

## Appendix 1 - Corporate Risk Register Summary - June 2021

Wirral Council Plan 2021-26 Thematic Priorities	Risk Ref.	Risk Description	Lead Director	Existing Mitigation / Controls	Current/Residual Risk Score - based on DRR scores - to be ratified	Selection of Planned Actions - more detail to be added as Directorate Risk Registers updated.
A thriving and inclusive economy, creating jobs and opportunities for all.	CRR 01	<b>Development and Implementation of the Local Plan 2022-2037</b> Failure to ensure the Council's arrangements for the consultation, publication and implementation of the Local Plan resulting in intervention, a loss of control over future development and missed opportunities to promote economic growth.	Alan Evans	Regulation 18 consultation completed LGA, Planning Officers Society and Planning Advisory Service supporting the work on the Local Plan Local Development Scheme for Wirral includes risk assessment and indicative timetable (latest version 03/10/2020)		Publication of the Local Plan: (Regulation 19) February 2021 Submission to the Secretary of State - Summer 2021 Indicative date for Local Plan Adoption 2022
	CRR 02	<b>Regeneration Programme</b> The failure of the major regeneration projects to deliver the anticipated benefits undermines the Council's budgetary position, its economic growth aspirations and public and investor confidence in the authority.	Alan Evans	Projects brought forward within a clear strategic framework reflecting the Borough's Local Plan and providing confidence to investors, funders and developers Strategic Framework allows for enabling infrastructure, skills and business support to be brought forward to underpin major project development Clearly documented legal frameworks and agreements for all regeneration projects Robust business cases, project and programme plans with detailed risk registers, informed through corporate risk workshops, to underpin key decisions Clear lines of project reporting through project groups to the Regeneration and Place Board with supporting structures and monitoring in place Existing relationships in place with key developers – Muse (Wirral Growth Company LLP) and Peel (Wirral Waters)		Investment strategy being developed to support the funding model for the major regeneration projects Public consultation to be carried out to inform development plans Delivery Action Plans to be finalised in order to ensure a co-ordinated and phased approach to development A joint Board has been established with the LCR CA and Homes England to advance a programme approach to investment in Wirral growth projects Alternative delivery models are being reviewed to ensure that effective delivery by the council is maximised
A clean-energy, sustainable borough, leading the way in tackling the environment crisis.	CRR 03	<b>Climate Emergency Response</b> Failure to respond effectively and proportionately to develop plans/adaptations that may lead to legal challenge, financial damage, reputation damage, increased costs, lack of resilience	Nicki Butterworth	Impact of Covid-19 restrictions - new ways of working and some unforeseen environmental benefits and opportunities to be built upon. Climate Emergency Team created. Launch of the Tree, Woodland and Hedgerow Strategy in 2020. Cool Wirral Partnership's Climate Change Strategy, Cool 2 including a number of climate emergency public events	8	Establishment and delivery of the Environment and Climate Emergency Policy and Action Plan. Set up of Task & Finish Group - Environment and Climate Emergency Policy Members' Working Group to develop an Environment and Climate Emergency Policy Establish Internal Action Group of senior officers to oversee delivery of the Environment and Climate Emergency Action Plan. Become a Carbon Literate Organisation - investment in carbon literacy training for the Council's senior leaders and carbon awareness briefings for all staff and members. Amendment of employee development structures including core competences to include carbon literacy as a core requirement.
Safe and pleasant communities that our residents are proud of.	CRR 04	<b>Response to a Crisis/Disruptive Incident (both internal and external)</b> Failure to maintain effective response arrangements and plans (and incorporate COVID-19 measures) to react to a disruptive event leaves the Council unable to respond quickly and effectively to an incident, resulting in a major failure in service delivery	Nicki Butterworth / Shaer Halewood	Emergency response structure led by Strategic Co-ordination Group, with close links to a cross-party leaders group. Operational response was led by Tactical Co-ordination Group, operating through a series of delivery cells, including for example Economic Resilience, Humanitarian, Scientific Technical Advisory and Health and Social Care. Governance structures adapted during COVID-19 response to reflect phase - cells stood up/down as appropriate. Role within LCR and MRF cells Business Continuity Awareness Week May 2021 session - Manager Micro 60+ attendees	12	Lessons Learnt review Business Continuity Awareness programme Implement recommendations from Treasury Building Data Centre Internal Audit report.
	CRR 05	<b>Ongoing COVID-19 Response - Increased Cases/Winter Plans</b> Failure to use intelligence effectively leads to an inability to respond effectively to a local outbreak resulting in wider restrictions, increased infection and mortality rate increases, longer term health risks, key council services unavailable, people (staff and public) at risk, increased costs, government intervention and loss of trust/support	SCG / Julie Webster	Outbreak Management Plan refreshed December 2020 Development and use of Community Champions network - 540 local people have signed up to the programme. Joint working and communications across LCR and neighbouring authorities Work of the Local Outbreak Hub - daily multi-agency meetings are held to review case data and share key information, weekly meetings held to evaluate longer-term themes and issues relating to high risk settings and to proactively provide support where needed. Wirral Covid-19 Testing strategy 2020-22 - deployed five local testing sites across the borough in Liscard, Bebington, Birkenhead, Bidston and Heswall. Mobile testing unit available to visit key sites e.g. manufacturing companies/depts Collaboration with NHS Wirral CCG, and Wirral's Primary Care Networks - supporting the role out of the COVID-19 Vaccination Programme with provision of sites/locations and resource for vaccinations on a mass scale for residents Increased the specialist infection prevention and control team working with care homes.	12	Engagement Strategy and Action Plan including establishing a black, Asian and minority ethnic engagement group and producing a range of communication materials in suitable formats for our diverse local population

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Healthy and active lives for all, with the right care, at the right time.	CRR 06	<b>Partnership Working</b> Inability to take advantage of collaborative opportunities locally and nationally, limiting improvement in economic conditions for the community and the Council's funding position	Paul Satoor	Effective close partnership working through COVID-19 response by means of the Merseyside Resilience Forum and the Chief Executive's regular meetings with Health partners.		
	CRR 07	<b>Significant Safeguarding Incident</b> The Council and its partners do not effectively manage their relevant safeguarding risks, leading to a safeguarding incident, resulting in harm to individuals and/or families, potential legal challenge, resident dissatisfaction and public scrutiny	Graham Hodkinson / Simone White	Multi-agency Safeguarding Arrangements for Children via Wirral Safeguarding Children Partnership (WSCPF) - activity led by the LA, health economy and police including: robust local audit and case review procedures, Section 11 and Section 175 audits of individual agency and school safeguarding arrangements, Scrutiny, publication of policies and guidance, a comprehensive programme of multiagency training (online since April 2020) including: Working Together, CE, Neglect, Domestic Abuse, Contextual Safeguarding, Early Help. Serious incidents are escalated to Assistant Director Level to ensure that learning and procedures are implemented and followed up.	12	Implementation of recommendations from Adults Safeguarding Board Peer Challenge Review Jan 2020 report including the establishment of a Local Safeguarding Adults Board. WSCSP safeguarding leads have approved commissioning standards. Review DASS contracting arrangements and adopt best practice. Strengthen Provider incident reporting - development of protocol, based on NHSE guidance. Commissioners to be updated on new process and provider contracts varied accordingly.
	CRR 08	<b>Quality &amp; Demand Management in Health and Care Services</b> Failure to improve the quality of health and care services, anticipate demand particularly in the winter period leaving the Council exposed to increased financial pressures in relation to meeting social care assessed need.	Graham Hodkinson	Implementation of Healthy Wirral Strategy Home First Pathway implemented Social Work services integrated with partners with a section 75 agreement for most services, focus on demand management, early intervention and prevention Continuation of support to the care provider market to support service continuity and quality of provision.		
	CRR 10	<b>Health Inequalities</b> Failure to understand and manage health inequalities leads to increased costs, earlier involvement with and pressure on services and long-term issues for the community	Graham Hodkinson / Julie Webster	PHAR Annual Report for focus on health inequalities detailing recommendations for all Wirral Partners.		
Brighter futures for all regardless of their background.	CRR 11	<b>Education - School Sufficiency</b> Failure to secure appropriate and balanced school sufficiency impacting on the financial viability of education institutions and resulting in declining performance and poor educational outcomes for children	Simone White	School to School Partnership established giving NLEs and Heads of Teaching Schools strategic responsibility for 'banding' schools. Locality Boards Established to identify and address areas for improvement. Governors have access to appropriate support. Wirral System Leaders		Influence recruitment drive by sharing intelligence about appropriate skill mix required Progression framework development Transfer between teams policy ASYE Programme improvements DASH System developments
	CRR 12	<b>SEND</b> Failure to appropriately understand how well the local authority identifies, meets the need and improves outcomes for children and young people with Special Educational Needs and Disabilities resulting in a statement of action from Ofsted and potentially leading to reputational damage for Children's Services and the Council	Simone White / Graham Hodkinson	SEND Improvement Plan and Self-evaluation co-produced for the last four years - key actions are evaluated regularly through the SEND Operations Group and the SEND Strategic Board reviewing performance and holding to account. External review of provision and recommendations Appointment of Head of SEND and Inclusion Priorities detailed in the SEND Strategy 2020-24 Robust identification and assessment framework in early years, with trained and qualified SEND professionals.	12	Robust performance management and quality assurance framework Competency framework for EHCP Co-ordinators and EP Training and development programme for all staff involved in SEND SEND Sufficiency Strategy development
	CRR 13	<b>Preventative Activity in Health and Care Services</b> Insufficient time and resource for preventative and upstream activity mean that outcomes for vulnerable people do not improve, resulting in demand for reactive services not reducing, or increasing.	Simone White / Graham Hodkinson	Close monitoring of referrals and contacts Business continuity contingency plans where lack of capacity as a result of COVID-19 e.g. utilising resources from elsewhere Monitored caseloads, meaning workers can deal with spike in demand	12	Close workforce monitoring in response to rising COVID-19 cases Trauma-informed practice working group New Early Help Model/Prevention framework
	CRR 14	<b>Impact of COVID on Education</b> Impact of COVID on educational outcomes leads to increasing gap between the borough's disadvantaged children and non-disadvantaged children, poorer long term outcomes for some of the most vulnerable children	Simone White	Appointment of Assistant Director for Education and development of positive relationships with schools through Head of School Effectiveness	15	School Improvement Strategy

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<p><b>We will be ambitious, professional, customer-focused and accountable</b></p>	CRR 15	<p><b>Capitalisation Directive</b>            Failure to obtain agreement from MHCLG to progress the Council's request for exceptional financial support in respect of the financial impact of COVID-19, in the form of a capitalisation directive, and obtain requisite approval by HM Treasury (HMT) leads to financial remedial measures that could include:</p> <ul style="list-style-type: none"> <li>•setting an emergency budget</li> <li>•issuing a s. 114 notice</li> <li>•Government intervention</li> </ul>	Shaer Halewood	<p>An initial submission for a capitalisation directive was made in October. Supporting information underwent external validation by LGA, who are providing an independent challenge and critical friend role in supporting the development of the Council's submission and business case, as directed by MHCLG as part of the process.</p> <p><b>February 2021</b> - offer of 'exceptional financial support' from the Ministry of Housing, Communities and Local Government (MHCLG)</p>		<p>Conditions that the Council will be expected to fulfil include:</p> <ul style="list-style-type: none"> <li>• A robust assessment of the current budget position and the direct and indirect financial impact of Covid-19</li> <li>• A robust medium term financial recovery strategy to ensure the Council can secure a financially sound and sustainable footing</li> <li>• Demonstration of the Council's headroom to borrow</li> <li>• Capital programme review in light of the Council's current financial position</li> <li>• Assurance that the Council has done everything it can in advance to mitigate the budget gap including:               <ul style="list-style-type: none"> <li>- Utilising earmarked reserves where available</li> <li>- Evidencing the requirement for all pressures and growth items built in to the budget</li> <li>- Actioning and accelerating the plans for achievable savings</li> <li>- An asset review to deliver savings/capital receipts</li> <li>- Reviewing all services to determine what efficiencies can be made including a review of non-statutory services</li> </ul> </li> </ul>
	CRR 16	<p><b>Financial Resilience/Management</b>            Failure to effectively plan/manage the Council budget and funding leads to poor decisions on service reductions, unplanned efficiencies and in year overspends, resulting in the withdrawal of Council services to communities, government intervention, S114 declaration.</p>	Shaer Halewood	<p>Additional Government funding to support the emergency response to Covid-19 Quarter 1 monitoring report that was presented at Cabinet on 27 July - resetting the Medium Term Financial Plan at Quarter 1            Budget report to P&amp;R Committee 6 October            Quarter 2 monitoring report to P&amp;R Committee early November.            Reviews undertaken of items in 2020/21 budget including: pressures and growth items, budget savings currently assumed to be unachievable or partially achievable, forecast capital receipts programme for any opportunity to progress anticipated sales, current budget forecast to take account of services being paused and buildings being closed due to Covid-19, earmarked reserves.            Regular Financial Monitoring and Challenge Group</p>		<ul style="list-style-type: none"> <li>•Review of 2020/21 savings proposals to determine what can be delivered in-year</li> <li>•Identification of savings proposals for 2021 – 2024 to ensure a programme of support could be established early on to ensure these proposals progressed with an escalation process for any issues that may arise.</li> <li>•Review of the process for agreeing capital projects and funding to ensure a return on investment and a better link with the revenue budget</li> <li>•Policy &amp; Resources and Service Committee budget workshops to discuss potential budget options for consideration once the outcome of the government's comprehensive spending review is known and the Council's financial position for 2021/22 is made clear Review of the process for agreeing capital projects and funding to ensure a return on investment and a better link with the revenue budget</li> </ul>
	CRR 17	<p><b>Non-Compliance with Policies and Procedures</b>            Non-compliance with corporate policies and procedures across disciplines such as HR, finance, information, procurement, health &amp; safety, put the reputation of the Council and the health and safety of our staff and residents at risk, and may lead to legal challenge, financial penalty and ultimately loss of life.</p>	Shaer Halewood	<p>Specialist Area Groups in place for key areas e.g. Corporate Governance, People Strategy, Information Governance, Health, Safety and Wellbeing            Internal Audit Plan includes areas of financial control, risk and compliance with key areas audited on a more regular basis than others.            Targeted training packages rolled out including: Information Management - Information Asset Owners and Administrators, Finance - Budget workshops, Procurement, Political Awareness and Report Writing            New initiatives e.g. procurement smart form easier and quicker to complete with a more robust workflow.            Director of Resources has written to each Director concerning procurement compliance indicators.</p>		<p>Follow-ups by Director of Resources to highlight key areas of non-compliance; including the identification of key repeat 'offenders'            Actions from external review of the Schedule of Rates contracts</p>
	CRR 18	<p><b>Cultural Change for an Effective and Efficient Organisation</b>            Failure to maintain the cultural changes necessary (due to insufficient capacity or expertise, cultural resistance from staff) leads to difficulties in developing an efficient, effective and long-term financially sustainable organisation resulting in ineffective engagement with partners, unable to deliver on the ambition of the Wirral Plan, perpetuating inefficiencies and preventing required outcomes for the community.</p>	Shaer Halewood	<p>Regular communications - Exec View, Director blogs, Wellbeing newsletters, staff roadshows and Directorate events            Manager training including - Manager Micros            Staff Check-Ins</p>		

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	CRR 19	<b>Effective Governance</b> Failure to maintain effective corporate governance 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	Phil McCourt / Shaer Halewood	Internal governance procedures (DMT/ SLT) New Council Constitution. Code of Corporate Governance reviewed in line with CIPFA guidelines and aligned with Council policies and procedures Member and Officer Protocols - reviewed Improved Annual Governance Statement process, following CIPFA guidance / best practice review in 2019. Significant issues highlighted and monitored in year. Appropriate governance arrangements through COVID-19 response, with Group Leader and Leader of Council ratification of decisions and a system to track all decisions made.		
	CRR 20	<b>Health &amp; Safety Management</b> Failure of officers, members or contractors to develop, test or sufficiently adhere to health and safety / compliance policies and procedures leads to an incident or exposure resulting in harm to employees / Members / members of the public, legal challenge and reputational damage	Shaer Halewood	Health and Safety Strategic Group, chaired by Chief Executive, supported by the Health and Safety Steering Group. COVID-19 specific risk assessment procedures implemented including for the remobilisation of services, reviewed by H&S Team and Public Health.	15	Update of H&S Strategy and Policy - due to P&R Committee Summer 2021 Refresh of H&S subject specific policies. Development of H&S risk framework including Service level risk assessment and profile.
	CRR 21	<b>Cyber Security</b> IT security is insufficient to deter, detect and prevent unauthorised access to IT systems, resulting in loss of data and disruption to Council services.	Shaer Halewood	Technical controls: 1) Endpoint security software, 2) Network firewall 3), Prevention of downloading of unauthorised software Member of NW notification groups/networks to share knowledge on latest incidents. Regular patching and updates programme. National Cyber Security Centre online training package essential for all staff/Members working online. Cyber Security Board created to review security issues and agreed action plan.	15	Implement recommendations from Treasury Building Data Centre Internal Audit report. Implement recommendations from Internal Audit report - currently pending. Project to achieve Cyber Essentials+ accreditation by Dec 2021
	CRR 22	<b>Information Management</b> Failure to comply with relevant data and information management legislation which may lead to loss or breach of personal data creating security or reputational risk.	Shaer Halewood	Awareness Training for Information Asset Owners and Administrators Regular update of Information Asset Register - October update to reflect changes to working practices	8	Project to achieve Cyber Essentials+ accreditation by Dec 2021 Additional staffing resources being made available to work with the Data Protection Officer Continuous review of Information Management policies and procedures to ensure they adequately cover the changes to agile working proposal to OD for training (refresher for existing IAO/IAAs) and identification of new IAO/IAA's following restructures/personnel changes
	CRR 23	<b>Digital Infrastructure</b> Quality of Digital infrastructure and systems prevents council from offering/transforming to digital first services, lack of management information/timeliness of data resulting in poor decisions and increased costs.	Shaer Halewood	Role of the Digital Design Authority Digital Programme Smart Business Project for the ERP replacement – procurement complete		Development of Architecture Principles for Applications, Data and Technology against which the Digital Design Authority will ensure new solutions align Development of the Wirral Cloud Security Principles to standardise all requirements for our cloud based systems. Implement recommendations from Treasury Building Data Centre Internal Audit report.