

CORPORATE RISK REGISTER – SEPTEMBER 2009

CORPORATE PLAN – OBJECTIVES	
1	To create more jobs, achieve a prosperous economy and regenerate Wirral
2	To create a clean, pleasant, safe and sustainable environment
3	To improve health and well being for all, ensuring people who require support are full participants in mainstream society
4	To raise the aspirations of young people
5	Create an excellent Council

Description	Lead Officer	Inherent Risk Score	Existing Key Controls	Residual Risk Score	Further Control Actions Required	Officer Responsible	Target Date										
1. Death or serious injury to a service user, staff member, or anyone to whom the Council owes a duty of care. <table border="1" data-bbox="152 986 539 1050"> <tr> <td>1</td> <td>2</td> <td>3</td> <td>4</td> <td>5</td> </tr> <tr> <td></td> <td></td> <td>√</td> <td>√</td> <td></td> </tr> </table>	1	2	3	4	5			√	√		Stephen Maddox <i>(Staff and general public)</i>	High 4x5 = 20	<ul style="list-style-type: none"> Register of corporate H&S risks developed. Corporate and departmental H&S policy specifies roles and responsibilities Legislative Compliance Audit programme of all Council premises Programme of auditing H&S management systems Delivery of essential emergency training for fire and first aid Investigation of all significant accidents & incidents by H&S Officers Delivery of training for significant hazardous work activities 	Medium 2x5 = 10	<ul style="list-style-type: none"> Deliver Institute Of Safety and Health (IOSH) Managing Safely training to all Managers and Supervisors below Head of Service Review and develop H&S arrangements Continuing audits of H&S arrangements Implement health surveillance arrangements for occupational health risks 	<ul style="list-style-type: none"> Mark Camborne Mark Camborne Mark Camborne Mark Camborne 	<ul style="list-style-type: none"> Apr 2008 onwards Ongoing Ongoing Sept 2009
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2. Safeguarding arrangements (children) are inadequate <table border="1" data-bbox="152 470 539 534"> <tr> <td>1</td> <td>2</td> <td>3</td> <td>4</td> <td>5</td> </tr> <tr> <td></td> <td></td> <td>√</td> <td>√</td> <td></td> </tr> </table>	1	2	3	4	5			√	√		Howard Cooper <i>(Children and Young People)</i>	High 5x5 = 25	<ul style="list-style-type: none"> • Work of Local Safeguarding Children Board • LSCB monitors serious case review action plans. • Weekly performance monitoring of changes to contact and referral taking in CADT. • Monthly VCI reporting to the Chief Exec. • Lead Member Briefing following each LSCB • National Notification of Serious Child Care Incidents to OFSTED • Continuing programme for disseminating learning from serious child care incidents • Child Death Overview Panels • Continuing review of S118 IRO applications 	Medium 2x5 = 10	<ul style="list-style-type: none"> • Review capacity to undertake regular audits across agencies; • Review LSCB governance arrangements; • Review serious case review framework; • Revised VCI framework for reporting to Chief Executive • Implement Child Care Risk Management procedure 	<ul style="list-style-type: none"> • Caroline McKenna • Caroline McKenna • Caroline McKenna • Julia Hassall • Julia Hassall 	<ul style="list-style-type: none"> • Sept 2009 • March 2010 • March 2010 • Sept 2009 • Dec 2009
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3. Safeguarding arrangements (adults) are inadequate. <table border="1" data-bbox="152 408 539 475"> <tr> <td>1</td> <td>2</td> <td>3</td> <td>4</td> <td>5</td> </tr> <tr> <td></td> <td></td> <td>√</td> <td></td> <td></td> </tr> </table>	1	2	3	4	5			√			John Webb <i>(Adults)</i>	High 5x5 = 25	<ul style="list-style-type: none"> • Extra capacity added to the DASS safeguarding adults unit • Whole system review of safeguarding completed & recommendations being implemented • Risks identified and review being project managed • Training being rolled out across agencies • Regular monitoring reports to DASS strategic leadership team, project board and safeguarding adults partnership board 	Medium 2x5 = 10	<ul style="list-style-type: none"> • Continue to implement recommendations from whole system review 	<ul style="list-style-type: none"> • Francesca Tomlin 	<ul style="list-style-type: none"> • March 2010
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4. Inadequate preparation for / management of the impact of a pandemic <table border="1"> <tr> <td>1</td> <td>2</td> <td>3</td> <td>4</td> <td>5</td> </tr> <tr> <td>√</td> <td>√</td> <td>√</td> <td>√</td> <td>√</td> </tr> </table>	1	2	3	4	5	√	√	√	√	√	Stephen Maddox	High 5x5 = 25	<ul style="list-style-type: none"> • Specific strategy updated regularly by Adult Social Services (DASS) • Ongoing work with Primary Care Trust (PCT) • Engagement with independent social care providers • Priorities for anti-viral drugs within workforce identified • Ongoing meetings with key agencies to ensure resilience for Pan Flu • Briefings to COMT & Heads of Service by Health Protection Agency 	Medium 2x5 = 10	<ul style="list-style-type: none"> • Meet with relevant departments to ensure adequate numbers of trained staff and availability of supplies. • Identify buildings for distribution of anti viral drugs • Undertake Senior Officers Command & Control Exercises 	<ul style="list-style-type: none"> • Mark Camborne • Mark Camborne • Mark Camborne 	<ul style="list-style-type: none"> • Ongoing • July 2009 • Sept 2009
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5. Inadequate continuity and recovery arrangements adversely affect service delivery in the event of an emergency situation <table border="1"> <tr> <td>1</td> <td>2</td> <td>3</td> <td>4</td> <td>5</td> </tr> <tr> <td></td> <td></td> <td>√</td> <td>√</td> <td></td> </tr> </table>	1	2	3	4	5			√	√		Stephen Maddox	High 5x5 = 25	<ul style="list-style-type: none"> • Dedicated team provides support and guidance. • IT disaster recovery planning audit • Identified external suppliers and compiled position statement as to their arrangements • Awareness sessions delivered 	Medium 2x4 = 8	<ul style="list-style-type: none"> • Finalise the Wirral Business Continuity Plan • Meet with each Dept to finalise Business Continuity Plans • Ensure external agencies have cohesive continuity arrangements • Conduct exercise to test the efficiency of plans • Multi-Agency meetings on IT and anti-viral collection points 	<ul style="list-style-type: none"> • Mark Camborne • Individual Chief Officers • Mark Camborne • Mark Camborne • Suzanne Williams 	<ul style="list-style-type: none"> • Linked to swine flu review • Sept 2009 (revised) • Ongoing • See swine flu review • Ongoing
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6 Changing need and demand for services is not managed effectively or co-ordinated at a corporate level <table border="1"> <tr> <td>1</td> <td>2</td> <td>3</td> <td>4</td> <td>5</td> </tr> <tr> <td>√</td> <td>√</td> <td>√</td> <td>√</td> <td>√</td> </tr> </table>	1	2	3	4	5	√	√	√	√	√	Jim Wilkie	High 5x5 = 25	<ul style="list-style-type: none"> Needs analyses and evidence bases inc. policy / legislative changes used to inform corporate / business planning. Budget / priority setting process fully engages Elected Members with approval by full Council. Infrastructure for co-ordinating strategic service planning inc. CIG. Understanding needs through community engagement (e.g. Area Forums, Older and Young People's etc.). Equality considerations are accounted for through equality impact assessments. Single Equality Scheme sets out statutory requirements and duties relating to Wirral's diverse communities. Joint Strategic Needs Assessment (JSNA) 	Medium 2x4 = 8	<ul style="list-style-type: none"> Continue to improve corporate service planning process. Implement the Community Engagement Strategy (finalise strategy document) Drive forward further improvement in understanding and responding to community needs 	<ul style="list-style-type: none"> Jim Wilkie Jim Wilkie Jim Wilkie 	<ul style="list-style-type: none"> Ongoing Sept 09 (Cabinet) Nov 09 (LSP Exec) Ongoing
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<p>7. A negative image of the authority impacts on the level of inward investment.</p> <table border="1" data-bbox="152 560 539 624"> <tr> <td>1</td> <td>2</td> <td>3</td> <td>4</td> <td>5</td> </tr> <tr> <td>√</td> <td>√</td> <td>√</td> <td>√</td> <td>√</td> </tr> </table>	1	2	3	4	5	√	√	√	√	√	Jim Wilkie	<p>High</p> <p>5x4 = 20</p>	<ul style="list-style-type: none"> Central media management team Communications and Marketing Strategy. Wirral Corporate Identity and guidance circulated. Learning from external inspections improved 	<p>Medium</p> <p>2x4 = 8</p>	<ul style="list-style-type: none"> Increase community understanding of Council role and plans Regularly review the appropriateness of public relations arrangements Transparency in services 	<ul style="list-style-type: none"> Emma Degg Emma Degg 	<ul style="list-style-type: none"> Ongoing Ongoing
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<p>8. The Council does not maintain arrangements for good corporate governance.</p> <table border="1" data-bbox="152 935 539 999"> <tr> <td>1</td> <td>2</td> <td>3</td> <td>4</td> <td>5</td> </tr> <tr> <td></td> <td></td> <td></td> <td></td> <td>√</td> </tr> </table>	1	2	3	4	5					√	Stephen Maddox	<p>High</p> <p>5x5 = 25</p>	<ul style="list-style-type: none"> Constitution regularly reviewed, reported to Members and officers. Risk-based internal audit programme. Annual Governance Statement. Corporate Governance Monitoring Group. Code of Corporate Governance. CIPFA/SOLACE 'Delivering Good Governance' Framework Training Members Standards and Audit & Risk Management Committees ICT Security policy and role of FoI officer 	<p>Medium</p> <p>2x5 = 10</p>	<ul style="list-style-type: none"> Strengthening annual governance process Enhance governance for Change Programme Undertake annual review of individual strategies Further integration of key strategies and plans Additional Member training 	<ul style="list-style-type: none"> Head of Legal Services David Smith Individual Chief Officers CIG ? 	<ul style="list-style-type: none"> July 2009
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9. Partners do not work together effectively to optimise outcomes for local people. <table border="1" data-bbox="152 560 539 627"> <tr> <td>1</td> <td>2</td> <td>3</td> <td>4</td> <td>5</td> </tr> <tr> <td>√</td> <td>√</td> <td>√</td> <td>√</td> <td></td> </tr> </table>	1	2	3	4	5	√	√	√	√		Jim Wilkie	High 5x5 = 25	<ul style="list-style-type: none"> Needs analyses and evidence bases inform the partnership's priority setting and key plans and strategies Action-led delivery plans for partnership priorities. Strong strategic leadership for the partnership (Executive Board) Council is the accountable body for Wirral's LSP. Supported by senior management inc. joint posts such as the Joint Director of Public Health. Partnership toolkit and register developed to support governance. Identified Council role and responsibilities for all major partnerships. 	Medium 2x5 = 10	<ul style="list-style-type: none"> Periodic checks to ensure partnerships comply with Wirral's governance arrangements; Annual review of key partnership register Drive forward further improvement in understanding and responding to community needs Enhanced guidance and training regarding grants Develop a performance management framework for the Sustainable Community Strategy. 	<ul style="list-style-type: none"> Head of Legal Services Head of Legal Services Jim Wilkie Pete Molyneux Jim Wilkie 	<ul style="list-style-type: none"> Ongoing t.b.c. Ongoing Ongoing t.b.c.
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<p>10. The Change Programme is not delivered</p> <table border="1"> <tr> <td>1</td> <td>2</td> <td>3</td> <td>4</td> <td>5</td> </tr> <tr> <td>√</td> <td>√</td> <td>√</td> <td>√</td> <td>√</td> </tr> </table>	1	2	3	4	5	√	√	√	√	√	Ian Coleman	High 4x5 = 20	<ul style="list-style-type: none"> • Reports to Corporate Improvement Group and Members • Change Programme Board • Clear focus on 6 themes 	High 4x4 = 16	<ul style="list-style-type: none"> • Strengthen assurance role • Enhance Board role 	<ul style="list-style-type: none"> • David Smith • Jim Wilkie 	<ul style="list-style-type: none"> • t.b.c. • Ongoing
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<p>11. Available resources are not allocated to meet service demands in line with corporate priorities</p> <table border="1"> <tr> <td>1</td> <td>2</td> <td>3</td> <td>4</td> <td>5</td> </tr> <tr> <td>√</td> <td>√</td> <td>√</td> <td>√</td> <td>√</td> </tr> </table>	1	2	3	4	5	√	√	√	√	√	Stephen Maddox	High 5x5 = 25	<ul style="list-style-type: none"> • Medium Term Financial Capital HR and IT strategies linked and reflect priorities in Corporate Plan. • Strong links between service & financial plans. • Investment based on business cases for projects. • Effective financial management by planning monitoring and reporting • Programme of financial management training. • Impacts of the economic downturn identified and appropriate responses developed 	Medium 2x5 = 10	<ul style="list-style-type: none"> • Review Medium Term Financial Plan • Review Capital Strategy • Review IT Strategy • Review HR Strategy • Implement Use of Resources action plan 	<ul style="list-style-type: none"> • Tom Sault • Tom Sault • John Carruthers • Head of HR • Tom Sault 	<ul style="list-style-type: none"> • July 2009 • July 09 • July 2009 • July 2009 • Ongoing
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<p>12. The reduction in available financial resources available from 2011/12 restricts our ability to deliver the Corporate Objectives</p> <table border="1"> <tr> <td>1</td> <td>2</td> <td>3</td> <td>4</td> <td>5</td> </tr> <tr> <td>√</td> <td>√</td> <td>√</td> <td>√</td> <td>√</td> </tr> </table>	1	2	3	4	5	√	√	√	√	√	Ian Coleman	High 5x5 = 25	<ul style="list-style-type: none"> • Medium Term Financial Strategy linked to Corporate Plan • Strong links between service & financial plans. • Investment based on business cases for projects • Use of LGA / SIGOMA to lobby central government 	High 3x4 = 12	<ul style="list-style-type: none"> • Regular review of financial projections • Consolidation of efficiencies (e.g. Strategic Change Programme) 	<ul style="list-style-type: none"> • Ian Coleman 	<ul style="list-style-type: none"> • Ongoing
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