MTFS relevant to the year of risk exposure	Shaer Halewood Report - Ju 19, MTFS	19, MTFS -	7

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Leader		Failure to implement the cultural change necessary to become an efficient and effective organisation, which is financially sustainable in the long term.	4	4	16	Nikki Boardman - Director of Change & Organisation Design	Delivery of People Strategy and underlying employee engagement strategy. - Well established people strategy timeline and roadmap on track. - Launch of values and behaviours complete - Launch of empoyee engagement multiple programme commenced - Performance appraisal pilot and quality approach commenced - People Strategy Programme Board in place providing strong governance - Performance framework under development to provide measurable evidence of capacity, capability and change	Nikki Boardman - Director of Change & Organisation Design	3	4	12	timeline	Suzanne Moore – Head of Organisational Design and Development	Apr 2020 for review against timeline	↑
		There is a risk that insufficient capacity or expertise, cultural resistance from staff or ineffective engagement with					Health and wellbeing strategy					Ensure clarity over the skills that are needed for the future through an organisational diagnostic and a new workforce planning process			
		partners means that the ambition of the Wirral Plan is not realised, perpetuating inefficiencies and preventing required outcomes from being achieved				Staff engagement sessions					Further improve managers' ability to address under-performance. A project to introduce a new performance management framework is underway	Nikki Boardman	programme during 19-20	1	
	5	Local Plan	4	5	20	Alan Evans - Corporate Director of Economic & Housing Growth	Programme management approach to Local Plan implementation. In February 2019, the Council brought in a consultant to assist with the Programme Development and implementation.	Tim Games - Head of Bus Change & Prog Management				Conduct green belt review	David Ball	Ongoing during 19/20	
Housing and Planning		A failure to ensure the Council's arrangments for the consultation, publication and implementation of the					Council has an agreed timeline for production of the Local Plan	David Ball - AD Major Growth Projects & Hsg				Consultation process for the Local Plan	David Ball	Ongoing - From Sep 2018	
		Local Plan could result in intervention, a loss of control over future development and missed opportunities to promote economic growth.					Recruitment of additional capacity to Forward Planning Team and this is being supported by specialist consultancy support in relation to the evidence base.	Delivery				Administrative support provided to the Forward Planning Team to assist with Local Plan	David Ball	Ongoing during 19/20	
2019/20 Priority Local Plan							LGA, Planning Officers Society and Planning Advisory Service supporting the work on the Local Plan								\rightarrow
							There is a Programme Board meeting with the Senior Responsible Officer, Paul Satoor, every two weeks and a technical Programme Board on the week in between. There are monthly meetings with MHCLG to monitor progress against the timeline set out in the MHCLG Action Plan. These meetings are constructive and allow discussion not only in relation to the Local Plan production but also how it will be delivered.								

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		Local Plan (continued)	4	5	20	Alan Evans - Corporate Director of Economic & Housing Growth	The Council is working with major landowners and developers in Wirral with a focus of bringing forward and maximizing developemnt in key regeneration areas, for example Wirral Waters, and on brownfield land and employment designated sites where there is little or no demand for future employment uses. A number of these are moving into the planning process and once full planning permission is granted this will enable them to be included in the five year housing supply which is a critical piece of work for the Local Plan. Work is also progressing on the housing trajectory for years 6 to 15 of the plan.	David Ball - AD Major Growth Projects & Hsg Delivery				Peer review	David Ball	Sep-19	
	6	Partnership Working	4	4	16	Graham Hodkinson - Director for	Co-ordination of all engagement and interaction with LCR partnerships	Rose Boylan - Policy and Strategy	3	4	12	Refresh approach to Wirral Partnership	Rose Boylan	Ongoing during 19-20	
						(Adult) Care & Health		Manager - External				Planned meetings with Chamber of Commerce	Shaer Halewood Alan Evans	Dec-19	
Leader		Inability to take advantage of collaborative opportunities locally and nationally, limiting improvement in economic conditions for the community and the Council's funding position					Refreshed approach for engagement and briefings to ensure Wirral plays an effective and influential role in wider Partnerships & Liverpool City Region. New process for communications will include monthly updates to SLT, regular briefings for the Leader and improved sharing of relevant informations with officers. The Wirral Partnership								\rightarrow
							Integration of health and social care. Positive peer review. Scrutiny review September.	Graham Hodkinson							
							Local Industrial Strategy, LCR One Front Door	Regeneration & Inward Investment & Rose Boylan							
	7	Governance	4	4	16	- Director of	Internal governance procedures (DMT, Leadership, SLT, Call over Board, Cabinet/SLT, portfolio holder briefings)	Philip McCourt - Director of Governance and Assurance	3	4	12	Complete the review of the Constitution	Philip McCourt	2020 (subject to possible change to committee system from May 20)	
Leader							Council Constitution.					Implement the new Scheme of Delegation	Philip McCourt	2020 (subject to possible change to committee system from May 20)	
		Failure to maintain effective corporate					Code of Corporate Governance					Deliver Member development sessions	Philip McCourt	From April 19 - ongoing during 19/20	\rightarrow
		governance could result in poor decision- making, malpractice and breach of legislation, leading to regulatory intervention and significant cost, both in	-				Member / Officer Protocol					Establish Chief Executive's office	David Armstrong - Corporate Director Delivery	From April 19 - ongoing during 19/20	
		financial terms and to the reputation of the Council					Corporate Policies (e.g. Whistleblowing)						Srvs		
2019/20 Priority Strategic Long Term Financial Plan for Wirral							Ethical Framework for Members Oversight provided by Corporate Governance								
							Group Improved Annual Governance Statement Compliance Group								
Jobs and Growth	8	Brexit	5	5	25	Paul Boyce - Corporate Director for Childrens	Maximising extensions for remainder of EU Funding programmes and engagement in negotiations for replacement/aternative	Sally Shah - AD Regeneration & Inward Investment		5	25	Monitor the international and national financial climate and to include any potential negative financial impact in the MTFS	Shaer Halewood	Oct-19	

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2019/20 Priority		Uncertainty caused by Brexit adversely affects public and market confidence, impacting demand for housing and the level of inward investment in the				Services	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		during 19/20	\rightarrow
Creating Jobs, Driving Regeneration		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										Delivery of Brexit Action Plan Corporate Resilience Officer (Brexit Co-ordinator) to be appointed	Rose Boylan Mark Camborne	Ongoing during 19/20 Oct - Dec 19	
Adult Care and Health Children & Families	9	Upstream / Preventative Activity	4	4	16	Graham Hodkinson - Director for (Adult Care &	Health and Social Care Integration. Key services currently integrated to deliver effective responses	Jacqui Evans - AD - Integrated Commissioning Programme	4	4	16	Improved business intelligence arrangements and tools for Population Health management.	Nancy Clarkson	Mar-20	
						Health) / Paul Boyce - Corporate Director for Childrens Services	Early Help and Prevention Strategy	Elizabeth Hartley, Assistant Director - Early Help and Prevention				` , 5	Paul Boyce, Corporate Director for Children	Mar-20	
		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					Public Health Commissioning	Julie Webster - Director for Health and Wellbeing				Joint Commissioning Forum/Framework	Carly Brown - Asst Director - Modernisation & Support	Mar-20	\rightarrow
		increasing.					Partnership for Children and Families - Children's Strategy	Carly Brown - Asst Director - Modernisation & Support				Planned work in Adult Social Care to review the referral/single point of access arrangements, to enhance strength based approaches to assessment and support planning, to develop a nieghbourhood model ensurign that people can access the right support at the right time.	Jason Oxley/Jacqui Evans/Graham Hodkinson.	Mar-20	
Jobs and Growth	10	Wirral Growth Company	4	5	20	Alan Evans - Corporate Director of Economic & Housing	Weekly Programme Steering Group Meetings, monthly Programme Board meetings and 2 weekly meetings with Muse. Supporting governance and programme structure & monitoring in place.	Sian Hartley - Programme Manager	3	5	15	Establishment of shareholder board	Philip McCourt	Ongoing during 19/20	
						Growth	Clearly documented legal framework and partnership agreement	Philip McCourt Alan Evans				with robust business cases.	Daniel Kirwan & Alan Evans Sian Hartley	Ongoing during 19/20 Nov-19	
2019/20 Priority Creating Jobs, Driving		Failure of the Wirral Growth Company to deliver anticipated benefits undermines the Council budgetary position,	its undermines		Existing relationships and historic knowledge with Muse and partners Fundng model	Shaer Halewood				produced	Sian Hartley	From June	\rightarrow		
Regenration		economic growth aspirations and public and investor confidence in the authority.											·	19 - ongoing during 2019/20	
								0: 441:	0			·	Sian Hartley	May 19 & Sept 19	
	11	Significant safeguarding incident	4	4	16	(Adult) Care & Health) Paul Boyce - Corporate Director	Multi-agency Safeguarding Arrangements for Children (formerly Wirral Safeguarding Children Board) activity including audit, scrutiny, training and publication of policies, procedures and guidance. Children and Families Overview and Scrutiny Committee. Integrated children's safeguarding performance management arrangements.	Simone White - Deputy Director for Children	3	4	12	New multi-agency safeguarding arrangements for children led by the LA, health economy and police including robust local audit and case review procedures	Paul Boyce	Sep-19	

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		The Council and its partners do not effectively manage their relevant safeguarding risks, leading to a					Merseyside combined Safeguarding Adult Board. Care and Health Overview and Scrutiny Committee/Care and health Panel. Ongoing grip in relation to safeguarding activity and learning from other LCR partners NB review of front door leading to practice changes	Graham Hodkinson				Review of referral and handling processes for safeguarding adult alerts, LCR benchmarking.	Graham Hodkinson	On-going during 19/20	\rightarrow	
		safeguarding incident, resulting in harm to individuals and/or families, potential legal challenge, resident dissatisfaction and public scrutiny										Embed approach to Contextual Safeguarding	Tony Kirk, Head of Contextual Safegurding	Mar-20		
	12	Business Continuity Planning	2	4	8	Shaer Halewood - Director of Finance	Business Continuity Policy	Shaer Halewood	2	4	8	Risk, Continuity and Compliance manager to be appointed	Mark Niblock	1 Oct 19		
		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				& Investment	Compliance audits BC Tests	Mark Niblock - Senior Manager Internal Audit Mark Camborne - Lead Commissioner Comm Svs & Resilience							\rightarrow	
	13	Cyber Security	5	5	25	Nikki Boardman -	Cyber Security Policy	Pete Moulton - Head of ICT &	2	5	10	Programme of migration from Windows 7 to Windows 10	Peter Moulton	Jan-20	-	
						Director of Change & Organisation Design	Weekly review of security incidents New threats communicated to staff and Members Technical controls: 1) Endpoint security software, 2) Network firewall 3), Prevention of	Digital			Responsibility for Information' training Staff and Members Cyber Awareness Training	Sue Blevins Jane Corrin	Ongoing during 19/20 Dec-19	_		
		IT security is insufficient to deter, detect and prevent unauthorised access to IT systems, resulting in loss of data and disruption to Council services.					Implementation of 'patching' policy Responsibility for Information' training	Sue Blevins - Senior HR							\rightarrow	
								Manager Schools & Commercial								
							Creation of Cyber Security Board to review alignment against security best practice on monthly basis	Peter Moulton								
	14	Health & Safety Management	4	4	16	Nikki Boardman - Director of Change & Organisation	Corporate health and safety policy	Andy McMillan - Health, Safety & Wellbeing Manager	3	4	12	Paper approved by SLT in August - New H&S governing board set up - Emergency contingency procedures being re-established.	Tony Williams	Dec-19		
		If health and safety / compliance policies and procedures are not sufficiently developed, tested or adhered to by officers, members or contractors, this				Design	Implementation of health and safety management arrangements.					Policy reviewed annually to be agreed by SLT	AMcM / SLT	Apr-20		
			c h n	could lead to an incident resulting in harm to employees / Members / members of the public, legal challenge and reputational damage					Essential H&S training for managers available. Specific Hazard related training available for managers and staff. Health surveillance monitoring in place and Occupational Health.	A McMillan	-			Improvements in SLT/DMT oversight of compliance. Development of e-learning modules for key H&S processes	AMcM	Apr-20
												Formation of a Strategic health, safety and wellbeing group. Setting of objectives to mitigate H&S risks	A McMillan/Tony Williams	Apr-20		