

## APPENDIX 2 – DEPARTMENTAL RISK REGISTERS

### Risk Register – Department of Technical Services

Project / Activity	Description of Risk	Officer Responsible	Consequences	Category	Existing Control Measures	Net Likelihood Score	Net Impact Score	Net Total risk score	Risk Review Frequency	Additional Control Measures Planned	Target Date
Work with other Merseyside Partners to deliver food waste minimisation campaigns and promote home composting	Non-delivery of named initiatives resulting in failure to maximise recycling	Tara Dumas	Loss of funding and increased disposal costs	Financial	Regular performance reporting Regular senior management review of Action Plan	2	3	6	Annual	N/A	Jan 2010
Continue to enforce use of site waste management plans through construction contracts	Ineffective management of site waste leading to increased construction costs	Simon Fox	Inefficiency leading to loss of business and job losses	Operational	Contractual arrangements and site monitoring	2	2	4	Annual	N/A	Jan 2010
Implementation of C Red Initiative	Insufficient or inadequate membership of scheme resulting in less carbon reduction in Wirral than would otherwise have been achieved	Tony Dodd	Fewer energy savings	Financial	Budget & expenditure monitoring	2	2	4	Annual	N/A	Jan 2010
Review and implement strategies for road safety education for specific targeted groups	Poor or insufficient coverage of targeted groups giving no reduction in casualties in them.	Dave Rees	Failure to meet LTP objectives and targets Imposition of special measures	Operational Reputation	Regular performance reporting Regular senior management review of Action Plan	4 3	3 4	12 12	Half-yearly Half-yearly	To be assessed at review	Sep 2009
Continue the agreed communications activities with regard to local and	Poor or insufficient response to publicity giving no reduction in	Dave Rees	Failure to meet LTP objectives and targets Imposition of special measures	Operational Reputation	Regular performance reporting Regular senior management	4 3	3 4	12 12	Half-yearly Half-yearly	To be assessed at review	Sep 2009

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national publicity campaigns	casualties				review of Action Plan						
Continue to implement engineering measures including local Safety Schemes Programme, Safer Routes to Schools Programme and associated community projects.	Inability to deliver agreed engineering solutions leading to no reduction in casualties	Dave Rees	Failure to meet LTP objectives and targets Imposition of special measures	Operational	Regular performance reporting	4	3	12	Half-yearly	To be assessed at review	Sep 2009
				Reputation	Regular senior management review of Action Plan	3	4	12	Half-yearly		
Improve the highway network through implementation of the Capital Programme	Budget pressures affect funding or poor management results in failure to deliver the agreed programme resulting in no reduction in road traffic collisions or no reduction in congestion	Geoff Bell	No reduction in casualties More congestion	Operational	Regular performance monitoring. Regular Senior management review of programme	3	3	9	Annual	N/A	Jan 2010
Income from Professional Fees	The recession reduces the department's income from professional fees		Significant reduction in fees from B Control and Planning Apps	Financial Operational	Monitoring of fee income and budget expenditure	4	4	16	Monthly through SMT	Increased monitoring & reporting	Mar 2009
Management of HESPE contract with Colas	Colas' failure to perform to agreed standards results in deterioration of roads & highways	Mike Wilkinson	Poor public perception and failure to meet NI targets resulting in detrimental CAA & LAA outcomes	Financial	HESPE governance structure	2	3	6	6 monthly (as new contract from April 1 <sup>st</sup> )	N/A	Sep 2009
				Operational	Dedicated Contracts Manager & Team	2	3	6			

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	infrastructure										
Death or serious injury to a service user, staff member, or anyone to whom the Council owes a duty of care.	Death or serious injury to an employee of the council through breach of health & safety legislation or inappropriate control of health & safety risk	Mark Camborne	Possible prosecution and major reputational risk	Legal	Health & safety Management systems. H&S audit programme.  H&S Governance structure H&S Training programme	2	5	10	Annually		Jan 2010
Failure to prepare adequately for/manage the impact of a pandemic.	No. 1 risk on National, Regional and Local Community Risk Registers.	Mark Camborne	Catastrophic business continuity impact with estimated absenteeism rates of 40 – 50%	Operational Service Delivery	National,Regional and County plans and a joint Wirral Council and PCT plan (Draft) A full testing and exercising programme with all agencies.	4	5	20	6 Monthly	Continued enhancement work on the proactive planning and collaborative working agendas.	Sep 2009
Key Council services are not resilient to disruption and business continuity arrangements are inadequate.	Failure of critical service delivery function affecting the client groups.	Mark Camborne	Could lead to loss of life depending upon the length of time of disruption.	Operational	Workshops to identify the critical council functions. The establishment of enhanced business continuity plans and arrangements for those areas.	3	4	12	6 monthly	Establishment of a testing and exercising programme of the departmental plans.	Sep 2009
Budgets reduced to support other Council services or Departments	The recessionary pressures result in a reduction in the Department's ability to support other Council services	David Green	Significant reduction in services adversely affecting the condition of the highway network	Financial  Operational	Monitoring of fee income and budget expenditure	4	4	16	Monthly through SMT	Increased monitoring & reporting	Mar 2009

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### Risk Register – Regeneration Department

Project / Activity	Description of Risk	Officer Responsible	Consequences	Category	Existing Control Measures	Net Likelihood Score	Net Impact Score	Net Total risk score	Risk Review Frequency	Additional Control Measures Planned	Target Date
Prevent homelessness	Economic downturn results in increased homelessness through repossessions and relationship breakdown	Catherine Green	NI156 adversely affected	Regulatory/Legal /Statutory	Housing Advice and Homelessness prevention activity	3	3	9	Quarterly	Reorganisation of staffing resource if and when required	Quarterly
Implement new Choice based lettings system	New policy is not responsive to people with Severe and Urgent Housing Need	Catherine Green	NI156 adversely affected (homeless applicants in temporary accommodation for longer )	Operational	Operational procedures	2	4	8	Monthly	Weekly monitoring of homeless applicants and adjustments to policy as required	Dec 2010
Family Safety Unit	Only one member of staff within this unit does not rely upon external grant funding to fund their post. Withdrawal of external funding leads to closure of the Unit.	Steve Mc.Gilvray	Closure of unit if funding ceases The consequence for the community of Wirral is that some of its most vulnerable people are placed at increased risk by the closure.	Operational	Priorities and funding approved by CDRP on annual basis.	3	5	15	CDRP monitors finance quarterly		

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Project Activity /	Description of Risk	Officer Responsible	Consequences	Category	Existing Control Measures	Net Likelihood Score	Net Impact Score	Net Total risk score	Risk Review Frequency	Additional Control Measures Planned	Target Date
Analysis of violent crime	All staff within this unit relies upon external grant funding to fund their post. Withdrawal of external funding leads to closure of the Unit.	Steve Mc.Gilvray	Closure of analyst unit if funding ceases Consequences for the community are that this unit helps to direct in an intelligence-led way partnership resources to areas of proven need. Failure to identify this will lead to an increase in the gap between the most vulnerable communities and the remainder of Wirral.	5	Priorities and funding approved by CDRP on annual basis.	3	5	15	CDRP monitors finance quarterly		
Business Start Up Service	Currently a 3 year rolling programme. Therefore there is a potential lack of funding beyond 2012	Ray Squire	Service may have to be suspended.	Financial	On-going dialog with funding bodies	2	4	8	Quarterly	Additional lobbying to be undertaken	March 2012
Working Wirral Programme	Failure of Project owners to deliver the projects associated outcomes and outputs	John Crutchley	Failure to contribute to LAA targets	Financial	Performance management systems embedded in detailed contracting progress. Grant allocation can be refocused to achieve outcomes.	4	4	16	Quarterly	Reviews and reports to LAA Programme Board & Cabinet. Detailed summary monitoring reports and regular project reviews and visits.	March 2011

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Healthier Takeaway Food Project	Insufficient funding for sampling and analysis to evaluate effect of project	John Malone	Unable to evaluate and report on project	Financial	Carry forward from current sampling budget.	2	2	4	6 monthly	Identify funding for sampling	June 2010
Underage sales prevention programme	Cessation of PCT funding	Andy Bushell	Inability to continue with a comprehensive package of measures after 2010/11	Financial	Funding identified to maintain one for 2010/11	4	2	8	6 monthly	Explore opportunities for funding to continue project in 2011/12	September 2010
Deliver the HMRI Programme	Inability to deliver the HRI Programme due to reduction in funding	Chris Bowen	Limited impact upon failing housing markets and regeneration	Financial	Robust programme management and risk control of HMRI Programme	3	3	9	Monthly via the HMRI Implementation Group	Produce joint investment plans to support the case for future investment	Sept 2010
Safety Campaigns	Marketing and officer resources not available	Colin Clayton	Delay in project	Operational	Diary dates agreed and monitored	2	3	6	Quarterly	Task identified in Key Issues Exchange	September 2010
Review Licensing Policy	Unable to meet deadline due to other demands	Margaret O'Donnell	Judicial Challenges	Statutory	Key dates identified	1	5	5	6 monthly	Key Issues Exchange	September 2010
Investigate use of Red and Yellow card System	Staff Resources to undertake investigation	Margaret O'Donnell	Unable to determine effectiveness of System	Operational	Key Issues Exchange	3	1	3	Quarterly	Key dates identified	June 2010

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Improve access to and maintaining independence in settled accommodation for vulnerable groups	Possible reduction in grant would result in a reduction in the supported housing service available to vulnerable groups	Ian Grindrod/ Sheila Jacobs	Less preventative services could result in a greater demand for more expensive statutory provision and have an adverse effect on meeting NI141, 142 and PSA 16 targets	Regulatory/Legal (Contractual obligations)	Contract negotiations to identify potential savings, however existing control measures would not be sufficient if budget is substantially reduced	5	4	20	Monthly	Effective consultation and communication with relevant stakeholders. However the result would still be a reduction in services	April 2010
Deliver adaptations Programme including the HUB system and RSL Protocol	Potential reduction in funding & a greater demand on the service	Ian Grindrod/Sheila Jacobs & Wayne Tsoi	Breach of statutory duty	Statutory	Development of service to improve processes and allocation of funding to include; development of DPHR, Joint funding arrangement with RSLs and introduction of a panel review process	3	4	12	Quarterly	Continued negotiations with RSLs continuing improvement to panel process	April 2010
Museum's review	Review not completed	Rob Smith	No development plan for Museums	Strategic	Project timetable	1	1	1	Every 3 months	none	December 2010
Energy conservation in Leisure centres	Work not implemented	Damian Walsh	Increased energy costs	Operational	Project timetable	2	1	2	Every 3 months	none	

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Heritage strategy	Strategy not commissioned	Jim Lester	Unable to apply for grants	Strategic	-----	2	1	<b>2</b>	Every 3 months	none	
RFID in libraries	RFID not installed	Sue Powell	No improvement in service	Operational	None	3	2	<b>6</b>	Every 3 months	None	
PACSPE	Project not progressed	Jim Lester	Unable to realise benefits	Strategic	Project Group	2	3	<b>6</b>	Every 2 weeks	None	
Community Asset Transfer	Assets not transferred	Jim Lester	Budget Overspend	Strategic	Project Group	2	3	<b>6</b>	Every month	Monitoring by Finance	
Green Flag applications	Award not achieved	Dave Cowling	No improvement to service	Operational	-----	2	1	<b>2</b>	Every 3 months	None	
Quest Accreditation	Award not achieved	Damian Walsh	No improvement to service	Operational	Project Group	2	1	<b>2</b>	Every 3 months	None	
On line booking for Leisure centres	Not commissioned	Damian Walsh	Loss of income	Technological	-----	2	3	<b>6</b>	Every 3 months	None	
Library Health Projects	Not commissioned	Sue Powell	Reduced Service	Operational	None	1	1	<b>1</b>	Every 3 months	None	
SPAA projects	Not completed	Damian Walsh	Targets not achieved	Operational	Project Group	1	3	<b>3</b>	Every 3 months	None	
Get Into Reading	Not commissioned	Sue Powell	Reduced Service	Operational	None	1	1	<b>1</b>	Every 3 months	None	
Advancing Assets Programme	Assets not transferred	Lynn Williams	Budget Overspend	Operational	Project Group	2	3	<b>6</b>	Every 3 months	None	



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### Risk Register – Department of HR, Law and Asset Management

Project / Activity	Description of Risk	Officer Responsible	Consequences	Category	Existing Control Measures	Net Likelihood Score	Net Impact Score	Net Total risk score	Risk Review Frequency	Additional Control Measures Planned	Target Date
Implementation of HCM/Payroll system	Savings may not be achieved or potential benefits not fully realised.	Chris Hyams	Savings not achieved	Information Technology	Implementation plan and risk register already in place	2	4	8	Quarterly		March 2011
Implement an effective people strategy & workforce plan to anticipate and manage future workforce requirements	Shortage of appropriate employees to undertake current or emerging roles	Chris Hyams	Critical projects may fail	People	Appropriate policies and procedures	2	4	8	Quarterly		April 2010
Review Electoral Services (in particular practices and procedures for elections)	Over-reliance on key staff  Insufficient documented practices and procedures	Surjit Tour	Presentation of an election petition at the High Court.  Significant reputational harm  Financial loss	Operational  People	Some documented procedures  Some experienced electoral staff	3	5	15	Quarterly	Prepare Project Plan (to include Action Plan, Contingency Plan, Training Register, Count Plan/Manual, Risk Register and Timetable)	Dec 2010
Implementation of Case Management System	IT infrastructure inadequate  Insufficient financial resource	Surjit Tour	Savings not achieved Implications to available resources/ capacity and adverse impact	IT	Project Team established to monitor and undertake procurement	3	2	6	Quarterly	Proactive monitoring of project	January 2011

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	available		on service delivery  Service targets not achieved		exercise and delivery of project						
Provide Asset Management and legal support for key transformational partnership projects such as New Brighton Phase 2, Hoylake Golf Resort, Birkenhead Town Centre, Sail Project, Wirral Waters, Hind Street redevelopment and HMRI initiative	Insufficient staff capacity to provide the support	Surjit Tour and Ian Brand	Delay in completion of projects. Susceptibility to challenge or failure to meet Council objectives.	Strategic	Review of structure to be carried out. Regular reviews of workloads.	2	4	8	Quarterly	Updates on progress to COMT/Cabinet	Various
Provide Asset Management, HR and legal support for Strategic Change Programme	Insufficient staff capacity to provide the support required	Surjit Tour , Ian Brand and Chris Hyams	Delay in completion of projects. Susceptibility to challenge or failure to meet Council objectives	Strategic	Review of all Departmental structures and capacity to be carried out. Regular reviews of workloads to ensure high priority objectives are met	2	3	6	Quarterly	Programme Board reviews.	Ongoing

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Project / Activity	Description of Risk	Officer Responsible	Consequences	Category	Existing Control Measures	Net Likelihood Score	Net Impact Score	Net Total risk score	Risk Review Frequency	Additional Control Measures Planned	Target Date
Review of the Council's Property Strategy and Asset Management Plan	Insufficient capacity to complete the review	Ian Brand	Delay in or inability to achieve desired outcomes	Strategic	Regular review of workloads.	3	5	15	Quarterly	Updates on progress to COMT/Cabinet	Sept 2010

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### Risk Register – Finance Department

Description of Risk	Officer Responsible	Consequences	Category	Existing Control Measures	Net Likelihood Score	Net Impact Score	Net Total risk score	Risk Review Frequency	Additional Control Measures Planned	Target Date
Potential shortage of skills in key areas due to age profile and staff turnover	SR	Poor standards of service; cost and negative publicity from errors made; major activities / projects not completed to specification	People	Discipline of workforce planning process Equality and Diversity Action Plan	3	4	12	every quarter	Revision of Workforce Development Plan; revision of Equality and Diversity Action Plan	
Over reliance on key personnel	SR	Major activities / projects not completed to specification; health impact on staff involved	People	Workforce planning and training	2	5	10	every quarter	Revision of Workforce Development Plan	
Failure to identify and respond effectively to changing priorities and legislation	SR	Central Government targets not met; fines / penalties imposed; poor publicity; negative impact on CAA score; IFR standards not met	Regulatory	Awareness of changes maintained through relevant professional bodies and information sharing; key members of staff are trained to deal with changes; EIA programme	2	4	8	every quarter	Revision of Workforce Development Plan; policy scanning function; revision of Equality and Diversity Action Plan	
Failure to manage fluctuations in volumes of work	SR	Backlog and inability to access service at a key time	Operational	Regular communication with service providers	3	4	12	every quarter	Revision of Workforce Development Plan	
Project and service delivery limited by IT capacity	JC	Failure to deliver projects and services in department and corporately; negative impact on reputation	Information	ICT Development Strategy; Information Strategy Group	4	4	16	every quarter	Management review of IT services	

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Description of Risk	Officer Responsible	Consequences	Category	Existing Control Measures	Net Likelihood Score	Net Impact Score	Net Total risk score	Risk Review Frequency	Additional Control Measures Planned	Target Date
Failure to respond to issues raised by staff and to engage effectively	IEC	Low morale, leading to reduction in productivity, service delivery errors	People	Roadshow programme and action plan; team briefing and Key Issues Exchange; workforce development plan	2	4	8	every quarter	Revision of Workforce Development Plan	
Death or serious injury to a member of staff	SR	Injury to life or limb; potential compensation claims; breach of legislation	People	Departmental Health and Safety Policy; Health and Safety awareness training; risk assessment process	2	4	8	every quarter	Roadshow Action Plan	
Insufficient / incomplete market information for treasury and pension funds	PW TS	Negative impact on investment returns	Information	MPF Investment Strategy; use of external fund managers; continuous review of all information sources; standing item on monthly investment team meeting agenda	2	5	10	every quarter		
Financial failure of an institution in which funds have been invested	TS PW	Financial loss; impact on reputation through negative publicity	Operational	Counterparty list; Treasury Management Policy; MPF Investment Strategy	3	5	15	every quarter	Regular review of counterparty list	
Investment returns behind benchmark	TS PW	Budget impact with higher contributions	Financial	Treasury Management Policy; MPF Investment	3	5	15	every quarter		

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Description of Risk	Officer Responsible	Consequences	Category	Existing Control Measures	Net Likelihood Score	Net Impact Score	Net Total risk score	Risk Review Frequency	Additional Control Measures Planned	Target Date
				Strategy - use of external advisers, regular monitoring by Pensions Committee; standing item on monthly FOG agenda						
Failure of key suppliers to deliver.	IEC	Potential disruption to service provision; poor bargaining position	Operational	Development of robust contracts and collaborative arrangements; defined project management approach	2	5	<b>10</b>	every quarter	Reciprocal agreements for service provision; further embed project management approach	
Failure of management to prepare for major interruptions to service provision.	IEC	Greater / longer disruption to service; increased costs to restore service	People	Contingency plans in some sections / services. Succession planning. Specific arrangements for IT resilience.	4	5	<b>20</b>	every quarter	Management review of IT services; revision of Workforce Development Plan	
Inability to deliver change management programme	DS	Failure to maximise opportunities / improve service provision; increased costs	People	Defined project management approach; key staff trained in project management techniques; enhanced governance and assurance processes	4	5	<b>20</b>	every quarter	Further embed project management approach	
Poor contract management e.g. pension fund mandates,	IEC	Maximum value not derived from contractors; negative publicity	Operational	Defined project management approach; specific	3	4	<b>12</b>	every quarter	Further embed project management approach;	

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partnership arrangements		(mistakes, poor service levels)		performance management arrangements for some contracts.					further develop role of Corporate Procurement Unit	
Failure by Chief Officers to effectively control expenditure	IEC	Service and financial impact; reputation of the Council	Financial	Financial Strategy; regular review; scrutiny by Cabinet; responsibilities in Constitution; monthly member statement	3	4	<b>12</b>	every quarter		
Major failure in data security	SR	Reputational risk; potential legal action	Operational	ICT security policy; communications policy; dedicated press/PR officer	2	5	<b>10</b>	every quarter	Wider use of encryption	
Failure to communicate with and manage the involvement of stakeholders (inc other departments)	IEC	Failure to complete projects and activities to specification	Operational	Use of key corporate groups to drive through	3	4	<b>12</b>	every quarter		

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### Risk Register – Department of Adult Social Services

Project / Activity	Description of Risk	Officer Responsible	Consequences	Category	Existing Control Measures	Net Likelihood Score	Net Impact Score	Net Total risk score	Risk Review Frequency	Additional Control Measures Planned	Target Date
Implementing Personal Budgets (1)	Resources Allocation System (RAS) may not be correct and cause over / underpayment in funds	Francesca Tomlin	Impact on financial expenditure and income	Financial	Pilot through the WISP project so that amendments can be made as and when necessary.	2	5	15	Quarterly		
Implementing Personal Budgets (1)	Failure to achieve performance targets against NI 130.	Francesca Tomlin	If target not met performance levels of all LAA indicators will be reduced across the averages.	Strategic	Work stream Leads to monitor performance. Core project in corporate plan.	4	5	20	Quarterly		
Access to Services (5)	Agree which self assessment document is to be used	Francesca Tomlin	Changes required to ACAF /RAS may be affected by inability to reach agreement on the format with NHS WIRRAL colleagues	Operational	Pilot proposed form via the WISP pilot and test out. Make the necessary amendments as and when necessary.	2	4	8	Quarterly		
Access to Services (5)	Increased demand for services.	Rick O'Brien	Increased financial expenditure.	Financial	Careful allocation of service to meet FACS criteria only	2	4	8	Quarterly		
Reablement and Assessment (4)	Informal (staff generated) resistance to Project change agenda.	Rick O'Brien		People	1. Change agenda is clear and well communicated. 2. Integrated services job descriptions and person specifications are clear and properly constructed.	2	3	6	Quarterly		
Integrated Commissioning (6)	Governance and pooled budget arrangements	Tina Long		Strategic	Governance and pooled budget arrangements	4	2	8	Quarterly		



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	unclear, not agreed or not adhered to				prioritised, properly negotiated and monitored.						
Integrated Commissioning (6)	Integration with Health Services slows down developments	Tina Long		Strategic	Clarity regarding governance arrangements, priorities, culture and eligibility	2	4	8	Quarterly		
Safeguarding (8)	Increased number of referrals	Rick O'Brien	Cases not processed and investigated within set timescales	People	Set process in place with all partners engaged in the process. Staff trained to deal with cases.	3	5	15	Quarterly		
Market Management (7)	Existing providers do not keep pace with expectations of people using services	Mike Fowler	Poor standards of services. Fewer options of service available.	Reputation	All providers to be included in development of changing nature of services	2	3	6	Quarterly		
Market Management (7)	Reduction in business for existing services and organisations	Mike Fowler	Under provision of services and increased demand.	Strategic	Development of new ways of work; de-commission some existing services.	3	3	9	Quarterly		
Market Management (7)	Economic climate may impact on DASS and Wirral Budgets.	Mike Fowler	Reduced fees may result in providers ceasing to trade.	Financial	% for inflation need to be examined within Contracts.	4	3	12	Quarterly		
Market Management (7)	Economic climate may impact on DASS and Wirral Budgets.	Mike Fowler	Potential increase in levels of debt for non residential charges and impact on deferred charges on properties.	Financial	Undertake assessments in a timely manner	4	5	20	Quarterly		
Carers (10)	Economic climate may impact on implementation of	Maura Noone	Potential impact on family carers and demands on	Strategic		3	4	12	Quarterly		



**APPENDIX 2 – DEPARTMENTAL RISK REGISTERS**  
**Risk Register – Department of Children and Young People**

Project / Activity	Description of Risk	Officer Responsible	Consequences	Category	Existing Control Measures	Net Likelihood Score	Net Impact Score	Net Total risk score	Risk Review Frequency	Additional Control Measures Planned	Target Date
Learning and Achievement  (Improve accessibility to post 16 learning)	Failure to smoothly transfer 16 -18 responsibilities from the LSC to the Council from September 2010.	Mark Parkinson	Disruption of post 16 learning in schools and colleges across the region.	Statutory	Cross cutting group to be established within CYP LSC Toolkits with 16-18 data. Shadow arrangements in place. Timescale to be agreed for transfer of staff and resources from LSC Amend Departmental Plan.	3	5	15	Monthly	Continuing discussion with Merseyside authorities regarding transfer arrangements and equity of financial provision.	Sept 2010
Safeguarding  (Implement multi agency plans to safely support more children on the edge of care and in care, incorporating measures to be implemented through the Children in Care Act)	Possible serious incident with a child or young person. Including young people where information about them is known to a number of different agencies.	Julia Hassall	Harm to the child or young person.  Damage to Corporate reputation.	Statutory	Reviews carried out by District Managers of known children / young people likely to fall into this category.  High-level multi-agency review of individuals leading to improved, and consistently applied multi-agency risk management	3	5	15	Monthly	Monthly meetings of all senior staff with Director  Annual Independent Reviewing Officer report presented to Director and Chief Executive.  Multi-agency risk management framework approved and	Conti. Process  March 2010  June 2010

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					process.  Targeted support to be put in place to pre-empt, where possible, escalation of identified areas of concern.					implemented  Review of efficacy of Child in Need system and process completed and action plan in place	Sept 2010
<b>Departmental Budget</b>	Risk of spend not being contained within resources allocated to department (excluding schools delegated budgets )	David Armstrong	Overspend calling upon Council balances. Overall worsening of Council's forward position.	Strategic	Monthly monitoring and quarterly reporting to members	5	4	<b>20</b>	Monthly to Director/ DMT	Individual meetings with budget managers; consideration of vacancy freeze,; restrictions on travel, courses and other discretionary budget headings	March 2010
<b>Changed Status of Schools</b>		David Armstrong	Impact on Council of failure to properly transfer assets.  Impact on admission arrangements and pupil allocations	Regulatory / Legal/ Statutory	Asset Management team act immediately they are alerted to potential change.  School admission documents reviewed and individual admission	2  2	4  1	<b>8</b>  <b>2</b>	Monthly	Schools visited and level of asset transfer assessed. Expected arrangements agreed immediately Jeannette Royle  Admissions Officer visits school and clarifies	As required  As required

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					arrangements checked against permitted criteria.					contact of parental information. John Bulmer	

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### Risk Register – Corporate Services Department

Project / Activity	Description of Risk	Officer Responsible	Consequences	Category	Existing Control Measures	Net Likelihood Score	Net Impact Score	Net Total risk score	Risk Review Frequency	Additional Control Measures Planned	Target Date
Economic Recovery Plan for Wirral	Strategy for recovery, investment and growth fails	Kevin Adderley	Planned impact of increased prosperity on the Borough, including reduced inequalities between east and west, is not realised	Strategic	Regular monitoring of Recovery Plan activity	2	5	10	Quarterly	Targeted action where Recovery Plan activity is failing to meet required objectives	Ongoing
Business support activities	Support for businesses not appropriate, accessible and / or effective	Kevin Adderley	Businesses which could have been supported fail to be set up and / or grow; Potential opportunities to develop Wirral's economy are missed	Strategic / operational	Regular monitoring of effectiveness of business support activities; Targeted marketing and communications with business sector (e.g. Wirral Business Forum)	2	5	10	Quarterly	Continue to work closely with the private sector and key regional agencies	Ongoing
Implementation of the new Growth Point Development Programme	Growth Point Development Programme fails to be implemented	Kevin Adderley	Vision for Wirral and strategy for regenerating areas of deprivation is negatively impacted	Strategic / operational	Robust project planning / project management in place; Partners / developers engaged	3	4	12	Quarterly	Continue to work closely with partners / developers	Ongoing

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Project / Activity	Description of Risk	Officer Responsible	Consequences	Category	Existing Control Measures	Net Likelihood Score	Net Impact Score	Net Total risk score	Risk Review Frequency	Additional Control Measures Planned	Target Date
Investment Strategy projects, including Wirral Waters	Investment Strategy projects fail	Kevin Adderley	Planned impact of increased prosperity on the Borough, including reduced inequalities between east and west, is not realised	Strategic / operational	Project management in place for key projects; partners / developers engaged	2	5	10	Quarterly	Continue to work closely with partners / developers	Ongoing
Progressing the Local Development Framework	Failure to achieve the milestones set out in the Local Development Framework	Kevin Adderley	Delay in the appropriate planning framework being in place to support the delivery of the Council's vision for regenerating Wirral	Strategic / regulatory	Regular and responsive updates on progress; additional capacity now in place	2	5	10	Quarterly	Targeted action where milestones are not being met	Ongoing
Integrated Regeneration Strategy for Birkenhead	Failure to take into account existing evidence base to support strategy; failure to integrate regeneration approaches into a single, cohesive strategy	Kevin Adderley	Strategy is not evidence-based; regeneration approaches are not integrated	Strategic / operational	Range of consultation activities planned to engage stakeholders and assess evidence	1	4	4	Quarterly	Targeted action to embed Integrated Strategy with other plans and strategies which set out the long-term vision for Wirral, including the SCS	June 2010

## APPENDIX 2 – DEPARTMENTAL RISK REGISTERS

Project / Activity	Description of Risk	Officer Responsible	Consequences	Category	Existing Control Measures	Net Likelihood Score	Net Impact Score	Net Total risk score	Risk Review Frequency	Additional Control Measures Planned	Target Date
Implementing the International Links Strategy	Failure to implement strategy	Kevin Adderley	Benefits of international links are not realised	Strategic / operational	Capacity in place to support delivery of strategy	1	3	3	Quarterly	Targeted action to ensure progress on key projects is reflected in international links activities	Ongoing
Leading the development of Local Economic Assessments, linked to the development of Wirral's evidence base and other needs assessments such as child poverty	Failure to produce statutory Local Economic Assessment	Kevin Adderley	Council fails in its statutory duty; Wirral does not have a Local Economic Assessment to underpin its regeneration ambitions	Strategic / regulatory	Initial planning undertaken; linkages with key stakeholders established	2	5	10	Quarterly	Additional linkages to be made with stakeholders such as via Joint Strategic Needs Assessment work	Ongoing
Wirral Business Forum, engaging with Wirral businesses and key sectors	Forum not appropriate, accessible and / or effective	Kevin Adderley	Potential opportunities to develop businesses in Wirral are missed	Strategic / operational	Regular monitoring of effectiveness of Forum	1	5	5	Quarterly	Continue to work closely with the private sector in Wirral to develop Forum	Ongoing
Refreshing and monitoring Wirral's Employment and Skills Strategy	Failure to develop, co-ordinate and monitor employment and skills activities	Kevin Adderley	Appropriate interventions are not put in place; Council and partners fail to understand impact of activity	Strategic / operational	Stakeholders engaged; robust monitoring of the impact of activities	2	4	8	Quarterly	Continue to work closely with partners; ensure that strategy is reviewed in light of economic needs assessment	Ongoing



## APPENDIX 2 – DEPARTMENTAL RISK REGISTERS

Project / Activity	Description of Risk	Officer Responsible	Consequences	Category	Existing Control Measures	Net Likelihood Score	Net Impact Score	Net Total risk score	Risk Review Frequency	Additional Control Measures Planned	Target Date
Leading on the strategic development of Working Wirral activities	Failure to put in place suitable policy frameworks for implementation of Working Wirral	Kevin Adderley	Working Wirral programme does not delivery appropriate interventions needed for economic and employment growth	Strategic / operational	Regular and responsive updates on progress and refresh of appropriate policies	1	4	4	Quarterly	Continue to maintain close working relationship with partner organisations	Ongoing
Maximising tourism in 2010	Failure to deliver successful core and other events, and other marketing activities relating to tourism and investment	Emma Degg	The Investment Strategy is not adequately supported by appropriate marketing activity, thereby reducing its potential impact	Strategic / operational	Robust programme management, with clear objectives, targets and mechanisms	2	3	6	Quarterly	Continue to maintain close working relationships with the private sector	Ongoing
Programme of activity in response to the organisational assessment element of CAA, including managing performance and use of resources	Failure to engage CAA framework and ensure that the Council is taking appropriate action	Carolyn Curr	Poor CAA rating	Strategic / regulatory	2009/10 CAA findings aligned with Corporate Plan framework to ensure robust monitoring in 2010-11 performance reports	1	4	4	Quarterly	Additional action planning to ensure that the Council is improving in key areas	April 2010

## APPENDIX 2 – DEPARTMENTAL RISK REGISTERS

Project / Activity	Description of Risk	Officer Responsible	Consequences	Category	Existing Control Measures	Net Likelihood Score	Net Impact Score	Net Total risk score	Risk Review Frequency	Additional Control Measures Planned	Target Date
Activity to improve co-ordination and use of customer intelligence and performance data to drive planning and service improvement	Failure to use information effectively in strategic planning and service improvement	Carolyn Curr	Plans are not evidence-based and activity is not targeted appropriately	Strategic / operational	Improvements in performance monitoring in place to ensure that the Council understands the impact of activity	2	3	6	Quarterly	Process for improved co-ordination of customer intelligence to be put in place including quarterly monitoring of consultation and engagement outcomes	April - May 2010
Council's Equality Watch Scheme	Failure to deliver the Council's Equality Watch Scheme	Carolyn Curr	The Council does not deliver on its commitment to fair and equitable service delivery and recruiting a diverse workforce	Operational / Reputation / People	Robust programme management in place, monitored at appropriate levels	1	4	4	Quarterly	Establishment of an Equality Watch Monitoring / Review Group, which includes community members	May 2010
Community engagement review	Failure to complete review and make recommendations	Carolyn Curr	Opportunities to join up engagement activity for the benefit of Wirral residents are not realised	Strategic / operational	Consultation undertaken with key stakeholders; mapping of engagement activities in place	1	4	4	Quarterly	Further consultation and review report	May 2010

## APPENDIX 2 – DEPARTMENTAL RISK REGISTERS

Project / Activity	Description of Risk	Officer Responsible	Consequences	Category	Existing Control Measures	Net Likelihood Score	Net Impact Score	Net Total risk score	Risk Review Frequency	Additional Control Measures Planned	Target Date
Corporate marketing plan	Failure to implement corporate marketing plan	Emma Degg	Increasing costs incurred by departments due to lack of corporate co-ordination/failure to promote Council activities leading to lack of understanding of services / reputational issues	Strategic / operational	Marketing plan in place	2	2	4	Quarterly	Monitoring of marketing activity in line with plan	Ongoing
Internal communications programme to support the Council's change activities	Failure to communicate effectively with staff about the Council's change activities	Emma Degg	Lack of staff engagement in change activities	People	Ongoing involvement in strategic change management to ensure key messages are communicated consistently through appropriate mechanisms, e.g. OneCouncil	1	3	3	Quarterly	Further work to develop internal communications	Ongoing
Redevelopment of the Council's website to allow more effective online interaction with the Council's customers	Council's website is not redeveloped	Emma Degg	Council is not utilising web technologies effectively to interact with customers; benefits and efficiencies not realised	Operational	Project near completion	1	3	3	Quarterly	Monitoring of effectiveness of site	Ongoing
Implementing the Comprehensive Engagement Strategy	Failure to deliver Comprehensive Engagement Strategy	Carolyn Curr	Engagement with local people and the development of the third sector is not developed strategically; benefits of joined	Strategic / operational	Structure in place to support delivery of strategy included refreshed Steering Group	1	4	4	Quarterly	Action planning for individual strands; further development of Steering Group	Ongoing

## APPENDIX 2 – DEPARTMENTAL RISK REGISTERS

			up approaches, including efficiencies, not realised								
Improvement programme relating to the LSP / SCS / LAA	Failure to put in place actions to improve partnership working and delivery mechanisms; failure to engage with area assessment element of CAA framework and ensure that the Council and partners are taking appropriate action	Carolyn Curr	Lack of added value in relation to partnership working / reduced ability to deliver quality of life outcomes for local people; opportunity to raise profile of improvements happening in Wirral not realised	Strategic / operational	Governance review undertaken; Community Strategy adopted providing clear vision	1	4	4	Quarterly	Work to review and refresh Community Strategy; revisit governance review to ensure structures remain fit for purpose	June 2010