

## WIRRAL COUNCIL

## CORPORATE RISK REGISTER

## FINANCIAL YEAR 2013/14 - QUARTER 3

## Analysis of Corporate Risks by Category

## Internal

Category	Number	Descriptions	Risk Score
Budget	1	Failure to deliver within budgets ( <i>BU1</i> )	12
Governance	7	Failure to remodel the Council ( <i>GO1</i> )	8
		Reluctance to embrace wholesale change ( <i>GO2</i> )	9
		Internal policies & procedures delay change ( <i>GO3</i> )	6
		Potential changes to government policy not identified early enough ( <i>GO4</i> )	6
		Focus on economic growth not maintained ( <i>GO5</i> )	8
		Failure to punch above our weight ( <i>GO6</i> )	4
		Use of untried / untested models ( <i>GO7</i> )	12
Organisational Development	6	Scale and pace of change exceeds organisational capacity ( <i>OD1</i> )	12
		Multiple simultaneous demands on key teams ( <i>OD2</i> )	12
		Effective leadership is not embedded ( <i>OD3</i> )	8
		Skills within the Council are insufficient ( <i>OD4</i> )	8
		New attitudes and behaviours not embedded quickly enough ( <i>OD5</i> )	9
		A failure in health and safety management ( <i>OD6</i> )	8
IT and Data	4	New IT systems/hardware not implemented in time ( <i>IT1</i> )	16
		Quality and availability of data & intelligence ( <i>IT2</i> )	9
		Sustained catastrophic failure in IT systems ( <i>IT3</i> )	10
		A failure in information governance ( <i>IT4</i> )	8
Partnerships	4	Poor perception of the Council deters others from working with us ( <i>PA1</i> )	3
		Lack of resilience in key partnerships ( <i>PA2</i> )	9
		The ambitions and priorities of the Council and its partners are not aligned ( <i>PA3</i> )	9
		Failure of a major provider ( <i>PA4</i> )	10
Customer / Citizen	1	Inadequate safeguarding arrangements ( <i>CU1</i> )	15
Tangible Assets	1	A major physical incident compromises the delivery of essential services ( <i>TA1</i> )	8
Financial	1	Major fraud or corruption ( <i>FI1</i> )	6
<b>Total number</b>	<b>25</b>		

## External

Category	Number	Descriptions	Score
Economic	4	Low economic growth ( <i>EC1</i> )	16
		Welfare Reforms ( <i>EC2</i> )	16
		Inability to provide match funding ( <i>EC3</i> )	9
		Failure to grasp the opportunities presented by membership of the LCR ( <i>EC4</i> )	8
Demographic	3	Increasing demand for socially provided care ( <i>DE1</i> )	16
		Poor lifestyle choices adversely affect public health ( <i>DE2</i> )	12
		Failure to equip the community to be more self-reliant ( <i>DE3</i> )	9
Technological	1	Technological advance leads to digital exclusion ( <i>TE1</i> )	12
Environmental	2	Failure to maintain/protect the environment ( <i>EN1</i> )	12
		Growing incidence of extreme weather events ( <i>EN2</i> )	12
Policy	2	Growth of academies / free schools ( <i>PO1</i> )	9
		Uncertainty over funding post 2016 ( <i>PO2</i> )	20
<b>Total number</b>	<b>12</b>		

**Corporate Risks Plotted on Existing Corporate Scoring Model**

		Impact				
		Very Low (1)	Low (2)	Medium (3)	High (4)	Very High (5)
Likelihood	Very High (5)	5	10	15	20	25
	High (4)	4	8	12	16 IT1, EC1, EC2, DE1,	20 PO2
	Medium (3)	3 PA1	6 GO3	9 GO2, OD5, IT2, PA2, PA3, EC3, DE3, PO1	12 BU1, GO7, OD1, OD2, DE2, TE1, EN1, EN2	15 CU1
	Low (2)	2	4 GO6	6 GO4, F1	8 GO1, G05, OD3, OD4, OD6, IT4, EC4, TA1	10 IT3, PA4
	Very Low (1)	1	2	3	4	5

## Corporate Risks 2013-14

### Internal

Risk Description	Lead Officer	Potential Impact	Principal Controls (Current)	Residual Risk Scores			Principal Controls (Planned)	Responsibility and Date
				Impact	Likelihood	Total		

### Budget

Failure to deliver within immediate and long term budgets <b>(BU1)</b>	Strategic Director Trans & Resources	Political impact Damage to reputation Potential government intervention Storing up greater problems for the future Drain on reserves Fiduciary duty not met (S114)	<ul style="list-style-type: none"> <li>Corporate Plan reflects financial challenge</li> <li>Delivery of budget options projects being progressed</li> <li>Fortnightly meetings of Budget Steering Group</li> <li>Weekly meeting of Future Council group</li> <li>Monthly monitoring of savings</li> <li>Improved cash flow</li> </ul>	<b>4</b>	<b>3</b>	<b>12</b>	<ul style="list-style-type: none"> <li>Implement Commissioning Strategy</li> <li>Deliver 'Future Council' programme</li> </ul>	<ul style="list-style-type: none"> <li>Director of Policy, Performance &amp; Public Health (April 2014)</li> <li>Strategic Director Trans &amp; Resources</li> </ul>
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### Governance

Failure to remodel the Council to meet its future challenges <b>(GO1)</b>	Chief Executive	Services might not be delivered to required standards. Needs could go unmet External challenge and scrutiny might continue Potential government intervention Damage to reputation	<ul style="list-style-type: none"> <li>Wirral's vision is set out in Corporate Plan</li> <li>CESG focus on coherent new model Revised contract procedure rules introduced</li> <li>Transformation Programme approved by Cabinet</li> </ul>	<b>4</b>	<b>2</b>	<b>8</b>	<ul style="list-style-type: none"> <li>Implement revised ICT strategy</li> <li>Refresh People Strategy</li> <li>Produce Asset Management Strategy</li> <li>Deliver Transformation Programme</li> <li>Remodelling project</li> </ul>	<ul style="list-style-type: none"> <li>Director of Resources</li> <li>Head of HR &amp; OD</li> <li>Assistant Chief Executive</li> <li>Strategic Director Trans. &amp; Resources</li> <li>Strategic Director Trans. &amp; Resources</li> </ul>
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Risk Description	Lead Officer	Potential Impact	Principal Controls (Current)	Residual Risk Scores			Principal Controls (Planned)	Responsibility and Date
				Impact	Likelihood	Total		
Reluctance to embrace wholesale change and take difficult decisions (self-imposed boundaries)  <b>(GO2)</b>	Chief Executive	Services could not be delivered to required standards. Needs could go unmet Council does not improve - reputation	<ul style="list-style-type: none"> <li>Revised Constitution in place</li> <li>Scheme of Delegation rolled out</li> <li>Cohesive CESG</li> <li>Closer working with Cabinet</li> <li>New Members briefing and decision-making processes implemented</li> <li>Leaders Board established</li> <li>Member development programme</li> </ul>	<b>3</b>	<b>3</b>	<b>9</b>	<ul style="list-style-type: none"> <li>Further embed the new Constitution</li> <li>Embed new portfolio structure</li> <li>Review / refresh Constitution</li> <li>Review / improve risk management arrangements</li> </ul>	<ul style="list-style-type: none"> <li>Head of Legal &amp; Democratic Services</li> <li>Head of Legal &amp; Democratic Services</li> <li>Head of Legal &amp; Democratic Services (31 March 2014)</li> <li>Strategic Director Trans. &amp; Resources (April 2014)</li> </ul>
Internal policies and procedures delay change  <b>(GO3)</b>	Chief Executive	Possible slippage in key projects (financial impact) Impact on partners and suppliers (e.g. procurement) Agility could be restricted	<ul style="list-style-type: none"> <li>New Members briefing and decision-making processes implemented</li> <li>Scheme of Delegation / Member Officer protocol updated</li> <li>Code of Corporate Governance revised</li> </ul>	<b>2</b>	<b>3</b>	<b>6</b>	<ul style="list-style-type: none"> <li>Further embed the new Constitution</li> <li>Monitor compliance with revised financial regulations and new Contract Procedure rules</li> </ul>	<ul style="list-style-type: none"> <li>Head of Legal &amp; Democratic Services</li> <li>Director of Resources (Internal Audit)</li> </ul>

Risk Description	Lead Officer	Potential Impact	Principal Controls (Current)	Residual Risk Scores			Principal Controls (Planned)	Responsibility and Date
				Impact	Likelihood	Total		
We do not identify potential changes to government policy and legislation early enough to influence and respond <b>(G04)</b>	Director of Policy, Perf. & Public Health	Opportunities could be missed. Council might be slow to react (e.g. IER)	<ul style="list-style-type: none"> <li>• Policy Unit established</li> <li>• Policy network established</li> <li>• Regular policy briefings provided to Senior Officers and Members</li> <li>• Performance Management and Business Intelligence resource</li> </ul>	<b>3</b>	<b>2</b>	<b>6</b>	<ul style="list-style-type: none"> <li>• Increased visibility of political and executive leaders with national government</li> </ul>	
The Council does not maintain its focus on economic growth <b>(G05)</b>	Strategic Director Regen. & Env.	Multiple negative impacts on the community	<ul style="list-style-type: none"> <li>• Investment Strategy</li> <li>• Investment Strategy Board</li> <li>• Priority within Corporate Plan</li> </ul>	<b>4</b>	<b>2</b>	<b>8</b>	<ul style="list-style-type: none"> <li>• ERDF business growth programme</li> <li>• Regional Growth Fund projects</li> <li>• Policy &amp; Performance committee—scrutiny function</li> <li>• Capitalise on the potential of the 'Open'</li> </ul>	<ul style="list-style-type: none"> <li>• Strategic Director Regen. &amp; Environment</li> <li>• Strategic Director Regen. &amp; Environment</li> <li>• Strategic Director Regen. &amp; Environment</li> <li>• Strategic Director Regen. &amp; Environment</li> </ul>

Risk Description	Lead Officer	Potential Impact	Principal Controls (Current)	Residual Risk Scores			Principal Controls (Planned)	Responsibility and Date
				Impact	Likelihood	Total		
A failure to punch above our weight limits our ambition and our ability to capitalise on opportunities <b>(GO6)</b>	Chief Executive	Opportunities (government and private sector) might be missed.	<ul style="list-style-type: none"> <li>Chief Executive and senior members / officers engage outside Wirral with national decision-makers</li> </ul>	<b>2</b>	<b>2</b>	<b>4</b>		
Use of untried / untested models (mutuals, social enterprises, shared services) <b>(GO7)</b>	Strategic Director Trans & Resources	Possible service failures Needs could go unmet Damage to reputation Increased costs	<ul style="list-style-type: none"> <li>Transformational Change projects based on robust business cases</li> </ul>	<b>4</b>	<b>3</b>	<b>12</b>	<ul style="list-style-type: none"> <li>Implement commissioning strategy</li> </ul>	<ul style="list-style-type: none"> <li>Director of Policy, Performance &amp; Public Health (April 2014)</li> </ul>

Risk Description	Lead Officer	Potential Impact	Principal Controls (Current)	Residual Risk Scores			Principal Controls (Planned)	Responsibility and Date
				Impact	Likelihood	Total		

### Human Resources & Organisational Development

The scale and pace of change required could exceed our organisational capacity (e.g. critical projects) <b>(OD1)</b>	Strategic Director Trans & Resources	Failure to remodel the organisation Behavioural change might be difficult to achieve Damage to reputation Political impact	<ul style="list-style-type: none"> <li>Full senior management team in place</li> <li>New governance model for programme management</li> <li>Focus of Change Team</li> </ul>	<b>4</b>	<b>3</b>	<b>12</b>		
Multiple simultaneous demands on key teams (HR, Legal, Finance etc.) exceed the available capacity <b>(OD2)</b>	Strategic Director Trans & Resources	Possible delay to Trans. Change and other critical projects Negative impact on business as usual activity		<b>4</b>	<b>3</b>	<b>12</b>	<ul style="list-style-type: none"> <li>Map requirement of enabling strands against principles</li> </ul>	<ul style="list-style-type: none"> <li>Head of HR &amp; OD</li> </ul>



Risk Description	Lead Officer	Potential Impact	Principal Controls (Current)	Residual Risk Scores			Principal Controls (Planned)	Responsibility and Date
				Impact	Likelihood	Total		
Effective leadership is not embedded throughout the organisation  <b>(OD3)</b>	Head of HR & OD	Failure to achieve our ambitions Lack of ownership Silo mentality could develop	<ul style="list-style-type: none"> <li>• Full senior management team in place</li> <li>• New officer leadership and development programmes launched</li> <li>• Good practice being cascaded</li> </ul>	<b>4</b>	<b>2</b>	<b>8</b>	<ul style="list-style-type: none"> <li>• Implement the leadership programme</li> <li>• Roll out of Comms. Strategy</li> <li>• Leadership expectation requirements</li> <li>• Roll out of revised Performance Appraisal</li> </ul>	<ul style="list-style-type: none"> <li>• Head of HR &amp; OD</li> <li>• Head of Comms. and Community Engagement</li> <li>• Head of HR &amp; OD</li> <li>• Head of HR &amp; OD</li> </ul>
Skills within the Council are insufficient to support our future operating model  <b>(OD4)</b>	Head of HR & OD	Possible service failures Benefits from re-modelling might not be realised	<ul style="list-style-type: none"> <li>• Redeployment training support in place</li> </ul>	<b>4</b>	<b>2</b>	<b>8</b>	<ul style="list-style-type: none"> <li>• Revised performance appraisal process</li> <li>• Implement management development programme</li> </ul>	<ul style="list-style-type: none"> <li>• Head of HR &amp; OD</li> <li>• Head of HR &amp; OD</li> </ul>
New attitudes and behaviours are not embedded quickly enough <b>(OD5)</b>	Head of HR & OD	Change needed might not be delivered. Benefits of governance improvements might not be realised	<ul style="list-style-type: none"> <li>• Link of values to behaviours in Performance Appraisal</li> </ul>	<b>3</b>	<b>3</b>	<b>9</b>	<ul style="list-style-type: none"> <li>• Design / implement cultural change programme</li> <li>• Review and update of HR policies</li> </ul>	<ul style="list-style-type: none"> <li>• Head of HR &amp; OD</li> <li>• Head of HR &amp; OD</li> </ul>

<p>A failure in health and safety management leading to death or serious injury <b>(OD6)</b></p>	<p>Head of Universal &amp; Infrastructure Services</p>	<p>Significant financial cost, possible civil and criminal proceedings (corporate manslaughter), damage to reputation</p>	<ul style="list-style-type: none"> <li>• Register of corporate H&amp;S risks</li> <li>• Corporate H&amp;S policy specifies management roles &amp; responsibilities and specific management arrangements have been developed</li> <li>• Legislative Compliance Audit programme &amp; Fire Risk Assessments of all Council premises</li> <li>• Programme of auditing management compliance against H&amp;S policy</li> <li>• Delivery of essential emergency training for fire and first aid</li> <li>• H&amp;S Officers investigate all significant accidents &amp; incidents, including ELI claims</li> <li>• Specific H&amp;S training</li> <li>• Health surveillance arrangements for occupational health risks</li> <li>• Delivery of (IOSH) Managing Safely training to Managers and Supervisors below Head of Service</li> </ul>	<p style="text-align: center;"><b>4</b></p>	<p style="text-align: center;"><b>2</b></p>	<p style="text-align: center;"><b>8</b></p>	<ul style="list-style-type: none"> <li>• Continuous review and develop of H&amp;S arrangements</li> <li>• Continuing programme of compliance audits of H&amp;S policy</li> <li>• Maintaining health surveillance programme for occupational health risks</li> <li>• Continuous programmed assessment of legislative compliance and fire risk at all Council premises</li> <li>• Senior management teams H&amp;S training programme</li> </ul>	<ul style="list-style-type: none"> <li>• Health Safety &amp; Resilience team (ongoing)</li> <li>• Health Safety &amp; Resilience team (ongoing)</li> <li>• Health Safety &amp; Resilience team (ongoing)</li> <li>• Health Safety &amp; Resilience team (ongoing)</li> <li>• Health Safety &amp; Resilience team (2014)</li> </ul>
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Risk Description	Lead Officer	Potential Impact	Principal Controls (Current)	Residual Risk Scores			Principal Controls (Planned)	Responsibility and Date
				Impact	Likelihood	Total		
Quality and availability of data and intelligence are insufficient to enable us to design services & target effective interventions <b>(IT2)</b>	Director of Policy, Perf. & Public Health	Financial inefficiency Needs could go unmet Negative impact on the quality of commissioning	<ul style="list-style-type: none"> <li>Performance Management and Business Intelligence resource within Policy, Performance and Public Health function</li> </ul>	<b>3</b>	<b>3</b>	<b>9</b>		
A sustained catastrophic failure in the Council's ICT systems <b>(IT3)</b>	Strategic Director Trans & Resources	Huge impact on service delivery, possibly affecting the public (especially the vulnerable) damage to reputation, breach of contracts, inability to share data with partners and the government	<ul style="list-style-type: none"> <li>Second machine room</li> <li>Fire suppressant system in rooms</li> </ul>	<b>5</b>	<b>2</b>	<b>10</b>	<ul style="list-style-type: none"> <li>Review of IT service continuity arrangements</li> </ul>	<ul style="list-style-type: none"> <li>Director of Resources (Steve Sankey) - March 2014</li> </ul>

Risk Description	Lead Officer	Potential Impact	Principal Controls (Current)	Residual Risk Scores			Principal Controls (Planned)	Responsibility and Date
				Impact	Likelihood	Total		
A failure in information governance leading to a significant disclosure of sensitive information <b>(IT4)</b>	Strategic Director Trans & Resources	Criminal proceedings, very large fines, possible civil claims, damage to reputation	<ul style="list-style-type: none"> <li>Information Governance Board established</li> <li>Guidance on information handling/security circulated</li> <li>Technical ICT controls</li> <li>Independent security assessments of the council's ICT infrastructure</li> <li>PSN accreditation attained</li> <li>Training delivered to Members and key officers on information governance</li> </ul>	<b>4</b>	<b>2</b>	<b>8</b>	<ul style="list-style-type: none"> <li>Ensure managers assess existing arrangements</li> <li>Annual refresh of training for managers and key staff</li> <li>Develop a comprehensive information governance action plan</li> <li>Secure all council mobile devices</li> <li>Implement technical solution to protectively monitor the council's ICT infrastructure</li> <li>All staff to undertake background checks to comply with BPSS</li> <li>Achieve Level 2 IG toolkit accreditation</li> </ul>	<ul style="list-style-type: none"> <li>Head of Legal and Democratic Servs ( Dec 2013)</li> <li>Head of Legal and Democratic Services (Dec 2014)</li> <li>Head of Legal and Democratic Services (31/07/2014)</li> <li>Director of Resources (IT) - August 2014</li> <li>Director of Resources (IT) August 2014</li> <li>Head of HR &amp; OD (2015)</li> <li>Head of Legal and Democratic Servs (Sept 2014)</li> </ul>

Risk Description	Lead Officer	Potential Impact	Principal Controls (Current)	Residual Risk Scores			Principal Controls (Planned)	Responsibility and Date
				Impact	Likelihood	Total		
<b>Partnerships</b>								
A poor perception of the Council could deter others from working with us or cause us to be excluded from opportunities. <b>(PA1)</b>	Head of N'hoods & Engagement	Potential difficulty in securing Private sector investment and Government support on new initiatives	<ul style="list-style-type: none"> <li>• Communications and Marketing strategy</li> <li>• Local Public Sector Board established</li> </ul>	<b>1</b>	<b>3</b>	<b>3</b>	<ul style="list-style-type: none"> <li>• Capitalise on the potential of the 'Open'</li> <li>• Develop the Local Public Sector Board</li> </ul>	<ul style="list-style-type: none"> <li>• Strategic Director Regeneration and Environment</li> <li>• Director of Policy, Performance &amp; Public Health</li> </ul>
Lack of resilience in key partnerships <b>(PA2)</b>	Director of Policy, Perf. & Public Health	Potential service failures Needs could go unmet Increased demands on the Council because others cannot help	<ul style="list-style-type: none"> <li>• Health &amp; Wellbeing Board established</li> <li>• Local Public Sector Board established</li> </ul>	<b>3</b>	<b>3</b>	<b>9</b>	<ul style="list-style-type: none"> <li>• Develop the Health &amp; Wellbeing Board</li> <li>• Conduct a review of partnerships</li> <li>• Develop a register of key partnerships</li> </ul>	<ul style="list-style-type: none"> <li>• Director of Policy, Perf. &amp; Public Health</li> <li>• Director of Policy, Perf. &amp; Public Health</li> <li>• Head of Legal &amp; Democratic Services</li> </ul>

Risk Description	Lead Officer	Potential Impact	Principal Controls (Current)	Residual Risk Scores			Principal Controls (Planned)	Responsibility and Date
				Impact	Likelihood	Total		
The ambitions and priorities of the Council and its partners are not aligned  <b>(PA3)</b>	Director of Policy, Perf. & Public Health	Potential gaps in service provision Possible duplication / inefficient use of effort / resources Cost 'shunting'	<ul style="list-style-type: none"> <li>Local Public Sector Board established</li> <li>Health &amp; Wellbeing Board established</li> <li>Support for Combined Authority</li> </ul>	<b>3</b>	<b>3</b>	<b>9</b>	<ul style="list-style-type: none"> <li>Develop the Local Public Sector Board and Health &amp; Wellbeing Boards</li> <li>Refresh Local Strategic Partnership</li> <li>Develop a register of key partnerships</li> </ul>	<ul style="list-style-type: none"> <li>Director of Policy, Performance &amp; Public Health</li> <li>Director of Policy, Perf &amp; Public Health</li> <li>Head of Legal &amp; Democ. Servs</li> </ul>
Failure of a major provider (private, public or voluntary, community and faith sector) or partner leading to interruption of service <b>(PA4)</b>	To be confirmed	Impact on service delivery (depends on provider) potentially affecting vulnerable people, damage to the Council's reputation, cost of putting alternative arrangements in place	<ul style="list-style-type: none"> <li>External suppliers identified and position statement compiled as to their arrangements</li> <li>Procurement Strategy and the agreed procurement process checks on potential contractor.</li> <li>Contract and performance management arrangements</li> <li>Linkages to Business Continuity arrangements</li> </ul>	<b>5</b>	<b>2</b>	<b>10</b>	<ul style="list-style-type: none"> <li>Developing new BC Officer - training taking place in Jan 2014</li> <li>Work with departments to ensure that all partner agencies and/or voluntary, community or faith sector organisations have suitable and sufficient business continuity arrangements – a check should be made on a two yearly basis</li> <li>Ensure all external suppliers /</li> </ul>	<ul style="list-style-type: none"> <li>Health Safety &amp; Resilience team (January 2014)</li> <li>Health Safety &amp; Resilience team (2014 onwards)</li> <li>Health Safety &amp; Resilience team</li> </ul>

							<p>contractors provide a position statement in regard to their individual business continuity plans on a two yearly basis</p> <ul style="list-style-type: none"><li>• incorporate an annual financial check is as part of the regular contract performance management arrangements</li></ul>	<ul style="list-style-type: none"><li>• Health Safety &amp; Resilience team</li></ul>
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Risk Description	Lead Officer	Potential Impact	Principal Controls (Current)	Residual Risk Scores			Principal Controls (Planned)	Responsibility and Date
				Impact	Likelihood	Total		
<b>Customer / Citizen</b>								
Inadequate safeguarding arrangements exposing children or vulnerable adults to greater risk of abuse or exploitation <b>(CU1)</b>	Strategic Director Families & Wellbeing	Significant financial cost, possible civil and criminal proceedings, loss of confidence in the Council, damage to reputation, government intervention	<ul style="list-style-type: none"> <li>Local Safeguarding Children Board monitors serious case review action plans.</li> <li>Weekly performance monitoring of changes to contact and referral taking in CADT.</li> <li>Six weekly safeguarding reporting to the Chief Exec.</li> <li>National Notification of Serious Child Care Incidents to OFSTED.</li> <li>Continuing programme for disseminating learning from serious child care incidents.</li> <li>Child Death Overview Panels.</li> <li>Continuing review of S118 IRO applications.</li> <li>Market supplement is paid to social workers in hard to recruit and retain posts.</li> <li>Reviews carried out by District Managers of children / young people known to a number of different agencies</li> </ul>	<b>5</b>	<b>3</b>	<b>15</b>	<ul style="list-style-type: none"> <li>Implement revised Working Together to Safeguard Children.</li> <li>Recruit to outstanding vacant SW posts</li> <li>Agree agency cover by the Director where cover cannot be managed safely.</li> <li>Weekly reporting to Acting Head of Branch on staffing issues and caseload from each district.</li> <li>Exit interviews to be completed with all staff and reason collated to inform workforce review.</li> <li>Confirm job evaluation outcome with timescale.</li> </ul>	<ul style="list-style-type: none"> <li>Corporate Safeguarding Manager</li> <li>Director of Children's Services (as required)</li> <li>Director of Children's Services (as required)</li> <li>Director of Children's Services (as required)</li> <li>Director of Children's Services (as required)</li> <li>Director of Children's Services (as required)</li> </ul>

			<ul style="list-style-type: none"> <li>• High-level multi-agency review of individuals leading to improved, and consistently applied multi-agency risk management process</li> <li>• Targeted support to be put in place to pre-empt, where possible, escalation of identified areas of concern.</li> </ul>				<ul style="list-style-type: none"> <li>• WSCB processes in line with Working Together</li> <li>• Monthly meetings of all senior staff with Director</li> </ul>	<p>process allows)</p> <ul style="list-style-type: none"> <li>• Director of Children's Services (March 2014)</li> <li>• Head of Specialist Services</li> </ul>
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Risk Description	Lead Officer	Potential Impact	Principal Controls (Current)	Residual Risk Scores			Principal Controls (Planned)	Responsibility and Date
				Impact	Likelihood	Total		
<b>Tangible Assets</b>								
A major physical incident compromises the delivery of essential services <b>(TA1)</b>	Deputy Chief Executive	Potential major impact on service delivery (depends on nature of incident), additional cost of alternative provision, possible damage to reputation	<ul style="list-style-type: none"> <li>• Dedicated Health, Safety &amp; Resilience Team provides support and guidance with 24/7 duty officer cover</li> <li>• External Partner organisations and suppliers identified and position statement complied as to their arrangements</li> <li>• Awareness sessions delivered to key staff</li> <li>• Exercises conducted to test efficiency of plans</li> <li>• Departmental business continuity plans in place for critical service areas</li> <li>• Wirral Business Continuity Plan</li> <li>• Wirral Flood and Water Management Partnership formed</li> <li>• Review of winter maintenance arrangements conducted.</li> <li>• Merseyside Community Risk Register 2013/14</li> </ul>	<b>4</b>	<b>2</b>	<b>8</b>	<ul style="list-style-type: none"> <li>• Increase the number of Duty Officers</li> <li>• CSG Training and Exercising programme agreed delivery in Jan, May and Oct 2014</li> <li>• Continue to review and capture any lessons learnt from incidents and exercises.</li> <li>• Introduction of a Wirral emergency Volunteer Scheme - to date &gt;200 volunteers registered and 1st induction session Jan 2014</li> </ul>	<ul style="list-style-type: none"> <li>• Health Safety &amp; Resilience team (ongoing throughout 2014)</li> <li>• Health Safety &amp; Resilience team</li> <li>• Health Safety &amp; Resilience team</li> <li>• Health Safety &amp; Resilience team</li> </ul>

Risk Description	Lead Officer	Potential Impact	Principal Controls (Current)	Residual Risk Scores			Principal Controls (Planned)	Responsibility and Date
				Impact	Likelihood	Total		
<b>Financial</b>								
Major fraud or corruption (F11)	Strategic Director Trans & Resources	Significant financial cost (depends on nature of incident(s), damage to reputation)	<ul style="list-style-type: none"> <li>• Counter Fraud and Corruption Policy</li> <li>• Whistle Blowing Policy</li> <li>• Counter Fraud Plan and trained investigator</li> <li>• Participation in National Fraud Initiative</li> <li>• Codes of conduct for Members and officers</li> <li>• Financial Procedure Rules</li> <li>• Contract Procedure Rules</li> <li>• Sound Internal Control systems</li> <li>• Effective recruitment and selection</li> <li>• Benefits Fraud Investigation team with trained investigators</li> <li>• Procedures for the Declaration of Conflict of Interests, Gifts and Hospitality and Pecuniary Interests</li> <li>• Mandatory training programme</li> <li>• Use of declarations and fair processing notices</li> <li>• Disciplinary procedures</li> </ul>	3	2	6	<ul style="list-style-type: none"> <li>• Develop and implement counter fraud action plan</li> <li>• Develop Corporate Counter Fraud Strategy</li> <li>• Update and deliver on-line fraud training programme</li> <li>• Establish facility for on-line reporting by MOP</li> <li>• Introduce positive vetting of new employees</li> <li>• Introduce anti fraud statement into recruitment form</li> <li>• Brief directorates on new Contract Procedure Rules</li> </ul>	<ul style="list-style-type: none"> <li>• Director of Resources</li> <li>• Director of Resources (Internal Audit) - February 2014</li> <li>• Internal Audit (March 2014 (update), July 2014 (delivery))</li> <li>• Director of Resources (Internal Audit) - April 2014</li> <li>• All directorates (April 2014)</li> <li>• Head of HR &amp; OD (January 2014)</li> <li>• Director of Resources (Corporate Procurement) - February 2014</li> </ul>

## External

Risk Description	Lead Officer	Potential Impact	Principal Controls (Current)	Residual Risk Scores			Principal Controls (Planned)	Responsibility and Date
				Impact	Likelihood	Total		

## Economic

Low economic growth <b>(EC1)</b>	Chief Executive	Reduction in income (budget gap increases) Increased demand for services Negative social impacts	<ul style="list-style-type: none"> <li>Investment Strategy</li> <li>Investment Strategy Board</li> </ul>	<b>4</b>	<b>4</b>	<b>16</b>	<ul style="list-style-type: none"> <li>Deliver Investment Strategy</li> <li>Deliver Visitor Economy strategy</li> <li>ERDF business growth programme</li> <li>Regional Growth Fund projects</li> </ul>	<ul style="list-style-type: none"> <li>Strategic Director Regen. &amp; Environment</li> <li>Strategic Director Regen. &amp; Environment</li> <li>Strategic Director Regen. &amp; Environment</li> <li>Strategic Director Regen. &amp; Environment</li> </ul>
Welfare Reforms <b>(EC2)</b>	Chief Executive	Adverse effect on individuals and the local economy	<ul style="list-style-type: none"> <li>Council-led strategic approach to assess the implications and prepare effective policy &amp; delivery responses</li> <li>Discretionary Funds those impacted by the reforms inc. under occupancy</li> <li>Localised Welfare Assistance Scheme</li> </ul>	<b>4</b>	<b>4</b>	<b>16</b>	<ul style="list-style-type: none"> <li>Deliver additional activity through a Local Partnership Framework</li> <li>Undertake regular impact assessments</li> <li>Monitor criteria for Localised Welfare Assistance Scheme</li> </ul>	<ul style="list-style-type: none"> <li>Strategic Director Regen. &amp; Environment</li> <li>Strategic Director Regen. &amp; Environment</li> <li>Head of Business Processes</li> </ul>

Risk Description	Lead Officer	Potential Impact	Principal Controls (Current)	Residual Risk Scores			Principal Controls (Planned)	Responsibility and Date
				Impact	Likelihood	Total		
Inability to provide match funding limits prevents us from accessing new (2014) EU funding  <b>(EC3)</b>	Strategic Director Regen & Env	Wirral would potentially miss key opportunities for economic growth	<ul style="list-style-type: none"> <li>Planned approach to identifying priorities/ projects and potential match funding through development of the Merseyside programme</li> </ul>	<b>3</b>	<b>3</b>	<b>9</b>	<ul style="list-style-type: none"> <li>Deliver a revised investment strategy delivery plan aligned to the next EU programme and develop projects as appropriate</li> <li>Continue lobbying as an authority and as part of LCR for national availability of match funding</li> </ul>	<ul style="list-style-type: none"> <li>Strategic Director Regen. &amp; Environment</li> <li>Strategic Director Regen. &amp; Environment</li> </ul>
Failure to grasp the opportunities presented by membership of the LCR, relative to Wirral's size and importance  <b>(EC4)</b>	Chief Executive	Wirral could lose out in terms of external resource and potential investment	<ul style="list-style-type: none"> <li>LEP membership</li> <li>CX influence via LCR Chief Executive group</li> <li>Officer involvement in LCR policy design</li> <li>Local democracy</li> <li>Regular reports to political and executive leaders</li> </ul>	<b>4</b>	<b>2</b>	<b>8</b>		

Risk Description	Lead Officer	Potential Impact	Principal Controls (Current)	Residual Risk Scores			Principal Controls (Planned)	Responsibility and Date
				Impact	Likelihood	Total		
<b>Demographic</b>								
Increasing demand for socially provided care exceeds the resources available (Council and NHS)  <b>(DE1)</b>	Strategic Director Families & Wellbeing	Budget gap could increase Criteria for support might need to be tightened	<ul style="list-style-type: none"> <li>Enhanced monitoring and reporting arrangements</li> </ul>	<b>4</b>	<b>4</b>	<b>16</b>	<ul style="list-style-type: none"> <li>Manage demand (provide greater information and signposting)</li> <li>Develop alternative models of early intervention and prevention</li> <li>Work collaboratively with partners</li> </ul>	<ul style="list-style-type: none"> <li>Strategic Director Families and Wellbeing</li> <li>Strategic Director Families and Wellbeing</li> <li>Strategic Director Families and Wellbeing</li> </ul>
Poor lifestyle choices continue to adversely affect public health and require different public provision  <b>(DE2)</b>	Director of Policy, Performance & Public Health	Health inequalities remain. Increasing demands on health and care services	<ul style="list-style-type: none"> <li>Role of sports development service</li> <li>Health &amp; Wellbeing Board provides focus and a forum for collaboration</li> </ul>	<b>4</b>	<b>3</b>	<b>12</b>	<ul style="list-style-type: none"> <li>Develop the Health &amp; Wellbeing Board</li> </ul>	<ul style="list-style-type: none"> <li>Director of Policy, Performance &amp; Public Health</li> </ul>
Failure to equip the community to be more self-reliant <b>(DE3)</b>	Chief Executive	Demands on our decreasing resources might not reduce Needs might go unmet		<b>3</b>	<b>3</b>	<b>9</b>	<ul style="list-style-type: none"> <li>Work to change the mindset of staff and the community</li> </ul>	

Risk Description	Lead Officer	Potential Impact	Principal Controls (Current)	Residual Risk Scores			Principal Controls (Planned)	Responsibility and Date
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**Technological**

Technological advance leads to digital exclusion of individuals and businesses  <b>(TE1)</b>	Strategic Director Regeneration & Environment	Those who could benefit most from information and services available online will not do so Impact on SMEs ability to build & develop their business. (They are less likely to maximise usage of the internet )	<ul style="list-style-type: none"> <li>• Council is leading a partnership approach to increasing digital inclusion ('Go ON Wirral').</li> <li>• Wirral Digital Inclusion Plan</li> </ul>	<b>4</b>	<b>3</b>	<b>12</b>	<ul style="list-style-type: none"> <li>• Community learning; training and IT skills</li> <li>• Work with partners to increase the network of publicly accessible PCs &amp; Internet</li> <li>• Council project to encourage access to Council services online</li> <li>• Network of digital business champions</li> <li>• Increasing availability of free Wi-Fi</li> <li>• NGA superfast broadband project</li> </ul>	<ul style="list-style-type: none"> <li>• Strategic Director Regen. &amp; Environment</li> <li>• Strategic Director Regen. &amp; Environment</li> <li>• Strategic Director Regen. &amp; Environment</li> <li>• Strategic Director Regen. &amp; Environment</li> <li>• Strategic Director Regen. &amp; Environment</li> </ul>
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Risk Description	Lead Officer	Potential Impact	Principal Controls (Current)	Residual Risk Scores			Principal Controls (Planned)	Responsibility and Date
				Impact	Likelihood	Total		
<b>Environmental</b>								
Failure to maintain/protect the environment and provide suitable sites for employment and housing deters inward investment  <b>(EN1)</b>	Strategic Director Regeneration & Environment	The local economy does not grow	<ul style="list-style-type: none"> <li>Investment Strategy</li> <li>Housing Strategy</li> </ul>	4	3	12	<ul style="list-style-type: none"> <li>Deliver LDF plan</li> </ul>	<ul style="list-style-type: none"> <li>Strategic Director Regen. &amp; Environment</li> </ul>
Growing incidence of extreme weather events  <b>(EN2)</b>	Strategic Director Regeneration & Environment	Flood risk could rise Council's operating costs could increase (e.g. winter maintenance) Disruption to services	<ul style="list-style-type: none"> <li>Wirral Flood &amp; Water Management Risk Partnership</li> <li>Merseyside Strategic Flood &amp; Coastal Risk Management Committee</li> <li>NW Regional Flood &amp; Coastal Committee – Cab Portfolio Member (Cllr Harry Smith) is a standing member</li> <li>Contribute to existing NW RFCC levy scheme.</li> </ul>	4	3	12	<ul style="list-style-type: none"> <li>Progress implementation of the Wirral Flood Risk Partnership action plan.</li> <li>Wirral Coastal Strategy 2013 – resultant Action Plan which identifies 4 areas where intervention is required within 20 years</li> <li>Wirral Emergency Volunteers Scheme – Flood</li> </ul>	<ul style="list-style-type: none"> <li>Health Safety &amp; Resilience team (ongoing)</li> <li>Coast Protection team (Neil Thomas) - by 2034</li> <li>Health Safety &amp; Resilience team (April 2014)</li> </ul>

			<ul style="list-style-type: none"> <li>• Merseyside Local Resilience Forum (Multi-Agency) &amp; Wirral Council Flooding &amp; Adverse Weather Response Plans</li> <li>• Met Office and Env Agency weather and flood alerting systems – council cascade to partner agencies</li> </ul>				<p>Wardens</p> <ul style="list-style-type: none"> <li>• Surface Water Investigation work (RFCC Levy Bid for works to be delivered in 2014/15)</li> <li>• Merseyside LRF Flooding Response Exercise 2014</li> </ul>	<ul style="list-style-type: none"> <li>• Drainage &amp; Development team</li> <li>• Health Safety &amp; Resilience team (2014)</li> </ul>
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Risk Description	Lead Officer	Potential Impact	Principal Controls (Current)	Residual Risk Scores			Principal Controls (Planned)	Responsibility and Date
				Impact	Likelihood	Total		
<b>Policy</b>								
Growth of academies / free schools complicates our ability to raise educational attainment and provide skills  <b>(PO1)</b>	Strategic Director Families & Wellbeing	Impact on children's health (if schools do not see themselves as partners) Reduced grant Reduced buy back of traded services Serious issues at schools might only become apparent at a late stage, creating turbulence, with LA having only limited powers Change in LA status could alter existing very positive relationships with schools	<ul style="list-style-type: none"> <li>• Dialogue with schools becoming Academies</li> <li>• Retention of support networks e.g Cluster Headteacher Groups</li> <li>• Traded Support Services offered to all schools, including Academies</li> <li>• Existing structures (e.g. WASH, WISP, Children's Trust Board) provide focus and forums for collaboration</li> </ul>	<b>3</b>	<b>3</b>	<b>9</b>	<ul style="list-style-type: none"> <li>• More proactive trading of council services to Academies</li> <li>• Exploring with schools grouped Academy structures</li> <li>• Facilitating continuing dialogue with schools re Academy options</li> </ul>	<ul style="list-style-type: none"> <li>• Director of Children's Services</li> <li>• Director of Children's Services</li> <li>• Director of Children's Services</li> </ul>
Uncertainty over funding post 2016  <b>(PO2)</b>	Director of Resources	Budget gap could increase	<ul style="list-style-type: none"> <li>• Available intelligence is gathered at an early stage (LGA and Sigoma)</li> </ul>	<b>5</b>	<b>4</b>	<b>20</b>	<ul style="list-style-type: none"> <li>• Develop alternative sources of revenue (grow the economy)</li> <li>• Introduce business rate modelling</li> </ul>	<ul style="list-style-type: none"> <li>• Strategic Director Regen. &amp; Environment</li> <li>• Director of Resources</li> </ul>