

Appendix 1 - Draft Corporate Risk Register Summary - Working Version Under Review November 2020

Wirral Council Plan 2025 Priorities	Risk Ref.	Risk Description	Comments / Revisions	Lead Director	Existing Mitigation / Controls	Selection of Planned Actions - more detail to be added as Corporate Plan revised and risk register develops.
Inclusive Economy - Working for a prosperous, inclusive economy where local people can get good jobs and achieve their aspirations.	CRR 01	Development and Implementation of the Local Plan 2022-2037 Failure to ensure the Council's arrangements for the consultation, publication and implementation of the Local Plan resulting in intervention, a loss of control over future development and missed opportunities to promote economic growth.	Reworded to reflect Local Plan status	Alan Evans	Regulation 18 consultation completed LGA, Planning Officers Society and Planning Advisory Service supporting the work on the Local Plan Local Development Scheme for Wirral includes risk assessment and indicative timetable (latest version 03/10/2020)	Publication of the Local Plan: (Regulation 19) February 2021 Submission to the Secretary of State - Summer 2021 Indicative date for Local Plan Adoption 2022
	CRR 02	Regeneration Programme The failure of the major regeneration projects to deliver the anticipated benefits undermines the Council's budgetary position, its economic growth aspirations and public and investor confidence in the authority.	Risk previously related only to WGC delivery of benefits, risk refocused to entire regeneration programme.	Alan Evans	Projects brought forward within a clear strategic framework reflecting the Borough's Local Plan and providing confidence to investors, funders and developers Strategic Framework allows for enabling infrastructure, skills and business support to be brought forward to underpin major project development Clearly documented legal frameworks and agreements for all regeneration projects Robust business cases, project and programme plans with detailed risk registers, informed through corporate risk workshops, to underpin key decisions Clear lines of project reporting through project groups to the Regeneration and Place Board with supporting structures and monitoring in place Existing relationships in place with key developers – Muse (Wirral Growth Company LLP) and Peel (Wirral Waters)	Investment strategy being developed to support the funding model for the major regeneration projects Public consultation to be carried out to inform development plans Delivery Action Plans to be finalised in order to ensure a co-ordinated and phased approach to development A joint Board has been established with the LCR CA and Homes England to advance a programme approach to investment in Wirral growth projects Alternative delivery models are being reviewed to ensure that effective delivery by the council is maximised
	CRR 03	Brexit Implications 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	In light of current position risk retained at CRR level.	Alan Evans	Wirral EU Exit Partnership Group has reformed and met on the 30/11/20 to review Local Brexit Plan. Local Brexit Plan in place. Scheduled meetings of group every 3 weeks. Commissioned (£50k) for Chamber of Commerce to be business conduit. Communications encouraging EU citizens to register for British citizenship if they are intending to reside.	
Sustainable Environment - Working for a sustainable environment that leads the way in its response to the climate emergency and is environmentally friendly.	CRR 04	Climate Emergency Response Failure to respond effectively and proportionately to develop plans/adaptations that may lead to legal challenge, financial damage, reputation damage, increased costs, lack of resilience	Minor wording amendment to include "proportionate"	Nicki Butterworth	Impact of Covid-19 restrictions - new ways of working and some unforeseen environmental benefits and opportunities to be built upon. Climate Emergency Team created. Launch of the Tree, Woodland and Hedgerow Strategy in 2020. Cool Wirral Partnership's Climate Change Strategy, Cool 2 including a number of climate emergency public events	Establishment and delivery of the Environment and Climate Emergency Policy and Action Plan. Set up of Task & Finish Group - Environment and Climate Emergency Policy Members' Working Group to develop an Environment and Climate Emergency Policy Establish Internal Action Group of senior officers to oversee delivery of the Environment and Climate Emergency Action Plan. Become a Carbon Literate Organisation - investment in carbon literacy training for the Council's senior leaders and carbon awareness briefings for all staff and members. Amendment of employee development structures including core competences to include carbon literacy as a core requirement.
Safe & Pleasant Communities - Working for safe and pleasant communities where our residents feel safe, and where they want to live and raise their families.	CRR 05	Response to a Crisis/Disruptive Incident (both internal and external) Failure to maintain effective response arrangements and plans (and incorporate COVID-19 measures) to react to a disruptive event leaves the Council unable to respond quickly and effectively to an incident, resulting in a major failure in service delivery	Retain and expand to reflect COVID-19	Nicki Butterworth / Shaer Halewood	Emergency response structure led by Strategic Co-ordination Group, with close links to a cross-party leaders group. Operational response was led by Tactical Co-ordination Group, operating through a series of delivery cells, including for example Economic Resilience, Humanitarian, Scientific Technical Advisory and Health and Social Care. Governance structures adapted during COVID-19 response to reflect phase - cells stood up/down as appropriate. Role within LCR and MRF cells	Lessons Learnt review
	CRR 06	Ongoing COVID-19 Response - Increased Cases/Winter Plans Failure to use intelligence effectively leads to an inability to respond effectively to a local outbreak resulting in wider restrictions, increased infection and mortality rate increases, longer term health risks, key council services unavailable, people (staff and public) at risk, increased costs, government intervention and loss of trust/support	New Risk suggested	SCG / Julie Webster	Outbreak Management Plan June 2020 Development and use of Community Champions network Joint working and communications across LCR and neighbouring authorities Local Outbreak Hub Wirral Covid-19 Testing strategy 2020-22	
	CRR 07	Partnership Working Inability to take advantage of collaborative opportunities locally and nationally, limiting improvement in economic conditions for the community and the Council's funding position	Risk retained	Paul Satoor	Effective close partnership working through COVID-19 response by means of the Merseyside Resilience Forum and the Chief Executive's regular meetings with Health partners.	

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Active & Healthy Lives - Working for happy, active and healthy lives where people are supported, protected and inspired to live independently.	CRR 08	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	Children's considering refocussing of risk.	Graham Hodgkinson / Paul Boyce	Multi-agency Safeguarding Arrangements for Children via Wirral Safeguarding Children Partnership - activity led by the LA, health economy and police including robust local audit and case review procedures, audit, scrutiny, training and publication of policies and guidance. Serious incidents are escalated to Assistant Director Level to ensure that learning and procedures are implemented and followed up.	
	CRR 09	Quality & Demand Management in Health and Care Services Failure to improve the quality of health and care services, anticipate demand particularly in the winter period leaving the Council exposed to increased financial pressures in relation to meeting social care assessed need.	Risk retained	Graham Hodgkinson	Implementation of Healthy Wirral Strategy Home First Pathway implemented Social Work services integrated with partners with a section 75 agreement for most services, focus on demand management, early intervention and prevention	
	CRR 10	Infection Control within Social Care settings Failure to learn, implement and maintain the lessons of COVID-19 in infection control management for care homes and other social care settings leads to increased levels of preventable infections/deaths in the borough's elderly and vulnerable population	New Risk suggested - consideration to be given by SLT is this a Corporate or Directorate risk?	Graham Hodgkinson / Julie Webster		
	CRR 11	Health Inequalities Failure to understand and manage health inequalities leads to increased costs, earlier involvement with and pressure on services and long-term issues for the community	New Risk suggested	Graham Hodgkinson / Julie Webster		
Brighter Futures - Working for brighter futures for our children, young people and their families by breaking the cycle of poor outcomes and raising the aspirations of every child in Wirral.	CRR 12	Education - School Sufficiency Failure to secure appropriate and balanced school sufficiency impacting on the financial viability of education institutions and resulting in declining performance and poor educational outcomes for children	New Risk suggested by Children's	Paul Boyce		
	CRR 13	SEND Failure to appropriately understand how well the local authority identifies, meets the need and improves outcomes for children and young people with Special Educational Needs and Disabilities resulting in a statement of action from Ofsted and potentially leading to reputational damage for Children's Services and the Council	New Risk suggested by Children's	Paul Boyce / Graham Hodgkinson		
	CRR 14	Preventative Activity in Health and Care Services 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.	Risk under review by Children's - refocus/reword	Paul Boyce / Graham Hodgkinson		
	CRR 15	Impact of COVID on Education Impact of COVID on educational outcomes leads to increasing gap between the borough's disadvantaged children and non-disadvantaged children, poorer long term outcomes for some of the most vulnerable children	New Risk suggested by Children's - discussions ongoing.	Paul Boyce		

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We will be ambitious, professional, customer-focused and accountable	CRR 16	Capitalisation Directive Failure to obtain agreement from MHCLG to progress the Council's request for exceptional financial support in respect of the financial impact of COVID-19, in the form of a capitalisation directive, and obtain requisite approval by HM Treasury (HMT) leads to financial remedial measures that could include: <ul style="list-style-type: none"> • setting an emergency budget • issuing a s. 114 notice • Government intervention 	New Risk suggested	Shaer Halewood	An initial submission for a capitalisation directive was made in October. Supporting information underwent external validation by LGA, who are providing an independent challenge and critical friend role in supporting the development of the Council's submission and business case, as directed by MHCLG as part of the process.	Certain conditions that the Council will be expected to fulfil are: <ul style="list-style-type: none"> • A robust assessment of the current budget position and the direct and indirect financial impact of Covid-19 • A robust medium term financial recovery strategy to ensure the Council can secure a financially sound and sustainable footing • Demonstration of the Council's headroom to borrow • Capital programme review in light of the Council's current financial position • Assurance that the Council has done everything it can in advance to mitigate the budget gap including: <ul style="list-style-type: none"> - Utilising earmarked reserves where available - Evidencing the requirement for all pressures and growth items built in to the budget - Actioning and accelerating the plans for achievable savings - An asset review to deliver savings/capital receipts - Reviewing all services to determine what efficiencies can be made including a review of non-statutory services to determine why they are being provided and evidencing what beneficial outcomes they provide
	CRR 17	Financial Resilience/Management Failure to effectively plan/manage the Council budget and funding leads to poor decisions on service reductions, unplanned efficiencies and in year overspends, resulting in the withdrawal of Council services to communities, government intervention, S114 declaration.	Risk retained	Shaer Halewood	Additional Government funding to support the emergency response to Covid-19 Quarter 1 monitoring report that was presented at Cabinet on 27 July - resetting the Medium Term Financial Plan at Quarter 1 Budget report to P&R Committee 6 October Quarter 2 monitoring report to P&R Committee early November. Reviews undertaken of items in 2020/21 budget including: pressures and growth items, budget savings currently assumed to be unachievable or partially achievable, forecast capital receipts programme for any opportunity to progress anticipated sales, current budget forecast to take account of services being paused and buildings being closed due to Covid-19, earmarked reserves. Regular Financial Monitoring and Challenge Group	<ul style="list-style-type: none"> • Review of 2020/21 savings proposals to determine what can be delivered in-year • Identification of savings proposals for 2021 – 2024 to ensure a programme of support could be established early on to ensure these proposals progressed with an escalation process for any issues that may arise. • Review of the process for agreeing capital projects and funding to ensure a return on investment and a better link with the revenue budget • Policy & Resources and Service Committee budget workshops to discuss potential budget options for consideration once the outcome of the government's comprehensive spending review is known and the Council's financial position for 2021/22 is made clear • Review of the process for agreeing capital projects and funding to ensure a return on investment and a better link with the revenue budget
	CRR 18	Non-Compliance with Policies and Procedures Non-compliance with corporate policies and procedures across disciplines such as HR, finance, information, procurement, health & safety, put the reputation of the Council and the health and safety of our staff and residents at risk, and may lead to legal challenge, financial penalty and ultimately loss of life.	Risk retained	Shaer Halewood	Specialist Area Groups in place for key areas e.g. Corporate Governance, People Strategy, Information Governance, Health, Safety and Wellbeing Internal Audit Plan includes areas of financial control, risk and compliance with key areas audited on a more regular basis than others. Targeted training packages rolled out including: Information Management - Information Asset Owners and Administrators, Finance - Budget workshops, Procurement, Political Awareness and Report Writing New initiatives e.g. procurement smart form easier and quicker to complete with a more robust workflow.	
	CRR 19	Cultural Change for an Effective and Efficient Organisation Failure to maintain the cultural changes necessary (due to insufficient capacity or expertise, cultural resistance from staff) leads to difficulties in developing an efficient, effective and long-term financially sustainable organisation resulting in ineffective engagement with partners, unable to deliver on the ambition of the Wirral Plan, perpetuating inefficiencies and preventing required outcomes for the community.	Risk retained	Shaer Halewood	Regular communications - Exec View, Director blogs, Wellbeing newsletters, staff roadshows and Directorate events Manager training including - Manager Micros Staff Check-Ins	

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	CRR 20	Effective Governance 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	Risk retained	Phil McCourt / Shaer Halewood	Internal governance procedures (DMT/ SLT) New Council Constitution. Code of Corporate Governance reviewed in line with CIPFA guidelines and aligned with Council policies and procedures Member and Officer Protocols - reviewed Improved Annual Governance Statement process, following CIPFA guidance / best practice review in 2019. Significant issues highlighted and monitored in year. Appropriate governance arrangements through COVID-19 response, with Group Leader and Leader of Council ratification of decisions and a system to track all decisions made.	
	CRR 21	Transition to Committee System Failure to manage and adequately understand transition from Cabinet to Committee system resulting in lack of continuity, proper management of legal and sound decision making	New risk suggested, expected to be a short term corporate risk.	Phil McCourt	Training programme for Officers in preparation for changes - this is continuing down through Directorates. Training for Members Report Authors Support Group launched. A Committee Services Cell has also been established	On-going training for Members and Officers including role descriptors, improved working protocols and mandatory training. Service review and staffing re-design within Democratic Services.
	CRR 22	Health & Safety Management Failure of officers, members or contractors to develop, test or sufficiently adhere to health and safety / compliance policies and procedures leads to an incident or exposure resulting in harm to employees / Members / members of the public, legal challenge and reputational damage	Risk retained	Shaer Halewood	Health and Safety Strategic Group, chaired by Chief Executive, supported by the Health and Safety Steering Group. COVID-19 specific risk assessment procedures implemented including for the remobilisation of services, reviewed by H&S Team and Public Health.	Update of H&S Strategy and Policy. Refresh of H&S subject specific policies. Development of H&S risk framework including Service level risk assessment and profile.
	CRR 23	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.	Risk retained	Shaer Halewood	Technical controls: 1) Endpoint security software, 2) Network firewall 3), Prevention of downloading of unauthorised software Member of NW notification groups/networks to share knowledge on latest incidents. Regular patching and updates programme.	
	CRR 24	Information Management Council is not compliant with relevant data and information management legislation which may lead to loss or breach of personal data creating security or reputational risk.	Risk retained	Shaer Halewood	Awareness Training for Information Asset Owners and Administrators Regular update of Information Asset Register - October update to reflect changes to working practices	Project to achieve Cyber Essentials+ accreditation
	CRR 25	Digital Infrastructure Quality of Digital infrastructure and systems prevents council from offering/transforming to digital first services, lack of management information/timeliness of data resulting in poor decisions and increased costs.	New Risk suggested - consideration to be given by SLT is this a Corporate or Directorate risk?	Shaer Halewood		