

Wirral Metropolitan Borough Council

Analysis of Corporate Risks by Category (Following Q2 review on 27 October 2014)

Internal

Category	Number	Descriptions	Risk Score
Financial	2	Failure to deliver within budgets (F11)	12
		Major fraud or corruption (F12)	6
Governance	8	Failure to remodel the Council (GO1)	8
		Failure to establish governance arrangements that support change (GO2)	6
		Internal policies & procedures could delay change (GO3)	6
		Failure to identify potential changes to government policy early enough to influence and respond (GO4)	6
		Failure to maintain a focus on economic growth (GO5)	8
		Failure to punch above our weight (GO6)	4
		Use of untried / untested models (GO7)	12
		The retirement of the Chief Executive could create a short term capacity problem and uncertainty about the Council's future strategic direction (GO8)	To be scored
People	5	Scale and pace of change could exceed organisational capacity (PE1)	12
		Skills within the Council could be insufficient (PE3)	8
		Failure to ensure that the culture of the organisation supports the future operating model (PE4)	9
		A failure in health and safety management (PE5)	8
		Failure to ensure sufficient capacity and technical knowledge to deliver effective and compliant commissioning and procurement (PE6)	12
Data and Information	3	Quality and availability of data & intelligence (DA1)	9
		A failure in information governance (DA2)	8
		Withdrawal of support for the content management system could affect the security and effectiveness of the Council's web-site (DA3)	12
Partnership / Contractual	2	Failure to ensure resilience and cohesion in key partnerships (PA2)	9
		Failure of a major provider (PA4)	12
Customer / Citizen	1	Inadequate safeguarding arrangements (CU1)	15
Physical	3	A major physical incident compromises the delivery of essential services (PH1)	8
		New IT systems/hardware not implemented in time (PH2)	9
		Sustained catastrophic failure in IT systems (PH3)	10
Total number	24		

External

Category	Number	Descriptions	Score
Economic	1	Welfare Reforms (EC2)	16
Social	3	Increasing demand for socially provided care (SO1)	16
		Poor lifestyle choices adversely affect public health (SO2)	12
		Failure to equip the community to be more self-reliant (SO3)	9
Technological	1	Technological advance leads to digital exclusion (TE1)	12
Environmental	1	Growing incidence of extreme weather events (EN2)	12
Legal / Regulatory	1	Growth of academies / free schools (LE1)	9
Total number	7		

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 PE6	16 EC2, SO1	20
	Medium (3)	3	6	9 PE4, DA1, PA2, PH2, SO3	12 FI1, GO7, PE1, PA4, SO2, TE1, EN2, DA3	15 CU1
	Low (2)	2	4 GO3, GO6	6 FI2, GO2, GO4, LE1	8 GO1, GO5, PE3, PE5, DA2, PH1	10 PH3
	Very Low (1)	1	2	3	4	5

Corporate Risks 2014-15 (As at 27 October 2014)

Internal

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

Financial

Failure to deliver within immediate and long term budgets (F11)	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"> Corporate Plan reflects financial challenge Delivery of budget options projects being progressed Fortnightly meetings of Budget Steering Group Weekly meeting of 'Future Council' Governance Board Monthly monitoring of savings Budget tracker introduced and oversight exercised by budget tracking board 	4	3	12	<ul style="list-style-type: none"> Re-model early intervention and prevention services to ensure we manage demand efficiently and community based care effectively Embed a strategic approach to commissioning Progress opportunities for joint commissioning with health partners Care Bill modelling and preparation for implementation in 2015/16 Review of specialist rates for supported living and (LD/MH) for residential and nursing care Support the implementation of Future Council 	<ul style="list-style-type: none"> Strategic Director – Families & Wellbeing (March 2015) Strategic Director – Families & Wellbeing (March 2015) Strategic Director – Families & Wellbeing (Ongoing) Strategic Director – Families & Wellbeing (March 2015) Strategic Director – Families & Wellbeing (March 2015) Strategic Director Transformation & Resources
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Risk Description	Lead Officer	Potential Impact	Principal Controls (Existing)	Current Risk Scores			Principal Controls (Planned)	Responsibility and Date
				3	2	6		
Major fraud or corruption (FI2)	Strategic Director Transformation & Resources	Significant financial cost (depends on nature of incident(s), damage to reputation)	<ul style="list-style-type: none"> • Counter Fraud and Corruption Policy • Whistle Blowing Policy • Counter Fraud Plan and trained investigator • Participation in National Fraud Initiative • Codes of conduct for Members and officers • Financial Procedure Rules • Contract Procedure Rules • Sound Internal Control systems • Effective recruitment and selection • Benefits Fraud Investigation team with trained investigators • Procedures for the Declaration of Conflict of Interests, Gifts and Hospitality and Pecuniary Interests • Mandatory training 	3	2	6	<ul style="list-style-type: none"> • Implement counter fraud action plan • Develop Corporate Counter Fraud Strategy • Update and deliver on-line fraud training programme • Establish facility for on-line reporting by MOP • Introduce positive vetting of new employees • Introduce anti fraud statement into recruitment form • Seek DCLG funding to establish a 'Mersey Region Fraud Hub' 	<ul style="list-style-type: none"> • Director of Resources • Director of Resources (October / November 2014) • Director of Resources (tbc) • Director of Resources (October / November 2014) • All Strategic Directors (March 2015) • Strategic Director Transformation & Resources (March 2015) • Director of Resources (tbc)

			<p>programme</p> <ul style="list-style-type: none">• Use of declarations and fair processing notices• Disciplinary procedures					
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Risk Description	Lead Officer	Potential Impact	Principal Controls (Existing)	Current Risk Scores			Principal Controls (Planned)	Responsibility and Date
Governance								
Failure to remodel the Council to meet its future challenges (GO1)	Chief Executive	Services might not be delivered to required standards. Needs could go unmet Potential government intervention Damage to reputation	<ul style="list-style-type: none"> Wirral's vision is set out in Corporate Plan CESG focus on coherent new model Revised contract procedure rules introduced Robust technical design principles Robust project and risk management arrangements for 'Future Council' programme 	4	2	8	<ul style="list-style-type: none"> Implement programme of ICT improvements Implement new Asset Management Plan Embed a strategic approach to commissioning Support the implementation of the Future Council Programme 	<ul style="list-style-type: none"> Director of Resources Head of Universal & Infrastructure Services Strategic Director – Families & Wellbeing (March 2015) Strategic Director Transformation & Resources - ongoing
Internal policies and procedures could delay change (GO3)	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"> New Members briefing and decision-making processes implemented Scheme of Delegation / Member Officer protocol updated Code of Corporate Governance revised Weekly meeting of 'Future Council' Governance Board Robust governance arrangements for 'Future Council' programme 	2	2	4	<ul style="list-style-type: none"> Further embed the new Constitution Monitor compliance with revised financial regulations and new Contract Procedure rules 	<ul style="list-style-type: none"> Strategic Director Transformation & Resources Director of Resources (Internal Audit)

Risk Description	Lead Officer	Potential Impact	Principal Controls (Existing)	Current Risk Scores			Principal Controls (Planned)	Responsibility and Date
				Impact	Likelihood	Total		
<p>Failure to establish governance arrangements that support wholesale change and enable difficult decisions to be taken</p> <p>(GO2)</p>	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"> Revised Constitution in place Scheme of Delegation rolled out Cohesive CESG Closer working with Cabinet New Members briefing and decision-making processes implemented Leaders Board established Member development programme Revised corporate risk management policy adopted New Corporate Governance Group formalised 	3	2	6	<ul style="list-style-type: none"> Further embed the new Constitution Joint Cabinet / CSG sessions 	<ul style="list-style-type: none"> Head of Legal & Democratic Services Chief Executive (ongoing)

Risk Description	Lead Officer	Potential Impact	Principal Controls (Existing)	Current Risk Scores			Principal Controls (Planned)	Responsibility and Date
				Impact	Likelihood	Total		
Failure to identify potential changes to government policy and legislation early enough to influence and respond (GO4)	Chief Executive Strategy Group	Opportunities could be missed. Council might be slow to react (e.g. IER)	<ul style="list-style-type: none"> • Work of the Policy Unit • Policy network established • Regular policy briefings provided to Senior Officers and Members • Performance Management and Business Intelligence resource • Regular item on CSG agenda 	3	2	6	<ul style="list-style-type: none"> • Increased visibility of political and executive leaders with national government 	

Risk Description	Lead Officer	Potential Impact	Principal Controls (Existing)	Current Risk Scores			Principal Controls (Planned)	Responsibility and Date
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<p>Failure to maintain a focus on economic growth</p> <p>(G05)</p>	Strategic Director Regeneration & Environment	<p>Wirral would potentially miss key opportunities for economic growth. Less positive reputation with Government, investors and partners. Insufficient suitable sites for employment and housing. Multiple negative impacts on the community.</p>	<ul style="list-style-type: none"> Investment Strategy Investment Strategy Board Priority within Corporate Plan 	4	2	8	<ul style="list-style-type: none"> ERDF business growth programme Regional Growth Fund projects Policy & Performance committee—scrutiny function Capitalise on the success of the 'Open' Implement Investment Strategy delivery plan Continue lobbying as an authority and as part of LCR for national availability of match funding Marketing activity - implementing the Inward Investment Targeting Plan 	<ul style="list-style-type: none"> Strategic Director Regeneration & Environment Strategic Director Regeneration & Environment Strategic Director Regeneration & Environment Strategic Director Regeneration & Environment Strategic Director Regeneration & Environment Strategic Director Regeneration & Environment Head of Neighbourhoods and Engagement

Risk Description	Lead Officer	Potential Impact	Principal Controls (Existing)	Current Risk Scores			Principal Controls (Planned)	Responsibility and Date
				Impact	Likelihood	Total		
A failure to maximise our influence with key stakeholders limits our ability to capitalise on opportunities (GO6)	Chief Executive	Opportunities (government and private sector) might be missed.	<ul style="list-style-type: none"> Chief Executive and senior members / officers engage outside Wirral with national decision-makers Leader of the Council's role as chair of the Combined Authority LEP membership CX influence via LCR Chief Executive group 	2	2	4		
Use of untried / untested models (mutuals, social enterprises, shared services) (GO7)	Strategic Director Trans & Resources	Possible service failures Needs could go unmet Damage to reputation Increased costs	<ul style="list-style-type: none"> Transformational Change projects based on robust business cases Learning from other local authorities Accessing external expertise (legal, financial and operational) 	4	3	12	<ul style="list-style-type: none"> Embed a strategic approach to commissioning 	<ul style="list-style-type: none"> Strategic Director – Families & Wellbeing (March 2015)

Risk Description	Lead Officer	Potential Impact	Principal Controls (Existing)	Current Risk Scores			Principal Controls (Planned)	Responsibility and Date
				Impact	Likelihood	Total		
The retirement of the Chief Executive could create a short term capacity problem and uncertainty about the Council's future strategic direction (GO8)		Short term capacity problem Uncertainty about the Council's strategic direction	<ul style="list-style-type: none"> • Strategic Directors and Assistant Chief Executive remain in post • CESG operate as a management unit • Business continuity plan 				<ul style="list-style-type: none"> • Progress recruitment of new Chief Executive • Invoke temporary arrangements • Ensure key budget decisions are taken promptly • Use capacity of strategic directors 	<ul style="list-style-type: none"> • CESG and Cabinet • CESG • CESG and Cabinet • CESG

Risk Description	Lead Officer	Potential Impact	Principal Controls (Existing)	Current Risk Scores			Principal Controls (Planned)	Responsibility and Date
				Impact	Likelihood	Total		
People								
The scale and pace of change required could exceed our organisational capacity – especially in key areas (PE1)	Strategic Director - Trans & Resources	Failure to remodel the organisation Possible delay to critical projects Behavioural change might be difficult to achieve Damage to reputation Political impact	<ul style="list-style-type: none"> • Full senior management team in place • New governance model for programme management • Focus of Change Team • Change agent programme • Matrix management arrangements adopted • Weekly project review meetings (Future Council) 	4	3	12	<ul style="list-style-type: none"> • Project leads to establish detailed resource plan for each element / stage of Future Council programme 	
Skills within the Council could be insufficient to support our future operating model (PE3)	Strategic Director - Trans & Resources	Possible service failures. Benefits from re-modelling might not be realised. Lack of ownership.	<ul style="list-style-type: none"> • Redeployment training support in place • Change agent programme • Leadership and Management Development Programmes • Performance Appraisals for senior managers • Future Council modelling has been based on stress testing 	4	2	8	<ul style="list-style-type: none"> • Continue Leadership Development Programme • Continue Management Development Programme • Roll out Performance Appraisals to all staff 	<ul style="list-style-type: none"> • Strategic Director Transformation & Resources (ongoing) • Strategic Director Transformation & Resources (ongoing) • Strategic Director Transformation & Resources (Jun to Aug 2014)

Risk Description	Lead Officer	Potential Impact	Principal Controls (Existing)	Current Risk Scores			Principal Controls (Planned)	Responsibility and Date
				Impact	Likelihood	Total		
<p>Failure to ensure that the culture of the organisation supports the future operating model</p> <p>(PE4)</p>	Strategic Director - Trans & Resources	Change needed might not be delivered. Benefits of governance improvements might not be realised	<ul style="list-style-type: none"> • Link of values to behaviours in Performance Appraisal • Change agent programme 	3	3	9	<ul style="list-style-type: none"> • Design / implement cultural change programme • Continue Leadership Development Programme • Continue Management Development Programme • Roll out Performance Appraisals to all staff • Respond to the 2013/14 Staff Survey 	<ul style="list-style-type: none"> • Strategic Director Transformation & Resources • Strategic Director Transformation & Resources (ongoing) • Strategic Director Transformation & Resources (ongoing) • Strategic Director Transformation & Resources (Ongoing) • Head of Neighbourhoods and Engagement and Head of Human Resources & OD

Risk Description	Lead Officer	Potential Impact	Principal Controls (Existing)	Current Risk Scores			Principal Controls (Planned)	Responsibility and Date
				Impact	Likelihood	Total		
A failure in health and safety management leading to death or serious injury (PE5)	Head of Universal & Infrastructure Services	Significant financial cost, possible civil and criminal proceedings (corporate manslaughter), damage to reputation	<ul style="list-style-type: none"> • Register of corporate H&S risks • Corporate H&S policy specifies management roles & responsibilities, specific management arrangements have been developed • Legislative Compliance Audit programme & Fire Risk Assessments of all Council premises • Programme of auditing management compliance against H&S policy • Delivery of essential emergency training for fire and first aid • H&S Officers investigate all significant accidents & incidents, including ELI claims • Specific H&S training • Health surveillance arrangements for occupational health risks • Delivery of (IOSH) Managing Safely training to Managers and Supervisors below HoS 	4	2	8	<ul style="list-style-type: none"> • Continuous review and develop of H&S arrangements • Continuing programme of compliance audits of H&S policy • Maintaining health surveillance programme for occupational health risks • Continuous programmed assessment of legislative compliance and fire risk at all Council premises • Senior management teams H&S training programme 	<ul style="list-style-type: none"> • Head of Universal & Infrastructure Services (ongoing) • Head of Universal & Infrastructure Services (ongoing) • Head of Universal & Infrastructure Services (ongoing) • Head of Universal & Infrastructure Services (ongoing) • Head of Universal & Infrastructure Services (2014)

Risk Description	Lead Officer	Potential Impact	Principal Controls (Existing)	Current Risk Scores			Principal Controls (Planned)	Responsibility and Date
				Impact	Likelihood	Total		
Failure to ensure sufficient capacity and technical knowledge to deliver effective and compliant commissioning and procurement (PE6)	Director of Resources	Impact on ability to introduce effective commissioning and deliver planned savings Challenge from external markets	<ul style="list-style-type: none"> • Staff development and training • Recruitment and retention policies • Review of structure 	3	4	12	<ul style="list-style-type: none"> • Acceleration of recruitment • Re-allocation of staff with necessary skills • Use of temporary staff 	<ul style="list-style-type: none"> • Head of HR & OD • Director of Resources/Head of Procurement • Director of Resources/Head of Procurement

Risk Description	Lead Officer	Potential Impact	Principal Controls (Existing)	Current Risk Scores			Principal Controls (Planned)	Responsibility and Date
				Impact	Likelihood	Total		
Data and Information								
Quality and availability of data and intelligence could be insufficient to enable us to design services & target effective interventions (DA1)	Director of Policy, Performance & Public Health	Financial inefficiency Needs could go unmet Negative impact on the quality of commissioning	<ul style="list-style-type: none"> Performance Management and Business Intelligence resource within Policy, Performance and Public Health function Provision of dashboard reports to Policy & Performance committees Breadth and depth of data from Service Reviews 	3	3	9	<ul style="list-style-type: none"> Implement new case management system across both Adult and Children services Implement Data Warehouse Enhance Corporate Governance Group 	<ul style="list-style-type: none"> Strategic Director – Families & Wellbeing (August 2014) Director of Policy, Performance & Public Health (August 2015) Strategic Director - Transformation & Resources
Withdrawal of support for the content management system could affect the security and effectiveness of the Council's web-site (DA3)	Head of N'hoods and Engagement	Site would become more vulnerable Functionality of the site would deteriorate	<ul style="list-style-type: none"> Development of upgraded site Rationalisation of site content 	4	3	12	<ul style="list-style-type: none"> Develop a plan for an early upgrade to the web-site Review of plan Re-prioritise resources 	<ul style="list-style-type: none"> Director of Resources / Head of N'hoods & Engagement Director of Resources / Head of N'hoods & Engagement Director of Resources / head of N'hoods & Engagement

Risk Description	Lead Officer	Potential Impact	Principal Controls (Existing)	Current Risk Scores			Principal Controls (Planned)	Responsibility and Date
				Impact	Likelihood	Total		
A failure in information governance leading to a significant disclosure of sensitive information (DA2)	Strategic Director Trans & Resources	Distress and inconvenience to those affected. Criminal and civil proceedings against the Council. Damage to the Council's reputation	<ul style="list-style-type: none"> Information Governance Board and Information Governance Operational Group established Guidance on information handling/security circulated Technical ICT controls Independent security assessments of the council's ICT infrastructure PSN accreditation attained Training delivered to Members and key officers on information governance IG communications for non-IT users developed IG checklist for departments/managers developed Training delivered to IAOs Level 2 IG toolkit accreditation achieved 	4	2	8	<ul style="list-style-type: none"> Annual refresh of training for managers and key staff Implement the Information Governance Action Plan Secure all council mobile and printing devices Implement technical solution to protectively monitor the council's ICT infrastructure All staff to undertake background checks to comply with BPSS Centralise IG policies and procedures and risks 	<ul style="list-style-type: none"> Strategic Director - Transformation & Resources (Dec 2014) Strategic Director - Transformation & Resources Strategic Director - Transformation & Resources (ongoing) Strategic Director - Transformation & Resources (Ongoing to March 2015) Strategic Director - Transformation & Resources (2015) Strategic Director - Trans & Resources (September 2014)

Risk Description	Lead Officer	Potential Impact	Principal Controls (Existing)	Current Risk Scores			Principal Controls (Planned)	Responsibility and Date
				Impact	Likelihood	Total		
Partnerships								
Failure to ensure resilience and cohesion in key partnerships (PA2)	Strategic Director - Trans & Resources	Potential service failures and gaps in provision. Needs could go unmet. Possible duplication / inefficient use of effort / resources. Cost 'shunting'. Increased demands on the Council because others cannot help.	<ul style="list-style-type: none"> • Health & Wellbeing Board established • Local Public Sector Board established • Support for Combined Authority 	3	3	9	<ul style="list-style-type: none"> • Develop the Local Public Sector Board and Health & Wellbeing Board • Conduct a review of partnerships • Develop a register of key partnerships • Refresh partnership toolkit 	<ul style="list-style-type: none"> • Director of Public Health, Policy & Performance • Chief Executive • Strategic Director - Transformation & Resources • Strategic Director - Transformation & Resources

Risk Description	Lead Officer	Potential Impact	Principal Controls (Existing)	Current Risk Scores			Principal Controls (Planned)	Responsibility and Date
				Impact	Likelihood	Total		
Failure of a major provider (private, public or voluntary, community and faith sector) or partner leading to interruption of service (PA4)	Chief Executive	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"> External suppliers identified and position statement compiled as to their arrangements Procurement Strategy and the agreed procurement process checks on potential contractor. Contract and performance management arrangements Monitoring of contract delivery by Strategic Directors Linkages to Business Continuity arrangements 	4	3	12	<ul style="list-style-type: none"> 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 Ensure all external suppliers / contractors provide a position statement in regard to their individual business continuity plans on a two yearly basis Incorporate an annual financial check is as part of the regular contract performance management arrangements 	<ul style="list-style-type: none"> Head of Universal & Infrastructure Services (2014 onwards) Head of Universal & Infrastructure Services Head of Universal & Infrastructure Services

Risk Description	Lead Officer	Potential Impact	Principal Controls (Existing)	Current Risk Scores			Principal Controls (Planned)	Responsibility and Date
				Impact	Likelihood	Total		
Customer / Citizen								
Failure to ensure adequate safeguarding arrangements, exposing children or vulnerable adults to greater risk of abuse or exploitation (CU1)	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"> Local Safeguarding Children Board and Safeguarding Adults Partnership Board monitor serious case review action plans. Business priorities for the WSCB monitored through the WSCB Executive Weekly performance monitoring of changes to contact and referral taking in CADT. Reports to CESG and strategic Directors DMT on Corporate Safeguarding performance. National Notification of Serious Child Care Incidents to OFSTED. Continuing programme for disseminating learning from serious child care incidents. Monthly meetings of the Merseyside Child Death Overview Panel. Continuing review of S118 IRO applications. 	5	3	15	<ul style="list-style-type: none"> Implement Signs of Safety as a framework for safeguarding children by November 2014 and to evaluate impact by March 2015. Support Council staff and partners in learning from best practice and serious/critical case reviews. Deliver a customer focused response to complaints that leads to improvements in practice and evaluate Establish an effective Multi Agency Safeguarding Hub for vulnerable children and adults and evaluate. 	<ul style="list-style-type: none"> Strategic Director - Families & Wellbeing (Nov 2014 to March 2015) Strategic Director - Families & Wellbeing (Nov 2014 to March 2015) Strategic Director - Families & Wellbeing (Dec 2014 to March 2015) Strategic Director - Families & Wellbeing (Sep 2014 to March 2015)

			<ul style="list-style-type: none"> • Market supplement is paid to social workers in hard to recruit and retain posts. • Reviews carried out by District Managers of children / young people known to a number of different agencies • High-level multi-agency review of individuals leading to improved, and consistently applied multi-agency risk management process and targeted support to be put in place to pre-empt, where possible, escalation of identified areas of concern. • Strategic Review Process implemented for contracted providers giving cause for concern • Joint Domestic Violence sub committee of the SAPB and LSCB established 				<ul style="list-style-type: none"> • Implement 'Making Safeguarding Personal' (MSP) and evaluate its impact 	<ul style="list-style-type: none"> • Strategic Director - Families & Wellbeing (May 2014 to March 2015)
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Risk Description	Lead Officer	Potential Impact	Principal Controls (Existing)	Current Risk Scores			Principal Controls (Planned)	Responsibility and Date
				Impact	Likelihood	Total		
Physical								
A major physical incident could compromise the delivery of essential services (PH1)	Deputy Chief Executive / Head of Universal & Infrastructure Services	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"> • Dedicated Health, Safety & Resilience Team provides support and guidance with 24/7 duty officer cover • External Partner organisations and suppliers identified and position statement complied as to their arrangements • Awareness sessions delivered to key staff • Exercises conducted to test efficiency of plans • Departmental business continuity plans in place for critical service areas • Wirral Business Continuity Plan • Wirral Flood and Water Management Partnership formed • Review of winter maintenance arrangements conducted. • Merseyside Community Risk Register • Business interruption and Loss of Revenue insurance 	4	2	8	<ul style="list-style-type: none"> • Increase the number of Duty Officers • CSG Training and Exercising programme • Continue to review and capture any lessons learnt from incidents and exercises. • Introduction of a Wirral emergency Volunteer Scheme • Arrange refresher training on service continuity planning and management • Gain agreement to and implement a revised corporate business continuity policy 	<ul style="list-style-type: none"> • Head of Universal & Infrastructure Services (ongoing throughout 2014) • Head of Universal & Infrastructure Services (various dates throughout 2014) • Head of Universal & Infrastructure Services • Head of Universal & Infrastructure Services • Head of Universal & Infrastructure Services • Head of Universal & Infrastructure Services

Risk Description	Lead Officer	Potential Impact	Principal Controls (Existing)	Current Risk Scores			Principal Controls (Planned)	Responsibility and Date
				Impact	Likelihood	Total		
<p>Failure to implement new IT systems / hardware in time to support the new Council model</p> <p>(PH2)</p>	Director of Resources	<p>Benefits of the new operating model might not be realised.</p> <p>Costs could increase</p> <p>Possible service failures</p> <p>Unreliable data</p>	<ul style="list-style-type: none"> Replacement / upgrade projects agreed as part of 'Future Council' programme Control and monitoring meetings for all projects within ICT improvement programme Temporary engagement of Strategic IT Advisor to provide direction and capacity Initial group of servers implemented 	3	3	9	<ul style="list-style-type: none"> Implement programme of ICT improvements (including refresh of hardware) Recruit to newly created senior IT post Implement a new case management system across both Adult and Children services Implement Windows 7 & Office 2010 across the Council 	<ul style="list-style-type: none"> Director of Resources (December 2014) Director of Resources Strategic Director – Families & Wellbeing (October) Director of Resources – (December 2014)
<p>A sustained catastrophic failure in the Council's ICT systems (PH3)</p>	Strategic Director Trans & Resources	<p>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 government</p>	<ul style="list-style-type: none"> Second machine room Fire suppressant system in rooms Additional backup /security based at Cheshire Lines implemented 	5	2	10	<ul style="list-style-type: none"> Implement programme of ICT improvements Review of IT service continuity arrangements 	<ul style="list-style-type: none"> Director of Resources (December 2014) Director of Resources (tbc)

External
Economic

Risk Description	Lead Officer	Potential Impact	Principal Controls (Existing)	Current Risk Scores			Principal Controls (Planned)	Responsibility and Date
				Impact	Likelihood	Total		
Welfare Reforms (EC2)	Chief Executive	Adverse effect on individuals and the local economy. Increase in demands on Council services.	<ul style="list-style-type: none"> • Ongoing Council-led strategic approach to assess the implications and prepare effective policy & delivery response e.g. through WEDS & Welfare Reform partnership • Discretionary Funds Housing Payment Fund for those on Housing Benefit impacted by the reforms inc. under occupancy • Localised Welfare Assistance Scheme for those impacted directly or indirectly and at risk • Collaborative working with social and rented sector landlord stakeholders • Collaborative working with DWP Local Partnership Lead • Delivery Partnership Agreement with DWP to April 2015 	4	4	16	<ul style="list-style-type: none"> • Develop and deliver a Welfare Reform Dashboard • Deliver additional activity through a Local Partnership Framework • Undertake regular impact assessments • Local Welfare Assistance Member Task and Finish Group for post March 2015 continued support as specific funding ends • UC continued live roll-out of national scheme, related engagement with DWP those accessing and impacted upon by this Reform. Local Delivery Partnership Agreement – Nov 2014 review 	<ul style="list-style-type: none"> • To be confirmed • Strategic Director Regeneration & Environment • Strategic Director Regen & Env • Strategic Director – Transformation & Resources • Strategic Director – Transformation & Resources

Risk Description	Lead Officer	Potential Impact	Principal Controls (Existing)	Current Risk Scores			Principal Controls (Planned)	Responsibility and Date
				Impact	Likelihood	Total		
Social								
<p>Increasing demand for socially provided care exceeds the resources available (Council and NHS)</p> <p>(SO1)</p>	Strategic Director Families & Wellbeing	Budget gap could increase	<ul style="list-style-type: none"> • Vision 2018 programme • Integrated Care programme • Joint Commissioning arrangements with the CCG • Enhanced monitoring and reporting arrangements • Joint Carers Strategy between Social Care and Health 	4	4	16	<ul style="list-style-type: none"> • Re-model early intervention and prevention services to ensure we manage demand efficiently and community based care effectively • Implement 7 Day Working within the Integrated Discharge Team and Care Arranging Team • Enhance market capacity to prevent avoidable hospital admissions and supporting timely hospital discharges 	<ul style="list-style-type: none"> • Strategic Director – Families & Wellbeing (March 2015) • Strategic Director – Families & Wellbeing (Q2 2014/15) • Strategic Director – Families & Wellbeing (April 2014)

Risk Description	Lead Officer	Potential Impact	Principal Controls (Existing)	Current Risk Scores			Principal Controls (Planned)	Responsibility and Date
				Impact	Likelihood	Total		
Poor lifestyle choices continue to adversely affect public health and require different public provision (SO2)	Director of Policy, Performance & Public Health	Health inequalities remain. Increasing demands on health and care services	<ul style="list-style-type: none"> Commissioned lifestyle services (i.e. stop smoking services, weight management, drugs and alcohol services) Role of sports development service Health & Wellbeing Board provides focus and a forum for collaboration Vision 2018 work stream on early intervention and prevention 	4	3	12	<ul style="list-style-type: none"> Develop a new Public Health strategy for 2015-20 Conduct four health promotion campaigns – Stoptober, National Smile Week, Dry January and Mental Health Awareness Week 	<ul style="list-style-type: none"> Director of Public Health (March 2015) Director of Public Health (various)

Risk Description	Lead Officer	Potential Impact	Principal Controls (Existing)	Current Risk Scores			Principal Controls (Planned)	Responsibility and Date
				Impact	Likelihood	Total		
Failure to equip the community to be more self-reliant (SO3)	Chief Executive	Demands on our decreasing resources might not reduce Needs might go unmet	<ul style="list-style-type: none"> Asset based community development (ABCD) projects Public sector transformation network Existing support through the Voluntary, Community and Faith sectors Engagement of individuals and groups through Constituency Committees Direct Payments Advisory Service commissioned (supporting people to have enhanced choices and control through personalisation) Wirral emergency Volunteer Scheme established 	3	3	9	<ul style="list-style-type: none"> Develop the local approach to ABCD via Constituency Committees Delivery of the IFIP programme Create a social enterprise delivery vehicle for disability services 	<ul style="list-style-type: none"> Director of Public Health (June 2015) Strategic Director – Families & Wellbeing (Dec 2014 to Sep 2015) Strategic Director – Families & Wellbeing (July 2014 to April 2015)

Risk Description	Lead Officer	Potential Impact	Principal Controls (Existing)	Current Risk Scores			Principal Controls (Planned)	Responsibility and Date
				Impact	Likelihood	Total		
Technological								
<p>Technological advance leads to digital exclusion of individuals and businesses</p> <p>(TE1)</p>	Strategic Director Regeneration & Environment	<p>Those who could benefit most from information and services available online will not do so.</p> <p>Impact on SMEs ability to build & develop their business. (They are less likely to maximise usage of the internet)</p>	<ul style="list-style-type: none"> • Council is leading a partnership approach to increasing digital inclusion ('Go ON Wirral'). • Draft Wirral Digital Inclusion Action Plan (under development) • As part of the response to Welfare Reforms, an interactive profile of access and available support has been developed through Wirral Well website 	4	3	12	<ul style="list-style-type: none"> • Roll out of ongoing Community learning; training and IT skills, particularly with Housing partners • Ongoing work with partners to increase the network of publicly accessible PCs & Internet • Council project to encourage access to Council services online • Increasing availability of free Wi-Fi • Merseyside Connected (BDUK) superfast broadband project 	<ul style="list-style-type: none"> • Strategic Director Regeneration & Environment • Strategic Director Regeneration & Environment • Strategic Director Regeneration & Environment • Strategic Director Regen & Environment • Strategic Director Regeneration & Environment

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Environmental								
<p>Growing incidence of extreme weather events</p> <p>(EN2)</p>	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"> • Wirral Flood & Water Management Risk Partnership • Merseyside Strategic Flood & Coastal Risk Management Committee • NW Regional Flood & Coastal Committee • Contribute to existing NW RFCC levy scheme. • Merseyside Local Resilience Forum (Multi-Agency) & Wirral Council Flooding & Adverse Weather Response Plans • Met Office and Env Agency weather and flood alerting systems – council cascade to partner agencies • Wirral Emergency Volunteers Scheme set up 	4	3	12	<ul style="list-style-type: none"> • Progress implementation of the Wirral Flood Risk Partnership action plan. • Wirral Coastal Strategy 2013 – resultant Action Plan identifies 4 areas where intervention is required within 20 years • Surface Water Investigation work (RFCC Levy Bid for works to be delivered in 2014/15) 	<ul style="list-style-type: none"> • Head of Universal & Infrastructure Services • Strategic Director Regeneration & Environment (Coast Protection team) - by 2034 • Drainage & Development team

Risk Description	Lead Officer	Potential Impact	Principal Controls (Existing)	Current Risk Scores			Principal Controls (Planned)	Responsibility and Date
				Impact	Likelihood	Total		
Legal / Regulatory								
<p>Growth of academies / free schools complicates our ability to raise educational attainment and provide skills</p> <p>(LE1)</p>	Strategic Director Families & Wellbeing	<p>Impact on children's health (if schools do not see themselves as partners)</p> <p>Reduced grant</p> <p>Reduced buy back of traded services</p> <p>Serious issues at schools might only become apparent at a late stage, creating turbulence, with LA having only limited powers</p> <p>Change in LA status could alter existing very positive relationships with schools</p>	<ul style="list-style-type: none"> • Dialogue with schools becoming Academies • Retention of support networks e.g Cluster Headteacher Groups • Wirral Education Quality Services (WEQS) offered to all schools, including Academies • Existing structures (e.g. WASH, WISP, Children's Trust Board) provide focus and forums for collaboration 	3	2	6	<ul style="list-style-type: none"> • Exploring with schools grouped Academy structures • Facilitating continuing dialogue with schools re Academy options • Expand and enhance the traded services offer to schools 	<ul style="list-style-type: none"> • Strategic Director – Families & Wellbeing • Strategic Director – Families & Wellbeing • Strategic Director – Families & Wellbeing (March 2015)