

**WIRRAL COUNCIL  
CORPORATE RISK REGISTER  
UPDATE SEPTEMBER 2016**

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

The graphic below shows the managed (current) risk scores for the revised corporate risks plotted on the Council’s corporate risk scoring matrix. This enables the reader to appreciate the significance of each risk relative to all the others. Each risk is indicated by its number, rather than by its full description. For complete descriptions please refer to the individual pages below.

		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 (5)	16 (7)	20
	Medium (3)	3	6	9 (3), (4), (8), (9), (10)	12 (1), (2), (6)	15
	Low (2)	2	4	6	8	10
	Very Low (1)	1	2	3	4	5

## Corporate Risk No. 1 / Financial Resilience

Risk Description		Lead Responsibility				
<p><i>There is considerable uncertainty around the approach of Central Government over the level of future funding across the public sector and the mechanism for its allocation. The continuing review of Welfare Reform could further increase demand. The ability of the Council and its partners to continue to deliver the essential services residents need could be compromised should funding reductions continue as planned, or be accelerated, without substantial action from the Council and its partners.</i></p>		Director of Finance / S151 Officer				
Pledges affected	Impacts					
The availability and use of funding impacts on the delivery of all the Pledges	<ul style="list-style-type: none"> <li>• Short-term actions adversely impact the longer-term outcomes.</li> <li>• Further curtailment of services and /or need to review pledges.</li> <li>• Potential insolvency through lack of planning / action.</li> <li>• Possible intervention and /or take-over of individual services.</li> <li>• Damage to the reputation of the Partnership in the eyes of the community and potential investors.</li> </ul>					
Unmanaged Risk Rating	Impact	5	Likelihood	4	Total	20

Key Existing Controls		Responsibility				
<ul style="list-style-type: none"> <li>• Financial planning, management and reporting</li> <li>• Management of demand</li> <li>• Programmes to reduce costs</li> <li>• Programmes to increase revenue</li> </ul>		Head of Financial Services Strategic Director F&W Strategic Director T&R Strategic Director T&R				
Managed Risk Rating	Impact	4	Likelihood	3	Total	12

Planned Additional Controls		Responsibility
Improving financial management	Introduction of accountability statements	Chief Executive
Reducing costs	Partnership working / integration with Health Enhanced Transformation Programme Working across the Liverpool City Region	Strategic Director F&W Strategic Director T&R Strategic Director T&R
Increasing revenue	Business Rates retention pilot Commercialisation / income maximisation Implementation of Growth Plan	Head of Financial Services Strategic Director T&R Head of Business and Investment

## Corporate Risk No. 2 / Organisation Development and Pace of Transformational Change

Risk Description						Lead Responsibility	
<p><i>The Council is pursuing fundamental change to its design and operating model at the same time as developing cross-boundary and cross-sector alliances and embracing commercialism and innovative solutions to deliver outcomes. It is uncertain whether the Partnership will have available to it the capacity and expertise necessary to deliver transformation at the speed required and maintain day-to-day operations. Particularly given competition for staff from other employers.</i></p>						Strategic Director – Transformation & Resources	
Pledges affected		Impacts					
The risk has the potential to affect the delivery of all Pledges.		<ul style="list-style-type: none"> <li>• Failure to deliver key outcomes</li> <li>• Wasted resources / failure to deliver Medium Term Financial Strategy</li> <li>• Failure to remodel the organisation</li> <li>• Damage to reputation of the Council and its partners</li> </ul>					
Unmanaged Risk Rating		Impact	5	Likelihood	4	Total	20

Key Existing Controls						Responsibility	
Capacity and Expertise	<ul style="list-style-type: none"> <li>• Performance appraisals</li> <li>• Accountability statements</li> <li>• Ad-hoc initiatives -e.g. Children’s Social Work</li> <li>• HR involvement in development of business cases for Alternative Delivery Models</li> </ul>					All - Head of HR & OD	
Transformation	<ul style="list-style-type: none"> <li>• Robust business case process for agreed Transformational Change projects within a gateway framework</li> <li>• Engagement of key stakeholders with clear communication regarding timescales</li> <li>• Risk assessment of current projects and benefits undertaken</li> <li>• Standard approach</li> </ul>					All - Senior Manager - Transformation & Improvement	
Managed Risk Rating		Impact	4	Likelihood	3	Total	12
Planned Additional Controls						Responsibility	
Capacity and Expertise	<ul style="list-style-type: none"> <li>• Development of People Strategy, including culture</li> <li>• Appraisal of resources needed to support Alternative Delivery Models</li> </ul>					All - Head of HR & OD 2016/17	
Transformation	<ul style="list-style-type: none"> <li>• Revised Transformational Change programme agreed and resourced</li> <li>• Implementation of agreed governance to monitor and control delivery</li> <li>• Strengthen programme management arrangements using standardised tools and techniques</li> <li>• Establish a central Transformation Office with clearly defined roles / responsibilities</li> <li>• Align performance reporting for internal and Partnership</li> </ul>					All - Senior Manager - Transformation & Improvement – 2016/17	

## Corporate Risk No. 3 – Partnerships

Risk Description		Lead Responsibility				
<i>The approach within the Wirral Plan is bringing together organisations which have different capabilities, cultures and levels of resilience. The focus of different partners could be affected by their own financial imperatives and the need to answer to a range of stakeholders. The constituent parts of the Partnership could also be affected by future changes in their structures or key personnel.</i>		Chief Executive				
Pledges affected	Impacts					
Impacts on all Pledges.	<ul style="list-style-type: none"> <li>• Damage to the reputation of the Council and partners.</li> <li>• Lack of financial/organisational commitment from Partners</li> <li>• The improved outcomes for Wirral residents would not be achieved.</li> </ul>					
Unmanaged Risk Rating	Impact	4	Likelihood	3	Total	12
Key Existing Controls		Responsibility				
<ul style="list-style-type: none"> <li>• The Wirral Partnership agreed a single Wirral Plan with joint priorities, and committed to a partnership approach with collective actions to deliver it</li> <li>• Partners have lead responsibility for a number of the Pledges and are involved in delivery of all of them</li> <li>• To ensure that a single approach is taken forward, the Partnership Delivery Group (PDG) meets regularly, bringing together Chief Executives of partner organisations to co-design implementation of the Plan and emerging Strategies</li> </ul>		Chief Executive  Chief Executive Chief Executive				
Managed Risk Rating	Impact	3	Likelihood	3	Total	9
Planned Additional Controls		Responsibility				
<ul style="list-style-type: none"> <li>• Implementation of new governance arrangements, to ensure that any issues or challenges in relation to implementation and performance can be pro-actively identified and addressed by relevant mitigating actions.</li> <li>• Development of activity to strengthen the links between the PDG, the defined Partnership Lead Group(s) and the underpinning Pledge Boards/Groups.</li> </ul>		Chief Executive - 2016/17  Chief Executive - 2016/17				

## Corporate Risk No. 4 – Devolution

Risk Description		Lead Responsibility				
<i>Uncertainty exists around how the Liverpool City Region (LCR) might operate in future and the final shape of Devolution (potential for inefficiencies, silo behaviour, culture mismatch and gaps in accountability). Wirral might fail to reap the considerable benefits presented by membership of the LCR if it has insufficient influence and does not have enough 'ready to go' projects.</i>		Chief Executive				
Pledges affected	Impacts					
The risk potentially impacts on all of the Pledges.	<ul style="list-style-type: none"> <li>Potential loss of additional financial resources; failure to secure Council efficiencies; decreased influence and loss of identity for the Council and Partners.</li> <li>Adverse impact on most effective delivery of Wirral Plan and Pledges</li> <li>Failure to achieve improved outcomes and services for Wirral residents</li> </ul>					
Unmanaged Risk Rating	Impact	4	Likelihood	3	Total	12

Key Existing Controls		Responsibility				
<ul style="list-style-type: none"> <li>To ensure up to date knowledge and communication of developments: Regular updates and briefings with elected members and Strategic Leadership Team (SLT) i.e. through Leader's Portfolio reports; P&amp;P progress reports; Scrutiny Review; SLT discussions</li> <li>To optimise Wirral's influence: Wirral's Chief Executive and Leader part of regular LCR meetings to develop new LCR arrangements and devolution deal</li> <li>Wirral elected members appointed to LCR Scrutiny and other thematic Boards</li> <li>Wirral officers represent Wirral's interests and priorities at relevant LCR boards and networks</li> <li>Ongoing activity to develop Wirral projects and ensure that they are represented within LCR strategic priorities</li> <li>SLT ongoing discussions to ensure a Strategic and comprehensive knowledge of developments; to agree Corporate approach; and to identify Wirral's priority focus and projects for the Short, Medium and Long term</li> </ul>		Chief Executive				
		Chief Executive				
		Chief Executive				
		Chief Executive				
		Chief Executive				
Managed Risk Rating	Impact	3	Likelihood	3	Total	9

Planned Additional Controls		Responsibility			
<ul style="list-style-type: none"> <li>Review all arrangements for City Region governance and implementation. Proposals for new arrangements to be put to the Combined Authority Annual General Meeting on 18th June 2016</li> <li>Clarity of the new proposed arrangements will address the identified risk around uncertainty, and extensive consultation will follow to enable Wirral and partners to influence; shape; and play an effective role in the new arrangements</li> </ul>		Chief Executive - 2016/17			
		Chief Executive - 2016/17			

## Corporate Risk No. 5 - Integration of health and social care

Risk Description		Lead Responsibility				
<p><i>Significant challenges are posed by an ageing population and a predicated upsurge in the use of primary care. Levels of demand for hospital care and the high cost Social Care support, set against reducing resources present a significant set of challenges to the Healthy Wirral Partnership. Bringing together health and social care could also expose the partnership to the uncertainties of NHS funding.</i></p>		Director of Adult Social Services				
Pledges affected	Impacts					
<p>The risk would directly affect Pledges 1, 6 and 9. However the financial impact of this risk could affect the delivery of all Pledges.</p>	<ul style="list-style-type: none"> <li>• Failure to optimise the Wirral health and social care 'pound'.</li> <li>• Increasing demand pressures would make delivering outcomes difficult.</li> <li>• Services would be less streamlined and residents would continue to have to deal with multiple points of contact.</li> <li>• Throughput from hospital admissions would not be addressed.</li> <li>• Failure to realise efficiencies presented by integrated commissioning</li> </ul>					
Unmanaged Risk Rating	Impact	5	Likelihood	4	Total	20

Key Existing Controls		Responsibility				
Integration	<p>Integration of community and older people's services                      Integrated commissioning hub                      Integration project for all age mental health services                      Integration of all age disability services</p>	All- Director of Adult Social Services				
Managing Demand	<p>Initiative to reduce long term care admissions                      Initiatives around review of activity and replacement with alternatives (e.g. assistive technology)                      Wirral Independence Service                      Short term crisis support, to avoid admission</p>	All - Director of Adult Social Services				
Other	<p>STAR Re-ablement service                      Integrated single gateway into services                      Rapid Community Response Service – with Wirral Community NHS Trust</p>	All - Director of Adult Social Services				
Managed Risk Rating	Impact	3	Likelihood	4	Total	12

Planned Additional Controls		Responsibility				
<ul style="list-style-type: none"> <li>• Introduction of on-line self-assessment</li> <li>• Development of extra care housing</li> <li>• Review of the supported living service model</li> <li>• Support regional work around specialist services and fees</li> </ul>		All - Director of Adult Social Services (2016/17)				

## Corporate Risk No. 6 – Effect of demographic changes on demand for services

Risk Description		Lead Responsibility				
<p><i>People living longer is clearly positive and presents opportunities for the council and its partners, but also brings additional requirements and costs. Extra demand could be driven by the trend in some communities for people to develop chronic conditions at an earlier age, because of health inequalities, and living longer with them. Residents will need to do more for themselves. But some communities are less resilient and well-resourced than others. Young people have higher expectations than previous generations and a failure to provide educational and employment opportunities could lead to the trend for them to move away from the area to continue.</i></p>		Strategic Director – Families & Wellbeing				
Pledges affected	Impacts					
All pledges within the ‘People’ area of the Plan and most pledges within the ‘Environment’ area of the plan	<ul style="list-style-type: none"> <li>Negative impact on the lives of individuals (people end up in a greater state of crisis). Communities could become less cohesive and sustainable</li> <li>Needs go unmet</li> <li>Financial implications - one area requires an increasingly larger proportion of available future resources</li> </ul>					
Unmanaged Risk Rating	Impact	4	Likelihood	4	Total	16

Key Existing Controls		Responsibility				
<ul style="list-style-type: none"> <li>Integrated Care programme</li> <li>Joint Commissioning arrangements with the Clinical Commissioning Group</li> <li>Delivery of commissioned lifestyle services - Head of Public Health</li> <li>Vision 2018 work stream on early intervention and prevention</li> </ul>		All - Director of Adult Social Services				
Managed Risk Rating	Impact	4	Likelihood	3	Total	12

Planned Additional Controls		Responsibility				
<ul style="list-style-type: none"> <li>Build community capacity</li> <li>Develop a more comprehensive programme of education and advice</li> <li>Integration agenda – Healthy Wirral</li> <li>Programmes of early intervention and prevention</li> <li>Implement health and social care integration</li> </ul>		All - Director of Adult Social Services				

## Corporate Risk No. 7 – Safeguarding

Risk Description		Lead Responsibility				
<i>A major failure in safeguarding would cause preventable harm to children or vulnerable adults and compromise our pledge to protect the vulnerable, but could lead to regulatory intervention and significant cost, to the Council and its partners.</i>		Strategic Director – Families & Wellbeing				
Pledges affected	Impacts					
Older people live well (Pledge 1) Vulnerable children reach their full potential (Pledge 4) Zero tolerance to domestic violence (Pledge 7) Wirral's Neighbourhoods are Safe (Pledge 20)	<ul style="list-style-type: none"> <li>Impact on the lives of the individuals involved and their communities</li> <li>Central government intervention – risk of being taken over by experts, an independent trust or neighbouring authorities</li> <li>Damage to the reputation of the Partnership and individual agencies</li> <li>Demoralisation and loss of staff</li> <li>Financial costs increase to respond to external scrutiny and the to make rapid improvement may need to bring in more people to respond to the issue)</li> </ul>					
Unmanaged Risk Rating	Impact	5	Likelihood	5	Total	25

Key Existing Controls	Responsibility					
<ul style="list-style-type: none"> <li>An Improvement Board was established in September 2016 to drive the improvements needed to respond to the Ofsted recommendations; the board meets monthly to ensure the improvement plan including the safeguarding board recommendations are gripped, and progress is monitored and challenged. The Board now includes an independent chair and an independent adviser appointed by the DFE.</li> <li>Recruitment is underway for an experienced permanent Deputy Director for Children's Care Services and an Independent Chair of the Wirral Safeguarding Children Board</li> <li>Interim strategic lead for children's social care and experienced social work practice improvement lead appointed May 2016 and October 2016 respectively</li> <li>Children's early help and intervention offer strengthened, through increased partnership engagement to meet children's needs earlier, and so reduce demand for children's social care</li> <li>Single senior manager established to lead and oversee the MASH (Multiagency Safeguarding Hub) Performance management and reporting arrangements for managers, leaders and elected members will be overhauled to ensure these are based on accurate, reliable data that is used to effectively measure and inform service improvements</li> <li>An HR and OD team will be co-located in the Children and Young People's Department enabling close working with service managers to rapidly recruit, induct, develop and retain social workers and social work managers; and support managers at all levels to develop and challenge staff to meet the higher bar set through the Wirral Social Work Practice Standards</li> </ul>	CEX					
	CEX					
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	CEX					
Managed Risk Rating	Impact	4	Likelihood	4	Total	16

Planned Additional Controls	Responsibility
<ul style="list-style-type: none"> <li>• Ensure Ofsted findings not identified as recommendations are addressed through service improvement plans in children’s social care and early help Deliver the priorities of the Local Children’s Safeguarding Board and the Safeguarding Adults Partnership Board</li> <li>• Implement ‘Making Safeguarding Personal’ (MSP) and evaluate its impact</li> </ul>	<p>CEX</p> <p>Strategic Director – F&amp;W</p>

## Corporate Risk No. 8 – Governance (including information governance)

Risk Description		Lead Responsibility				
<p><i>Major acts of non-compliance with internal and external governance requirements could result in poor decision-making, malpractice and breach of legislation, leading to regulatory intervention and significant cost, both in financial terms and to the reputation of the Council and its partners.</i></p>		Head of Legal & Member Services / Monitoring Officer				
Pledges affected	Impacts					
Effective governance impacts on the delivery of all the Pledges.	<ul style="list-style-type: none"> <li>• Legal challenge to decisions.</li> <li>• Financial penalties for non-compliance (e.g. for information governance incidents or breaches of procurement legislation).</li> <li>• Loss of confidence by the public and other stakeholders in the Council’s decision-making and governance arrangements.</li> <li>• Potential loss of inward investment in the borough from damage to the reputation of the Council and the wider Wirral Partnership in the eyes of potential investors.</li> </ul>					
Unmanaged Risk Rating	Impact	5	Likelihood	4	Total	20
Key Existing Controls		Responsibility				
<ul style="list-style-type: none"> <li>• Council Constitution</li> <li>• Code of Corporate Governance</li> <li>• Member / Officer Protocol</li> <li>• Staff Policies (e.g. Dignity at Work)</li> <li>• Corporate Policies (e.g. Whistleblowing)</li> <li>• Operational policies (e.g. Information Governance, Gifts and Hospitality)</li> <li>• Ethical Framework for Members</li> <li>• Regulatory policies - Planning and Licensing</li> </ul>		Head of Legal & Member Services / Monitoring Officer Head of Legal & Member Services / Monitoring Officer Head of Legal & Member Services / Monitoring Officer Head of HR & OD Head of Legal & Member Services / Monitoring Officer Head of Legal & Member Services / Monitoring Officer Head of Legal & Member Services / Monitoring Officer Head of Regeneration and Planning and Head of Environment & Regulation				
Managed Risk Rating	Impact	3	Likelihood	3	Total	9
Planned Additional Controls		Responsibility				
<ul style="list-style-type: none"> <li>• Review the Constitution, Code of Corporate Governance and Members Code of Conduct.</li> <li>• Introduce the webcasting of Council Committee and Cabinet meetings.</li> <li>• Review and enhance information governance arrangements.</li> </ul>		Head of Legal & Member Services Head of Legal & Member Services Head of Legal & Member Services and Chief Information Officer				

## Corporate Risk No. 9 – Economic Activity

Risk Description						Lead Responsibility	
<p><i>Wirral is in competition for growth with areas across the country. Low levels of business and housing growth would adversely affect the Council's income (Council Tax and Business Rates) and limit employment opportunities, with consequent effects on wellbeing and prosperity, and could drive an increase in demand for support.</i></p>						Head of Business and Investment	
Pledges affected		Impacts					
<p>All pledges within the 'Business' element of the Plan, plus –                      'Good quality housing' (pledge 18)                      'Reduce child poverty' (pledge 5)                      'Young people are ready for work' (pledge 3).</p> <p>The financial impact of this risk could affect delivery of all pledges.</p>		<ul style="list-style-type: none"> <li>• Inability to deliver the Medium Term Financial Strategy.</li> <li>• Failure to contain demand for Council services</li> <li>• Negative impacts on the health and well-being of individuals.</li> </ul>					
Unmanaged Risk Rating		Impact	5	Likelihood	4	Total	20
Key Existing Controls				Responsibility			
<ul style="list-style-type: none"> <li>• Implementation of the Growth Plan</li> </ul>				Head of Business and Investment			
Managed Risk Rating		Impact	3	Likelihood	3	Total	9
Planned Additional Controls					Responsibility		
<ul style="list-style-type: none"> <li>• Implementation of place marketing activities</li> <li>• Delivery of programmes to drive key growth sectors, such as the Maritime Knowledge Hub</li> <li>• Implementation of the Wirral Waters Investment Fund.</li> <li>• Delivery of the Ways to Work programme.</li> </ul>					Head of Business and Investment – 2016/17 Head of Business and Investment - 2016/17 Head of Business and Investment – 2016/17 Head of Business and Investment – 2016/17		

## Corporate Risk No. 10 – Resources and Infrastructure

Risk Description		Lead Responsibility					
<p><i>The availability to the partnership of sufficient and fit for purpose IT and communications, buildings and other assets could be undermined by inadequate planning and allocation, or a major disruptive incident. This might affect the delivery of essential services, harming the reputation of partners.</i></p>		Strategic Director – Transformation & Resources					
Pledges affected	Impacts						
The risk has the potential to affect the delivery of all Pledges.	<ul style="list-style-type: none"> <li>• Compliance failures (breach of regulations or legislation)</li> <li>• Inefficient service delivery</li> <li>• Potential interruption to the delivery of critical services</li> <li>• Wasted costs</li> <li>• Criticism of partner agencies</li> </ul>						
Unmanaged Risk Rating	Impact	4	Likelihood	4	Total	16	
Key Existing Controls		Responsibility					
<ul style="list-style-type: none"> <li>• Implementation of current asset management strategy.</li> <li>• Business continuity policy.</li> <li>• Additional backup /security at Cheshire Lines.</li> <li>• Standardised, refreshed IT hardware.</li> </ul>		Senior Manager - Asset Management Head of Corporate & Community Safety Chief Information Officer Chief Information Officer					
Managed Risk Rating	Impact	3	Likelihood	3	Total	9	
Planned Additional Controls		Responsibility					
<ul style="list-style-type: none"> <li>• Establishment of data centres.</li> <li>• Implementation of new Digital Strategy (including Rationalisation and standardisation of systems and applications).</li> <li>• Implementation of new Asset strategy.</li> <li>• Roll out of testing programme for business continuity plans.</li> </ul>		Chief Information Officer - 2016/17 Chief Information Officer - from 2016/17 onwards Senior Manager - Asset Management from 2016/17 onwards Head of Corporate & Community Safety - 2016/17					