

Appendix 1 - Corporate Risk Register Summary - November 2021

Wirral Council Plan 2021-26 Thematic Priorities	Risk Ref.	Risk Description	Lead Director	Existing Mitigation / Controls	Current/Residual Risk Score (Out of a MAXIMUM of 25) Likelihood x Impact = Total Score Based on DRR scores - to be ratified			Selection of Planned Actions - more detail to be added as Delivery Plans, Directorate Business Plans and associated Risk Registers are finalised.
A thriving and inclusive economy, creating jobs and opportunities for all.	CRR 01	Development and Implementation of the Local Plan 2022-2037 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) Members engagement on Draft Local Plan completed Full working Draft Local Plan issued to Statutory Bodies and Duty to Cooperate Partners for comment Draft Statements of Common Ground issued to Duty to Cooperate Partners Ongoing engagement with DLUHC Ongoing engagement with Homes England and LCR CA on funding for strategic brownfield site	2	4	8	Publication of the Local Plan: (Regulation 19) late 2021 Submission to the Secretary of State- early 2022 Indicative date for Local Plan Adoption early 2023
	CRR 02	Regeneration Programme 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 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)	3	5	15	Investment strategy being developed to support the funding model for the major regeneration projects Public consultation to be carried out to inform development plans 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 The development of our Neighbourhood Frameworks continues in order to ensure a co-ordinated and phased approach to regeneration, whilst ensuring strategic alignment across the directorate. The newly established Regen PMO continues to improve and develop our existing project reporting processes. Creation of dedicated Regen Project Directory, with associated RAID logs and RACI charts for each project to feed into the supporting governance structures and reporting flow - by Q3 2021
A clean-energy, sustainable borough, leading the way in tackling the environment crisis.	CRR 03	Climate Emergency Response 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 Environment and Climate Emergency Action Group established to oversee delivery of the Environment and Climate Emergency Policy and Action Plan.	2	4	8	Set up of Task & Finish Group - Environment and Climate Emergency Policy Members' Working Group to develop an Environment and Climate Emergency Policy 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.
	CRR 04	Response to a Crisis/Disruptive Incident (both internal and external) 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 Updated Community Safety Strategy - key priorities and activity Business Continuity Awareness Week May 2021 session - Manager Micro 60+ attendees	3	4	12	Response to COVID-19 Lessons Learnt review Business Continuity Awareness programme - including scenarios for Winter 2021/22

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Safe and pleasant communities that our residents are proud of.	CRR 05	Winter Pressures and on-going COVID-19 Response Failure to use intelligence effectively leads to an inability to respond effectively to a local outbreak resulting in continuing or 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 August 2021 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 - local and mobile testing sites across the borough. Lateral flow test provision for at home testing. 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. Refreshed Winter Plan for 2021/22 Resumption of oversight visits of all care providers on a proportionate basis Weekly NW ADASS Immediate Workforce Pressures Task and Finish Group	3	4	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
	CRR 06	Partnership Working 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.	Risk to be reworked.			Preparations for Integrated Care System and Integrated Care Partnership April 2022, including local governance arrangements, and developments for Wirral's Integrated Care Partnership at "place" level
Healthy and active lives for all, with the right care, at the right time.	CRR 07	Significant Safeguarding Incident 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 Hodgkinson / Simone White	Multi-agency Safeguarding Arrangements for Children via Wirral Safeguarding Children Partnership (WSCP) - 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. Adoption of the Prevention Framework 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 to provide early warning and enable staff highlight spike in demand	3	4	12	Implementation of recommendations from Adults Safeguarding Board Peer Challenge Review Jan 2020 report including the establishment of a Local Safeguarding Adults Board. WSCP 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. Establishment of the Breaking the Cycle programme, encapsulating 8 core projects including: PAUSE, Cradle to Career, DRIVE with outcomes - 3 year programme to 2023 Continue to deliver the new early help model through the design of a new self-help digital tool for families.
	CRR 08	Quality & Demand Management in Health and Care Services 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 Hodgkinson	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. Refreshed Winter Plan for 2021/22 Resumption of oversight visits of all care providers on a proportionate basis Weekly NW ADASS Immediate Workforce Pressures Task and Finish Group Vaccination programme - providing packages of tailored support to care homes that have low uptake, with the aim to increase staff coverage.	3	4	12	Care and Support Review-to trial new ways of working with people to provide a more personalised response. Assistive Technology Plan-implement a range of technology and digital options to assist people to remain healthy and independent. An increased range of extracare housing Review and improve the support offer to people at risk of needing hospital care or who are being discharged from hospital.

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	CRR 09	Health Inequalities 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 Hodgkinson / Julie Webster	PHAR Annual Report for focus on health inequalities detailing recommendations for all Wirral Partners.	3	5	15	Care and Support Review-to trial new ways of working with people to provide a more personalised response. Assistive Technology Plan-implement a range of technology and digital options to assist people to remain healthy and independent. An increased range of extracare housing. - April 2022 Review and improve the support offer to people at risk of needing hospital care or who are being discharged from hospital.
Brighter futures for all regardless of their background.	CRR 10	Education - School Sufficiency and Placements Failure to secure appropriate and balanced school sufficiency (too many/too few places) impacting on the financial viability of education institutions and resulting in children not able to be educated within their local community, 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 Primary place planning review - over 5 years School Improvement Strategy	3	4	12	Influence recruitment drive by sharing intelligence about appropriate skill mix required Progression framework development Transfer between teams policy ASYE Programme improvements DASH System developments Ongoing Primary placed planning review, new controls may be identified and added during reviews. Phase 1 - Birkenhead June 2022
	CRR 11	SEND Failure to appropriately and effectively identify, assess, meet the need and improves outcomes for children and young people with Special Educational Needs and Disabilities resulting in a statement of action from Ofsted, poor school inspection outcomes, children do not reach their full potential and reputational damage for Children's Services and the Council	Simone White / Graham Hodgkinson	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. Training and development programme for SEND Team	3	4	12	Robust performance management and quality assurance framework Competency framework for EHCP Co-ordinators and EP SEND Sufficiency Strategy development SEND Strategic Board governance review and refresh Development of Action Plan following SEND inspection and subsequent findings and recommendations.
	CRR 12	Preventative Activity in Health and Care Services 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 Hodgkinson	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	3	4	12	Close workforce monitoring in response to rising COVID-19 cases Trauma-informed practice working group New Early Help Model/Prevention framework
	CRR 13	Impact of COVID on Education 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	3	5	15	School Improvement Strategy
We will be ambitious, professional, customer-focused and accountable	CRR 14	Capitalisation Directive 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: •setting an emergency budget •issuing a s. 114 notice •Government intervention	Shaer Halewood	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. Approval of 'exceptional financial support' for 2020/21 July 2021 - CIPFA Review undertaken Favourable variance against revenue budget reported for Quarter 2 at P&R Committee Nov 10th - budget position includes the utilisation of the Government's Exceptional Financial Support (EFS), not anticipated that the full amount will be required, following a review of new funding received and a reduction in pressures estimated in March 2021.	3	5	15	Await report and recommendations of CIPFA Review Implement Action Plan resulting from CIPFA/MHCLG External Assurance Review Development of action plan in response to DLUHC reports and associated recommendations - submission to Government 1st Dec.

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	CRR 15	Financial Resilience/Management 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.	Shaer Halewood	Refreshed Medium Term Financial Plan based on investment and income generation approved at Council in March 2021 Refreshed Financial Resilience Strategy Introduced new layer of review and challenge and scrutiny within Finance to reduce risk - early approach to budget setting with robust business cases as key requirement Continual (not annual) budget setting process with scrutiny and challenge to ensure future business cases for savings proposals are robust and deliverable Robust and rigorous monitoring of budgets and savings plans in year - included in regular performance reporting to committees Scrutiny and challenge to ensure future business cases for savings proposals are robust and deliverable Budget workshops held for Budget Holders Policy & Resources and Service Committee budget workshops held to discuss potential budget options for consideration for 2022/23. MTFS updated on a quarterly basis and reported to P&R for early intervention and resolution of budget deficits Establishment of a Financial Governance Structure to improve Accountability, Management and Monitoring of Budgets Implementation of new Capital Budget arrangements with revised reporting and monitoring via Investment and Change Board Pension Fund - Triennial valuation ALMFSS./ISS, Asset Allocation, Performance data, Independent Advisors, FSM and lower risk strategies EPS Finance Sub-Committee established, met 12th Nov.	3	5	15	Financial Sustainability Programme - picking up on consolidated revenue, capital and reserves management and monitoring. Community Wealth Building Strategy to keep wealth in the Borough Develop a funding/investment strategy to identify internal finance pressures and external funding sources to support planned growth projects Review of savings proposals for 2021 – 2024 to ensure a programme of support established early on, quarterly reporting helping to ensure these proposals progress with an escalation process for any issues that may arise. Development of Asset Management Plan and an accompanying Asset Disposal Strategy. Identification of savings proposals for inclusion in MTFS - reporting to P&R Committee Jan 2022, followed by full Council. Review of the process for agreeing capital projects and funding to ensure a return on investment and a better link with the revenue budget Annual budget setting following Government settlement announcement (Dec 2021) including Public Budget consultation (open until Nov 28th). Development of action plan in response to DLUHC reports and associated recommendations - submission to Government 1st Dec Set up an Independent Panel to ensure progress with budget-setting and the approval of the Financial Recovery Plan Sessions to actively engage members in the development of a new Financial Recovery Plan
	CRR 16	Non-Compliance with Policies and Procedures Non-compliance with corporate policies and procedures across disciplines such as HR, finance, information, procurement, health & 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.	Shaer Halewood	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. Chief Executive and Director of Resources meet each Director every two months to review finance, HR, procurement, audit and risk performance – linked to Wirral Plan priorities. Follow-ups by Director of Resources to highlight key areas of non-compliance; including the identification of key repeat 'offenders'	2	4	8	Development of role of new Financial Assurance Manager to review key areas, identify weaknesses and implement challenge. Development of action plan in response to DLUHC reports and associated recommendations - submission to Government 1st Dec.
	CRR 17	Cultural Change for an Effective and Efficient Organisation 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. ***Focus of risk under review and likely to change.	Shaer Halewood	Regular communications - Exec View, Director blogs, Wellbeing newsletters, staff roadshows and Directorate events Staff Forum role as voice of the workforce Manager training including - Manager Micros/Managers Network Staff Check-Ins procedures Staff Engagement/awareness sessions for communication of Wirral Plan 2021-26	2	4	8	Staff Engagement/awareness plan for communication of Delivery Plans Communication of new Target Operating Model (TOM) and New Ways of Working Workforce Planning to align with TOM and Change Programme Development of Learning Experience Platform - beyond eLearning offer - 2022

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	CRR 18	Effective Governance 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 (Sept 2020) - including new terms of reference for committees and role of Decision Review Committee Code of Corporate Governance reviewed in line with CIPFA guidelines and aligned with Council policies and procedures Member and Officer Protocols - reviewed Updated Schemes of Delegation to reflect new Constitution Improved Annual Governance Statement process, following CIPFA guidance / best practice review in 2019. Significant issues highlighted and monitored in year. Chief Executive and Director of Resources meet each Director every two months to review finance, HR, procurement, audit and risk performance – linked to Wirral Plan priorities. 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.	2	4	8	Implementation of recommendations from Internal Audit report on LCC Best Value Development of action plan in response to DLUHC reports and associated recommendations - submission to Government 1st Dec. LGA Peer Review - Jan 2022.
	CRR 19	Health & Safety Management 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. Updated H&S Strategy and Policy rolled out. Refresh of H&S subject specific policies and supporting information.	3	5	15	Rollout of H&S risk framework - Service level risk assessment and profile, including development of new reports - January 2022. Activity outlined in H&S Improvement Plan.
	CRR 20	Cyber Security IT security is insufficient to deter, detect and prevent unauthorised access (internal and external) 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. Specialist training for IT technical experts.	3	5	15	Implement recommendations from Treasury Building Data Centre Internal Audit report. Implement recommendations from Internal Audit report - Cyber Security - May 2022 Project to achieve Cyber Essentials+ accreditation by May 2022
	CRR 21	Information Management 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 Development of Record of Processing Activity (RoPA) to include regular update of Information Asset Register. Suite of information management policies and procedures in support of Transparency Code publication list, data breach/security incident reporting and monitoring, handling of FOIs, EIRs and SARs.	2	4	8	Project to achieve Cyber Essentials+ accreditation - May 2022 Additional staffing resources being made available to work with the Data Protection Officer, including a Deputy DPO - March 2022 Continuous review of Information Management policies and procedures to ensure they adequately cover the changes to agile working Training (refresher for existing IAO/IAAs) and identification of new IAO/IAA's following restructures/personnel changes - April 2022
	CRR 22	Digital Infrastructure 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. ***Focus of risk under review and likely to change.	Shaer Halewood	Role of the Digital Design Authority Digital Programme Smart Business Project for the ERP replacement – procurement complete	2	4	8	Development of Architecture Principals 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.
	CRR23	Pressures on Workforce Difficulties recruiting and/or retaining staff (particularly in some technical or specialist areas) leads to capacity issues within services and difficulties in delivery resulting in delays, welfare issues amongst staff, public at risk and reputational damage.	Shaer Halewood	Vacancy Panel appointment process. Use of Matrix for agency staff recruitment to alleviate immediate pressures. Promotion of staff welfare tools including Employee Assistance Programme, Access to Work Mental Health Support Service. Regular "Check-In" process between staff and managers to monitor workloads and wellbeing.	New Risk - in development			