

APPENDIX D

CORPORATE RISK MONITORING SUMMARY

REPORT OF THE DIRECTOR OF FINANCE

1. EXECUTIVE SUMMARY

- 1.1. This is one of a series of reports submitted throughout the year providing an update on actions to manage risks identified in the Corporate Risk Register.

2. BACKGROUND

- 2.1. Cabinet on 3 April 2008 agreed that I would provide this summary report to Cabinet and to Audit & Risk Management Committee following the end of each quarter. To support this each Chief Officer provides an update on their actions to address the identified risks and any 'new' risks which merit consideration for inclusion in the Corporate Risk Register.

3. CORPORATE RISK REGISTER

- 3.1 The revised Corporate Risk Register (CRR) was agreed by Cabinet on 13 March 2008. This was the baseline document and is reviewed quarterly by the Corporate Improvement Group (CIG) in line with the performance management cycle. Highlights and exceptions are reported to Members following each review.

4. PROGRESS ON THE ACTIONS BEING TAKEN

- 4.1 As well as recording the existing key controls and contingencies the CRR also indicates those additional actions which need to be implemented in order to manage the most significant risks down to acceptable levels

- 4.2 The main areas of positive movement in controlling the existing risks are:

Risk No.	Description	Positive Developments in Control Actions
1.	Death or serious injury to a service user, staff member, or anyone to whom the Council owes a duty of care.	The (IOSH) 'Managing Safely' training course for managers has been piloted. A Health & Safety audit in Cultural Services has been completed. 95% of Legislative Compliance audits of Council premises have been completed
2.	Failure to prepare adequately for/manage the impact of a pandemic.	Adult Social Services have engaged with independent social care providers to encourage them to develop their own plans. DASS have agreed a list of priority staff. Lists for other service critical areas are still awaited.

3.	Key Council services are not resilient to disruption and business continuity arrangements are inadequate.	The Department of Adult Social Services has completed its departmental business continuity plan. A survey of the preparedness of all external partners/service providers has been undertaken and guidance supplied. Information provided by them as to their business continuity planning arrangements has been evaluated and further awareness raising sessions planned. An exercise to test the pandemic flu plan has been undertaken with Adult Social Services and the Primary Care Trust.
4.	Changing need and demand for services (driven by legislative, social and demographic change) is not managed effectively	A permanent Equality & Diversity co-ordinator has been appointed. The LAA was signed off following a robust process.
5.	The Council does not maintain arrangements for good corporate governance	The Council Constitution has been reviewed. Representation on Audit & Risk Management Committee has been reviewed and improved
6.	Community expectations are not properly understood or managed well	A permanent Equality & Diversity co-ordinator has been appointed. Sustainability appraisal of the LAA has begun Preparatory work for the CAA has started
7.	Failure to achieve sustainable budgets, in line with priorities and take difficult decisions.	The Council Constitution has been reviewed. COMT have agreed criteria for investment Enhanced financial reporting arrangements have been agreed by Cabinet and the Q1 report is scheduled for July. The Medium Term Financial Plan and Capital Strategy have been reviewed.
8.	The strategies supporting our key priorities are not executed effectively	A common timetable for the review process was agreed by Cabinet in April and strategies were reviewed in June.
9.	Partnerships are not well planned and we do not work effectively with others	Review of the Partnership Register has commenced Preparatory work for the CAA has begun.
10.	Failure to manage and improve image and reputation.	The Tourism & Marketing division has been restructured.
11.	We do not recruit and retain appropriate staff or develop them effectively.	Elected Member and corporate leadership Development programmes are continuing according to plan. Our approach to workforce planning/talent management is continuing as planned.
12.	We do not fully exploit all available resources, including	A common timetable for the review of strategies was agreed by Cabinet in April

	technology.	and strategies were reviewed in June.
14.	Failure to plan and manage performance (CPA) and finances in accordance with plans and budgets	The finance and performance monitoring framework and timetable were reviewed and reported to Cabinet in April. An enhanced Corporate Improvement Group was introduced in April
16.	Major error in investments and administration of Merseyside Pension Fund	A new monitoring regime for external mandates was reported to committee on 31 March. Phase I of the new Investment Accounting software was introduced in March and is currently subject to parallel running. Training sessions for members have been run regularly since approval in January.
17.	Failure in safeguarding arrangements (adult or child)	Child Death Overview Panels were fully implemented by 1 April Progress is being made towards the programme for disseminating learning from serious child care incidents
18.	Failure to deliver the Local Pay Review	Stage one of the review is on schedule for implementation on 1st August 2008.
19.	Failure to progress the regeneration of economically disadvantaged areas	An agreement with Lovell was reached in March and building work is to commence in July.

4.3 Those areas where progress in implementing controls has not proceeded to timetable or where information is not available are:

Risk No.	Description	Areas where Control Actions have yet to be progressed
3.	Key Council services are not resilient to disruption and business continuity arrangements are inadequate.	A corporate business continuity plan has been drafted but requires consultation. The date for completion has therefore been revised to November 2008.
6.	Community expectations are not properly understood or managed well.	Although preparations for CAA are underway some elements of the regime have yet to be clarified by central government.
11.	We do not recruit and retain appropriate staff or develop them effectively.	The development of an online application tool linked to national electronic recruitment portals is currently behind schedule. The development of Skills Audit has been hampered by the lack of an electronic tool. Approval for the procurement cost is being sought from Cabinet.
15.	Failure to execute the Council's Investment Strategy (or failure of the Strategy to deliver).	No information has been received concerning establishment of the Corporate Investment Group
17.	Failure in safeguarding	The timetable for appointment of a Mental

	arrangements (adult or child)	Health Capacity Act Coordinator has been put back to September. The introduction of a New Child Care Risk Management Procedure has been put back to September The deadline for improved audit and scrutiny capacity governed through LSCB has been put back to September.
19.	Failure to progress the regeneration of economically disadvantaged areas	Formation of the new department of Human Resources, Law & Asset Management has been delayed.
20.	Failure to maximise recycling.	No information has been received

5. VARIATIONS TO THE RISK REGISTER

- 5.1 The following risks were reported to the Corporate Improvement Group as having potential corporate significance.
- (i) Impact of volatility and a downturn in the economy
 - (ii) Adverse effect on Council budgets of rising energy prices.
 - (iii) Susceptibility of IT provision to disruption.
 - (v) Financial and environmental impact of delay in or failure to acquire and gain planning consents for sites needed to deliver the MWDA procurement programme.
- 5.2 All were considered to be sufficiently significant to warrant inclusion in the register. They will be reviewed by the Group next quarter.
- 5.3 All risks which were previously on the register were still considered to present a sufficiently large corporate threat. Therefore none have been removed.

IAN COLEMAN
DIRECTOR OF FINANCE

Additional Actions to Control Corporate Risks

Corporate Risk	Description of Control Action	Officer Responsible	Target Date	Status	Comments
2. Failure to prepare adequately for/manage the impact of a pandemic.	Engage with independent social care providers to develop their own plans	Jenny Ricketts	June 2008	Implemented	Consultation events held to engage with providers on 16 th may 2008 and 20 th June 2008.
17. Failure in safeguarding arrangements (adult or child)	Develop formal links and training to the Wirral Multicultural Centre staff (protect communities at risk of social exclusion)	Rick O'Brien	March 2009	Ongoing	Ongoing
	Appoint Safeguarding Mental Health Coordinator	Rick O'Brien	September 2008	Not yet implemented	Ongoing discussion. Target date remains September 20080.
	Appoint Mental Health Capacity Act Coordinator	Rick O'Brien	June 2008	Not implemented	Ongoing discussion regarding MCA Coordinator and MHA coordinator. New targets date September 2008.

Additional Actions to Control Corporate Risks

Corporate Risk	Description of Control Action	Officer Responsible	Target Date	Status	Comments
17. Failure in safeguarding arrangements (adult or child)	Child Death Overview Panels	Caroline McKenna	1st April 2008	Implemented	CDOP fully implemented by DCSF required date.
	LSCB programme for disseminating learning from serious child care incidents	Caroline McKenna	September 2008	On target	External facilitator to deliver overview training - September 2008, ongoing training programme to be designed by this date.
	Improved audit and scrutiny capacity governed through LSCB	Caroline McKenna	June 2008	Not on target.	Focus & workplan of Performance and Scrutiny sub group to be refreshed by September 2008 . CAF / QA officer to be recruited July '08.
	New internal controls re S118 IRO reporting	Caroline McKenna	September 2008	On target	S118 process fully in place by September, trigger system (pre 118) to be implemented at the same time.
	New Child Care Risk Management Procedure introduced	Julia Hassall	June 2008	Not on target	Procedure produced (jointly with M.Lane) internal system to underpin this to be completed by September 2008 .

Additional Actions to Control Corporate Risks

Corporate Risk	Description of Control Action	Officer Responsible	Target Date	Status	Comments
4. Changing need and demand for services (driven by legislative, social and demographic change) is not managed effectively	Introduce Equalities Strategy Policy & Standard	Jim Wilkie	Ongoing	Green	Permanent E&D co-ordinator appointed. E&D Policy introduced in 2007 and being refreshed in Dec 08
	Renew and improve corporate service planning process to ensure that trends are anticipated and the impact of legislative and policy change considered	Jim Wilkie	Ongoing	Green	Planning process improved for 2007/8 and new corporate plan produced. Plan will be refreshed in 2008.
	Annual review and refresh of key delivery plans including LAA / corporate and departmental plans	Jim Wilkie	Ongoing	Green	2 nd generation LAA signed off following a robust process. Corporate and departmental plans developed in new form for 2007/8 and are being refreshed for 2008/9
5. The Council does not maintain arrangements for good corporate governance	Undertake review of Constitution	Simon Goacher	May 08	Green	Review completed reported to Cabinet 09/07/08. To be considered by Council on 14/07/08
6. Community expectations are not properly understood or managed well	Undertake preparatory work for CAA regime Introduce Equalities Strategy Policy & Standard	Russ Glennon	Ongoing	Amber	Preparations underway (including negotiation of LAA) but some elements of CAA still unclear from central government.

		Russ Glennon	Ongoing	Green	Permanent E&D co-ordinator appointed. E&D Policy introduced in 2007 and being refreshed in Dec 08
	Renew and improve corporate service planning process to ensure that trends are anticipated and the impact of legislative and policy change considered	Russ Glennon	Ongoing	Green	Planning process improved for 2007/8 and new corporate plan produced. Plan will be refreshed in 2008.
	Progress in Community Engagement Action Plan to be monitored regularly	Russ Glennon	Ongoing	Green	Plan being superseded by comprehensive engagement strategy.
	Conduct sustainability appraisal of the LAA	Russ Glennon	Ongoing	Green.	ESAG group created to manage sustainability appraisal programme. Graham Gladden nominated as chair and agreed by LAA Programme Board.
7. Failure to achieve sustainable budgets, in line with priorities and take difficult decisions.	Undertake review of Constitution	Simon Goacher	May 08	Green	Review completed reported to Cabinet 09/07/08. To be considered by Council on 14/07/08
9. Partnerships are not well planned and we do not work effectively with others	Introduce periodic checks to ensure that partnerships comply with Wirral's governance arrangements	Simon Goacher	Ongoing	Green	Meeting with Finance to take place on 11 July 2008 to make arrangements for checks. Partnership Toolkit to be developed and reported to Cabinet in September/October.
	Undertake annual review of key partnership register	Simon Goacher	Ongoing	Green	Review of the Partnership Register has commenced

	Undertake preparatory work for CAA regime	Russ Glennon	Ongoing	Amber	Preparations underway (including negotiation of LAA) but some elements of CAA still unclear from central government.
10. Failure to manage and improve image and reputation	Restructure of Tourism & Marketing division	Emma Degg	April 08	Green	Complete
	Centralisation of control of corporate marketing	Emma Degg	April 09	Amber	Preparations underway to centralise all marketing activity. Departmental engagement variable.

11. We do not recruit and retain appropriate staff or develop them effectively	Continue development of recruitment including the use of innovative recruitment and retention policies.	Paul Bradshaw	Ongoing	Amber	The key aspect of this action point was to develop an online application tool attached to a number of national electronic recruitment portals. An external provider has been selected, however, IT Services have advised us that this is not a priority at this stage. We will continue to seek to implement the proposed efficiencies as soon as ITS can allocate resource to the task.
	Continue development of Skills audit	Paul Bradshaw	Ongoing	Amber	This action is dependant upon the procurement of an electronic skills audit tool, in respect of which Cabinet approval is being sought for the procurement costs on 23 July 2008. Subject to approval we can then proceed with this development.
	Continue development of approach to workforce planning/talent management	Paul Bradshaw	Ongoing	Green	
	Continue Elected Member Development programme	Paul Bradshaw	Ongoing	Green	
	Continue corporate leadership development programme	Paul Bradshaw	Ongoing	Green	

14. Failure to plan and manage performance (CPA) and finances in accordance with plans and budgets	Enhanced Corporate Improvement Group	Jim Wilkie	March 08		
15. Failure to execute the Council's Investment Strategy (or failure of the Strategy to deliver).	Establish Corporate Investment Group	Jim Wilkie	April 08		
	Implement Council restructure (new department)	Jim Wilkie	March 08		
18. Failure to deliver the Local Pay Review	Regular reports to COMT, Cabinet & Overview & Scrutiny Committee	Paul Bradshaw	Ongoing during 2008	Green	Stage one of the local pay review is on schedule for implementation on 1 st August 2008, subject to the outcome of a current Unison ballot on management's proposals. The final 3 phases of the local pay structure are on schedule to be implemented by April 2009
19. Failure to progress the regeneration of economically disadvantaged areas	Liaison with developers	Jim Wilkie	Ongoing		
	Change to Council structure	Jim Wilkie	April 08		

Additional Actions to Control Corporate Risks

Corporate Risk	Description of Control Action	Officer Responsible	Target Date	Status	Comments
5. The Council does not maintain arrangements for good corporate governance	Implement enhanced risk-based audit programme	David Garry	Ongoing		
	Deliver further risk management training for Members	Tom Sault (Mike Lane)	Ongoing 2008	On target	Session delivered on 24 July. Further session expected in October 2008
	Representation on Audit & Risk Management Cttee reviewed		July 2008	On target	Council agreed revisions for September cycle of meetings
	Produce annual governance statement	David Garry	July 2008	Implemented	Presented to Cabinet on 26 June
7. Failure to achieve sustainable budgets, in line with priorities and take difficult decisions	Establish criteria for investment e.g. from Efficiency Investment Budget	Ian Coleman	April 2008	Implemented	COMT agreed upon a 3 year recovery profile
	Implement enhanced financial reporting Refine / review financial management arrangements Review Medium Term Financial Plan Review Capital Strategy	Tom Sault	April 2008	Implemented	Reporting arrangements reported to Cabinet on 3 Apr.
		Tom Sault	July 2008	On target	Reporting arrangements reported to Cabinet on 3 Apr.
		Tom Sault	July 2008	On target	To be reported to Cabinet on 23 July
		Tom Sault	July 2008	On target	To be reported to Cabinet on 23 July
8. The strategies supporting our key priorities are not executed effectively	Implement common timetable for review process	Tom Sault	April 2008	Implemented	Review dates reported to Cabinet on 3 April.
9. Partnerships are not well planned and we do not work effectively with others	Deliver enhanced guidance and training regarding grants	Pete Molyneux	Sep. 2008	On target	

11. We do not recruit and retain appropriate staff or develop them effectively	Finance Department training plan Finance Department Workforce Plan	Stephen Rowley Stephen Rowley	Ongoing July 2008	Implemented	Regular review of training opportunities Contribution to overall Council plan
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WIRRAL COUNCIL

RISK MONITORING REPORT AS AT JUNE 2008

REGENERATION

Additional Actions to Control Corporate Risks

Corporate Risk	Description of Control Action	Officer Responsible	Target Date	Status	Comments
19. Failure to progress the regeneration of economically disadvantaged areas	Implement 'Lovell' agreement	Ian Platt	Under review	Implemented	Agreement completed by end March 08. Lovells now on-site undertaking preliminary investigations. Building work commences July 08. The effects of economic conditions (e.g. credit crunch) on delivery will be monitored.

Additional Actions to Control Corporate Risks

Corporate Risk	Description of Control Action	Officer Responsible	Target Date	Status	Comments
1. Death or serious injury to a service user, staff member, or anyone to whom the Council owes a duty of care.	Institute Of Safety and Health (IOSH) Managing Safely training to all Managers and Supervisors below Head of Service	Mark Camborne	April 08 onwards	Ongoing	<ul style="list-style-type: none"> Pilot course successfully ran in July 08. Programme of courses to begin in Sept 08
	Further review and development of H&S arrangements	Mark Camborne	Not known	Ongoing	<ul style="list-style-type: none"> Lone working and first aid arrangements completed A number of revised and new arrangements partly completed
	Continuing audits of H&S management	Mark Camborne	Not known	Ongoing	<ul style="list-style-type: none"> H&S audits in Leisure Services completed & Technical Services depot and transport sections underway 95% Legislative Compliance audits of Council premises complete
2. Failure to prepare adequately for/manage the impact of a pandemic.	Identify priorities within workforce for anti-viral drugs	Mark Camborne	Oct 2008		<ul style="list-style-type: none"> DASS have agreed list of priority staff for anti viral treatment. Awaiting list of priority staff from other critical service areas – CYPD/registrars & ccrems

3. Key Council services are not resilient to disruption and business continuity arrangements are inadequate.	Finalise the corporate Business Continuity Plan for Wirral	Mark Camborne	April 2008		Draft plan is written but requires consultation process around departments and service areas.
	Finalise all Departmental Business Continuity Plans	Mark Camborne	Oct 2008		<ul style="list-style-type: none"> • DASS completed (Departmental) Business Continuity Plan Template has been sent out to all critical activity service areas and awaiting response.
	Ensure external agencies have cohesive continuity arrangements	Mark Camborne	Aug 2008		<ul style="list-style-type: none"> • All external partners/ service providers have been written to requesting information as to their business continuity planning arrangements. • Results are being evaluated but looks rather patchy and follow-up awareness sessions are being developed. <p>Wirral attended and hosted a stand at the Merseyside Small business event at St Georges Hall and are carrying out a similar exercise at Aintree in September</p>
	Identify external suppliers and compile position statement as to their arrangements	Mark Camborne	April 2008		Survey carried out as to the preparedness of all suppliers in relation to business continuity and advice document supplied.

	Conduct tabletop exercise to test the efficiency of plans	Mark Camborne	March 2009		<ul style="list-style-type: none"> • Held some Pan Flu exercises with DASS and PCT • Participated in EX Blackstart – electricity outage exercise <p>Planning underway for a council wide BC exercise in Feb/March 2009</p>
20. Failure to maximise recycling	Produce recycling headline project plan	Mark Smith	To be advised		
	Increase participation through improved collection service reliability & effective community engagement	Mark Smith	March 2009		
	Deliver education and awareness campaigns to promote waste minimisation	Mark Smith	To be advised		
	Encourage recycling and minimisation of municipal waste	Mark Smith	31 March 2009		