WIRRAL

CORPORATE RISK REGISTER – SEPTEMBER 2009

	CORPORATE PLAN – OBJECTIVES
1	To create more jobs, achieve a prosperous economy and regenerate Wirral
2	To create a clean, pleasant, safe and sustainable environment
3	To improve health and well being for all, ensuring people who require support are full participants in mainstream society
4	To raise the aspirations of young people
5	Create an excellent Council

Description	Lead Officer	Inherent Risk Score	Existing Key Controls	Residual Risk Score	Further Control Actions Required	Officer Responsible	Target Date
1. Death or serious injury to a service user, staff member, or anyone to whom the Council owes a duty of care. 1 / 2 / 3 √ / 4 √ / 5	**Stephen Maddox** *(Staff and general public)*	**High** 4x5 = 20	• Register of corporate H&S risks developed. • Corporate and departmental H&S policy specifies roles and responsibilities • Legislative Compliance Audit programme of all Council premises • Programme of auditing H&S management systems • Delivery of essential emergency training for fire and first aid • Investigation of all significant accidents & incidents by H&S Officers • Delivery of training for significant hazardous work activities •	**Medium** 2x5 = 10	• Deliver Institute Of Safety and Health (IOSH) Managing Safely training to all Managers and Supervisors below Head of Service • Review and develop H&S arrangements • Continuing audits of H&S arrangements • Implement health surveillance arrangements for occupational health risks	• Mark Camborne • Mark Camborne • Mark Camborne • Mark Camborne	• Apr 2008 onwards • Ongoing • Ongoing • Sept 2009

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2. Safeguarding arrangements (children) are inadequate | 1	2	3√	4√	5	| 	**Howard Cooper** *(Children and Young People)*	**High** **5x5 = 25**	• Work of Local Safeguarding Children Board • LSCB monitors serious case review action plans. • Weekly performance monitoring of changes to contact and referral taking in CADT. • Monthly VCI reporting to the Chief Exec. • Lead Member Briefing following each LSCB • National Notification of Serious Child Care Incidents to OFSTED • Continuing programme for disseminating learning from serious child care incidents • Child Death Overview Panels • Continuing review of S118 IRO applications	**Medium** **2x5 = 10**	• Review capacity to undertake regular audits across agencies; • Review LSCB governance arrangements; • Review serious case review framework; • Revised VCI framework for reporting to Chief Executive • Implement Child Care Risk Management procedure	• Caroline McKenna • Caroline McKenna • Caroline McKenna • Julia Hassall • Julia Hassall	• Sept 2009 • March 2010 • March 2010 • Sept 2009 • Dec 2009

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3. Safeguarding arrangements (adults) are inadequate. `| 1	2	3	4	5 |` `|		√		|`	**John Webb** *(Adults)*	**High** **5x5 = 25**	• Extra capacity added to the DASS safeguarding adults unit • Whole system review of safeguarding completed & recommendations being implemented • Risks identified and review being project managed • Training being rolled out across agencies • Regular monitoring reports to DASS strategic leadership team, project board and safeguarding adults partnership board	**Medium** **2x5 = 10**	• Continue to implement recommendations from whole system review	• Francesca Tomlin	• March 2010

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4. Inadequate preparation for / management of the impact of a pandemic `1 2 3 4 5` `√ √ √ √ √`	Stephen Maddox	**High** **5x5 = 25**	• Specific strategy updated regularly by Adult Social Services (DASS) • Ongoing work with Primary Care Trust (PCT) • Engagement with independent social care providers • Priorities for anti-viral drugs within workforce identified • Ongoing meetings with key agencies to ensure resilience for Pan Flu • Briefings to COMT & Heads of Service by Health Protection Agency	**Medium** **2x5 = 10**	• Meet with relevant departments to ensure adequate numbers of trained staff and availability of supplies. • Identify buildings for distribution of anti viral drugs • Undertake Senior Officers Command & Control Exercises	• Mark Camborne • Mark Camborne • Mark Camborne	• Ongoing • July 2009 • Sept 2009
5. Inadequate continuity and recovery arrangements adversely affect service delivery in the event of an emergency situation `1 2 3 4 5` `    √ √  `	Stephen Maddox	**High** **5x5 = 25**	• Dedicated team provides support and guidance. • IT disaster recovery planning audit • Identified external suppliers and compiled position statement as to their arrangements • Awareness sessions delivered	**Medium** **2x4 = 8**	• Finalise the Wirral Business Continuity Plan • Meet with each Dept to finalise Business Continuity Plans • Ensure external agencies have cohesive continuity arrangements • Conduct exercise to test the efficiency of plans • Multi-Agency meetings on IT and anti-viral collection points	• Mark Camborne • Individual Chief Officers • Mark Camborne • Mark Camborne • Suzanne Williams	• Linked to swine flu review • Sept 2009 (revised) • Ongoing • See swine flu review • Ongoing

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6 Changing need and demand for services is not managed effectively or co-ordinated at a corporate level 1 √ 2 √ 3 √ 4 √ 5 √	Jim Wilkie	**High** **5x5 = 25**	• Needs analyses and evidence bases inc. policy / legislative changes used to inform corporate / business planning. • Budget / priority setting process fully engages Elected Members with approval by full Council. • Infrastructure for co-ordinating strategic service planning inc. CIG. • Understanding needs through community engagement (e.g. Area Forums, Older and Young People's etc.). • Equality considerations are accounted for through equality impact assessments. • Single Equality Scheme sets out statutory requirements and duties relating to Wirral's diverse communities. • Joint Strategic Needs Assessment (JSNA)	**Medium** **2x4 = 8**	• Continue to improve corporate service planning process. • Implement the Community Engagement Strategy (finalise strategy document) • Drive forward further improvement in understanding and responding to community needs	• Jim Wilkie • Jim Wilkie • Jim Wilkie	• Ongoing • Sept 09 (Cabinet) • Nov 09 (LSP Exec) • Ongoing

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7. A negative image of the authority impacts on the level of inward investment. `1 2 3 4 5` `√ √ √ √ √`	Jim Wilkie	**High** 5x4 = 20	• Central media management team • Communications and Marketing Strategy. • Wirral Corporate Identity and guidance circulated. • Learning from external inspections improved	**Medium** 2x4 = 8	• Increase community understanding of Council role and plans • Regularly review the appropriateness of public relations arrangements • Transparency in services	• Emma Degg • Emma Degg	• Ongoing • Ongoing
8. The Council does not maintain arrangements for good corporate governance. `1 2 3 4 5` `        √`	Stephen Maddox	**High** 5x5 = 25	• Constitution regularly reviewed, reported to Members and officers. • Risk-based internal audit programme. • Annual Governance Statement. • Corporate Governance Monitoring Group. • Code of Corporate Governance. • CIPFA/SOLACE 'Delivering Good Governance' Framework • Training Members • Standards and Audit & Risk Management Committees • ICT Security policy and role of FoI officer	**Medium** 2x5 = 10	• Strengthening annual governance process • Enhance governance for Change Programme • Undertake annual review of individual strategies • Further integration of key strategies and plans • Additional Member training	• Head of Legal Services • David Smith • Individual Chief Officers • CIG • ?	• • July 2009

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9. Partners do not work together effectively to optimise outcomes for local people. | 1 √	2 √	3 √	4 √	5		Jim Wilkie	**High** **5x5 = 25**	• Needs analyses and evidence bases inform the partnership's priority setting and key plans and strategies • Action-led delivery plans for partnership priorities. • Strong strategic leadership for the partnership (Executive Board) • Council is the accountable body for Wirral's LSP. Supported by senior management inc. joint posts such as the Joint Director of Public Health. • Partnership toolkit and register developed to support governance. • Identified Council role and responsibilities for all major partnerships.	**Medium** **2x5 = 10**	• Periodic checks to ensure partnerships comply with Wirral's governance arrangements; • Annual review of key partnership register • Drive forward further improvement in understanding and responding to community needs • Enhanced guidance and training regarding grants • Develop a performance management framework for the Sustainable Community Strategy.	• Head of Legal Services • Head of Legal Services • Jim Wilkie • Pete Molyneux • Jim Wilkie	• Ongoing • t.b.c. • Ongoing • Ongoing • t.b.c.

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10. The Change Programme is not delivered 1 2 3 4 5 √ √ √ √ √	Ian Coleman	**High** 4x5 = 20	• Reports to Corporate Improvement Group and Members • Change Programme Board • Clear focus on 6 themes	**High** 4x4 = 16	• Strengthen assurance role • Enhance Board role	• David Smith • Jim Wilkie	• t.b.c. • Ongoing
11. Available resources are not allocated to meet service demands in line with corporate priorities 1 2 3 4 5 √ √ √ √ √	Stephen Maddox	**High** 5x5 = 25	• Medium Term Financial Capital HR and IT strategies linked and reflect priorities in Corporate Plan. • Strong links between service & financial plans. • Investment based on business cases for projects. • Effective financial management by planning monitoring and reporting • Programme of financial management training. • Impacts of the economic downturn identified and appropriate responses developed	**Medium** 2x5 = 10	• Review Medium Term Financial Plan • Review Capital Strategy • Review IT Strategy • Review HR Strategy • Implement Use of Resources action plan	• Tom Sault • Tom Sault • John Carruthers • Head of HR • Tom Sault	• July 2009 • July 09 • July 2009 • July 2009 • Ongoing
12. The reduction in available financial resources available from 2011/12 restricts our ability to deliver the Corporate Objectives 1 2 3 4 5 √ √ √ √ √	Ian Coleman	**High** 5x5 = 25	• Medium Term Financial Strategy linked to Corporate Plan • Strong links between service & financial plans. • Investment based on business cases for projects • Use of LGA / SIGOMA to lobby central government	**High** 3x4 = 12	• Regular review of financial projections • Consolidation of efficiencies (e.g. Strategic Change Programme)	• Ian Coleman	• Ongoing

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13. If planned investment is not forthcoming, then corporate objectives will not be met. | 1 √	2 √	3 √	4 √	5		Jim Wilkie	**High** 5x5 = 25	• Investment Strategy Board established to lead and direct implementation of Investment Strategy. • Wirral Business Forum set up by Invest Wirral • Performance Management arrangements for Corporate Plan	**Medium** 2x5 = 10	• Establish Corporate Investment Group • Further develop international links • Review planning control processes	• Jim Wilkie • Jim Wilkie • Kevin Adderley	• October 08 • Ongoing • Ongoing
14. We do not have the right people with the right skills in the right posts to deliver the corporate priorities | 1 √	2 √	3 √	4 √	5 √		Bill Norman	**High** 5x5 = 25	• People Strategy implemented. • Recruitment processes reviewed and action plan implemented. • Partial implementation of Job Evaluation. • Working to implement skills audit. • Robust capability and disciplinary policies • Priorities in Corporate Plan communicated to staff. • Corporate KIE process • Partnership working to support Apprenticeships initiatives. • Chief Executive Roadshows and specialist events. • Corporate 'Investors in People' status attained. • Corporate leadership development programme	**Medium** 2x4 = 10	• Develop online application tool linked to national electronic recruitment portals. • Continue development and review effectiveness of Skills Audit. • Continue development of approach to workforce planning/talent management. • Continue Elected Member Development programme and review effectiveness. • Continue corporate leadership development programme and review effectiveness • Conclude Local Pay Review	• Head of HR • Head of HR • Head of HR • Head of HR • Head of HR • Head of HR	• Ongoing • Ongoing • Ongoing • Ongoing • Ongoing • Ongoing