

Agenda

Audit and governance committee

Date: **Monday 27 September 2021**

Time: **10.15 am**

Place: **Herefordshire Council Offices, Plough Lane, Hereford,
HR4 0LE**

Notes: Please note the time, date and venue of the meeting.

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Agenda for the meeting of the Audit and governance committee

Membership

Chairperson **Councillor Nigel Shaw**
Vice-chairperson **Councillor Christy Bolderson**

Councillor Dave Boulter
Councillor Peter Jinman
Councillor Bob Matthews
Councillor Yolande Watson
Councillor Jenny Bartlett

Agenda

		Pages
	THE PUBLIC RIGHTS TO INFORMATION AND ATTENDANCE AT MEETINGS	
1.	APOLOGIES FOR ABSENCE To receive apologies for absence.	
2.	NAMED SUBSTITUTES (IF ANY) To receive details any details of members nominated to attend the meeting in place of a member of the committee.	
3.	DECLARATIONS OF INTEREST To receive declarations of interests in respect of Schedule 1, Schedule 2 or Other Interests from members of the committee in respect of items on the agenda.	
4.	MINUTES To approve and sign the minutes of the meeting held on 30 July 2021.	11 - 20
	HOW TO SUBMIT QUESTIONS	
	<i>Deadline for receipt of questions is 5.00 pm on Tuesday 21 September 2021 (3 clear working days from date of meeting).</i>	
	<i>Questions must be submitted to councillorservices@herefordshire.gov.uk. Questions sent to any other address may not be accepted.</i>	
	<i>Accepted questions and the response to them will be published as a supplement to the agenda papers prior to the meeting. Further information and guidance is available at https://www.herefordshire.gov.uk/getinvolved</i>	
5.	QUESTIONS FROM MEMBERS OF THE PUBLIC To receive questions from members of the public.	
6.	QUESTIONS FROM COUNCILLORS To receive any questions from councillors.	
7.	ENERGY FROM WASTE LOAN UPDATE To update the audit and governance committee on the current status of the energy from waste loan arrangement to enable the committee to fulfil its delegated functions.	21 - 28
8.	CORPORATE RISK REGISTER To consider the status of the council's Corporate Risk Register in order to monitor the effectiveness of risk management within the Performance Management Framework.	29 - 58
9.	ANNUAL GOVERNANCE STATEMENT – DRAFT FOR 2020/2021	59 - 174

To seek the views of the committee as to whether the draft annual governance statement (AGS) for 2020/21 properly reflects the risk environment the council is operating in and the appropriateness of any actions required to improve it.

10. WORK PROGRAMME UPDATE

To provide an update on the work programme for the committee.

175 - 178

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- Inspect background papers used in the preparation of public reports for a period of up to four years from the date of the meeting. (A list of the background papers to a report is given at the end of each report). A background paper is a document on which the officer has relied in writing the report and which otherwise is not available to the public.
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<http://www.herefordshire.gov.uk/downloads/file/1597/hereford-city-bus-map-local-services->

Guide to Audit and Governance Committee

The Audit and Governance Committee is a non executive committee of the council. The committee consists of 7 non executive councillors and may include an independent person who is not a councillor.

Councillor Nigel Shaw (Chairman)	Conservative
Councillor Christy Bolderson (Vice Chairman)	Conservative
Councillor Dave Boulter	It's Our County
Councillor Peter Jinman	Herefordshire Independents
Councillor Bob Matthews	True Independents
Councillor Diana Toynbee	Green
Councillor Yolande Watson	Herefordshire Independents

The purpose of the audit and governance committee is to provide independent assurance on the adequacy of the risk management framework together with the internal control of the financial reporting and annual governance processes. The committee do this by:

- (a) ensuring the effective and fully compliant governance of the council and in particular to ensure that all aspects of the financial affairs of the council are properly and efficiently conducted;
- (b) reviewing and approve the council's annual governance statement, annual statements of account, the contract procedure rules and financial procedure rules;
- (c) scrutinise the effectiveness of, and management compliance with, the systems identified in the annual governance statement framework;
- (d) monitor the progress made by management in implementing improvements to elements of that framework identified by external or internal audit review; and.
- (e) reviewing the constitution and recommending any necessary amendments to Council as appropriate.
- (f) reviewing the corporate risk register

**The Seven Principles of Public Life
(Nolan Principles)**

1. Selflessness

Holders of public office should act solely in terms of the public interest.

2. Integrity

Holders of public office must avoid placing themselves under any obligation to people or organisations that might try inappropriately to influence them in their work. They should not act or take decisions in order to gain financial or other material benefits for themselves, their family, or their friends. They must declare and resolve any interests and relationships.

3. Objectivity

Holders of public office must act and take decisions impartially, fairly and on merit, using the best evidence and without discrimination or bias.

4. Accountability

Holders of public office are accountable to the public for their decisions and actions and must submit themselves to the scrutiny necessary to ensure this.

5. Openness

Holders of public office should act and take decisions in an open and transparent manner. Information should not be withheld from the public unless there are clear and lawful reasons for so doing.

6. Honesty

Holders of public office should be truthful.

7. Leadership

Holders of public office should exhibit these principles in their own behaviour. They should actively promote and robustly support the principles and be willing to challenge poor behaviour wherever it occurs.



Minutes of the meeting of Audit and governance committee held at Herefordshire Council Offices, Plough Lane, Hereford, HR4 0LE on Friday 30 July 2021 at 10.15 am

Present: Councillors Nigel Shaw (Chairperson), Christy Bolderson (Vice-chairperson), Jenny Bartlett, Sebastian Bowen, Peter Jinman, and David Summers

In attendance: Councillors Liz Harvey (Cabinet member - finance, corporate services and planning)* and Yolande Watson*

Officers: Ben Baugh (Democratic services officer), Matthew Evans (Democratic services officer), Andrew Lovegrove (Acting deputy chief executive - chief finance officer), Jenny Preece (Democratic services officer), Josie Rushgrove (Head of corporate finance)* and Kate Charlton (Interim head of legal services)

Others present: Jacqui Gooding (South West Audit Partnership)*, Jon Roberts (Grant Thornton) and Amy Probert (South West Audit Partnership)*

[* indicates attendance as a virtual participant]

10 APOLOGIES FOR ABSENCE

Apologies for absence had been received from committee members Councillors Dave Boulter and Bob Matthews. Councillor Watson was unable to attend in person but participated in the meeting as a non-voting, virtual participant.

11 NAMED SUBSTITUTES

The following substitutes were noted: Councillor Sebastian Bowen for Councillor Bob Matthews; and Councillor David Summers for Councillor Dave Boulter.

12 DECLARATIONS OF INTEREST

No declarations of interest were made.

13 MINUTES

The minutes of the meeting held on 28 June 2021 were received.

Attention was drawn to the action log attached to the minutes. It was commented that the changes that had been made following the last meeting, highlighting updates in red font and new actions in blue font, were helpful.

Resolved: That the minutes of the meeting held on 28 June 2021 be approved as a correct record and be signed by the chairperson.

14 QUESTIONS FROM MEMBERS OF THE PUBLIC

No questions had been received from members of the public.

15 QUESTIONS FROM COUNCILLORS

No questions had been received from councillors.

16 2019/20 EXTERNAL AUDIT FINDINGS REPORT

The committee considered the external audit findings report for the year ended 31 March 2020.

Jon Roberts, engagement lead for Grant Thornton, presented the report and made the following key points: the report was being received later than usual due to issues around value for money; an initial external audit findings report had been provided to the committee in September 2020 and 'The Audit Findings for Herefordshire' document attached at appendix A to the report indicated original text in black font and new text in red font; it was reported that the council had proper arrangements in place in all areas considered, except for in relation to the governance over the capital programme and children's services and a qualified conclusion was issued in respect of the value for money assessment; attention was drawn to the value for money sections and the significant risks identified which would be reflected in the external auditors annual plan 2020/21; a matter which had resulted in certificates of completion being withheld for a number of years had been addressed; and an overview was provided of the reasons for the proposed audit fee variations.

Questions and comments were invited from committee members and responses were provided, the principal points included:

1. The additional explanations provided since the previous iteration were welcomed and it was suggested that a separate glossary would be helpful going forward.
2. With reference made to the finding in the 'Value for Money' money section (agenda page 42) - 'The Cabinet member for infrastructure and transport proposed that a progress review be brought back to Cabinet after six months. Whilst the Council is working on implementing these recommendations, the six-month review suggested by Cabinet has not been achieved.' - it was commented that the 'Major contract performance update' report had been considered by Cabinet on 29 July 2021 (minute 32 of 2021/22 refers), so the finding did not reflect the current situation. The chairperson noted the position with reporting post balance sheet events and suggested that such reports needed to be specific about the date of publication, so that it was clear that subsequent events would not be reflected in the report. Jon Roberts confirmed that the report commented on the adequacy of the arrangements for the financial year ended 31 March 2020.
3. In response to a question about journal authorisation (agenda page 48), Jon Roberts explained the significance of journals and that the risk of management override of internal controls was included in every audit plan. The chief finance officer confirmed that he was assured about the systems and processes in place but had undertaken to explore local amendments to Business World. It was confirmed that this situation was encountered within other authorities who shared concern about customising financial software packages and the subsequent risk that that entailed.
4. With reference made to the comment 'We have continued our review of relevant documents up to the date of giving our report, and have identified one further significant risk where we needed to perform further work.' (agenda page 39), Jon Roberts advised that the risk related to the legal judgement for children's services.
5. In response to a question about the role of the committee historically and going forward in terms of the capital programme and children's services, the chairperson commented on the work to be undertaken by the auditors and the expectation that reports would be provided to the committee, and also potentially the views of the relevant scrutiny committees on the changes being made to governance within departmental structures. With reference made to the internal report presented in January 2018 on 'Capital project management and control internal audit progress update' (minute 263 of 2018/19 refers), the chairperson suggested that the South West Audit Partnership be asked to revisit their

report and to unpack why issues that had come to light were not noted at that time. The chief finance officer reported that cabinet had agreed to the establishment of an improvement board (minute 32 of 2021/22 refers) and the terms of the scope of an investigation were being finalised.

6. The cabinet member - finance, corporate services and planning said that there was frustration that points of concern had been brought to the attention of the auditors by the administration, and said that it had undertaken actions to investigate and seek a resolution. Comments were also made about the need for auditors to add value, the limitations councillors faced in trying to access information themselves, and matters relating to expenditure not picked up in an internal audit report on the Hereford City Centre Transport Package (HCCTP) in 2016.

Jon Roberts outlined the differences in the approach of external and internal auditors, and commented that cashflow governance had been a feature of the value for money assessment in recent years and the evidence in 2019/20 was such that a qualified conclusion was issued.

The chairperson noted that, following the Code of Audit Practice 2020/21, there would be a revised approach to the value for money external audit work and suggested that committee members be provided with training on the changes.

Jacqui Gooding, internal audit manager for South West Audit Partnership, said that: there had been a number of audits in relation to the capital programme; an investigation report on Blueschool House had been provided to the committee; continuing work on the HCCTP would include a review of the recommendations and issues that were raised in relation to Blueschool House; and significant findings were reported to the committee.

7. In response to a question from a committee member about contracts, particularly in relation to council estate, the chairperson suggested that a response be provided by the chief finance officer following the meeting.
8. It was commented that the committee membership could change, there were substitutions at individual meetings, and the papers for each meeting could include hundreds of pages. It was suggested that the internal and external auditors could provide a simple list of their concerns that the committee should perhaps concentrate on. The chairperson acknowledged the challenges for new members to the committee and invited the auditors to consider whether this suggestion would be appropriate.
9. The vice-chairperson noted that periodic reports on the progress of audit recommendations implementation were provided to the committee and it was questioned whether the tracking was falling down. It was also noted that there were follow up audits on priority 1 and priority 2 recommendations. Jacqui Gooding outlined the current arrangements and confirmed that priority 3 recommendations progress was based on self-assessment by relevant officers. A committee member emphasised the need to ensure that systems and processes were effective.

Resolved: That

- a) **the report of the external auditor, attached at appendix A to the report, has been considered;**
- b) **interim reports on the work of the external auditor be provided to the committee;**

- c) **the chief finance officer request that the internal auditor be asked to revisit the earlier report on the Hereford City Centre Transport Package in order to identify any lessons to be learnt; and**
- d) **the following actions be recorded:**
 - i. **the external auditor be asked to include appropriate glossaries in future reports for ease of understanding and to identify dates of publication clearly;**
 - ii. **training be arranged for committee members on the changes to regulations, particularly in relation to the value for money audit; and**
 - iii. **a briefing note on the management of council estate be provided to committee members.**

17 ANNUAL GOVERNANCE STATEMENT – FINAL FOR 2019/2020

In accordance with paragraph 4.2.13 (b) of the Council's constitution, the chairperson considered that this item should be discussed at this meeting as a matter of urgency.

The committee considered the annual governance statement 2019/20.

The vice-chairperson drew attention to the 'Principle B: Ensuring openness and comprehensive stakeholder engagement' section (supplement page 32) and it was suggested that consideration be given to the syntax of the sentence 'Whilst the council supports and advises suggestion from independent person is to tightening of rules covering training, disclosure and complaint resolution for parish councillors'. The interim head of legal services agreed to reword the sentence.

Resolved: That the annual governance statement 2019/20, at appendix 1 of the report, be approved.

18 ANNUAL GOVERNANCE STATEMENT – DRAFT FOR 2020/2021

In accordance with paragraph 4.2.13 (b) of the Council's constitution, the chairperson considered that this item should be discussed at this meeting as a matter of urgency.

The chairperson said that the draft annual governance statement for 2020/21 appeared to contain inconsistencies and errors of fact, he was not satisfied with the document in its present state, and questioned whether this item could be deferred. In response, the interim head of legal services explained the publication of documents requirements under The Accounts and Audit (Amendment) Regulations 2021. The chairperson noted that the document was now in the public domain. The chief finance officer said that the draft statement could be published with a note to identify that it would be subject to further work and revisions.

Committee members discussed the matter, the key points included:

1. Concern was expressed that the document had been circulated after the publication of the main agenda pack, thereby reducing the time available to read it.
2. The vice-chairperson said that various queries about the document had been forwarded to the relevant officers.
3. In response to a question from a committee member on the 'significant partnerships 2020/21' section, Jacqui Gooding, internal audit manager for South West Audit Partnership, said that it was up to officers to address the recommendations of a SWAP

audit but an update would be sought on the position in relation to the Local Family Justice Board.

4. Consideration was given to the work to be undertaken by officers to address committee members' concerns, for the committee to reconvene to receive an updated document, and for a revised draft annual governance statement to be released in due course.
5. A committee member acknowledged that the Covid 19 pandemic had impacted on the normal course of business but was uncomfortable with the position with this document.
6. Committee members were requested to forward their comments on the document to councillorservices@herefordshire.gov.uk

The intention to revisit an updated document at the next committee meeting was noted.

Resolved: That the document was noted. That an amended draft document be considered at the next committee meeting.

19 2019/20 STATEMENT OF ACCOUNTS

The committee considered the 2019/20 statement of accounts and associated letter of representation to Grant Thornton, the external auditors.

The head of corporate finance presented the report, the principal points included: the position with the delivery of an overall underspend in 2019/20 of £0.6m and the increase in the general reserve balance to £9.1m; the increase in earmarked reserves due to the allocation of grant funding from central government due to the Covid 19 pandemic; and asset valuations were reported as being subject to 'material valuation uncertainty' as a precaution to reflect the potential impact of the pandemic on the economy.

Questions and comments were invited from committee members and responses were provided, the principal points included:

1. With reference made to the 'legal implications' section of the report (agenda page 67), it was requested that all dates include the relevant year.
2. There was a discussion about revaluations in terms of property, plant and equipment. Jon Roberts, engagement lead for Grant Thornton, advised that International Standard on Audit (UK) 540 (revised) would require the committee to have a full understanding of the estimation processes that the council had followed and auditors would be undertaking more work in this area. The chairperson noted the need for training to be arranged for committee members.
3. In response to questions, the chief finance officer: acknowledged the underspend in adults and communities and commented on the challenges associated with balancing the budget to the penny for services which were dependent on people's needs; noted that the outturn had been reported to cabinet on 25 June 2020 (minute 157 refers); and confirmed that the allocation of the budget, including the adult social care precept, was agreed by Council.
4. In response to a question on 'Herefordshire's proportion of the net deficit on the Worcestershire County Council Pension Fund as at 31 March 2020 is £259.5m' (agenda page 79), the chief finance officer provided an overview of the position with the pension fund. The chairperson noted the public availability of the minutes of the Pensions Committee (note: at the time of publication, these can be found via the following link: <https://worcestershire.moderngov.co.uk/ieListMeetings.aspx?CommitteId=391>).

5. There was a further discussion about the treatment of valuations in the accounts and the possible impact of the pandemic on land and property prices.
6. With reference made to the '1.3 Borrowing Costs' section in the statement of accounts (agenda page 92), it was questioned whether 'at least £10k of annual interest cost' for certain schemes was appropriate given current interest rates. The chief finance officer said that this de minimis level had been in place for some time and was broadly in line with other authorities but it could be looked at.
7. In response to a question, the chief finance officer commented on property maintenance and insurance provision.
8. The chairperson requested further information on aged debts and the quantum involved. Jon Roberts noted that the audit of aged debts was an important procedure and agreed to come back on this issue.

Recommendation a) was agreed unanimously. In accordance with paragraph 4.1.141 of the Council's constitution, a recorded vote was held on recommendation b) and this was also agreed unanimously by Councillors Bartlett, Bolderson, Bowen, Jinman, Summers and Shaw.

Resolved: That

- a) **the 2019/20 statement of accounts, at appendix A to the report, be approved; and**
- b) **the letter of representation, at appendix B to the report, be signed by the chairman of the committee and the chief finance officer.**

[Note: the meeting was adjourned for a comfort break between 12.15 pm and 12.30 pm]

20 ANNUAL EXTERNAL AUDIT LETTER 2019/20

The committee received the external auditor's annual audit letter for 2019/20.

As per the point made in minute 16, paragraph 2. above, a committee member re-iterated that the 'Major contract performance update' report had been considered by Cabinet on 29 July 2021 (minute 32 of 2021/22 refers), so a comment on agenda page 200 did not reflect the current situation.

Resolved: That, having regard to the external auditor's annual audit letter 2019/20, as at appendix A to the report, the committee did not determine any further actions to be recommended or items to be included in the work programme specifically arising from the document.

21 EXTERNAL AUDITORS ANNUAL PLAN 2020/21

The committee reviewed the external auditor's audit plan for 2020/21.

Jon Roberts, engagement lead for Grant Thornton, presented the report, with attention drawn to: the significant risks requiring special audit consideration; the changes arising from the new Code of Audit Practice and the new auditing accounting estimates standard; and the audit fees section.

The chairperson commented on the need to engage with the council's valuers and actuaries to enhance the understanding of the committee. In response to questions from the chairperson:

- The chief finance officer said that he was content that the 'risks of significant VFM weaknesses' (agenda page 229) were a fair reflection of the council's position and noted that financial sustainability was a live topic for all local authorities and the council had its own financial pressures.
- Jon Roberts said that he would confirm whether the council's counter fraud specialist had been involved in the fraud risk assessment (agenda pages 250-255) and commented on fraud risk assessment from an accounting perspective.

Questions and comments were invited from committee members and responses were provided, the principal points included:

1. In response to a question from the vice-chairperson regarding the difference in the scale fee published by Public Sector Audit Appointments Ltd (PSAA) of £95,792 and the total audit fees of £156,792 ('Audit fees – detailed analysis', agenda page 233), Jon Roberts: confirmed that the quantum of work expected by the regulator had increased; commented on the findings of the 'Independent Review into the Oversight of Local Audit and the Transparency of Local Authority Financial Reporting' by Sir Tony Redmond; and, in response to the findings of the Redmond Review, the government had announced additional funding in 2021/22 to support local bodies to meet the anticipated rise in audit fees; noted the potential impact of other standards going forward, such as the International Financial Reporting Standard 16 relating to leases; and said that he would provide further clarification on 'local risk factors'.
2. It was noted that there were some erroneous references to this committee being the 'audit and procurement committee' and not the 'audit and governance committee'.
3. In response to a question from a committee member, the chief finance officer provided a brief overview of the council's involvement in Hoople Ltd, said that this was reflected in the group financial statements, and noted that an undertaking had been given to provide the committee with an overview of how the company operated and managed its risks. It was noted that the council was also involved in a range of partnerships. In response to a further question from the vice-chairperson on a point made in the annual governance statement 2019/20 (agenda supplement page 37), the chief finance officer confirmed that a project board was to be established to manage the council's relationship with Hoople Ltd.
4. In response to a question from a member in attendance about the risks associated with the governance of the Public Realm contract and the Hereford City Centre Transport Package (agenda page 229), Jon Roberts said that the reviews were likely to look at the arrangements ensuring that the regularity of budget setting and reporting were preserved.
5. In response to further questions on the audit fees, Jon Roberts confirmed that the line for 'Covid-19' related to the additional risk based work arising from the pandemic and noted the potential for further work to be undertaken on grants accounting.

Resolved: That

- a) **the proposed external audit plan 2020/21, at appendix A to the report, and associated informing the audit risk assessment, at appendix B to the report, be approved; and**
- b) **the committee did not determine any recommendations and it wished to record the following actions to be undertaken by the external auditor:**

- i. **confirmation be provided about whether the council's counter fraud specialist had been involved in the fraud risk assessment;**
- ii. **further clarification be provided on the 'local risk factors' identified in the 'Audit fees – detailed analysis' section; and**
- iii. **references to the 'audit and procurement committee' be amended.**

22 INTERNAL AUDIT ANNUAL REPORT AND OPINION 2020/21

The committee considered the head of internal audit's annual report and opinion.

Jacqui Gooding, internal audit manager for South West Audit Partnership (SWAP), presented the report and, drawing attention to the 'Internal Audit Annual Opinion Report 2020/21' included at appendix A, summarised the key points of the 'Executive Summary', 'Internal Audit Annual Opinion 2020/21', and 'Plan Performance 2020/21' sections. It was reported that, having considered the balance of the 2020/21 audit work, a 'reasonable assurance' opinion was offered in respect of the areas reviewed during the year.

Questions and comments were invited from committee members and responses were provided, the principal points included:

1. The vice-chairperson welcomed reference to the introduction of a 'new one-page audit report, that summarises all the key messages of the audit' (agenda page 282) but noted that these had not yet been received at a committee level, and felt that these could provide committee members with a better understanding of the scope and work involved.

In response to a question about the 'Summary of Internal Audit Work 2020/21' section and the 'reasonable' opinion in relation to 'Capital Programme / Capital Projects' (agenda page 285), Jacqui Gooding emphasised that this report would reflect a point in time, adding that internal audit had recently been asked to undertake additional work on the Hereford City Centre Transport Package (HCCTP). In response to a further question, it was commented that a lot of work had been undertaken to establish controls for capital programme / capital projects but this had not been fully implemented or embedded yet across the council.
2. A member in attendance, noting that there were no priority 1 actions and 12% of audit opinions were 'limited', questioned how Herefordshire compared to other local authorities. Jacqui Gooding said that information could be provided to committee members and briefly outlined how the audit opinions for 2020/21 compared to 2019/20.
3. With reference made to the comment 'As a result of the additional work arising from the COVID-19 pandemic, it has been agreed to defer some of the less urgent audit work to 2021/22' (agenda page 275) and in response to a question, Jacqui Gooding confirmed that a report had been provided to the audit committee outlining the work that had been deferred and quarterly planning meetings were being held with relevant officers to identify those deferred audits which should be included in the 2021/22 plan. It was noted that the position would be made clear in the progress report due to be received at the next committee meeting.
4. A committee member commented on potential risks associated with mental health and the long-term effects of Covid on the council's resources.
5. The chairperson said it would be helpful to understand the date on which any elected member of the council had been informed about the overspend on the HCCTP. Jacqui

Gooding advised that a new piece of work that had been commissioned which would include a review of what was reported and at what time during the process.

6. In response to a question from a member in attendance, the interim head of legal services advised that Schedule 12A (access to information: exempt information) of the Local Government Act 1972 set out various categories of confidential information and agreed to circulate related guidance.

The cabinet member - finance, corporate services and planning commented that: the 'Hereford City centre Transport Package – Governance Review' (referenced on agenda page 287) related to an advisory report undertaken in 2020, and this had resulted in an internal investigation report (a summary was appended to the report 'Major contract performance update' considered by cabinet on 29 July 2021); a new piece of work had been commissioned by the chief executive recently; and a question to cabinet was received and responded to in relation to member awareness of the overspend which was on the public record.

Resolved: That

- a) **The committee noted the assurance provided by the annual opinion report 2020-2021, at appendix A to the report; and**
- b) **the following actions be recorded:**
 - i. **SWAP be asked to provide a comparison of how audit opinions for Herefordshire Council compared to other local authorities;**
 - ii. **the next progress report on the internal audit plan makes clear the audit work that had been deferred or removed from the plan; and**
 - iii. **information about Schedule 12A (access to information: exempt information) of the Local Government Act 1972 be circulated to committee members.**

23 COMMITTEE WORK PROGRAMME

The committee considered its work programme.

It was suggested that the format of the work programme document, as at Appendix 1 to the report, be adjusted to split the rows across more than one page.

Further to minute 18 above, the committee discussed the potential to hold an additional meeting to discuss the draft annual governance statement for 2020/21. Following further reflection, it was considered that the item should be considered at the next scheduled meeting.

Resolved: That the work programme be agreed.

24 DATE OF NEXT MEETING

It was reported that the Solicitor to the Council had requested that the next meeting be brought forward from 30 September to 27 September 2021 to assist with the consideration of proposals from the re-thinking governance working group and the subsequent passage of a report to Council.

It was agreed that the next scheduled meeting would be held on Monday 27 September 2021.

The meeting ended at 1.41 pm

Chairperson



Title of report: Energy from waste loan update

Meeting: Audit and governance committee

Meeting date: Monday 27 September 2021

Report by: Head of Corporate Finance

Classification

Open

Decision type

This is not an executive decision

Wards affected

All Wards

Purpose

To update the audit and governance committee on the current status of the energy from waste loan arrangement to enable the committee to fulfil its delegated functions.

Herefordshire and Worcestershire are partners in a joint waste disposal private finance initiative contract that was varied in May 2014 to enable the councils to finance the construction of an Energy from Waste plant through the use of prudential borrowing. A total loan facility was agreed at £163.5m, with Herefordshire providing 24.2% of the loan value, being £40m.

The current status of the loan arrangement is considered satisfactory.

Recommendation(s)

That:

- a) the risks to the council, as lender, are confirmed as being reasonable and appropriate having regard to the risks typically assumed by long term senior funders to waste projects in the United Kingdom and best banking practice; and**
- b) Arrangements for the administration of the loan are reviewed and confirmed as satisfactory.**

Alternative options

1. None, the loan arrangement was contractually agreed in May 2014, no breaches or areas of concern have taken place during this reporting period. This report provides an update on the arrangement to the Audit and Governance Committee in its role as the waste loan governance committee which entails reviewing risks to the lender and monitoring administration of the loan.

Key considerations

2. In 1998 Herefordshire Council, in partnership with Worcestershire County Council, entered into a 25 year contract with Mercia Waste Management Limited for the provision of an integrated waste management system using the Private Finance Initiative.
3. A variation to the contract was signed in May 2014 to design, build, finance and operate an Energy from Waste plant. Both councils provided circa 82% of the project finance requirement from their own planned prudential borrowing with the remaining 18% being provided by the equity shareholders of Mercia Waste Management Limited.
4. This report ensures the committee fulfils the functions delegated to it in relation to the governance of the waste loan arrangement; specifically to review the risks to the council as lender and to monitor administration of the loan.
5. Since the last report to the committee in September 2020 the loan arrangement has continued to be repaid in line with expectations. No decisions or courses of action have been identified for recommendation to the committee.

Key loan features and update

6. Herefordshire and Worcestershire councils provided a loan facility of £163.5m in total, with Herefordshire providing 24.2% of the loan value, £40m.
7. Total loan interest and fees charged to Mercia are fixed and are representative of commercial bank charges. These total £69m, £17m for Herefordshire.
8. During the last year, since the previous report to the committee, loan repayments of £3.7m have been received, representing £1.5m in principal and £2.2m in interest. A summary of repayments received to date is shown in the table below:

Date	Interest (£m)	Principal (£m)	Total (£m)
December 2020	1.1	0.5	1.6
June 2021	1.1	1.0	2.1
Totals	2.2	1.5	3.7
Previous repayments	7.6	4.7	12.3
Total repaid to date	9.8	6.2	16.0

9. At this date Mercia anticipates being able to continue to make payments as per the loan agreement.

Ratio calculations

10. At the last update committee members requested an explanation of the loan agreement ratio calculations. Ratios are a financial covenant imposed by Lenders (in this case the Council's as Lenders) as a monitoring mechanism to provide early warning of project distress and potential Borrower (in this case Mercia) default on their repayment obligations. The ratios provide a measure of the project's historic and future performance in relation to its ability to service current and upcoming debt liabilities.
11. The ratio calculations report was last undertaken by KPMG in March 2020 and this assessed the position as at the end of December 2019. KPMG found that all the ratios had been met therefore there are currently no areas of concern to highlight to the committee.

Community impact

12. In accordance with the adopted code of corporate governance, Herefordshire Council must ensure that it has an effective performance management system that facilitates effective and efficient delivery of planned services. Effective financial management, risk management and internal control are important components of this performance management system. The committee's assurance that any risks associated with the loan arrangement have sufficient mitigation actions applied supports adherence to the code.
13. The loan arrangement supports the continued viability and affordability of the contracted waste disposal arrangement.

Environmental Impact

14. Herefordshire Council provides and purchases a wide range of services for the people of Herefordshire. Together with partner organisations in the private, public and voluntary sectors we share a strong commitment to improving our environmental sustainability, achieving carbon neutrality and to protect and enhance Herefordshire's outstanding natural environment.
15. This is a factual update on an existing loan arrangement and will, in isolation, have minimal environmental impacts. However consideration to minimise waste and resource use in line with the Council's Environmental Policy is considered as part of the overall waste collection and disposal service provision.

Equality duty

16. Under section 149 of the Equality Act 2010, the 'general duty' on public authorities is set out as follows:

A public authority must, in the exercise of its functions, have due regard to the need to –

- a) eliminate discrimination, harassment, victimisation and any other conduct that is prohibited by or under this Act;
 - b) advance equality of opportunity between persons who share a relevant protected characteristic and persons who do not share it;
 - c) foster good relations between persons who share a relevant protected characteristic and persons who do not share it.
17. The public sector equality duty (specific duty) requires us to consider how we can positively contribute to the advancement of equality and good relations, and demonstrate that we are paying 'due regard' in our decision making in the design of policies and in the delivery of services. As this is a factual update we do not believe that it will have an impact on our equality duty.

Resource implications

18. There are no financial implications arising from the recommendations of this report.
19. The loan arrangement is being repaid as expected, the implications of the agreed loan arrangement are reflected in the council's medium term financial strategy and treasury management strategy as agreed by Council in February 2021.

Legal implications

20. The terms and arrangements for this loan agreement are set out in the senior term loan facilities agreement. There are no specific legal implications arising from this report.
21. The function of the committee is set out in the constitution under 3.5.13. This report relates to functions (a) to review risks as lender and (b) to monitor the administration of the loan.

Risk management

22. Attached at appendix A is the open risks as per the joint risk register with Worcestershire County Council. The risk of ratio calculations reported last year is now closed and there are no other changes to report since the last update to the committee one year ago.

Consultees

23. None.

Appendices

Appendix A Joint Risk Register

Background papers

None identified

Waste Credit Committee Risk Register - Open Risks

June 2021 - Corporate Scoring Terms

Risk Reference	Description of risk	Gross Impact	Gross Likelihood	Gross Risk Score	Risk control approach	Mitigating Actions	Residual Impact	Residual Likelihood	Residual Risk Score	Assigned to (Risk Owners)
a	Default of loan repayments by borrower to lenders due to SPV (Mercia) or HZI falling into administration.	Critical	Medium	15	Risk transferred	Due to the security package negotiated by the Councils a fall away analysis indicated that Mercia, its Shareholders and HZI would need to have entered administration at the same time to put a repayment at risk during the construction phase. The maximum exposure to the Councils has been calculated and included within the sufficiency assessment of the Council's reserves. All press articles are scanned regularly for indications of financial strength issues and followed up to ensure counterparty risk is not increased. An example is where ACS Construction and Services S.A., through its subsidiary ACS Services y Concessions S.L., executed the sale recently of its total interest in URBASER S.A. To Firion Investments S.L.U, a company controlled by a Chinese group. The Councils then obtained legal advice that reassured lenders that no action was required by any parties arising from this change in ownership, as there were no changes to the Shareholder (Urbaser Limited).	Substantial	Very Low	6	The risk owners are the Section 151 Officers of each Council supported by Ashurst as advisors in case of contract default and Deloitte had monitored Mercia's actual quarterly cash flow tests and cover ratios that have to be maintained by Mercia. KPMG conducted a review of the ratios as at the 31st December and all passed
f	Mercia loan principal and / or interest repayments are below the required values as per the rates agreed in the STFLA .	Substantial	Very Low	6	Risk treated	The Council's treasury team maintain a spreadsheet detailing drawdowns to date and expected future principal and interest payments. This is reconciled to Mercia's repayment spreadsheet and will be matched to principal and interest repayments received from Mercia during the post construction period. Mitigating actions have continued to be taken by Mercia to combat the effects of COVID-19 and the latest assurance statement within the Committee Report of the 2nd July 2021 reflect the actions taken	Substantial	Almost Impossible	5	The risk owners are the Section 151 Officers supported by Treasury and Financing Teams.

Key

High 19 – 24	Unacceptable Risk: Immediate control/improvement required
Medium 8 – 18	Acceptable Risk: Close monitoring and cost effective control improvements sought.
Low 1 – 7	Acceptable Risk: Need periodic review, low cost control improvements sought if possible.

Scoring Matrix

Likelihood				
Very High	9	19	21	24
High	8	12	20	23
Medium	4	11	15	22
Low	3	10	14	18
Very Low	2	6	13	17
Almost Impossible	1	5	7	16
	Negligible	Substantial	Critical	Extreme
	Impact			



Title of report: Corporate Risk Register

Meeting: Audit and governance committee

Meeting date: Monday 27 September 2021

Report by: Head of Corporate Performance

Classification

Open

Decision type

This is not an executive decision

Wards affected

(All Wards);

Purpose

To consider the status of the council's Corporate Risk Register in order to monitor the effectiveness of risk management within the Performance Management Framework.

Recommendation(s)

That:

- a) **The committee determine any recommendations it wishes to ensure effective risk management.**

Alternative options

1. The committee could choose not to review the Corporate Risk Register. This is not recommended as regular monitoring should provide assurance that risk is being managed effectively within the council.

Key considerations

2. In accordance with the council's Performance Management Framework (PMF) and associated Risk Management Plan, it is the committee's role to ensure that risk management is effectively managed and in line with the processes set out in the PMF.

3. Risks are identified and scored based on the likelihood and impact, using the methodology within the Risk Management Plan (RMP). Risks are reported and escalated based on their residual, or current score. The council's Corporate Risk Register therefore holds the highest, most immediate risks across the organisation; the table below provides a summary of risks based on their scores, the associated monitoring required and the action necessary.

	Green	Yellow	Amber	Red
	Low	Medium	High	Extreme
Score	1 – 4	5 – 8	9 – 15	16 – 25
Register*	Service		Directorate	Corporate
Action	Unlikely	Might	Should	Must
Review frequency	Quarterly	Monthly	Monthly	Monthly

* NB: Risks that appear on the Corporate Risk Register will also appear on their relevant Directorate and Service Risk Registers

4. It is the responsibility of risk owners to ensure that risk scores are regularly reviewed and scores, controls and future mitigating activity are updated where necessary.

Corporate Risk Register

5. The heat map below shows the current risks on the council's Corporate Risk Register as at the end of July 2021. References and the full details of the risks can be found at appendix a. At the request of the committee, changes in the Corporate Risk Register have been identified in red text in the appendix.

Corporate Risk Register - July 2021

		IMPACT			
		4		5	
LIKELIHOOD	5	CRR.59 *			
	4			CRR.52 -- CRR.60 *	
		Directorate RR (9 - 15)	Service RR (5 - 8)	Service RR (1 - 4)	Closed
		CRR.50 ↓D CRR.58 ↓D CRR.39 ↓D			CRR.03 CRR.04 CRR.51

-- No Change
E Escalated
D De-escalated

★ New in quarter
↑ Residual Risk Increased
↓ Residual Risk Decreased

6. Since the last report to committee (March 2021 risk registers), there have been 3 risks reduced, and 3 closed.
- CRR.39 – the risk in relation to COVID-19 has been reduced down to a directorate level risk, in line with Silver command reporting. Whilst risks associated with COVID-19 continue; through daily incident meetings and weekly strategic planning sessions potential outbreaks are monitored and managed in the county. A wellbeing and economic recovery plan is being delivered.
 - CRR.50 – School assets has reduced to directorate level. Schools asset maintenance is now managed through the capital programme board with oversight of both the AD for Education and the director of Children & Families.
 - CRR.58 – COVID impact on population health has reduced to directorate level. The COVID-19 recover plan has been developed with a focus on health and wellbeing activity to address some of the impacts of the pandemic. There is also a programme intended to address inequalities in vaccine take-up.
 - CRR.03 – budget and savings in Children & families – this has been wrapped up in a new risk of developing a sufficiency strategy which supports best value (CRR.60).
 - CRR.04 – Human Rights claims has been closed and included within the re-worded risk CRR52 high risk notable cases within the courts.
 - CRR.51 – Foster Carers has also been closed and is inherent within a new risk of developing a sufficiency strategy which supports best value (CRR.60).
7. Two new risks have been added;
- CRR.59 – sustainability and closure of a care home has been re-introduced as a risk in adults and communities. A care home has notified the council of its intent to close, which brings significant operational challenges in moving a number of vulnerable residents, as well as reducing the market by approximately 30 beds. Changes in the market as a result of the pandemic, along with ongoing staffing challenges in the social care sector will continue to place pressure on care home, and other social care, providers.
 - CRR.60 – development of a sufficiency strategy to support best value has been added in children and families directorate. By not having an effective sufficiency strategy, Herefordshire has had challenges in placing vulnerable children which has led to financial pressures. An effective sufficiency strategy would identify a range of provisions, including a greater number of foster carers within the county.
8. The table below provides a breakdown of the current corporate risks by directorate, as well as the number of risks currently being managed at directorate level.

	Corporate Risks	Directorate Risks*
Adults & Communities	1	15

Children & Families	2	8
Economy & Place	0	30
Corporate Support	0	27
Total	4	80

* includes corporate risks

9. Directorate risk registers can be found at appendix b – e. A summary of changes across directorate risk registers is found in the table below.

	Adults & Communities	Children & Families	Economy & Place	Corporate Centre
New risk	3	5	9	6
Closed risk		7	2	5
Escalated	1*		4*	7*
De-escalated from DRR.			3	4
Increased score		1		1
Reduced score		1		3
No change	11	2	17	6

* Some risks have both increased in residual score and escalated to the Directorate Risk Register; in this instance, the table above only counts these risks in the escalation row.

10. As can be seen across the Corporate Risk Register visual, as well as the two summary tables above, there has been a significant review and refresh of the Children & Families risks. These risks are now a more accurate reflection of the current position within the directorate, and will continue to be reviewed regularly.

COVID-19 Risk Register

11. A separate COVID-19 risk register continues to be held in order to monitor risks in relation to the council's response to the global pandemic. These risks form part of regular reviews in the council's gold command meetings; this approach has been taken to allow a flexible approach to risk management. Risks have been aggregated in to wider risk groupings (e.g. risks to our staff), which have then been scored.

Severity of Risk	Number of risks
Low risk	0
Medium risk	5
High risk	4
Extreme risk	3

12. The heat map below shows the current risk ratings of risks held on the COVID-19 risk register. Movement on this register is noted using a similar approach to the corporate risk register above. Reference numbers and details on the risks can be found at appendix F.

		Impact				
		1 Insignificant	2 Minor	3 Moderate	4 Major	5 Significant
Likelihood	5 Certain					CV4 --
	4 Likely					CV3 -- CV8 ↓
	3 Possible				CV12 -- CV11 ↓	CV9 -- CV10 --
	2 Unlikely			CV1 -- CV6 -- CV7 --	CV2 -- CV13 ↓	
	1 Rare					

13. As shown above, since last reported to committee, there has been little change in the overarching risk score of the risks associated with COVID-19, although there have been new elements within these risks which have been identified during the quarter. The following risks have reduced their residual score:

- CV11 – Missed education for Herefordshire learners
- CV13 – Risk to the council’s reputation

Risk Management Plan Refresh

14. As reported to the last committee, the Risk Management Plan annual refresh is now underway, this refresh will be signed off by the Solicitor to the Council in autumn 2021.
15. Since June’s committee, the South West Audit Partnership (SWAP) maturity assessment has been scoped, risk leads have been briefed, the committee has been consulted with, and comparison work across similar authorities has started.
16. Also, since the last committee risk management training was run, with 58 attendees across the three sessions. This was delivered by the council’s insurer, Zurich Insurance Ltd. Sessions were targeted at the council’s Leadership Group and focused on the council’s risk processes, paying particular attention to identifying and articulating the right risks.
17. A workshop is planned with Management Board in October to consider a new approach for capturing strategic risk alongside our current risk framework. This work is being aligned with our planning for the 2022/23 delivery plan, which will identify many of the

mitigating actions. As many of the management board attendees are new officers this will provide an opportunity to further their understanding of the council approach to risk management.

18. Consideration is also being given to a rolling programme of risk training to ensure new members of staff are trained.

Community impact

19. In accordance with the principles of the council's adopted code of corporate governance, the council must ensure that it has an effective performance management system that facilitates effective and efficient delivery of planned services. Effective risk management is an important component of this performance management system.

Environmental Impact

20. This decision itself has minimal environmental impacts, however effective risk management will increase the likelihood of the council achieving its strategic objectives, including to "protect and enhance our environment and keep Herefordshire a great place to live".

Equality duty

21. Under section 149 of the Equality Act 2010, the 'general duty' on public authorities is set out as follows:

A public authority must, in the exercise of its functions, have due regard to the need to –

- a) eliminate discrimination, harassment, victimisation and any other conduct that is prohibited by or under this Act;
- b) advance equality of opportunity between persons who share a relevant protected characteristic and persons who do not share it;
- c) foster good relations between persons who share a relevant protected characteristic and persons who do not share it.

22. There are no equality duty implications arising from this report.

Resource implications

23. There are no resource implications arising from this report, however effective risk management should increase the likelihood of the council delivering its budget.

Legal implications

24 None.

Risk management

25 There are no direct risks as a result of this report. It is clear that we still have some way to go to embed the new approach. By reviewing the corporate risk register on a regular basis, greater assurance is given that the council manages its risk effectively.

Consultees

26 None

Appendices

Appendix A	Corporate Risk Register
Appendix B	Adults & Communities Risk Register
Appendix C	Children & Families Risk Register
Appendix D	Corporate Centre Risk Register
Appendix E	Economy & Place Risk Register
Appendix F	COVID-19 Risk Register

Background papers

None identified

Glossary

Sufficiency Strategy The sufficiency strategy is to sets out what the council will do to ensure that there is sufficient accommodation of different types for our looked after children and young people (LAC). The strategy is part of a whole-system approach that includes early intervention and preventive services to support children within their families, as well as better support services for children who become looked after.

Ref	Risk Description	Opened	Risk score before controls (LxC)	Existing Controls in Place	Risk score after controls (LxC)	Risk Appetite	Further actions required	Risk Owner
CRR.52 37	<p>High Risk Notable Cases within the courts IF: the current cohort of High court notable cases in respect of legacy practice results in a further critical judgement THEN: Herefordshire council may face human rights cost claims and formal DfE statutory intervention Court cases IF/AS: The high profile child care case before the courts is found against the council. THEN: This will lead to a reputational risk and a potential fine from the courts</p>	Aug-20	25 (5*5) 29 (5*4)	<p>Service level protocol in development with legal services setting out legal support and overview and scrutiny through the director of children services and the head of legal services including fortnightly meetings between the client and provider (children services and legal services) An action plan has been developed to address the learning issues from this case and improvements in practice and performance</p>	20 (4*5) (5*4)	Further mitigation required	<p>Learning review currently being undertaken by experienced former DfE Commissioner commissioned by the Chief Executive Actions are being delivered on the action plan including the development of policies and procedures to improve practice with the full involvement of legal services. There has been the instruction of a QC to represent the LA alongside junior counsel. In addition to this, Wolverhampton City Council has been instructed to have conduct of the legal proceedings in order to ensure there is no conflict of interest between the legal department having conduct of the case currently and the legal department having given legal advice historically on the same matter.</p>	Director Children & Families
CRR.59	<p>Sustainability and closure of a Care Home. We have been notified by a care provider that they wish to cease trading after September 2021. At this point due to sensitivity we cannot name this care home but the closure will reduce bed capacity by approximately 30 beds. The home houses a number of vulnerable individuals and loss of their home could lead to a deterioration of their health and well being. The closure of a care home is always a operational and political issue and will inevitably lead to some potential for reputational damage of the council.</p>	Jul-21	25 (5*5)	<p>The provider and the council are working closely together to minimise the impact of the closure. Led by commissioning in collaboration with ASC operations all residents will be reviewed and families will be supported to find alternative accommodation should that be required. The council has a well established and commented provider failure protocol which has been used successfully previously and will form the basis of the work to facilitate the seamless closure of this home</p>	20 (5*4)	Further mitigation required	<p>Post Covid occupancy in care homes is slightly below the norm, it is anticipated that these levels will become the new norm and as a result there will be alternative homes of the required quality for the residents to move to. All moves of residents will be done in line with the provider failure protocol and in collaboration with families, residents, CQC and ASC operations.</p>	Director of Adults & Communities
CRR.60	<p>Development of Sufficiency strategy to support best value model IF: the sufficiency strategy is not effective in a timely manner in order to meet outcomes for C&YP THEN: high costs demands in order to meet service need will continue within the budget</p>	Jun-21	25 (5*5)	<p>Panels have been implemented to ensure robust monitoring and approval of all placements. A new sufficiency strategy in development. Reviewing of current contracts to ensure value for money. Developing a recruitment and retention model to increase fostering, short breaks / respite provision and emergency foster care.</p>	20 (4*5)	Further mitigation required	<p>Working with Adults All Age Commissioning to support the review of contracts and inform future sufficiency and needs</p>	Director Children & Families

Risks De-escalated from the Corporate Risk Register

CRR.39	<p>COVID 19 AS: the global COVID 19 pandemic continues in Herefordshire Then: This will have a significant impact on council activities and the strategic priorities of the county. Staff will be redeployed and might be unable to work resulting in impact on front line services, delivery of care to vulnerable people will be compromised, non-urgent member decisions may be postponed, local businesses will be effected in turn impacting Business Rates & Council Tax. The impact on the health system will also cause additional strain on social care teams to respond.</p>	Mar-20	25 (5x5)	<p>Outbreaks are managed through incident management teams that form the outbreak control hub via daily co-ordination meetings. A strategic planning meeting also take place weekly to ensure co ordination of activity. Redeployment is now limited and recruitment continues to take place.</p> <p>The covid recovery programme is in place to support residents and businesses.</p> <p>The majority of staff continue to work from home unless the needs of the service or personal reasons require office working.</p> <p>Tracking advice from PHE. Tactical Group and Corporate Groups planning appropriate responses. Planning by services to establish critical services and help maintain service provision. Talk Community response in place supporting and connecting potentially vulnerable people in communities. Staff redeployed to support the response.</p>	55 (5x3)	Further mitigation required	Re-assessment of COVID-19 risks which will form part of a future strategic risk log	Chief Executive
CRR.50	<p>School Assets IF/AS: deteriorating condition of school estate with Insufficient budget to maintain school assets proactively THEN: There may be an increase in costs due to unplanned significant spend</p>	Apr-17	25 (5x5)	This is now a standing item on the capital programme board and the management of the risk has been changed - AD now oversees spend - this remains red however as the condition catch up phase will always be risk.	15 (3x5)	Further mitigation required	The capital programme board is now chaired by the DCS as part of the overview and monitoring in line with corporate infrastructure	AD Education Development and Skills
CRR.58	<p>Covid impact on population health if due to Covid, people's health got worse, then we will increase inequalities and have a negative effect on the whole system.</p>	Sep-20	20 (5x4)	Reduce the impact of Covid directly (eg stop smoking capacity). Recovery plan implemented with health and wellbeing focused activity to address some of the impacts of the pandemic. Programme of activity to address inequalities in vaccine uptake.	12 (3x4)	Accept	Continued focus on reducing COVID and vaccine inequalities consequences. Embed addressing pandemic impacts across the wider system.	Director of Public Health

Closed risks

CRR.03	Budget and Savings Plans - Children & Families IF/AS: The demand for placements for looked after children and care leavers exceeds that planned for when the budget was set THEN: the spend will be greater than the budget within children and families directorate will be able to cover	Apr-17	25 (5x5)	Budget is reviewed monthly DLT/SMT/Management Board and then informing Cabinet. Legal Planning Meetings (LPMs) which take place weekly are chaired by Case Progression Officers with a relevant HoS in attendance to review cases that may be considered to be moving towards becoming looked after. ECHO (Edge of Care) Service staffed and launched May 2020. Early Help Hub was launched in Sept 2020 to provide information, advice and guidance and direct work with families, coordinating the early help approach with partners and families	20 (4x5)	Further mitigation required	Monitor ongoing effectiveness of ECHO work; so far indicates success in reunification for children and also providing support to prevent the need for children to come into care. However, the spend is still forecast to exceed the budget for this financial year	Director Children & Families
CRR.04	Human Rights claims IF: a result of high court decisions regarding children's social care cases in respect of historical practice THEN: Herefordshire council may face Human Rights claims.	Dec-16	20 (5x4)	Case review work has been undertaken by children's social care and by legal services and submitted to court. Legal services have reviewed current cases to assess for potential human rights claims. Communications briefed on response from council, including training, audit of any cases with similar presenting features and action to address any recommendations from the judgement; communications to cabinet, children's scrutiny and all members; communication to chair of HSCB and also to regional lead for safeguarding with Ofsted. In light of court judgements, cases are reassessed. Practice improvements are identified through this work and steps taken to embed changes in day to day work. In light of court judgements, cases are reassessed. Practice improvements are identified through this work and steps taken to embed changes in day to day work.	20 (5*4)	Further mitigation required	Children's services and legal services continue to reassess cases in light of court judgements. Practice improvements are identified through this work and steps taken to embed changes in day to day work.	Director Children & Families
CRR.51	Foster Carers IF/AS: The council is unable to recruit and retain sufficient foster carers THEN: the council will rely increasingly on agency foster carers and also potentially use more residential placements. This may lead to children being placed far away outside of Herefordshire and at increased cost	Aug-20	20 (5x4)	Sufficiency strategy in place that includes action to improve the recruitment of foster carers and also a HIPSS service to support HIPSS placements. A recent review of the sufficiency strategy and the annual fostering report indicates we have not been successful in meeting recruitment targets. A working group was established to consider a different approach to recruiting fosterer carers through commissioning external marketing company as per Devon and Warwickshire model. Changes have been made to the payment of existing council foster carers who will support children that move from residential placements	16 (4x4)	Further mitigation required	Monthly meetings have been established to review cases of those children identified to step down from residential to foster care. We are going out to tender for a company to support us with foster care recruitment for 2021/22	AD Safeguarding and Family Support

Adults & Communities Directorate Risk Register September 2021

		Impact				
		2	3	4	5	
Likelihood	5			AC.01 NEW		
	4	N/A				
	3	N/A	AC.09 -- AC.10 -- AC.11 -- AC.12 -- AC.13 --	AC.14 NEW AC.15 NEW	AC.02 -- AC.03 -- AC.04 -- AC.05 -- AC.06 NEW	
	2	N/A	N/A	N/A	AC.07 -- AC.08 --	

Reference	Description	Corporate Risk
AC.01	Sustainability and closure of a Care Home. We have been notified by a care provider that they wish to cease trading after September 2021. At this point due to sensitivity we cannot name this care home but the closure will reduce bed capacity by approximately 30 beds. The home houses a number of vulnerable individuals and loss of their home could lead to a deterioration of their health and wellbeing. The closure of a care home is always an operational and political issue and will inevitably lead to some potential for reputational damage of the council.	CRR.59
AC.02	Conclusion of NHS funding for discharge to assess. WHEN The current NHS funding of discharge to assess model to manage hospital discharges during the Covid 19 outbreak concludes on the 31 March 2021. THEN without sufficient capacity and appropriate funding of pathway resources for example, bedded care that can be accessed in a timely way; responsive and safe discharge outcomes for patients may not be achieved.	
AC.03	Talk Community IF Talk Community is not adopted by internal and external partners to address the population health, inequalities and well-being agenda THEN the support to the residents of Herefordshire could be less effective and impactful and the Talk Community strategy will not be implemented.	
AC.04	Staffing and Recruitment for Occupational Therapy OT recruitment is on the national shortage list. H'shire has a number of OT vacancies. IF the current vacancies are not filled THEN this could impact on service delivery and staff health and well being	

AC.05	Talk Community IF the facilitation and coordination of the voluntary and community sector isn't developed THEN the growth in the sector will be disparate and gaps in support will increase.	
AC.06	Staffing & Recruitment IF: we are unable to recruit to key operational worker roles THEN there will be a risk to delivering our services placing residents at risk	
AC.07	Access to Health funding (CHC and joint funding) Herefordshire remains in the bottom quartile of cases fully funded meeting CHC eligibility. IF CCG continue to not accept that there are any process or decision making irregularities influencing this trend THEN it remains the fact that ASC are funding above other Local Authorities per 1000 population. Meaning ultimately Herefordshire citizens and the Local Authority potentially are funding Healthcare which should be free to the individual at the point of delivery. Currently the CCG is disputing the Local Authority peer challenge feedback.	
AC.08	Continuing budget pressures and future of ASC funding IF: There continues to be uncertainty around the future and sustainability of adult social care funding, THEN the risk of not meeting statutory functions increases as does the risk of failure within the reliant social care economy in the county, such as care homes. In addition, the opportunity to re-model the way we provide services is limited	
AC.09	Talk Community IF the development and growth of the volunteer base across the county doesn't increase within all demographics THEN the opportunity to develop support through volunteers will reduce and impact on areas of future delivery.	
AC.10	Talk Community IF the voluntary and community sector have reduced funding or funding ceases to organisations THEN the organisations and support will reduce across the county which will impact on supporting vulnerable people.	
AC.11	Demographic & Financial Pressures IF: financial and demographic pressures continue to rise and are not managed THEN: the council would be unable to meet it's statutory obligations in meeting needs, safeguarding and maximising independence for residents	
AC.12	Housing under "everyone In" arrangements: As part of the Central Government response to the coronavirus the Minister for Local Government and Homelessness required on 26 March that rough sleepers and other vulnerable homeless people were supported into appropriate accommodation with immediate effect. A similar approach was required in Winter 2020-21 under the Government's 'Protect Plus' Programme. Herefordshire Council have housed around 100 people under these arrangements and over 50 remain accommodated in late January. Much of the cost of this accommodation can and will be recouped by Housing Benefit claims, but current analysis suggest that a shortfall of around £15,000 per week remains where housing benefit cannot be recouped	

AC.13	<p>Housing Benefit Decision Making; The recent pattern of decisions around housing benefits claims for supported housing raises continuing risk that commissioning budgets will need to carry higher levels of cost for services than in the past. Continuing concerns and formal representations from supported housing providers indicates risk of more services being withdrawn or providers not competing to provide them.</p>	
AC.14	<p>ICES Stock supply Due to the impact of Covid 19 and Brexit bent metal products supply chain is causing delays to orders being fulfilled to dates as prescribed.</p>	
AC.15	<p>Failure of a Care Homes With the national mandatory vaccination programme for staff, insurance issues and the National releasing of Covid related deaths in Care Homes, this could put pressure on the workforce by loss of staff who still choose not to vaccinate and could increase voids which may make Care Home unviable.</p>	

Children & Families Directorate Risk Register September 2021

		Impact			
		2	3	4	5
Likelihood	5		CF.07 ↑		
	4	N/A	CF.01*		CF.02 * CF.03 --
	3	N/A		CF.08 --	CF.02 * CF.05 * CF.06 ↓
	2	N/A	N/A	N/A	CF.04*

Reference	Description	Corporate Risk
CF.01	Career Pathway to support Recruitment and retention IF: New proposed career pathway is not effective THEN: Retention and recruitment to critical key role of experienced staff will not be achieved	
CF.02	Development of Sufficiency strategy to support best value model IF: the sufficiency strategy is not effective in a timely manner in order to meet outcomes for C&YP THEN: high costs demands in order to meet service need will continue within the budget	Yes (CRR.60)
CF.03	High Risk Notable Cases within the courts IF: the current cohort of High court notable cases in respect of legacy practice results in a further critical judgement THEN: Herefordshire council may face human rights cost claims and formal DfE statutory intervention	Yes (CRR.52)
CF.04	Non-Statutory Notice to improve IF: We are unable to demonstrate and or meet the Department for Education's (DFE) expectations as set out in the non statutory notice to improve THEN: We could face more formal statutory intervention with the risk of the removal of children services from the councils control into a childrens trust	
CF.05	Storing and recording of records IF: We fail to store records in the correct manner and comply with information governance policy THEN: Critical key data in respect of the childs journey could be lost, mislaid or not used; which, would potenailly impact on the outcomes for the child and family	
CF.06	School Assets IF: The condition of school estate continues to deteriorate with insufficient budget to maintain school assets proactively THEN: There may be an increase in costs due to unplanned significant spend	

CF.07	<p>Special School Demand IF: Demand continues for special school places, we are not be able to place locally and we might run out of independent and non-maintained places within daily travel THEN: There is a risk to the High Needs budget which in turn carries a reputational risk, there is a risk of legal challenge as we will not be able to meet need and children might unnecessarily placed residentially disrupting family life</p>	
CF.08	<p>ICT Systems IF: The technology ICT systems/ platforms are not utilised to the full potential THEN: We fail to provide consistent service delivery for children and families in Herefordshire</p>	

Corporate Centre Directorate Risk Register September 2021

		Impact				
		2	3	4	5	
Likelihood	5		CS.01 ↓D CS.03 *			
	4	N/A	CS.14 * CS.15 ↑ CS.16 ↑E CS.17 ↑E			
	3	N/A	CS.18 ↓ CS.19 -- CS.20 -- CS.21 -- CS.22 --	CS.23 ↓ CS.24 * CS.25 * CS.26 ↑E CS.27 ↑E	CS.04 ↓D CS.05 -- CS.06 -- CS.07 -- CS.08 --	CS.09 ↑E CS.10 * CS.11 * CS.12 ↑E CS.13 ↑E
	2	N/A	N/A	N/A	N/A	

Reference	Description	Corporate Risk
CS.01	COVID 19 AS: the global COVID 19 pandemic continues in Herefordshire Then: This will have a significant impact on council activities and the strategic priorities of the county. Staff will be redeployed and might be unable to work resulting in impact on front line services, delivery of care to vulnerable people will be compromised, non-urgent member decisions may be postponed, local businesses will be effected in turn impacting Business Rates & Council Tax. The impact on the health system will also cause additional strain on social care teams to respond.	
CS.02	Hoople Ltd : IF: non-compliance with GDPR : THEN Risk of challenge from ICO and financial risk for Council	
CS.03	IT budget - If it is not clear on the spend for IT with links to contracted spend THEN there is a risk of overspend.	
CS.04	Covid-19 impact on population health If due to Covid-19, people's health got worse, then we will increase inequalities and have a negative effect on the whole system.	
CS.05	Recruitment Strategy IF: the council is unable to recruit and retain the level and scale of staff required across the organisation due to inability to attract and/or an unsustainable employable local demographic THEN: there will be insufficient staff to meet service demands; an inability to progress service development; and a financial implication of using agency staff/contractors.	
CS.06	Cyber-attack IF: we do not protect against a potential cyber-attack THEN: we could be at risk of losing data in breach of principle 7 of the Data Protection	

	Act which would lead to potential fines from the Information Commissioner Office and reputational damage	
CS.07	Council Redesign/Resources IF: Reducing resources in the form of grant, uncertainty and the requirement to deliver transformation at speed combine THEN: there will be a risk of failure to meet statutory and/or legal duties and powers.	
CS.08	Risk of Challenge If staff do not comply with the Contract Procedure Rules and Public Contract Regulations (2015) Then there could be a challenge to the contract award process which could result in a failure to uphold the law, reputational damage and impact	
CS.09	Procurement Support IF tenders are not adequately planned or resourced reflecting addition in grant funded projects and new escalated delivery THEN there may not be sufficient resources within the team to support the procurement process, which could result in delays to projects, inadequate application of best practice, potential for mistakes, business continuity issues and delivery of council goals.	
CS.10	Industry Reconsultation on extension IF BDUK insist on consultation for extended contract for Stage 4 (based on threat to withhold all future funding) THEN the additional coverage will not materialise and supplier could claim a valid contract.	
CS.11	Records Management If staff do not comply with records management policy, practice and procedures - including using the systems available THEN important information can be lost including for court cases, subject access searches and FOI.	
CS.12	Major Capital Projects IF: We don't deliver Major Capital Projects within budget or within timescale THEN: this will lead to increased costs and reputational damage	
CS.13	EU exit IF: there is uncertainty, inflation and resource restrictions THEN: there may be an impact on the economic and social programmes of the Council and its partners which would impact affordability and result in resource gaps	
CS.14	Mandatory IG and IS Training IF staff do not complete their mandatory IG and IS training before being given access to business systems THEN this may lead to data breaches or the mis-management of information and risk referral to the Information Commissioner and/or legal challenge with resultant unbudgeted costs and reputational damage for the Council.	
CS.15	Fastershire delivery IF coverage and take up falls short of plans with the revised broadband strategy THEN premises will not be able to take up a service or make the most of investment in the fibre network effecting economic performance and community vitality.	
CS.16	New projects expectations and requirements IF insufficient capacity in procurement team to support due to	

	increasing demand through new project and expectations THEN tender strategies and approaches may fall short of best practice and policy requirements.	
CS.17	Legal resourcing Inability to control external fees spend within allocated budget of £400k	
CS.18	Public Health staff capacity IF PH staff capacity is not sufficient then we won't be able to deliver our objectives.	
CS.19	Covid 19 funding issues IF: Government does not fully fund the financial implications of responding to the Covid 19 pandemic THEN: we will overspend our revenue budget, placing pressure on revenue reserves and ultimately the financial failure of the council	
CS.20	Good decision-making IF: officers and members do not uphold the principles of good decision-making THEN: the Council may make poor decisions which either result in lost opportunities or increased costs.	
CS.21	IT skills and culture IF the workforce do not have the IT skills or the willingness to make the most of technologies THEN the council is not making the most of the tools available to create efficient services or progress service delivery	
CS.22	IT development IF the council does not invest in digital solutions working across the organisation THEN opportunities for better customer engagement, communications and efficient services delivery will be effected and the council will fall behind on what residents and businesses want and what other council can provide. To always be based on should business cases and value for money with return on investment.	
CS.23	Emergency events IF: significant events happen (e.g. severe weather, major flooding, terrorism and/or influenza pandemic risks) THEN: there could be a significant cost implication to the Council and it may be necessitate staff redeployment to backfill and maintain critical services. Failing to respond effectively to major emergencies/incidents could result in in a loss of public confidence through adverse publicity, loss of life to public or council employees, loss of service, economic damage or environmental impacts. Lack of trained staff (deployed or other) means we may not respond as quickly/effectively as we should.	
CS.24	PH delivery of grant spend If recruitment to vacant roles remains challenging there is a risk to spend of universal funding granted to Turning Point.	
CS.25	Local Land Charge Time scale - IF the services fails to meet national target THEN there is a reputational risk and local scheme could face a delay in time scale.	
CS.26	Medium Term Financial Strategy IF: the Council does not deliver its MTFS strategy, either through poor budgetary control or inflationary pressures THEN: there is a risk that	

	the organisation will not achieve a balanced budget and risk service failure	
CS.27	Legal recruitment Inability to recruit to the new structure will lead to challenges in managing the demand for legal support	

Economy & Place Directorate Risk Register September 2021

		Impact			
		2	3	4	5
Likelihood	5	EP.22 --	EP.01 -- EP.02 --		
	4	N/A	EP.09 -- EP.10 * EP.11 *		
	3	N/A	EP.23 -- EP.28 ↑E EP.24 -- EP.29 ↑E EP.25 -- EP.30 ↑E EP.26 ↑E EP.27 --	EP.12 -- EP.17 * EP.13 -- EP.18 -- EP.14 -- EP.19 * EP.15 -- EP.20 -- EP.16 * EP.21 --	EP.03 -- EP.08 * EP.04 -- EP.05 * EP.06 * EP.07 *
	2	N/A	N/A	N/A	

Reference	Description	Corporate Risk
EP.01	Cost increase in providing special transport IF: there is increasing demand for special transport (SEN/LAC/PRU) THEN: there will be significant budget pressures to the transport service.	
EP.02	Covid results in significant financial and operational pressures for passenger transport services IF: the response to covid emergency results in need for emergency planning of transport operations THEN: new considerations required in relation to safety (social distancing) which will result in a massive drop in revenues affecting council budget and commercial operators viability.	
EP.03	Phosphate Pollution in Lugg Catchment IF: A way forward cannot be found in relation to the moratorium on housing development in the River Lugg catchment arising from elevated phosphate levels THEN: the 5 Year Housing Land Supply figure will fall further which will have a severe impact upon the weight of Neighbourhood Development Plans and the outcome of planning appeals, leading to a 'plan led' rather than a 'policy led' county.	
EP.04	Waste management services contract IF: we fail to make best decision in regard to WMSC extension THEN: value for money to the council will not be delivered.	
EP.05	Waste management services contract IF: we do not appropriately resource the review THEN: there is a risk that we may not meeting the tight timescales to be able to re--procure a new service in time	

EP.06	<p>Wetlands IF: Wetlands are to deliver the required phosphate reduction to enable housing development in the Lugg catchment areas THEN: The delivery of these wetlands must be driven at pace to ensure that (1) the effective moratorium is unblocked ASAP and (2) the requirement to spend £1m of the LEP grant by 31/3/22 is met so that the £1m LEP funding does not have to be returned.</p>	
EP.07	<p>Ecology Resource IF: The ecology team does not get additional resource THEN: The delivery of their statutory role in planning consultations will not be met and the internal expertise to deliver many of the council's environmental actions within the corporate plan will also be at risk.</p>	
EP.08	<p>Historic Building Conservation Resource IF: The Historic Building Conservation team does not get additional resource THEN: The delivery of their statutory role in planning consultations will not be met and the internal expertise to deliver many of the council's environmental actions within the corporate plan will also be at risk.</p>	
EP.09	<p>BBBLP Annual Plan Delivery Covid 19 cost IF: additional cost continues to be identified due to the current covid situation (the costs are captured in the AP EW's and RR meetings) THEN: there will be delivery/financial implications for the Annual Plan *Additional funding from government is expected but the extent is not known.</p>	
EP.10	<p>Herefordshire on street cycle hire scheme (Beryl). IF: we are unable to secure additional external funding THEN: the current project will finish in 31 March 2022. This presents a significant political risk as the project is very successful and popular. This also presents a risk to delivering the sustainable transport objectives in the local transport plan and corporate delivery plan. Funding to procure on street cycle hire was from the DfT Access Fund but in the absence of grant funding it may be possible to access internal funding.</p>	
EP.11	<p>Corporate Energy Bills IF: Forecasted energy prices for next year do not start to decline THEN: The cost of energy bills for the council's corporate estate will rise considerably next year (in the region of 17-19% for gas and 11-14% for power).</p>	
EP.12	<p>Economic Resilience - Covid 19 IF: Covid 19 has and will continue to have a very significant impact on the local economy THEN: businesses will close, and unemployment will rise.</p>	
EP.13	<p>Drainage Investment IF: Underlying drainage issues, that have and will lead to accelerated deterioration in the highway asset, are not addressed through the investment period THEN: this will lead to the benefits realised as a result of the investment not being sustained. *Drainage impact from Oct 19 and Feb 2020 significant, resources required for corrective measures including revenue.</p>	

EP.14	<p>Severe Weather and other Emergencies IF: Severe weather, or other major emergencies events occur (for example severe and prolonged winter periods) the need will exceed programmed operational resources THEN: The service will need to call on corporate revenue reserves if it is to continue to meet the Council's duties as a highway authority.</p>	
EP.15	<p>Transport Infrastructure IF: we fail to deliver the necessary infrastructure to deliver core strategy growth THEN: there will be an impact on the delivery of planned homes and jobs.</p>	
EP.16	<p>Hereford City Centre Improvements: IF Agreement cannot be reached on scope of works to be completed THEN LEP funding may be withdrawn and there would be a shortfall in funding for the scheme.</p>	
EP.17	<p>Hereford City Centre Improvements: IF A new location for the WPD substation and the replacement works are not progressed. THEN The ability to progress the next phase of construction and meet the LEP spend requirements for 21/22 financial year may be compromised.</p>	
EP.18	<p>Hereford City Centre Transport Package IF: The outturn cost of the CLR works and the budget estimates for the design proposals for the transport hub and public realm exceed the available budget THEN: The current proposals may not be deliverable impacting the terms of the funding agreement.</p>	
EP.19	<p>Green Homes Grant Local Authority Delivery (GHG LAD) project IF: Funding is not defrayed for green home measures by project end THEN: allocated Herefordshire funding will need to be returned to central government (Business, Energy and Industrial Strategy, BEIS).</p>	
EP.20	<p>Infrastructure Projects IF: Projects are to be let through open procurement outside the public realm contract THEN: There may be delays to scheme progression or significant pressure on resources to meet the scheme delivery and management requirements.</p>	
EP.21	<p>Development Regeneration Partnership - Keepmoat IF: there is not an adequate pipeline of suitable residential development projects THEN: we will not be able to deliver the benefits through the contract</p>	
EP.22	<p>Highway Condition IF: The maintenance of the highway network continues at the current level THEN: the condition of the network will continue to deteriorate and the cost of rectifying this deterioration will increase with adverse reputational impact.</p>	
EP.23	<p>Ash Dieback (Chalara) IF: An action plan is not adopted to deal with the onset of Ash Die Back within the County boundaries THEN: the authority faces significant unplanned financial burden linked to removal of a significant percentage of tree stock and an increased liability linked to personal injury and third party damage claims.</p>	

EP.24	<p>Local flood risk management strategy IF: The implementation of the LFRMS is not fully embedded THEN: HC will not be able to manage local flood risk in a more co-ordinated way and won't be able to help individuals, communities, businesses and authorities understand and manage flood risk within the county.</p>	
EP.25	<p>Staff Retention in Property Services IF: Staff leave/retire THEN: Key knowledge, programme delivery and statutory compliance will be compromised</p>	
EP.26	<p>Infrastructure projects land acquisition IF: we are unable to acquire land to enable major infrastructure THEN: there is a risk to delivery of major infrastructure (e.g. roads/highways)</p>	
EP.27	<p>Herefordshire fuel poverty level IF/AS: Fuel poverty levels in the county rise (the latest sub-regional statistic (2018) is above the national average) THEN: There is a public health and reputational risk that we are not addressing fuel poverty levels and moving forward incidences of excess winter deaths and costs to health, social care will rise.</p>	
EP.28	<p>Food Hygiene Inspection Program IF: there is non-compliance with the Food Standards Agency (FSA) Code of Practice with regards to the interventions at D & E rated food businesses THEN: possible FSA intervention and increased public health risk</p>	
EP.29	<p>Destination Hereford - last year of secured DfT funding IF: There is no follow up funding opportunity to apply to OR if we are unsuccessful in this if there is a next funding round THEN: the vast majority of the Destination Hereford project will finish in April 2022 and there will be a revenue pressure on salary costs in 2022/23 *We are now into the last year of the current Destination Hereford (phase 3) which receives £500k pa of revenue funding from the DfT's Access Fund.</p>	
EP.30	<p>Winter maintenance plan IF: we have no maintenance plan THEN: we will be unable to prioritise limited budgets to ensure continued service delivery</p>	

Risk Reference	Risk Description	Opened	Risk score before controls (LxC)	Risk score after controls (LxC)	Residual Risk trend (6 months)
CV1	Risk to the vulnerable people in Herefordshire (children not in education, not in social care)	Apr-20	15 (5*4)	6 (2*3)	_____
	Ability to carry out business as usual to support vulnerable people in the community	Apr-20			
	National focus is largely on protecting the NHS, which might result in poor practices generating increased (long term) pressures on social care	Apr-20			
	Assurance that Care Home are effectively managing the COVID risks and contamination control within their settings	Apr-20			
	Adequacy of Infection Protection control	May-20			
	Testing availability	Sep-20			
	Increase in infection rate	Sep-20			
	Patchy test and trace communication and service	Oct-20			
CV2	Risk to our staff	Apr-20			
	Availability of PPE	Apr-20			
	Staffing levels will make BAU, and COVID responses under pressure	Apr-20			
	Risk of infection/death to frontline staff working in the community	Apr-20			
	Working from home H&S and well being	Apr-20			
	Risk to BAME workforce	May-20			
	Covid secure workplaces	May-20			
	Testing availability	Aug-20			
	Risk to social work practice as supervision continues to be remote	Oct-20			
	Long term implications of Covid and return to BAU	Feb-21			
CV3	Risk to the council's finances	Apr-20			
	A reduction in council tax income	Apr-20			
	A reduction in business rate income	Apr-20			
	A reduction in income for other sources, such as car parking	Apr-20			
	Additional unbudgeted spend including PPE @ significant cost	Apr-20			
	Uncertainty over central government support and unavoidable costs	May-20			
	Timing deadline for central government support	Jun-20			
CV4	Risk to the local economy	Apr-20			
	Local economy will suffer as a result of the COVID measures	Apr-20			
	Increased likelihood of businesses failing	Apr-20			
	Delays in progressing some of the key council developments which will increase the capacity to	Apr-20			
	Market failures for LA services	Jun-20			
	Impact for market towns not covered by specific grants	Jun-20			
	Increased unemployment	Jun-20			
	Ability for transport services to provide covid secure service and still be viable	Jun-20			
	Difficulty in recruiting in some areas ie agriculture	Jun-20			
	Uncertainty of pandemic on top of flooding this year	Jun-20			
Risk of Variant of Concern resulting in re-implementation of measures that impact economy	Aug-21				
CV6	Risk to the Shield, BRAVE and other vulnerable groups COVID response	Apr-20	20 (4*5)	6 (2*3)	_____
	Due to numerous lists being issued from health, there is a risk that some people are missed and not contacted	Apr-20			

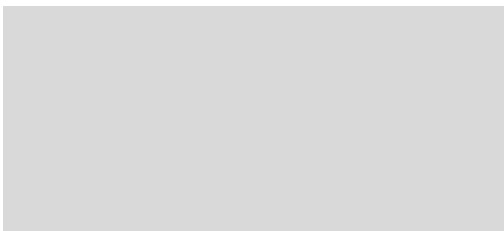
	Fragile processes have been developed to support immediate resolution, which rely too heavily on individuals and single points of failure.	Apr-20			
	Sufficiency of foster care places	Jun-20			
	Availability of volunteers and shield buddies as normal duties resume	Jun-20			
	Impact of public realm changes for the visually impaired	Jun-20			
	Increase in infection rates	Sep-20			
	Testing ability	Sep-20			
	Patchy test and trace communications and service	Oct-20			
CV7	Risks to Communications and national messaging	Apr-20	9 (3*3)	6 (2*3)	
	Herefordshire council might not agree with the national messaging	Apr-20			
	The requirement to respond to the national governments decisions quickly poses a risk to the council	May-20			
	Messages not understood due to unclear messaging and different counties/welsh border.	May-20			
	Inaccessible communications not reaching audience	Jun-20			
CV8	Risk to delivery of Strategic Objectives	Apr-20	20 (4*5)	16 (4*4)	
	Transformational projects stalling due to inability to build/develop/transform services	May-20			
	HE ability/pressures	Jun-20			
	Lockdowns and further restrictions	Sep-20			
CV9	Risk of non compliance with advice/guidance by general public	Jun-20	25 (5*5)	15 (3*5)	
	Non compliance by members of public	Apr-20			
	Pressure on council enforcement resources	Jun-20			
	Not securing court orders	Aug-20			
	Increase in infection rates	Sep-20			
	Risk from international travel and non-compliance with quarantine requirements on return.	Apr-21			
CV10	Risk of larger outbreaks leading to wider lockdown	Jun-20	15 (3*5)	15 (3*5)	
	LA not have powers for wider lockdown	Jun-20			
	Community tensions rising	Jun-20			
	Local authority and local system capacity being overwhelmed if multiple large outbreaks occur simultaneously	Jul-20			
	Increase in infection rate	Sep-20			
	School reopening	Sep-20			
	Variant of concern spread within the county	Apr-21			
	Staff cannot be recruited to key COVID-19 response positions	Aug-21			
CV11	Missed education for Herefordshire learners	Jun-20	25 (5*5)	8 (3*4)	
	Impact of lack of learning /virtual learning capability	Jun-20			
	Parental and school tensions	Jun-20			
	Non-attendance for September return	Aug-20			
	Schools returned and preparing for virtual learning	Sep-20			
	Ability to catch up on missed education	Sep-20			
CV12	Lack of digital inclusion /IT	Jun-20	12 (4*3)	12 (4*3)	
	Superfast broadband not accesible to all	Jun-20			
	Digital inclusion - feeling more excluded	Jun-20			
	Cyber security risk increasing given increase of matter online	Jun-20			
	IT still within the council having an impact on delivery	Nov-20			
CV13	Risk to the Council's reputation	Nov-20	25 (5*5)	8 (2*4)	
	Introduction of local rapid testing at scale places expectations on council to make this an effective, well-run service for an estimated 6-12 months. No clear national policy yet from end of June.	Nov-20			

Development of contact tracing and compliance services at a local level will be necessary to control and mitigate infection spread. This has been of poor quality nationally, and damaging to national government.

Nov-20

There is already an expectation that the local authority will support the effective roll-out of vaccinations to health and care staff: likely that this will extend to the wider population in the new year.

Nov-20





Title of report: Annual Governance Statement – Draft for 2020/2021

Meeting: Audit and governance committee

Meeting date: Monday 27 September 2021

Report by: Chief finance officer

Classification

Open

Decision type

This is not an executive decision

Wards affected

All wards

Purpose

To seek the views of the committee as to whether the draft annual governance statement (AGS) for 2020/21 properly reflects the risk environment the council is operating in and the appropriateness of any actions required to improve it. The draft will be published with the draft statement of accounts.

The council is required to publish a statement annually which explains to the community, service users, tax payers and other stakeholders our governance arrangements and how the controls we have in place manage risks of failure in delivering our outcomes and reflecting our particular features and challenges.

In addition, as part of preparation work for the AGS significant partnerships are reviewed and the report outlines the register of partnership and any gaps in controls.

Recommendation(s)

That:

- a) **The committee determines whether the draft annual governance statement in appendix 1 properly reflects the risk environment the council is operating in and that actions identified are an appropriate response; and**
- b) **The committee considers the register of significant partnerships and asks the s151 officer to commission a SWAP audit on the outstanding self-assessment.**

Alternative options

1. There are no alternatives to publishing an annual governance statement which is a requirement of the Accounts and Audit Regulations 2015.
2. It is open to the committee to propose amendments to the draft statement to ensure it accurately reflects the council's governance arrangements and their effectiveness, and to ensure that proposed actions are appropriate. The committee made no recommendations for substantive change when approving the draft.

Key considerations

3. The council is required to publish a statement annually which explains how the controls the council has in place manage risks of failure in delivering outcomes and decision making.
4. The preparation and publication of the annual governance statement has been carried out in accordance with the guidance produced by the Chartered Institute of Public Finance and Accountancy: 'Delivering Good Governance in Local Government'.
5. The guidance advises that statements should be meaningful but brief, high level, strategic and written in an open and readable style, and should include:
 - a) an acknowledgement of responsibility for ensuring that there is a sound system of governance (incorporating the system of internal control) and reference to the authority's code of governance.
 - b) reference to and assessment of the effectiveness of key elements of the governance framework (set out in the code of corporate governance) and the role of those responsible for the development and maintenance of the governance environment, such as the council, the executive, the audit committee, internal audit and others as appropriate.

- c) an opinion on the level of assurance that the governance arrangements can provide and that the arrangements continue to be regarded as fit for purpose in accordance with the governance framework.
 - d) an agreed action plan showing actions taken, or proposed, to deal with significant governance issues.
 - e) reference to how issues raised in the previous year’s annual governance statement have been resolved.
 - f) a commitment to monitoring implementation as part of the next annual review.
6. There are several components that contribute to the draft AGS as follows:
- a) Statutory officer comments;
 - b) Manager’s checklist to inform each director’s statement;
 - c) Self-assessment of significant partnership.
7. The manager’s checklist has been completed at assistant director level, with opportunity for other managers to complete from. This is then forwarded to the director in each directorate (or monitoring officer in the corporate centre) to review and contribute to their own statement.
8. A self-assessment of significant partnerships is also completed, and reviewed by the directors or assistant directors in the corporate centre. Based on experience last year of completing the self-assessment and recommendations of a SWAP audit, the process and requirement have been improved. This includes removing from the list “partnerships” that had other forms of governance e.g. if a contract relationship, or managed through the council’s governance. The list of significant partnerships is below.

Partnership	Directorate	Complete
Adoption Central England	Children and Families	yes
Children and young people’s partnership executive group	Children and Families	yes
Herefordshire Community Safety Partnership	Children and Families	yes
Cyber Quarter Limited (Midlands Centre for Cyber Security)	Economy & Place	yes
Development Regeneration Partnership – Engie	Economy & Place	yes
Development Regeneration Partnership - Keepmoat	Economy & Place	yes
Fastershire	Corporate	yes
Herefordshire Local Nature Partnership	Economy & Place	yes
Hereford Towns Fund Board	Economy & Place	yes

Herefordshire Safeguarding Adults Board	Adults and Communities	Yes
Herefordshire Children Safeguarding Partnership Board	Children and Families	yes
Local Family Justice Board	Children and Families	no
Malvern Hills AONB advisory board	Economy & Place	yes
Marches LEP	Economy & Place	yes
Midlands Connect	Economy & Place	yes
NMiTE / Herefordshire Council Strategic Working Group	Economy & Place	yes
West Mercia Local Resilience Forum (LRF)	Corporate	yes
ICS Shadow Board- Herefordshire and Worcestershire	Corporate	yes
Waste Partnership	Economy & Place	yes
West Mercia Energy	Economy & Place	yes
West Midlands Rail Executive	Economy & Place	yes
Wye Valley Area of Outstanding Natural Beauty (AONB)	Economy & Place	yes

9. If there are concerns with the self assessment there are three options:
- a) Request the link officer and director relevant to the partnership to report to audit and governance committee on the partnership;
 - b) Commission a SWAP audit on the partnership;
 - c) Request fuller details from the self-assessment.
10. From the 2019/20 AGS presented to audit and governance committee (draft) on 30 July 2020 there were a number of actions. The outcome on those actions is in appendix 2.
11. The items highlighted for continuous improvement in the 2020/21 statement will now form an action plan and progress will be reported to this committee.

Community impact

12. Corporate governance is the term used to describe the systems, processes, culture and values the council has established to ensure we provide the right services, to the right people in a timely, open, and accountable way. Good corporate governance encourages better informed longer-term decision making using resources efficiently, and being open to scrutiny with a view to improving performance and managing risk.
13. The annual review ensures that our arrangements are effective in supporting achievement of the council's vision and county plan priorities.

Environmental impact

14. Herefordshire Council provides and purchases a wide range of services for the people of Herefordshire. Together with partner organisations in the private, public and voluntary sectors we share a strong commitment to improving our environmental sustainability, achieving carbon neutrality and to protect and enhance Herefordshire's outstanding natural environment.
15. Whilst this is a decision to agree the AGS which is a back office function and will have minimal environmental impacts, consideration has been made to minimise waste and resource use in line with the council's Environmental Policy.

Equality duty

16. Under section 149 of the Equality Act 2010, the 'general duty' on public authorities is set out as follows:

A public authority must, in the exercise of its functions, have due regard to the need to –

- a) eliminate discrimination, harassment, victimisation and any other conduct that is prohibited by or under this Act;
 - b) advance equality of opportunity between persons who share a relevant protected characteristic and persons who do not share it;
 - c) foster good relations between persons who share a relevant protected characteristic and persons who do not share it.
17. The public sector equality duty (specific duty) requires us to consider how we can positively contribute to the advancement of equality and good relations, and demonstrate that we are paying 'due regard' in our decision making in the design of policies and in the delivery of services. As this is a factual progress report, we do not believe that it will have an impact on our equality duty.

Resource implications

18. Whilst the recommendations themselves do not have a direct resource implication, some of the actions may result in additional expenditure. Where this is the case separate governance will take place. The AGS does take resource to produce and deliver action plans but these are from existing staffing. If the committee proposes further actions the resource implications of implementing those actions will need to be considered.

Legal implications

19. The Accounts and Audit (England) Regulations 2015 include a requirement for all councils to produce an AGS, and set out the timescales by which they must be published. Approval of the statement ensures that the council will comply with these requirements.

Risk management

20. The statement itself identifies any high level or strategic governance risks and the action plan provides mitigation to those risks. There has been a risk to the production of the AGS because of the need to address the immediate demands of Covid-19.

Risk / opportunity	Mitigation
Not all information is captured.	There are several routes to collecting information – including additional feedback to finalise the AGS
Not all gaps in assurance is covered.	Where there are gaps in information internal audit will be considered; inspections and peer reviews.
Resources to implement.	Though no direct resource implications additional activity may lead to a resource impact.

Consultees

21. The consultees have largely been internal, with internal and external audit commenting on the draft. Independent persons will be asked for their view on the draft AGS, along with internal and external audit. This will influence to final version due to be presented to audit and governance committee.

Appendices

Appendix 1 Draft Annual Governance Statement 2020/21

Appendix 2 Action from 2019/20 Annual Governance Statement

Appendix 3 Significant partnerships self-assessments

Background papers

None identified.

Glossary of terms, abbreviations and acronyms used in this report.

AGS Annual Governance Statement

HALC Herefordshire Association of Local Councils

MDS Members' Development Strategy

NMITE New Model Institute for Technology and Engineering
PMO Programme Management Office
SWAP South West Audit Partnership

Final Draft Annual Governance Statement 2020-21



1. The Annual Governance Statement 2020/21

The council is required by the Accounts and Audit Regulations 2015 to prepare and publish an annual governance statement. This statement has been informed by an annual review of the effectiveness of the council's governance framework and systems of internal control as set out in the [code of corporate governance](#). This statement demonstrates the degree of compliance and planned improvements in the coming year.

1.1 Review of the year

The impact of Covid 19 has had a major effect globally and locally – with the council having to adjust its services and introduce new functions to meet the requirements of the Herefordshire community. Public Health has been at the forefront, often having to plan, make decisions and deliver simultaneously in a rapidly changing environment responding to evolving understanding of the virus. The pandemic has shone a light of inequalities whether that be in health, well-being, social networks, finance or digital exclusions.

The council instigated a mass redeployment programme to address the immediate needs of people within the community. This was completely needed at the time but had a significant effect on delivery programmes and performance throughout the rest of the year. Staff were required to work from home, for which most people adapted well and the technology was available to support this approach – helped by the fact that the council had already prepared and instigated flexible working. Communication was virtual, including council meetings via conference calls. Employee surveys show some of the benefits including sickness levels reduced and supported savings plans with the council reducing the number of office locations. Social care response teams for adults and children were impacted on missing mutual support / shared advice and were subsequently located in the office.

The final signing off of the 2019/20 AGS was delayed due to the external auditors continued work on their value for money opinion, and who in turn required information and assurance from the council. Their value for money opinion was qualified in relation to the capital programme and children's services.

Mr Justice Keehan, a High Court Judge, outlined his finding from the hearing of a court case that identified significant failings by Herefordshire Council relating to a family with children in the council's care which were published on 16 April 2021 with an extraordinary full council meeting taking place on 27 April 2021 to discuss the findings. The council requested the Department for Education conduct an urgent review of the children's social care services to assess whether children in care are safe finding no immediate actions were required on the cases they reviewed but further external reviews will be required to make sure services are fit for purpose. This will form the basis of significant focus for 2021/22 work programme and to understand failings in the council's assurance processes along with an Improvement Plan including cultural change within the service.

During the year the Chief Executive left the organisation and a new appointment made – starting in May 2021. The Director of Public Health also left the council and promoted an existing consultant to fulfil the role on an interim basis which was so crucial during the pandemic.

The council has also included a major savings programme during the year with the target of achieving £11.5m saving in 2021/22. A capital programme of £ was approved by council in February 2021.

Despite these challenges the council has continued to operate for the benefit of local residents and businesses.



2. Corporate Governance and the Annual Statement

Corporate governance generally refers to the processes by which an organisation is directed, controlled and held to account. Governance will determine who has authority to make the decisions to achieve the intended outcomes whilst acting in the public interest at all times. It is how the council ensures it provides the right services, to the right people in a timely, open, and accountable way. Good corporate governance encourages better informed longer-term decision making using resources efficiently, and being open to scrutiny with a view to improving performance and managing risk.

Effective governance leads to:

- ✓ Making the right decisions for the right reasons through leadership and management.
- ✓ Continuous improvement through understanding and managing risk and performance.
- ✓ Safeguarding public funds, ensuring spend is made in the right time and the right way.
- ✓ Public engagement and the right outcomes for residents and businesses of the county.

This annual statement incorporates:

- **Scope of responsibility and governance framework:** acknowledges responsibility for ensuring that there is a sound system of governance, summarises the key elements of the governance framework and the roles of those responsible for the development and maintenance of the governance environment;
- **The statement:** describes how the council has monitored and evaluated the effectiveness of its governance arrangements in the year, and outlines how the council has responded to any issue(s) identified in last year's governance statement; and
- **Improving governance:** reports on any key governance matters identified from this review and provides a commitment to addressing them.

It should be noted that any system of internal control is designed to manage risk to a reasonable level rather than to eliminate all risk or failure to achieve policies, aims and objectives; it can therefore only provide reasonable and not absolute assurance.

3. Scope of responsibility and governance framework

Herefordshire Council is responsible for ensuring that its business is conducted in accordance with the law and proper standards and that public money is safeguarded, properly accounted for whilst used economically, efficiently and effectively. The council also has a duty under the Local Government Act 1999 to continually review and improve the way it works. Key is the [constitution](#) as a published document that details how the council makes its decisions, who has responsibility and the procedures it follows.

The council has adopted a code of corporate governance that is consistent with the principles of the Chartered Institute of Public Finance and Accountancy ("CIPFA")/Society of Local Authority Chief Executives ("SOLACE") framework for delivering good governance in local government (2016).

The governance framework comprises of the systems, processes, culture and values by which the council is controlled, and sets out how the council accounts to, engages with and takes a leadership role in community. The framework enables the council to monitor the achievement of its strategic objectives and to consider whether those objectives have led to the delivery of appropriate and cost-effective services.

The framework operates at three levels, often referred to as the "three lines of defence" based on three opportunities to address risk and weaknesses in governance:

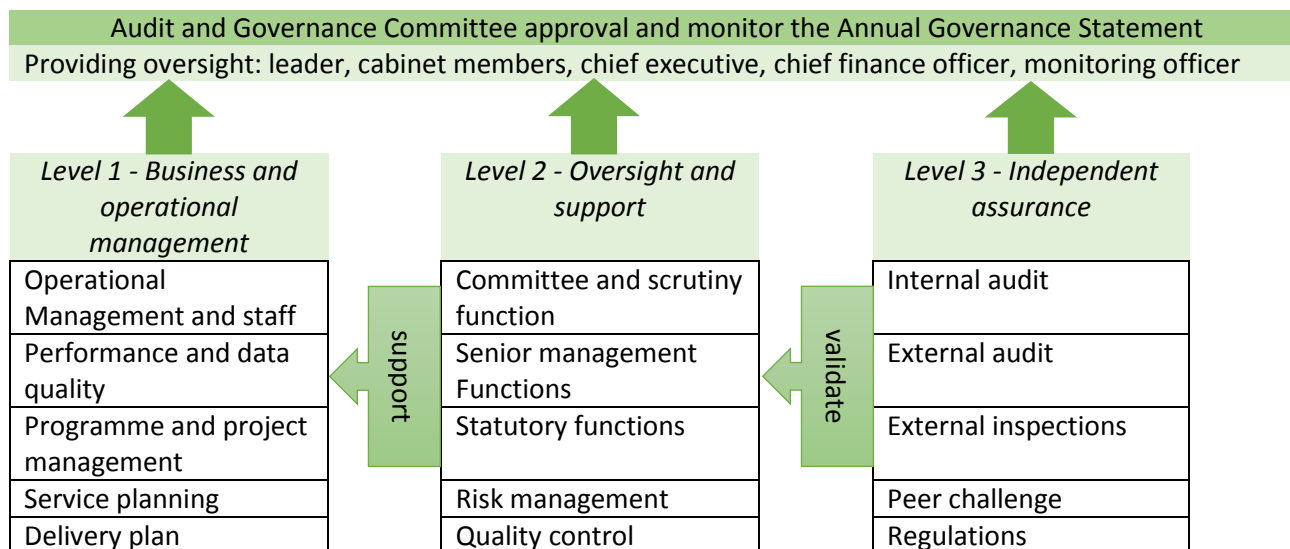
Level 1 - Business and operational management. Operational management and staff delivering objectives, identifying risks and improvement actions, implementing controls, reporting progress, providing management assurance, and ensuring compliance. This level is supported by:



Level 2 - Oversight and support. Portfolio holders, scrutiny and audit and governance committee, senior managers and statutory officers provide strategic, policy and direction setting, decision-making, and assurance oversight. This level is validated by....

Level 3 - Independent assurance. Internal and external audit, inspection and review agencies, and regulators provide independent challenge and audit, reporting assurance, and audit opinion in relation to assurance levels.

How these levels interact and operate across the organisation is described above but also is illustrated below showing the 3 levels of defence:



4. Preparing the Statement

The AGS is presented jointly by the Chief Finance Officer who is the council’s section 151 officer (a statutory role responsible for the proper administration of the council’s financial affairs), and the Solicitor to the Council who is the council’s monitoring officer (a statutory role responsible for maintaining the constitution, ensuring decision-making is fair and lawful, and for dealing with complaints that councillors have breached the councillor code of conduct).

In preparing the AGS the council has:

- a) Reviewed existing governance arrangements against the guidance included in CIPFA/SOLACE ‘Delivering Good Governance in Local Government’ framework – 2016 and the new governance risk and resilience framework from the centre for governance and scrutiny (“CFGs”).
- b) Reviewed the code of corporate governance to ensure it reflects this guidance and includes the recommended seven principles of good governance
- c) Assessed the effectiveness of our governance arrangements against the code of corporate governance.

The key sources of assurance that inform this review are as below:

- Review compliance with laws and regulations, corporate strategies, policies, plans and arrangements e.g. constitution, financial and performance monitoring and reporting, and risk management
- Statutory officers’ declarations
- Significant partnerships’ governance risk assessments
- Internal audit reports and opinions
- Findings from Audit & Governance Committee and scrutiny committees
- External bodies and inspectorates reports
- Views of the council’s appointed Independent Person(s) on the draft review.



The Statement sets these sources of information against the 7 Principles of Corporate Governance (A to G) as set out in the Herefordshire Council's [Code of Corporate Governance](#).

5. The Statement

The following information is a summary of actions and behaviours taken by the council in relation to each of the core principles (based on "Delivering Good Governance in Local Government" framework – 2016").

Principle A: Behaving with integrity, demonstrating strong commitment to ethical values, and respecting the rule of law

- Working group of councillors established to consider governance models based on "Rethinking Governance" programme including looking at areas for greater transparency, participation in decision making and involvement. Recommendations from Audit and Governance Committee of [25 September 2020](#) were agreed by Full Council on 9 October 2020 based on a hybrid cabinet model implemented from May 2021. This has been delayed but is making progress for adoption at full council in October 2021.
- Independent persons were asked to review how standards hearings could be reviewed – this was completed on 8 February 2021 and additional views have been sought from parish councils and HALC. Where improvements could be made with input from independent persons with revised arrangements raised with Audit and Governance Committee in March 2021 along with models of code of conduct. Dealing with code of conduct complaints has had significant delays during the pandemic and has resulted in outsourcing of work. A plan to get complaints back under control and timeliness of decisions is underway.
- An annual report on Anti-Fraud and Corruption was presented to Audit and Governance Committee on [26 January 2021](#) including consultation on the updated strategy. A new counter fraud specialist recruited for prevention and detection work.
- The council's new [Equality Policy 2020-23](#) was agreed on [13 October 2020](#) by Cabinet member finance and corporate services in consultation with cabinet and the council also produced the [Equality in Employment](#) document profiling the workforce of officer and members including the gender pay gap.
- Between 2018 and 2021 a series of critical external events occurred that raised justifiable questions as to the effectiveness of Herefordshire's Children's Services, culminating in the latest critical judgement in early April 2021 from His Hon Justice Keenan. This has led to the creation of Children's Services Improvement Board, independently chaired by a DfE advisor, who has been appointed by the Minister for Children and Families, in line with a 12- month non-statutory notice to improve
- The [constitution](#) is a published document providing a comprehensive account of how the council operates. Elements of the constitution are reviewed through the decision making process including in 2020/21 update of the Financial and Contractual Procedure Rules agreed by audit committee on [26 January 2021](#). This included changed to the rules to support the council's ambitions on social value to use our purchasing power to aid local economic growth and support the outcome of the delivery plan.
- During the Covid-19 pandemic the council has needed to make rapid decisions to address the emergency (with decisions published on the [council website](#)) using the powers outlined in section 3.7.9 of the constitution.
- The Annual Code of Conduct report was presented to audit and governance committee on [25 September 2020](#), and code of conduct training was made mandatory for all staff during the year.
- The council has processes in place to make a [complaint](#), and to ensure complaints are investigated appropriately. Between April 2020 and March 2021 the council dealt internally with 737 complaints, of which the council upheld or partially upheld 14%. The figures need to be seen in the context of a lower volume of complaints received at the start of the covid-19 pandemic, and some large spikes in volumes for specific campaigns on the same topic were received. In addition, 10 complaints were processed under the children's complaints procedure for children's social care.
- Of the 40 complaints received by the LGSCO from Herefordshire residents 34 were closed at the initial enquiry stage. Of the 6 complaints that qualified for further investigation 3 were upheld; 1 was in Highways and Transportation (required an apology), 1 in Planning (required an apology and training); 1 in Children and Families (requiring financial redress and policy change).



- During the year the council procured a new complaints CRM to be more efficient in processes. A review of both the Complaints Policy and Unreasonable Behaviour Policy started in 2020/21 to be completed during 2021.
- The monitoring officer has led a piece of work with Cabinet and Management Board to consider working with officers on an action plan to be implemented in 2021.
- New [guidance](#) has been released by the Centre for Governance and Scrutiny on the Governance Risk and Resilience Framework which builds on the work of CIPFA/SOLACE from 2016 which can guide a refresh of the council's annual governance statement.
- The whistleblowing policy
- A whole website page on policies was developed and available to view

Summary and continuous improvement

- Deliver the objectives and recommendations of the Children's Services Improvement Board; and make significant change to the culture and practice in children's social care supported by the wider organisation
- Implement Rethinking Governance recommended changes to the constitution and oversee operational procedures
- New CRM system for complaints and review the Unreasonable Behaviour and Complaints policies
- Introduce anti-fraud training for all staff
- A revised code of conduct for members and new arrangements for dealing with allegations that members have breached the code
- Review annual governance statement based on new guidelines and lessons learnt
- Run member and officer working together training sessions.

Principle B: Ensuring openness and comprehensive stakeholder engagement

- A great deal of community communication and engagement was needed during the year based on Covid 19. There was deep engagement with areas affected by the outbreak – most notable Rook Farm where workers needed to stay on site to stop the spread of the infection. This also received considerable media interest.
- The council published [weekly information](#) regarding Covid-19 to enable a comprehensive and informed view – this information is linked on the [Understanding Herefordshire](#) website of published data gathered on the county.
- The council conducted consultation on the 2021/22 budget in autumn 2020 beyond the statement requirement. This involved virtual face to face with 17 stakeholder groups. 265 people responded to the on-line consultation and 33 organisations. Staff were also asked their views on the budget which supported decision making on Council's adoption of the budget on 12 February 2021.
- The council has adopted a [partnerships' governance framework](#) which is due to be reviewed by 2022. The process for registering partnerships was refined to be on-line however an internal audit of January 2021 found there needs to be improvements to the system – this includes making it easier for officers to complete the registration form but more accountable including forms presented to Audit and Governance Committee and attendance on request to explain the partnership.
- Hereford Towns Board was established as part of the governments stronger town funding scheme to prepare a bid for funding to improve Hereford City Centre. Whilst the council is the accountable body, the requirement of the board where mandated as Government requirement to access the funding.
- The Leader of the Council produces a newsletter for all council members with information provided by cabinet members. From 1 April 2021 it will be shared with parish councils. This supports the wider working with parish councils including quarterly parish summits.
- The appointment and training programme for any co-optees to the council was reviewed during the year. The protocol outlines the expectation that independent or co-opted persons serving on Council Committees are expected to comply with the Councillors' Code of Conduct. The protocol will be applied to the recruitment of co-optees for the new municipal year in-take of co-optees. Following annual Council in May 2021 co-optee



appointments will be invited and candidate suitability will be assessed and confirmed against the co-optee protocol criteria.

- The council continues to drive for transparency and openness through the publication on its website of reports, data and information – Understanding Herefordshire
-

Continuous improvement

- Partnership governance framework to be reviewed
- New Communication and Engagement Strategy
- Deliver on arrangements for co-optee appointments.

Principle C: Defining outcomes in terms of sustainable economic, social and environmental benefits

- Whilst the council had in place the [County Plan](#) during 2020/21 the Delivery Plan was produced and agreed.
- The response to Covid-19 was defined as an emergency (including using emergency powers). However during the year activity was embedded in work programmes including outbreak management, test and trace and community welfare, including support for the most vulnerable through the BRAVE programme of work. 2021/22 will see a focus on recovery.
- On 23 [July 2020](#) cabinet agreed a revised BWOW plan (better ways of working). The plans needed to change from the previously agreed approach because of the impacts on Covid and learning the value from working from home because moving forward with a hybrid model mixing home and office working. This has created a budget saving as well as a positive environmental impact with less site energy use, reduction of print and post in favour of digital communication, and less travel. This needs to be considered in the bigger context the different venues and the Estates Strategy is due for renewal.
- Talk community is the brand name for a way of working in the council that focuses on individual and community enablement. The programme provides the support and backing for communities to organise local gateways for people to access information and services. The Talk Community strategic approach and governance was agreed by cabinet on [24 September 2020](#), though one pillar on Talk Community Hubs was impacted by Covid during the year.
- New requirement for “Writing and Publishing Council Plans, Policies and Procedures” agreed by cabinet member on [21 September 2020](#), creates a standard and format for documents whilst recognising flexibility for different types of documents. Improvement made to registering policies, but work remaining to create an effective pipeline of documents linked to upgrade of modern.gov or other digital system.
- During the year the council updated its Risk and Opportunity Management Framework agreed on [24 September 2020](#). This outlines the process for management of performance information which will see its full implementation in 2021/22.

Continuous improvement

- To instigate a pipeline of policies and strategies linked to governance decision making
- Embedded new structure in public health to address the continued responses to Covid 19 whilst addressing other public health priorities
- Produce a Covid Recovery Plan
- Produce the Estates Strategy for the use of council buildings.



Principle D: Determining the interventions necessary to optimise the achievement of the intended outcomes

- The cabinet agreed its [Delivery Plan](#) on 26 November 2020 to outline implementation of the [County Plan](#). The delivery plan includes outcome and targets, which will form the basis of the quarterly performance reports presented to cabinet and published as part of decision reports.
- As part of the continuous improvement and focus on outcomes the council has established Member Oversight and Improvement sessions – these include core management board, cabinet members and support members, group leaders and chairpersons of scrutiny committees. The first session was held on 29th January 2021 based on the theme of the economy.
- The council also established a Programme Management Office (PMO) to strengthen management of the capital programme. This service to host project managers to support projects to keep on track and to spend profile. This includes the implementation of a board structure with assurance at its heart.
- Following Storm Dennis there was significant damage to the highway network with a number of governance decision required to identify the programme of works and allocate funding through cabinet and council. The reopening of the Fownhope Road (B4224) in March 2021 took longer than anticipated having significant impact of the local community. On [22 March 2021](#) General Scrutiny Committee reviewed how Fownhope Flood repair works were delivered and any lessons learnt in the future. The highways services is also undertaken its own lessons learnt as part of continuous improvement and independent review commissioned by legal services.
- Both internal and external audit to review how value for money is ensured in the delivery of the public realm contract had been completed in year. Internal audit assess this on specific audits as necessary and external audit carry out an annual review. An action plan has been developed following the consideration of the BBLP contract with an improvement plan being overseen by an improvement board.
- [Children and Young People’s Plan 2019-2024](#) delivery is overseen by Children and Young People (CYP) Partnership Board, reviewing regular updates on delivery of plan. Delivery of Safeguarding and Family Support Improvement Plan overseen via Children and Young People’s Scrutiny Committee who received a report on first quarter performance for 2020/21. However, consideration need to be given to the role and relationship with scrutiny committee based on the revelation of the recent court cases. A review of the partnership working is also required.
- At the Children and Young People Scrutiny committee on 2 June 2020 members considered a report on Children and Young People Scrutiny committee further review to the council’s spotlight review into peer on peer abuse in schools. This further work was bought back to committee on 15 [September 2020](#). There remains outstanding work in this area.
- A great deal of progress had been made on advancing the council’s ambitions on creating social value through its procurement process. The financial and contractual procedure rules were agreed at audit and governance on [26 January 2021](#) to create reasonable flexibility to support local contracting and easier routes to market. In addition the cabinet member for [15 December 2020](#) agreed the council’s approach to social value, which was developed in consultation with services and external business. The updated rules also included revised process for waiver from the contractual procured rules to have the decision making on the senior responsible owner taking advice from commercial, finance and legal teams.
- The commercial team have also updated on contracts Tool Kit so commissioners are fully aware of the contracting requirements and can use the information provided to guide them through the process. The council has a [Procurement and Commissioning Strategy](#) that is due to be refreshed in 2021/22 financial year.

Continuous Improvement

- Update the Procurement and Commissioning Strategy
- Implement improvement plan for value for money on the public realm contract
- Deliver on recommendation of Peer on Peer spotlight review
- Implement programme management board decision and assurance framework.



Principle E: Developing the organisation's capacity including the capability of its leadership and the individuals within it

- Member development [strategy](#) was adopted during the year and a training programme is in development with the working group and will also take on board the member development consideration of the Re-thinking Governance Group. Following approval from full council in may 2021 new mandatory training will be introduced in year 3 of the term of office.
- The council has needed to take a significant leadership role in 2020/21 linked to the Covid response. Many responsibilities and tasks were devolved from national to local government as closest to the community being affected. The council was required to deliver local testing, tracing (featured on national TV), emergency food delivery, outbreak management / containment and surge testing. Whilst the health sector leads on vaccine the council was required to provide information on cohorts and support of venue management.
- During the pandemic the council appointed a new acting director of public health and a new Chief Executive. In the interim period statutory roles were covered by existing staff.
- A new Workforce and Organisational Development Strategy was agreed on [12 January 2020](#) by the cabinet member, again refocused to reflect the change in practice influenced by Covid 19.
- Mandatory training for all officers was introduced this year for code of conduct along with the other areas of required training including information governance, information security and equality. The council achieved over 97%. Though, as mandatory all staff should complete the training.
- The management training programme including our 'future leaders' programme continued in a limited form due to the pandemic with all training moved to online platforms.
- IT training of using conference calling and virtual digital working was introduced in February 2020 with a new system and this will continue with a programme of IT training to address more reliance of on-line working.
- Advice and guidance was given to staff and members of phishing email, and review of SPAM messages presented to the cabinet member.
- A review was undertaken of cabinet portfolio briefings to ensure they are fit for purpose for implementation in 2021/22
- Established for Children and Families service was a quarterly meetings for the director, leader, cabinet member for Children Services and chief executive to provide oversight.

Continuous improvement

- Implement the Member Development training plan
- Additional training and development for Children and Young People Scrutiny
- Promotion of becoming a council member reflective of flexibility with increased virtual meetings
- Revised training and guidance for officers on decision making
- Implement Re-Thinking Governance recommendations
- Wider IT training for staff
- Implement changes to portfolio briefing and review effectiveness
- Revised recruitment policy; publication of the ex-offenders policy; review market forces guidance to ensure fit for purpose.

Principle F: Managing risks and performance through robust internal control and strong public financial management

- A new risk requirement was introduced as part of the updated Performance, Risk and Opportunity Management Framework on [24 September](#) 2020. However, work still needs to take place to embed within the culture of the organisation.
- Herefordshire Council has a robust financial management system in place. It is understood where an overspend has occurred and for what reason. Additional controls have been put in place this year on capital management including regular reporting by the project officer / senior responsible officers.
- As outlined previously financial procedure rules were updated in January 2020, this includes the process for grant applications. Each application of over £10k needs agreement by the 151 Officer and if deemed a



requirement needs agreement from core management board. Notification given to the Grants and Programme team to retain a register.

- Employees with budget responsibilities needed to complete an on-line awareness module regarding finance and register that it was completed.
- The [Contract's Register](#) is published on the council's website to be integrated to the council's internal finance system. The contract tool kit was updated along with a new approach to registering contracts due for renewal through a "pipeline".
- Three reports were made to the Information Commissioners Office due to breach posing a risk to the rights and freedoms of an individual or individuals. This did not result in any penalty for the council. All breaches are investigated and recommendations to mitigate against risks are made by the Information Governance Team. Training is provided to teams or more significant action depending on the incident, along with mandatory training.
- The council has an Information Governance Steering Group who has revised a number of policies this year including Information Security Policy where a number of policies were configured into one document for clarity. IT report figures to this group each year relating to data security and work has taken place to ensure staff and members are aware of phishing emails.
- Local government ombudsman complaints were not progressed during the pandemic but have resumed, a review will be undertaken on the policy and how the decisions are reported to cabinet.

Continuous improvement

- Embed a risk management culture and practice in the organisation
- External funding strategy produced
- Updated continuity planning in light of Covid-19 and lessons learnt from flooding emergencies
- Oversight of external grants and grants register created.

Principle G: Implementing good practices in transparency, reporting, and audit to deliver effective accountability

- With the adoption of the Delivery Plan there is a sound mechanism to report progress on key outcomes and programmes. This will see a change in look and feel of quarterly reports. The council plans to invest in a programme to improve its reporting tools and will enable greater access at a glance to key performance indicators for members, staff and the general public.
- A new engagement programme with members (cabinet, scrutiny chairs and group leaders) was introduced this year called "Improvement and Development Sessions" – these have a combined role of challenging the directorates on their delivery along with collaborating on solutions.
- Each cabinet member has a portfolio briefing which provides reporting on performance, risk, reports and key schemes based on "no surprises". These work well from feedback but not consistently applied.
- SWAP provide the council with internal audits (their opinion included in this document). Their plan for audits is presented to Audit and Governance committee, however based on lessons learnt from 2020/21 their programme will be more flexible and first agreeing the first quarter programme and adjusting from there.
- The council is committed to transparency with the following items published:
 - Data related to the finances of the council including financial transactions exceeding £500 on our [open data pages](#) and the pay of our staff on our [senior management team page](#).
 - The research and statistics available on our [Facts and Figures website](#)
 - [Meetings and decisions](#) are published on the council's website
 - Details of the [strategic partnerships](#) (though not all up-to-date)
 - [Plans, policies and procedures](#) published (though search needs improving)
- The council has seen a significant increase in Subject Access Requests which is creating pressure on the team and missing timescale of delivery. The council received 1,146 FOI (Freedom of Information) and EIR



(Environment Information Requests) and exceeded the Information Commissioners Office threshold of 90% requests handled within timescale.

- The council is updating its recruitment policy to ensure there is not misinterpretation of the approach to being fair and open; there will also be a review of market forces supplement to ensure remains relevant. In addition measures can also be put in place to address the gender pay gap in both recruitment and retention.
- There was a review of significant partnership assurance during the year which implement some changes in process, the partnership framework will be reviewed this year and that the profiles published on the website are clearer and up to date.
- Modern.gov is the system the council uses to produce and publish governance reports. This was re-commissioned in 2021/22 and the following year will aim to maximise the features available to aid transparency. In 2020/21 there were * number of meetings where the public were excluded. These are reported to full council in the leaders report.

Continuous improvement

- Ensure details of significant partnership profiles are up-to-date on the council's website
- Implement improved and ease of access performance information for staff, members and the public
- Make the most of new features on Modern.gov

6. Assurances

Directors Composite Assurance Statement - Economy and Place

As a Director, I am responsible for reviewing the effectiveness of governance arrangements, risk management processes and the system of internal control operating within my service area(s) which includes review of manager's assurance.

Positive Governance Initiatives:

- Performance and risks are regularly reviewed by service managers, assistant directors and at Directorate Management Team working with the Head of Corporate Performance to feed into regular corporate reporting to management board and cabinet in relation to progress on delivery plan actions. Introduction of Member Oversight and Improvement sessions have provided opportunity to discuss key issues and identify development and improvement opportunities.
- Monthly briefings held with relevant Cabinet Members using corporate format to ensure relevant issues and updates on key projects are covered. Recent introduction of Economy and Place cabinet member group meetings allow for consideration of cross portfolio issues affecting the directorate.
- Comprehensive scheme of delegation in place covering all aspects of the Directorate which is regularly reviewed and updated to take account of changes and new legislation
- Programme and projects board terms of reference developed and reviewed to cover all capital projects in place throughout the year and recent strengthening of governance through the roll out of the corporate model for the management of the capital programme. The delivery model will ensure capacity to deliver and involvement of legal, finance, procurement and other key functions to provide assurance and support.
- The transfer of the lead commissioning role for Hoople services from the Directorate to the corporate centre following the my appointment as a director on the Hoople Board has been a positive move providing clear separation between the provider and commissioner going forward. This has supported the further development of Hoople to offer a wider range of services including the provision of property works and building cleaning from April 2021.
- Over the past year and during the Coronavirus pandemic the directorate rigorously followed the governance processes for emergency decision making. This ensured quick decisions could be taken in consultation with statutory officers providing the necessary assurance whilst responding to the urgent need to take action.

Significant Control and Governance issues identified:



- A best value review, recent internal audits and investigations into the management of the public realm partnership contract, including in relation to the delivery of major projects have identified a number of issue which require improvement.

Planned action(s) to address significant control and governance issues:

- An improvement action plan to address the issues identified in relation to the public realm partnership contract is being developed and external independent expertise is being sourced to lead implementation working with the Chief Executive, s151 Officer and Solicitor to the Council.

I have read and reviewed all manager’s checklist relevant to my service area: yes

I have read and reviewed all significant partnership self assessment relevant to my area: yes

Name: Richard Ball

Title: Director Economy and Place

Date: 1.6.21

Directors Composite Assurance Statement - Children and Families

As a Director, I am responsible for reviewing the effectiveness of governance arrangements, risk management processes and the system of internal control operating within my service area(s) which includes review of manager’s assurance.

Positive Governance Initiatives:

Implementation of Signs of Safety

Significant Control and Governance issues identified:

Between 2018 and 2021 a series of critical external events occurred raising questions as to the effectiveness of Herefordshire’s Children’s Services, culminating in the latest critical judgement in early April 2021 from His Hon Justice Keenan. Of significance this latest Judgement was not, the first concerns His Hon Justice Keenan raised regarding Herefordshire Children’s Services.

Between the 11 June and 22 June 2018 Ofsted inspected Herefordshire Children’s Services and undertook two further focus visits in January 2019 and again in December 2019.

Planned action(s) to address significant control and governance issues:

The recent Judgement published on the 16 April 2021, by The Hon Justice Keenan, together with the lack of tangible improvement, has resulted in significant changes within the directorate. Including the establishment of a Children’s Services Improvement Board, independently chaired by a DfE advisor, who has been appointed by the Minister for Children and Families, in line with a 12- month non- statutory notice to improve, which was served on the Council on the 18 May 2021.

I have read and reviewed all manager’s checklist relevant to my service area: yes

I have read and reviewed all significant partnership self assessment relevant to my area: yes

Name: Catherine Knowles

Title: Interim Director Children and Families

Date:10.6.2021

Directors Composite Assurance Statement - Adults and Communities

As a Director, I am responsible for reviewing the effectiveness of governance arrangements, risk management processes and the system of internal control operating within my service area(s) which includes review of manager’s assurance.

Positive Governance Initiatives:



- An enhanced core directorate and leadership team programme of work; with standing items of: good news, health and safety, concerns and actions, and financial awareness, followed by a focused meeting on directorate performance, risk and project progress
- Performance and programme boards across four service areas, which collectively feed into core DLT and then management board, and from management board to Core DLT and then the four service areas
- The performance and audit dashboard utilized within core DLT and Management board
- Regularity of discussion of risk reporting, action planning and monitoring of improvements made
- Budget awareness, and repeat of budget security, monitoring and effective use of resources to maximise staff development and customer service
- Supervision policy and auditing cycle.

Significant Control and Governance issues identified:
None noted

Planned action(s) to address significant control and governance issues:
None noted

I have read and reviewed all manager's checklist relevant to my service area: yes
I have read and reviewed all significant partnership self assessment relevant to my area: yes

Name: Stephen Vickers
Title: Director Adults and Communities
Date:16.06.2021

Directors Composite Assurance Statement - Monitoring Officer

As the monitoring officer I am responsible for reviewing the effectiveness of governance arrangements, risk management processes and the system of internal control operating across the council including review of statutory officer assurance statements.

Name:
Title:
Date:
To be completed for final version

Directors Composite Assurance Statement - 151 Officer

As the 151 officer I am responsible for reviewing the effectiveness of governance arrangements, risk management processes and the system of internal financial controls operating across the council.

Name:
Title:
Date:
To be completed for final version

Internal Audit Annual Opinion

To be completed for final version

Statement and opinion - Leader of Herefordshire Council

Name:
Title:
Date:
To be completed for final version

Statement and opinion – Chief Executive of Herefordshire Council

Name:
Title:
Date:
To be completed for final version

End note for record



Status: Final Draft 2020/21
Author: Natalia Silver, Assistant Director Corporate Support
Sponsor: 151 Officer and Monitoring Officer
Approval: Audit and Governance Committee
Date Approved for publication to AGC: 18/09/21
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Security Classification: Open
Publication: External



Actions from 2020/21 Annual Governance Statement

1. **Review of governance models:** Rethinking Governance working group to consider governance models and recommendations to be presented to Council.
Responsible officer: Monitoring Officer

Outcome: Recommendations from Audit and Governance Committee of [25 September 2020](#) agreed by Full Council on 9 October 2020 based on a hybrid cabinet model implemented in 2021.

2. **Managing risks:** Create a new risk management plan, advising all officers on new procedure and monitor implementation.
Responsible officer: Monitoring Officer / Head of Corporate Performance

Outcome: New plan agreed by cabinet [24 September](#) 2020. Directorate leads established and training provided. – Complete.

3. **Learning from performance:** Revised performance and risk framework including review of member challenge process.
Responsible officer: Head of Corporate Performance

Outcome: Agreed by cabinet [24 September](#) 2020.

4. **Improving outcomes for children and young people:** Deliver the Herefordshire Children and Young People's Plan 2019-2024 (partnership responsibility); and the Safeguarding and Family Support Improvement Plan.
Responsible officer: Director Children and Families

Outcome: Children and Young People's Plan 2019-2024 delivery overseen by CYP Partnership Board, reviewing regular updates on delivery of plan. Delivery of Safeguarding and Family Support Improvement Plan overseen via Children and Young People's Scrutiny Committee who received a report on first quarter performance for 2020/21 and noted a number of sustained improvements such as visits within timescales as well as areas of focus and improvement. A review of this will be undertaken as part of the improvement plan for children's services. Revised action required.

5. **Decision making produce:** establish new toolkits and provide remote training for members and staff.
Responsible officer: Monitoring Officer

Outcome: Toolkits published on 3 November 2020 training available upon request and scheduled monthly training available from 3 November 2020 and ongoing - complete

6. **Adult social care challenge:** Deliver on opportunities outlined with the Adults Social Care Peer Challenge.
Responsible officer: Director Adults and Communities

Outcome: Recommendations have been built in to delivery programmes or operations business as usual. The work audited as part of the SWAP audit plan.

7. **Talk Community governance:** For cabinet to agree the Talk Community strategic approach and programme. Responsible officer: Assistant Director Talk Communities

Outcome: Complete – [24 September 2020](#)

8. **Plans, Policies and Strategies:** To produce guidance on productions of Plans, Policies and Strategies and improve the registration and publication of documents; finalise and publish the equality policy.

Responsible officer: Assistant Director Corporate Support

Outcome: New guidance agreed by Cabinet member on [21 September](#) 2020 and promoted in the chief executive's update on 21 September 2020. The council's new [Equality Policy 2020-23](#) was agreed [13 October 2020](#) by Cabinet member finance and corporate services in consultation with cabinet and the council also produced the [Equality in Employment](#) document profiling the workforce of officer and members including the gender pay gap.

9. **Engagement:** Establish a new approach to engagement with residents and stakeholders to shape the work of the council. Communications strategy renewal in 2021 to be in line with the County Plan and the effects on the community due to Covid-19.

Responsible Officer: Assistant Director Strategy

Outcome: The way the council engage with citizens and key stakeholders is being reviewed as part of a wider engagement framework. The citizen panel forms part of this review but is now being considered more widely and in context of the Covid-19 pandemic. The development and implementation of the engagement framework is now planned for completion in 2021.

10. **Programme Management:** New governance arrangements in place for capital projects through programme boards. Responsible officer: Assistant Director Strategy

Outcome: Head of PMO (programme management office) appointed in October 2020 with new board structure in place for May 2021.

11. **Relationship with External partners:** A project board established to manage the council's relationship with Hoople, review other external governance arrangements and design a framework for their governance to be overseen.

Responsible officer: Solicitor to the Council

Progress: Completed. First project board meeting was held on 15 June 2020. Framework for governance following a review of the articles of association and shareholders agreement is still to be finalised.

12. **Social Value for Money:** Strengthen local value for money element of the Commissioning and Procurement Strategy.

Responsible officer: Assistant Director Corporate Support

Outcome: Financial and Contractual Procedure Rules agreed by audit committee on [26 January 2021](#); and cabinet member report / decision on social value on [15 December 2020](#).

13. **Best Value Review:** Commission a best value review of the public realm partnership.
Responsible officer: 151 Officer

Outcome: Major Contract performance review of the public realm partnership delivered to Cabinet in September 2020.

14. **HR Policy and Recruitment:** Finalise workforce and organisation development strategy; revised recruitment policy; enhance actions to addressing the gender pay gap; publication of the ex-offenders policy; review market forces guidance to ensure fit for purpose; implement training and consult effectiveness on Employee Code of Conduct.
Responsible officer: Assistant Director People

Outcome: Workforce and Organisation Development Strategy agreed on [12 January 2020](#) by cabinet member. Code of conduct on line mandatory training. Other areas of work due for later in 2021.

15. **Updated continuity planning:** Reviewed and updated continuity planning and process in light of emergencies.
Responsible officer: Assistant Director People

Outcome: Due for completion later in 2021.

16. **Audit Planning:** Re-affirm the role of strategic assurance in audit planning including input into the annual plan before finalised.
Responsible officer: Assistant Director Corporate Support

Outcome: Strategic Assurance amalgamated into monthly performance team meeting.

17. **Partnership framework:** Review effectiveness of current arrangements with the framework covering significant partnerships and steering groups.
Responsible officer: Solicitor to the Council

Progress: SWAP commissioned to review partnership framework and process; includes improved process for recording partnerships. Action required for 2021/22

18. **Complaints and convening standards:** Review the administration of handling complaints and convening standards hearing focussing on outcomes and openness.
Responsible officer: Solicitor to the Council

Outcome: Work for review by independent persons on 8 February 2021. HALC and parish council's views have also been sought. Further revised draft has been circulated to independent persons. Revised arrangements will be taken to AGC at same time as details for model code of conduct for comment in November 2021

19. **Continuing support for members:** Adopt a member's development strategy.
Responsible officer: Democratic Services Manager

Outcome: A member development strategy (MDS) has been agreed by the cabinet member. A training programme is in development with the MDS working group and will also take on board the member development consideration of the Re-thinking Governance Group – in phase II of the review of committee system arrangements.

20. **Co-optees training:** Review appointment and training for co-optees.
Responsible officer: Democratic services Manager

Outcome: Co-optee protocol has been produced outlining the expectation that independent or co-opted person with voting rights serving on Council Committees are expected to comply with the Councillors' Code of Conduct. The protocol will be applied to the recruitment of co-optees for the new municipal year in-take of co-optees. Induction training programme already in place. Following annual Council in May 2021 co-optee appointments have been invited and candidate's suitability assessed and confirmed against the co-optee protocol criteria. Conditional appointments will be offered only after that assessment has demonstrated candidates are suitable to take up the position, and induction training will then take place.

21. **Terms of reference:** Ensure programme and project board terms of reference are accurate and appropriate.

Responsible officer: Assistant Director Strategy

Outcome: Following an external review of how projects are delivered within the council, a new programme management office has been established which will oversee how projects are delivered to ensure consistency of process and the monitoring of progress. The terms of reference and effectiveness of project and programme boards are part of the assurance function of the new PMO. Implemented from May 2021.

22. **Awareness of anti-fraud, bribery and corruption policy:** Communication and raise awareness of the anti-fraud, bribery and corruption policy to all staff.

Responsible officer: 151 Officer

Outcome A new counter fraud specialist post was recruited to in April 2020 and this has been communicated to all staff. Their role to date has focused on Covid 19 grant support counter fraud and error work. A mandatory training module will soon be rolled out to all staff.

23. **Higher education bodies:** Review partnership governance arrangements between the council and higher education bodies.

Responsible officer: Director Economy and Place

Outcome: An NMITE/ Herefordshire Council Strategic Working Group established and Terms of Reference agreed by the group. The Terms of Reference have been reviewed by the council's legal team, Once NMITE arrangements have been agreed, and the Head of Economic Development will engage the other HE providers in similar discussions to confirm suitable arrangements.

24. **Grants:** That a register of grants is established and at the review of financial procedure rules consideration is given to managing grants

Responsible officer: Assistant Director Corporate Support (register) / Chief Finance Officer (financial procedure rules)

Outcome: Financial procedure rules update and system to agreement to management board in place. Created start of a registered of those applications being submitted for agreement.

25. **Parish council complaints:** Review tightening of rules covering training, disclosure and complaint resolution for parish councillors.

Responsible officer: Democratic Services Manager

Outcome: parish council encouraged to signed-up to code on conduct.

26. **Children Safeguarding:** Deliver statutory responsibilities as one of the partners of the Safeguarding Children and Young People in Herefordshire Partnership, including ensuring there is an effective business unit to enable the work and that a new business plan is put in place and delivers improvements to safeguarding work for children in Herefordshire
Responsible Officer: Director Children and Family Services

Outcome: new roles of Partnership Manager created in Children and Families Directorate. Further work required.

Significant partnerships 2020/21

Adoption Central England

1. Project outline		
1.1	Name and job title of the link officer within Herefordshire Council (completing this form)	Regional Adoption Agency – Adoption Central England (ACE) Hilary Brooks – AD Safeguarding and Family Support
1.2	Date self assessment completed	21/05/2021
1.3*	Name of partnership	Regional Adoption Agency – Adoption Central England (ACE)
1.4	Directorate	Childrens and Families
1.5*	Type of partnership: What best describes the status of the partnership? If other please provide details	Statutory partnership (required by law) If other please describe:
1.6*	Web address for further reference	https://www.aceadoption.com/
1.7*	Email address for further information	https://www.aceadoption.com/contact-us
2. Purpose and accountability		
2.1	Are there terms of reference?	yes
2.2	Were the terms of reference updated in 2020/21?	don't know
2.3	Is the vision, aims and objectives clearly set out in the terms of reference or elsewhere? If elsewhere where?	yes
2.4	Is there a partnership agreement in place providing legal documentation?	yes
2.5	Which predominant council priority does the partnership meet?	Community
2.6	Please list all other organisations involved in the partnership	Coventry City Council – Paul Smith Strategic Lead LAC Solihull MBC – Frank McShaffery - Assistant Director Worcestershire Children’s First – Maria White Assistant Director Warwickshire County Council – John Coleman Assistant Director Herefordshire Council – Hilary Brooks Assistant Director
2.7	Which council members and officers are on the partnership?	Hilary Brooks Assistant Director
2.8	Is it documented what authority the partnership has	yes

	to take decisions and the scope of that authority?	
2.9	Are the roles and responsibilities of members clear and documented?	yes
2.10	Where relevant, who is the accountable body?	Add free text
2.11	Where does the partnership report to, and how frequently?	Executive Board Quarterly Corporate Parenting Board/Cabinet/Scrutiny Committee as requested
2.12	Any affiliated or subsidiary groups or partnerships? If yes please specify.	Choose an item. No
Notes on purpose and accountability including areas of risk:		
3. Decision Making		
3.1	Is there a clear and documented process for decision making?	yes
3.2	Are the decisions of the partnership recorded?	yes
3.3	Are decisions of the partnership publicised?	no
3.4	Are members financially and reputational accountable to the decisions made?	yes
Notes on Decision Making including areas of risk:		
4. Finance		
4.1	How is the partnership funded?	Coventry City Council 23.2% Solihull MBC 10.7% Warwickshire County Council 27.2% Worcestershire County Council 27.3% Herefordshire Council 11.6%
4.2	What was the total value of council funding / investment for the financial year?	2020/21: free text
4.3	What is the nature of the council funding? If other please outline.	revenue
4.4	Does the partnership have documented financial procedures?	yes
4.5	Does the partnership produce an annual statement of accounts?	yes
Notes on Finance including areas of risk: As detailed in the Partnership and Hosting Agreement ACE Lead Manager is responsible for ensuring policies and procedures are followed. ACE is hosted by Warwickshire County Council		
5. Conduct and behaviour		
5.1	Does the partnership have any employees?	yes

5.2	If so are there effective employment policies and practices in place?	yes
5.3	Does the partnership have policies and procedures in place to deal with:	
	Standards of conduct	yes
	Complaints	yes
	Whistleblowing	yes
	Declarations of interest	yes
	Gifts and hospitality	yes
Notes on Conduct and Behaviour including areas of risk: All employees are due to be TUPE'd to Warwickshire County Council from 1 March 2020. Effective employment practices are in place		
6. Liability		
6.1	Are clearly documented rules / exit strategies in place if one partner leaves or is partnership terminated?	yes
6.2	Is there limit of indemnity on the partnership liability insurance (if relevant)?	don't know
6.3	Is there a risk of liability on the council for the e.g. accountable body, decision makers, financial liability solely or jointly?	don't know
Notes on Liability including areas of risk:		
7. Performance, evaluation and value		
7.1	Is performance reported to the partnership on a regular basis?	yes
7.2	Does the partnership produce an annual report covering performance?	yes
7.3	Has the partnership defined outcomes that are measured?	yes
7.4	In the past year has there been any inspections, audits or reviews?	no
7.5	Is there a review of value for money e.g. the resources used create the outputs required?	yes
7.6	Does the partnership have a process for risk management?	yes
7.7	How often is the risk register reviewed?	each quarter
7.8	Key changes and risks within the partnership in 2020/21 months	Free text
7.9	Outcomes of note in 2020/21 months	Free text
7.10	Key plans for 2021/22	Free text
Notes on Performance, Evaluation and Value including areas of risk:		

8. Overview assessment completed by Director

Once the self-assessment is completed please use the points below to document the considered risk level.

Directorate or division in Corporate Centre		Childrens and Families
As director or assistant director of the Corporate Centre I have reviewed the content of the self-assessment the following risk level.		21/05/2021
Risk level		Any comment
Purpose and accountability	low	
Decision making	low	
Finance	low	
Conduct and behaviour	low	
Liability	low	
Performance, evaluation and review	low	
Overall assessment	low	

For office use

Date of return	21/05/2021
Status assessment	fully complete
Version	2020-21 v1

Significant partnerships 2020/21

Children & Young People's Partnership

1. Project outline		
1.1	Name and job title of the link officer within Herefordshire Council (completing this form)	Richard Watson, Children's Joint Commissioning Manager
1.2	Date self assessment completed	28/04/2021
1.3*	Name of partnership	Children & Young People's Partnership
1.4	Directorate	Childrens and Families
1.5*	Type of partnership: What best describes the status of the partnership? If other please provide details	non-statutory partnership If other please describe:
1.6*	Web address for further reference	https://www.herefordshire.gov.uk/council/children-young-peoples-partnership
1.7*	Email address for further information	CYPpartnership@herefordshire.gov.uk
2. Purpose and accountability		
2.1	Are there terms of reference?	yes
2.2	Were the terms of reference updated in 2020/21?	yes
2.3	Is the vision, aims and objectives clearly set out in the terms of reference or elsewhere? If elsewhere where?	yes And in the CYP Plan
2.4	Is there a partnership agreement in place providing legal documentation?	no
2.5	Which predominant council priority does the partnership meet?	Community
2.6	Please list all other organisations involved in the partnership	Herefordshire Council - Director, Children and Families Clinical Commissioning Group – Managing Director HVOSS – Chief Executive West Mercia Youth Offending Services – Head of Service West Mercia Police – Policing Commander, Herefordshire Local Policing Area Wye Valley Trust – Managing Director Healthwatch – Children's Lead Early year's Sector representative Gloucestershire Health and Care NHS Foundation Trust Chief Executive Secondary School representative Primary School representative College representative Special School representative Economic Partnership Development Group representative

		Chair, Herefordshire Safeguarding Children Board
2.7	Which council members and officers are on the partnership?	Cabinet member - children and families Director for children and families Assistant Director for safeguarding and family support Assistant Director for education development and skills Assistant Director childrens safeguarding quality and improvement
2.8	Is it documented what authority the partnership has to take decisions and the scope of that authority?	n/a
2.9	Are the roles and responsibilities of members clear and documented?	n/a
2.10	Where relevant, who is the accountable body?	Not applicable
2.11	Where does the partnership report to, and how frequently?	Health & Wellbeing Board
2.12	Any affiliated or subsidiary groups or partnerships? If yes please specify.	yes H&W CYP mental health strategy group Early Years partnership SEND Strategy Group Earl Help Strategy Group
Notes on purpose and accountability including areas of risk:		
3. Decision Making		
3.1	Is there a clear and documented process for decision making?	n/a
3.2	Are the decisions of the partnership recorded?	n/a
3.3	Are decisions of the partnership publicised?	n/a
3.4	Are members financially and reputational accountable to the decisions made?	n/a
Notes on Decision Making including areas of risk: Where require, formal decisions are taken through individual partner governance as appropriate		
4. Finance		
4.1	How is the partnership funded?	Not directly funded – partners coordinate activities through normal budgets and occasional external grant funding led by a single partner as the accountable grant body
4.2	What was the total value of council funding / investment for the financial year?	Not applicable
4.3	What is the nature of the council funding? If other please outline.	Choose an item. Action plans may be resourced revenue, capital or grant funding by a single partner or pooled arrangement (such as S75 agreement with between the council and health)

4.4	Does the partnership have documented financial procedures?	no
4.5	Does the partnership produce an annual statement of accounts?	no
Notes on Finance including areas of risk:		
5. Conduct and behaviour		
5.1	Does the partnership have any employees?	no
5.2	If so are there effective employment policies and practices in place?	n/a
5.3	Does the partnership have policies and procedures in place to deal with:	
	Standards of conduct	no
	Complaints	no
	Whistleblowing	no
	Declarations of interest	no
	Gifts and hospitality	no
Notes on Conduct and Behaviour including areas of risk: Individual partners follow their own policies		
6. Liability		
6.1	Are clearly documented rules / exit strategies in place if one partner leaves or is partnership terminated?	no
6.2	Is there limit of indemnity on the partnership liability insurance (if relevant)?	n/a
6.3	Is there a risk of liability on the council for the e.g. accountable body, decision makers, financial liability solely or jointly?	no
Notes on Liability including areas of risk: If necessary, specific agreements are reached where pooled or grant funding is involved, such as the S75 agreement		
7. Performance, evaluation and value		
7.1	Is performance reported to the partnership on a regular basis?	yes
7.2	Does the partnership produce an annual report covering performance?	no
7.3	Has the partnership defined outcomes that are measured?	yes
7.4	In the past year has there been any inspections, audits or reviews?	no

7.5	Is there a review of value for money e.g. the resources used create the outputs required?	no
7.6	Does the partnership have a process for risk management?	no
7.7	How often is the risk register reviewed?	n/a
7.8	Key changes and risks within the partnership in 2020/21 months	A lack of programme support creates a risk that the partnership's business is not properly planned ahead and that it does not have a clear enough picture of what is going well or what needs additional oversight.
7.9	Outcomes of note in 2020/21 months	See last update from Priority Champions
7.10	Key plans for 2021/22	TBC
<p>Notes on Performance, Evaluation and Value including areas of risk: The children and young people plan and associated action plans describe key objectives and outcomes to be achieved. Individual partners and priority leads provide progress updates to the partnership board. However, these updates often focus more on actions that are being delivered rather than the difference that is being made for children, young people and families at either the individual or strategic level. The partnership and its board does not have any dedicated resources to support its business, including work that would be useful to evidence and communicate the impact it is having.</p>		

8. Overview assessment completed by Director

Once the self-assessment is completed please use the points below to document the considered risk level.

Directorate or division in Corporate Centre		Childrens and Families
As director or assistant director of the Corporate Centre I have reviewed the content of the self-assessment the following risk level.		21/05/2021
Risk level		Any comment
Purpose and accountability	low	
Decision making	low	
Finance	low	
Conduct and behaviour	low	
Liability	low	
Performance, evaluation and review	low	
Overall assessment	low	

For office use

Date of return	21/05/2021
Status assessment	fully complete
Version	2020-21 v1

Significant partnerships 2020/21

Herefordshire Community Safety Partnership (HCSP)

1. Project outline		
1.1	Name and job title of the link officer within Herefordshire Council (completing this form)	Steve Berry - Partnership Manager
1.2	Date self assessment completed	26/04/2021
1.3*	Name of partnership	Herefordshire Community Safety Partnership (HCSP)
1.4	Directorate	Childrens and Families
1.5*	Type of partnership: What best describes the status of the partnership? If other please provide details	Statutory partnership (required by law) If other please describe:
1.6*	Web address for further reference	https://herefordshiresafeguardingboards.org.uk/ and https://www.herefordshire.gov.uk/community-1/safer-stronger-communities
1.7*	Email address for further information	adrian.turton@herefordshire.gov.uk or Stephen.Berry@herefordshire.gov.uk
2. Purpose and accountability		
2.1	Are there terms of reference?	yes
2.2	Were the terms of reference updated in 2020/21?	no
2.3	Is the vision, aims and objectives clearly set out in the terms of reference or elsewhere? If elsewhere where?	yes
2.4	Is there a partnership agreement in place providing legal documentation?	no
2.5	Which predominant council priority does the partnership meet?	Community
2.6	Please list all other organisations involved in the partnership	Statutory partners; West Mercia Police, Herefordshire and Worcestershire Fire and Rescue Service, Herefordshire and Worcestershire Clinical Commissioning Group, National Probation Service. Plus West Mercia Youth Justice Service as non-statutory member. Office of Police and Crime Commissioner is involved in a mutual agreement to combat crime and disorder.
2.7	Which council members and officers are on the partnership?	Cllr Ange Tyler (Chair of HCSP) as cabinet member for community safety Director of Children and Families (TBC) Director of Adults and Communities (TBC) Director of Public Health (TBC) Head of Community, Commissioning & Resources (Adult and Communities) (Ewen Archibald) Assistant Director for Regulatory Environment and Waste

		(M. Willimont) Partnership Team: Partnership Manager
2.8	Is it documented what authority the partnership has to take decisions and the scope of that authority?	yes
2.9	Are the roles and responsibilities of members clear and documented?	yes
2.10	Where relevant, who is the accountable body?	Herefordshire Council as set out in Crime and Disorder Act 1998
2.11	Where does the partnership report to, and how frequently?	HCSP Board. Scrutiny role as set out in Crime and Disorder Act is Herefordshire General Overview and Scrutiny Panel (NB did not go to scrutiny) in 2020. Herefordshire Council Cabinet considers and included in HCSP Strategy consultation. Strategy reviewed every three years.
2.12	Any affiliated or subsidiary groups or partnerships? If yes please specify.	yes Strategically linked with Herefordshire Safeguarding Children Partnership and Herefordshire Safeguarding Adults Board as share domestic abuse, adult and child exploitation, and substance misuse as strategic concerns.
Notes on purpose and accountability including areas of risk: <ul style="list-style-type: none"> • Regarding 2.4 Legal basis is in Crime and Disorder Act 1998 outlining statutory requirements • Regarding 2.8 & 2.9 outlined in Crime and Disorder Act 1998 outlining statutory requirements • Risk - HCSP not presented to General Overview and Scrutiny panel for several years. • HCSP Terms of Reference and HCSP Strategy 		
3. Decision Making		
3.1	Is there a clear and documented process for decision making?	yes
3.2	Are the decisions of the partnership recorded?	yes All meetings are minuted
3.3	Are decisions of the partnership publicised?	yes
3.4	Are members financially and reputational accountable to the decisions made?	yes
Notes on Decision Making including areas of risk: a. strategy publicised 3.4 Council Officers and members are required to be diligent and follow due process = reputation accountable		
4. Finance		
4.1	How is the partnership funded?	Mainly in kind ie partners give time for function of HCSP. Partnership Team that facilitates the partnership funded by various multiagency contributions. The partnership has a budget that is contributed to by all three strategic Partner organisations. HCSP receives circa £100,000 of grant funding pa from OPCC for funding projects.

4.2	What was the total value of council funding / investment for the financial year?	2020/21: £136,685 from Childrens Social Care and £103,000 from Adult Social Care totalling £239,685 from the Council. Note that this is shared with the HSAB and the HSCP.
4.3	What is the nature of the council funding? If other please outline.	pooled funding
4.4	Does the partnership have documented financial procedures?	yes
4.5	Does the partnership produce an annual statement of accounts?	no However a budget statement is provided to the HSCP which identifies the expenditure on the HCSP.
Notes on Finance including areas of risk: 4.4 Council financial procedures are followed as accountable body		
5. Conduct and behaviour		
5.1	Does the partnership have any employees?	yes
5.2	If so are there effective employment policies and practices in place?	yes
5.3	Does the partnership have policies and procedures in place to deal with:	
	Standards of conduct	yes
	Complaints	yes
	Whistleblowing	yes
	Declarations of interest	yes
	Gifts and hospitality	yes
Notes on Conduct and Behaviour including areas of risk: 5.1 For clarification the Partnership team support the HCSP function. Partnership team employed by Herefordshire Council. 5.2 & 5.3 Strategic partner individual organisations have these policies in place for respective representatives, where these are related to the Partnership Team the Policies and Procedures are those of the Council		
6. Liability		
6.1	Are clearly documented rules / exit strategies in place if one partner leaves or is partnership terminated?	yes
6.2	Is there limit of indemnity on the partnership liability insurance (if relevant)?	n/a
6.3	Is there a risk of liability on the council for the e.g. accountable body, decision makers, financial liability solely or jointly?	yes
Notes on Liability including areas of risk: 6.1 if a representative leaves a replacement will be found by the respective organisation. 6.3 as financial accountable body yes		
7. Performance, evaluation and value		
7.1	Is performance reported to the partnership on a regular basis?	yes

7.2	Does the partnership produce an annual report covering performance?	yes
7.3	Has the partnership defined outcomes that are measured?	yes
7.4	In the past year has there been any inspections, audits or reviews?	no
7.5	Is there a review of value for money e.g. the resources used create the outputs required?	no
7.6	Does the partnership have a process for risk management?	yes
7.7	How often is the risk register reviewed?	approx. once a year
7.8	Key changes and risks within the partnership in 2020/21 months	none
7.9	Outcomes of note in 2020/21 months	<ul style="list-style-type: none"> • Strategic assessment completed and new 21/24 strategy agreed. NB this took place during covid lockdown so some disruption took place but to no risk to the Partnership • Restructure of Business Unit to Partnership Team. • New Chair of HCSP.
7.10	Key plans for 2021/22	<ul style="list-style-type: none"> • Implement new strategy • Manage OPCC funding • Note slight risk in 21/22 with PCC elections May 21 in that an unknown candidate may be elected.
Notes on Performance, Evaluation and Value including areas of risk: 7.2 quarterly Board meetings review performance 7.6 partnership Team risk register – however requires revisiting		

8. Overview assessment completed by Director

Once the self-assessment is completed please use the points below to document the considered risk level.

Directorate or division in Corporate Centre		Childrens and Families
As director or assistant director of the Corporate Centre I have reviewed the content of the self-assessment the following risk level.		21/05/2021
Risk level		Any comment
Purpose and accountability	medium	
Decision making	medium	
Finance	low	
Conduct and behaviour	low	
Liability	low	
Performance, evaluation and review	low	
Overall assessment	low	

For office use

Date of return	21/05/2021
Status assessment	fully complete
Version	2020-21 v1

Significant partnerships 2020/21

Local Family Justice Board

1. Project outline		
1.1	Name and job title of the link officer within Herefordshire Council (completing this form)	tbc
1.2	Date self assessment completed	Click or tap to enter a date.
1.3*	Name of partnership	Local Family Justice Board
1.4	Directorate	Childrens and Families

Date of return	Click or tap to enter a date.
Status assessment	Not complete
Version	2020-21 v1

Significant partnerships 2020/21

Cyber Quarter Limited (Midlands Centre for Cyber Security)

2. Project outline		
1.1	Name and job title of the link officer within Herefordshire Council (completing this form)	Roger Allonby
1.2	Date self assessment completed	20/04/2021
1.3*	Name of partnership	Cyber Quarter Limited (Midlands Centre for Cyber Security)
1.4	Directorate	Economy and Place
1.5*	Type of partnership: What best describes the status of the partnership? If other please provide details	incorporated partnership (i.e. a separate and distinct legal entity) If other please describe: Joint Venture with University of Wolverhampton
1.6*	Web address for further reference	Not available yet
1.7*	Email address for further information	roger.allonby@herefordshire.gov.uk
3. Purpose and accountability		
2.1	Are there terms of reference?	yes
2.2	Were the terms of reference updated in 2020/21?	no
2.3	Is the vision, aims and objectives clearly set out in the terms of reference or elsewhere? If elsewhere where?	no Terms of reference are currently being developed with the aim of being agreed and signed off by 31 July 2021
2.4	Is there a partnership agreement in place providing legal documentation?	yes
2.5	Which predominant council priority does the partnership meet?	Economy
2.6	Please list all other organisations involved in the partnership	University of Wolverhampton
2.7	Which council members and officers are on the partnership?	Leader of the Council (Board member of the JV) Director Economy and Place (Board member of the JV) Strategic Capital Finance Manager (observer JV Board) Senior Solicitor, Major Projects (observer JV Board) Managing Director, Hereford Enterprise Zone (observer JV Board)
2.8	Is it documented what authority the partnership has to take decisions and the scope of that authority?	yes
2.9	Are the roles and responsibilities of members clear and documented?	yes

2.10	Where relevant, who is the accountable body?	University of Wolverhampton
2.11	Where does the partnership report to, and how frequently?	Joint Venture Board meets quarterly
2.12	Any affiliated or subsidiary groups or partnerships? If yes please specify.	no Add free text
Notes on purpose and accountability including areas of risk: The purpose of the Joint Venture partnership is to develop and oversee the operation of the Midlands Centre for Cyber Security. The Midlands Centre for Cyber Security will provide access to specialist support and facilities to enable the creation and development of cyber security businesses, creating new high value, high tech employment opportunities in the county. The construction of the building has been completed within budget. Operations within the building have been delayed due to Covid 19 related restrictions.		
4. Decision Making		
3.1	Is there a clear and documented process for decision making?	yes
3.2	Are the decisions of the partnership recorded?	yes
3.3	Are decisions of the partnership publicised?	no
3.4	Are members financially and reputational accountable to the decisions made?	no
Notes on Decision Making including areas of risk:		
5. Finance		
4.1	How is the partnership funded?	£9m development of the centre funded through council loan to the JV partnership, LEP Local Growth Fund grant, and European Regional Development Fund grant
4.2	What was the total value of council funding / investment for the financial year?	2020/21: £0 - £3.5m loan made in 2018/19
4.3	What is the nature of the council funding? If other please outline.	capital Capital loan
4.4	Does the partnership have documented financial procedures?	yes
4.5	Does the partnership produce an annual statement of accounts?	yes
Notes on Finance including areas of risk:		
6. Conduct and behaviour		
5.1	Does the partnership have any employees?	no

5.2	If so are there effective employment policies and practices in place?	n/a
5.3	Does the partnership have policies and procedures in place to deal with:	
	Standards of conduct	no
	Complaints	no
	Whistleblowing	no
	Declarations of interest	yes
	Gifts and hospitality	yes
Notes on Conduct and Behaviour including areas of risk: Policies not yet in place are likely to be drafted/adopted when employment decisions are made. The Declaration of Interests policy, Gifts and Hospitality and Anti Corruption Policies are agreed by the board.		
7. Liability		
6.1	Are clearly documented rules / exit strategies in place if one partner leaves or is partnership terminated?	yes
6.2	Is there limit of indemnity on the partnership liability insurance (if relevant)?	yes
6.3	Is there a risk of liability on the council for the e.g. accountable body, decision makers, financial liability solely or jointly?	yes
Notes on Liability including areas of risk: If Cyber Quarter Limited were to fail then the loan made to date would be at risk but as landlord the site and buildings would revert to the Council Partnership liability is to be borne 50:50		
8. Performance, evaluation and value		
7.1	Is performance reported to the partnership on a regular basis?	n/a
7.2	Does the partnership produce an annual report covering performance?	n/a
7.3	Has the partnership defined outcomes that are measured?	yes
7.4	In the past year has there been any inspections, audits or reviews?	no
7.5	Is there a review of value for money e.g. the resources used create the outputs required?	n/a
7.6	Does the partnership have a process for risk management?	yes
7.7	How often is the risk register reviewed?	each quarter

7.8	Key changes and risks within the partnership in 2020/21 months	Impact of Covid 19 on the construction - minimal delay during the first lockdown period as contractor established required health and safety measures. Delayed operation of completed facility due to Covid 19 restrictions.
7.9	Outcomes of note in 2020/21 months	Completion of construction of the centre
7.10	Key plans for 2021/22	Commence operations of the centre, led by the University of Wolverhampton.
Notes on Performance, Evaluation and Value including areas of risk:		

9. Overview assessment completed by Director

Once the self-assessment is completed please use the points below to document the considered risk level.

Directorate or division in Corporate Centre		Economy and Place
As director or assistant director of the Corporate Centre I have reviewed the content of the self-assessment the following risk level.		05/05/2021
Risk level		Any comment
Purpose and accountability	low	
Decision making	low	
Finance	medium	Given £3.5m loan
Conduct and behaviour	low	
Liability	medium	Given £3.5m loan
Performance, evaluation and review	low	
Overall assessment	low	

For office use

Date of return	07/05/2021
Status assessment	fully complete
Version	2020-21 v1

Significant partnerships 2020/21

Development Regeneration Partnership - Engie

1. Project outline		
1.1	Name and job title of the link officer within Herefordshire Council (completing this form)	Roger Allonby, Head of Economic Development
1.2	Date self assessment completed	21/04/2021
1.3*	Name of partnership	Development Regeneration Partnership - Engie
1.4	Directorate	Economy and Place
1.5*	Type of partnership: What best describes the status of the partnership? If other please provide details	contractual If other please describe:
1.6*	Web address for further reference	N/A
1.7*	Email address for further information	N/A
2. Purpose and accountability		
2.1	Are there terms of reference?	yes
2.2	Were the terms of reference updated in 2020/21?	no
2.3	Is the vision, aims and objectives clearly set out in the terms of reference or elsewhere? If elsewhere where?	yes Overarching Agreement dated 28 June 2018
2.4	Is there a partnership agreement in place providing legal documentation?	yes
2.5	Which predominant council priority does the partnership meet?	Economy
2.6	Please list all other organisations involved in the partnership	
2.7	Which council members and officers are on the partnership?	The following officers attend the Programme Board; Director Economy and Place Section 151 Officer Senior Solicitor Major Projects Head of Economic Development
2.8	Is it documented what authority the partnership has to take decisions and the scope of that authority?	n/a
2.9	Are the roles and responsibilities of members clear and documented?	n/a

2.10	Where relevant, who is the accountable body?	N/A
2.11	Where does the partnership report to, and how frequently?	N/A – following an OJEU compliant procurement, the Development Regeneration Partnership provides a call off route for the council to develop regeneration or housing developments. A Programme Board oversees this activity with representatives from the council and Engie. It is not decision-making governance board, decisions to take forward developments are considered by the Cabinet Member in accordance with standard council processes.
2.12	Any affiliated or subsidiary groups or partnerships? If yes please specify.	no Add free text
Notes on purpose and accountability including areas of risk:		
3. Decision Making		
3.1	Is there a clear and documented process for decision making?	n/a
3.2	Are the decisions of the partnership recorded?	n/a
3.3	Are decisions of the partnership publicised?	n/a
3.4	Are members financially and reputational accountable to the decisions made?	yes
Notes on Decision Making including areas of risk:		
4. Finance		
4.1	How is the partnership funded?	Any project taken forward through the DRP is subject to a cabinet member decision. There is a specific DRP budget allocation in the capital programme, allocated through a Cabinet Member decision.
4.2	What was the total value of council funding / investment for the financial year?	2020/21: £ 152,549
4.3	What is the nature of the council funding? If other please outline.	capital Some additional services have funded from revenue
4.4	Does the partnership have documented financial procedures?	n/a
4.5	Does the partnership produce an annual statement of accounts?	n/a
Notes on Finance including areas of risk:		
5. Conduct and behaviour		
5.1	Does the partnership have any employees?	no

5.2	If so are there effective employment policies and practices in place?	n/a
5.3	Does the partnership have policies and procedures in place to deal with:	
	Standards of conduct	n/a
	Complaints	n/a
	Whistleblowing	n/a
	Declarations of interest	n/a
	Gifts and hospitality	n/a
Notes on Conduct and Behaviour including areas of risk:		
6. Liability		
6.1	Are clearly documented rules / exit strategies in place if one partner leaves or is partnership terminated?	yes
6.2	Is there limit of indemnity on the partnership liability insurance (if relevant)?	n/a
6.3	Is there a risk of liability on the council for the e.g. accountable body, decision makers, financial liability solely or jointly?	n/a
Notes on Liability including areas of risk: The contractual arrangement is an non-exclusive arrangement rather than a partnership arrangement		
7. Performance, evaluation and value		
7.1	Is performance reported to the partnership on a regular basis?	n/a
7.2	Does the partnership produce an annual report covering performance?	n/a
7.3	Has the partnership defined outcomes that are measured?	n/a
7.4	In the past year has there been any inspections, audits or reviews?	no
7.5	Is there a review of value for money e.g. the resources used create the outputs required?	n/a Each element of work commissioned through the partnership is reviewed in terms of VFM prior to commencement. There are agreed overhead and profit percentages agreed in the Overarching Agreement, which were established through the competitive tendering process to secure the partners.
7.6	Does the partnership have a process for risk management?	yes
7.7	How often is the risk register reviewed?	monthly On a project by project basis, subject to project being in development/ delivery.
7.8	Key changes and risks within the partnership in 2020/21 months	N/A no regen projects have been brought forward through the DRP in 2020/21

7.9	Outcomes of note in 2020/21 months	Engie have been commissioned to support the council's proposed development of affordable housing, including; <ul style="list-style-type: none"> • Review of options for developing council owned housing • Technical review of council owned land to consider if appropriate affordable housing development • Feasibility study for the development of affordable housing on the station approach sites in Hereford.
7.10	Key plans for 2021/22	Continued development of affordable housing
Notes on Performance, Evaluation and Value including areas of risk:		

8. Overview assessment completed by Director

Once the self-assessment is completed please use the points below to document the considered risk level.

Directorate or division in Corporate Centre		Economy and Place
As director or assistant director of the Corporate Centre I have reviewed the content of the self-assessment the following risk level.		05/05/2021
Risk level		Any comment
Purpose and accountability	low	
Decision making	low	
Finance	low	
Conduct and behaviour	low	
Liability	low	
Performance, evaluation and review	low	
Overall assessment	low	

For office use

Date of return	07/05/2021
Status assessment	fully complete
Version	2020-21 v1

Significant partnerships 2020/21

Development Regeneration Partnership - Keepmoat

1. Project outline		
1.1	Name and job title of the link officer within Herefordshire Council (completing this form)	Roger Allonby, Head of Economic Development
1.2	Date self assessment completed	21/04/2021
1.3*	Name of partnership	Development Regeneration Partnership - Keepmoat
1.4	Directorate	Economy and Place
1.5*	Type of partnership: What best describes the status of the partnership? If other please provide details	contractual If other please describe:
1.6*	Web address for further reference	N/A
1.7*	Email address for further information	N/A
2. Purpose and accountability		
2.1	Are there terms of reference?	yes
2.2	Were the terms of reference updated in 2020/21?	no
2.3	Is the vision, aims and objectives clearly set out in the terms of reference or elsewhere? If elsewhere where?	yes Overarching Agreement (contract) dated 28 June 2018
2.4	Is there a partnership agreement in place providing legal documentation?	yes
2.5	Which predominant council priority does the partnership meet?	Community
2.6	Please list all other organisations involved in the partnership	
2.7	Which council members and officers are on the partnership?	The following officers attend the Programme Board; Director Economy and Place Section 151 Officer Senior Solicitor Major Projects Head of Economic Development
2.8	Is it documented what authority the partnership has to take decisions and the scope of that authority?	n/a
2.9	Are the roles and responsibilities of members clear and documented?	n/a

2.10	Where relevant, who is the accountable body?	N/A
2.11	Where does the partnership report to, and how frequently?	N/A – following an OJEU compliant procurement, the Development Regeneration Partnership provides a call off route for the council to develop regeneration or housing developments. A Programme Board oversees this activity with representatives from the council and Keepmoat. It is not decision-making governance board, decisions to take forward developments are considered by the Cabinet Member in accordance with standard council processes.
2.12	Any affiliated or subsidiary groups or partnerships? If yes please specify.	no

Notes on purpose and accountability including areas of risk:

3. Decision Making

3.1	Is there a clear and documented process for decision making?	n/a
3.2	Are the decisions of the partnership recorded?	n/a
3.3	Are decisions of the partnership publicised?	n/a
3.4	Are members financially and reputational accountable to the decisions made?	yes

Notes on Decision Making including areas of risk:

4. Finance

4.1	How is the partnership funded?	Any project taken forward through the DRP is subject to a Cabinet member decision. There is a specific DRP budget allocation in the capital programme, allocated through a Cabinet Member decision. No market/policy compliant housing schemes are currently being taken forward through the DRP agreement with Keepmoat.
4.2	What was the total value of council funding / investment for the financial year?	2020/21: £ 0
4.3	What is the nature of the council funding? If other please outline.	capital Some additional services have funded from revenue, or for development costs of proposed capital schemes that are no longer progressing.
4.4	Does the partnership have documented financial procedures?	n/a
4.5	Does the partnership produce an annual statement of accounts?	n/a

Notes on Finance including areas of risk:

5. Conduct and behaviour		
5.1	Does the partnership have any employees?	no
5.2	If so are there effective employment policies and practices in place?	n/a
5.3	Does the partnership have policies and procedures in place to deal with:	
	Standards of conduct	n/a
	Complaints	n/a
	Whistleblowing	n/a
	Declarations of interest	n/a
	Gifts and hospitality	n/a
Notes on Conduct and Behaviour including areas of risk:		
6. Liability		
6.1	Are clearly documented rules / exit strategies in place if one partner leaves or is partnership terminated?	yes
6.2	Is there limit of indemnity on the partnership liability insurance (if relevant)?	n/a
6.3	Is there a risk of liability on the council for the e.g. accountable body, decision makers, financial liability solely or jointly?	n/a
Notes on Liability including areas of risk: The contractual arrangement is an non-exclusive arrangement rather than a partnership arrangement		
7. Performance, evaluation and value		
7.1	Is performance reported to the partnership on a regular basis?	n/a
7.2	Does the partnership produce an annual report covering performance?	n/a
7.3	Has the partnership defined outcomes that are measured?	n/a
7.4	In the past year has there been any inspections, audits or reviews?	no
7.5	Is there a review of value for money e.g. the resources used create the outputs required?	n/a Each element of work commissioned through the partnership is reviewed in terms of VFM prior to commencement. There are agreed overhead and profit percentages agreed in the Overarching Agreement, which were established through the competitive tendering process to secure the partners.
7.6	Does the partnership have a process for risk management?	yes
7.7	How often is the risk register reviewed?	monthly

		On a project by project basis, subject to project being in development/ delivery. No projects currently in development or delivery.
7.8	Key changes and risks within the partnership in 2020/21 months	N/A no market/policy compliant housing projects have been brought forward through the DRP in 2020/21
7.9	Outcomes of note in 2020/21 months	N/A
7.10	Key plans for 2021/22	Review and identify possible pipeline housing projects.
Notes on Performance, Evaluation and Value including areas of risk:		

8. Overview assessment completed by Director

Once the self-assessment is completed please use the points below to document the considered risk level.

Directorate or division in Corporate Centre		Economy and Place
As director or assistant director of the Corporate Centre I have reviewed the content of the self-assessment the following risk level.		05/05/2021
Risk level		Any comment
Purpose and accountability	low	
Decision making	low	
Finance	low	
Conduct and behaviour	low	
Liability	medium	No projects have yet been taken forward with Keepmoat. While we are not contractually obliged to commission work with them, they have incurred costs in responding to the OJEU tender and forming the partnership. They have raised concerns regarding lack of pipeline projects.
Performance, evaluation and review	low	
Overall assessment	medium	

For office use

Date of return	07/05/2021
Status assessment	fully complete
Version	2020-21 v1

Significant partnerships 2020/21

Fastershire

1. Project outline		
1.1	Name and job title of the link officer within Herefordshire Council (completing this form)	Matt Smith, Operations Manager
1.2	Date self assessment completed	12/04/2021
1.3*	Name of partnership	Fastershire
1.4	Directorate	Corporate - Corporate Support
1.5*	Type of partnership: What best describes the status of the partnership? If other please provide details	non-statutory partnership
1.6*	Web address for further reference	www.fastershire.com
1.7*	Email address for further information	info@fastershire.com
2. Purpose and accountability		
2.1	Are there terms of reference?	yes
2.2	Were the terms of reference updated in 2020/21?	yes
2.3	Is the vision, aims and objectives clearly set out in the terms of reference or elsewhere? If elsewhere where?	yes
2.4	Is there a partnership agreement in place providing legal documentation?	yes
2.5	Which predominant council priority does the partnership meet?	Economy
2.6	Please list all other organisations involved in the partnership	Gloucestershire County Council BDUK (National Government division of DCMS)
2.7	Which council members and officers are on the partnership?	Natalia Silver, Assistant Director Corporate Support Members of the Fastershire team to report items
2.8	Is it documented what authority the partnership has to take decisions and the scope of that authority?	yes Via formal partnership agreement
2.9	Are the roles and responsibilities of members clear and documented?	yes Via formal partnership agreement
2.10	Where relevant, who is the accountable body?	Herefordshire Council is the lead partner with each authority conducting their own governance in line with their scheme of delegation.

2.11	Where does the partnership report to, and how frequently?	Board meeting held quarterly and Joint CE and Leaders meetings when relevant on key point in delivery. Report to each council through its own governance arrangements.
2.12	Any affiliated or subsidiary groups or partnerships? If yes please specify.	yes Operational meetings held with suppliers on delivery.
Notes on purpose and accountability including areas of risk: None identified.		
3. Decision Making		
3.1	Is there a clear and documented process for decision making?	yes Via the board, through each authorities governance, and each officers' operational authority.
3.2	Are the decisions of the partnership recorded?	yes Via board minutes, governance process and record of officer decisions.
3.3	Are decisions of the partnership publicised?	yes Via each authorities governance process
3.4	Are members financially and reputational accountable to the decisions made?	yes
Notes on Decision Making including areas of risk: Decision making is based on the two authorities aligning at the same time with the same aims – though a risk this has never had a material impact. However some decision making in based on assurance from BDUK which can create delays in delivery.		
4. Finance		
4.1	How is the partnership funded?	Revenue: shared cost from Herefordshire Council and Gloucestershire County Council. Capital: local and national government funding; EU funding; investment from the private sector.
4.2	What was the total value of council funding / investment for the financial year?	2020/21: £275k shared revenue budget
4.3	What is the nature of the council funding? If other please outline.	capital and revenue
4.4	Does the partnership have documented financial procedures?	yes The partnership uses Herefordshire Council's procedures.
4.5	Does the partnership produce an annual statement of accounts?	yes Via Herefordshire Council's statement of accounts.
Notes on Finance including areas of risk: Some of the cost on revenue can flex, particularly if there is an additional requirement for legal support however this has to date been managed within the budget which holds a reserve. Payment to suppliers is based on evidenced delivery at milestone points, whilst this is sound business practice it does make it difficult to forecast if deployment alters within planned time scale.		
5. Conduct and behaviour		
5.1	Does the partnership have any employees?	yes

5.2	If so are there effective employment policies and practices in place?	yes
5.3	Does the partnership have policies and procedures in place to deal with:	
	Standards of conduct	yes
	Complaints	yes
	Whistleblowing	yes
	Declarations of interest	yes
	Gifts and hospitality	yes
Notes on Conduct and Behaviour including areas of risk: Staff employed by Herefordshire Council.		
6. Liability		
6.1	Are clearly documented rules / exit strategies in place if one partner leaves or is partnership terminated?	yes Via partnership agreement
6.2	Is there limit of indemnity on the partnership liability insurance (if relevant)?	yes
6.3	Is there a risk of liability on the council for the e.g. accountable body, decision makers, financial liability solely or jointly?	yes Herefordshire Council is the lead authority
Notes on Liability including areas of risk: There is limited risk of liability for the council due to following the council's procedures.		
7. Performance, evaluation and value		
7.1	Is performance reported to the partnership on a regular basis?	yes
7.2	Does the partnership produce an annual report covering performance?	no Performance is reported quarterly at the board and via Herefordshire Council; half year and end of year report to Gloucestershire.
7.3	Has the partnership defined outcomes that are measured?	yes
7.4	In the past year has there been any inspections, audits or reviews?	no
7.5	Is there a review of value for money e.g. the resources used create the outputs required?	yes This is via value for money for the new Stage 5 community schemes – each scheme is assessed for value for money as set out in the Broadband Strategy.
7.6	Does the partnership have a process for risk management?	yes Board reports and via Herefordshire Council risk assessment
7.7	How often is the risk register reviewed?	each quarter
7.8	Key changes and risks within the partnership in 2020/21 months	Timescale for delivery by suppliers Impact on Covid to deliver digital inclusion and business support programmes

7.9	Outcomes of note in 2020/21 months	Superfast delivery across Herefordshire and Gloucestershire 95.5% (as of March 2021) High level of full-fibre deployment across Herefordshire 31% compared to England of 20% (as of March 2021) Re-launch of the Business Broadband Scheme with second round of EU funding led by Herefordshire Council for the Marches and Gloucestershire LEPs (local enterprise partnerships)
7.10	Key plans for 2021/22	Delivery on Stage 5 community broadband scheme Increase superfast and broadband coverage across the two counties New promotions campaign to raise awareness of broadband coverage, opportunities for businesses, for communities and individual households.
Notes on Performance, Evaluation and Value including areas of risk: performance is greatly affected by the delivery of suppliers which may hit barriers in deployment and could be over optimistic with their timescales (which creates frustration for residents wanting to know delivery time scale which sometimes changes). Suppliers are only paid when they hit a particularly milestone in delivery, therefore financially incentive already in place.		

8. Overview assessment completed by Director

Once the self-assessment is completed please use the points below to document the considered risk level.

Directorate or division in Corporate Centre		Corporate - Corporate Support
As director or assistant director of the Corporate Centre I have reviewed the content of the self-assessment the following risk level.		13/04/2021
Risk level		Any comment
Purpose and accountability	low	
Decision making	low	
Finance	low	
Conduct and behaviour	low	
Liability	low	
Performance, evaluation and review	medium	Performance dependent on supplier delivery
Overall assessment	low	

For office use

Date of return	19/04/2021
Status assessment	fully complete
Version	2020-21 v1

Significant partnerships 2020/21

Herefordshire Local Nature Partnership

1. Project outline		
1.1	Name and job title of the link officer within Herefordshire Council (completing this form)	Ben Boswell Head of Environment, Climate Emergency & Waste
1.2	Date self assessment completed	05/05/2021
1.3*	Name of partnership	Herefordshire Local Nature Partnership
1.4	Directorate	Economy and Place
1.5*	Type of partnership: What best describes the status of the partnership? If other please provide details	Statutory partnership (required by law) If other please describe:
1.6*	Web address for further reference	N/A
1.7*	Email address for further information	Bill.Bloxsome@herefordshire.gov.uk / bboswell@herefordshire.gov.uk
2. Purpose and accountability		
2.1	Are there terms of reference?	yes
2.2	Were the terms of reference updated in 2020/21?	no
2.3	Is the vision, aims and objectives clearly set out in the terms of reference or elsewhere? If elsewhere where?	yes Purpose of the HNLP: <ul style="list-style-type: none"> To bring organisations from a range of sectors together to work at a strategic level, in an integrated way, to achieve benefits from and to the county's natural assets. To ensure that the natural environment is fully considered and valued in local decision-making.
2.4	Is there a partnership agreement in place providing legal documentation?	no
2.5	Which predominant council priority does the partnership meet?	Environment
2.6	Please list all other organisations involved in the partnership	<ul style="list-style-type: none"> Environment Agency Natural England Forestry Commission Herefordshire Wildlife Trust Historic England Herefordshire Meadows Herefordshire Rural Hub Farm Herefordshire Wye & Usk Foundation Dutchy of Cornwall Brightspace Foundation Herefordshire New Leaf

2.7	Which council members and officers are on the partnership?	<ul style="list-style-type: none"> • Cabinet Member for Economy, Environment & Skills, • Assistant Director for Regulation, Environment & Waste, • Head of Environment, Climate Emergency & Waste, • Service Manager – Built & Natural Environment • HLNP Co-ordinator
2.8	Is it documented what authority the partnership has to take decisions and the scope of that authority?	n/a
2.9	Are the roles and responsibilities of members clear and documented?	no
2.10	Where relevant, who is the accountable body?	N/A
2.11	Where does the partnership report to, and how frequently?	<p>Local Nature Partnerships were a key element of the 2011 Natural Environment White Paper. Whilst initially approved with some initial set up funding from DEFRA I don't believe the LNP is formally accountable or reports to any formal body.</p> <p>The LNP operates as a partnership of networks and key organisations to co-ordinate and work together on environmental issues at a strategic level.</p>
2.12	Any affiliated or subsidiary groups or partnerships? If yes please specify.	<p>no</p> <p>Add free text</p>
Notes on purpose and accountability including areas of risk:		
3. Decision Making		
3.1	Is there a clear and documented process for decision making?	n/a
3.2	Are the decisions of the partnership recorded?	n/a
3.3	Are decisions of the partnership publicised?	n/a
3.4	Are members financially and reputational accountable to the decisions made?	n/a
Notes on Decision Making including areas of risk: The LNP is not a decision making body		
4. Finance		
4.1	How is the partnership funded?	<p>The secretariat is undertaken by a dedicated HLNP Facilitator and whilst this was previously funded by HC at a cost of £2k this has been done voluntarily for the past 2years and there is no formal commitment from HC to fund this.</p> <p>Attendance is voluntary / in kind support</p> <p>Meetings are hosted free of charge by member organisations</p>

4.2	What was the total value of council funding / investment for the financial year?	2020/21: £0 (only officer time for attendance)
4.3	What is the nature of the council funding? If other please outline.	inkind Free text
4.4	Does the partnership have documented financial procedures?	n/a
4.5	Does the partnership produce an annual statement of accounts?	n/a
Notes on Finance including areas of risk:		
5. Conduct and behaviour		
5.1	Does the partnership have any employees?	no
5.2	If so are there effective employment policies and practices in place?	n/a
5.3	Does the partnership have policies and procedures in place to deal with:	
	Standards of conduct	no
	Complaints	no
	Whistleblowing	no
	Declarations of interest	don't know
	Gifts and hospitality	no
Notes on Conduct and Behaviour including areas of risk:		
6. Liability		
6.1	Are clearly documented rules / exit strategies in place if one partner leaves or is partnership terminated?	no
6.2	Is there limit of indemnity on the partnership liability insurance (if relevant)?	n/a
6.3	Is there a risk of liability on the council for the e.g. accountable body, decision makers, financial liability solely or jointly?	n/a
Notes on Liability including areas of risk:		
7. Performance, evaluation and value		
7.1	Is performance reported to the partnership on a regular basis?	n/a
7.2	Does the partnership produce an annual report covering performance?	no
7.3	Has the partnership defined outcomes that are measured?	no

7.4	In the past year has there been any inspections, audits or reviews?	no
7.5	Is there a review of value for money e.g. the resources used create the outputs required?	no
7.6	Does the partnership have a process for risk management?	no
7.7	How often is the risk register reviewed?	n/a
7.8	Key changes and risks within the partnership in 2020/21 months	Free text
7.9	Outcomes of note in 2020/21 months	Free text
7.10	Key plans for 2021/22	Free text
Notes on Performance, Evaluation and Value including areas of risk:		

8. Overview assessment completed by Director

Once the self-assessment is completed please use the points below to document the considered risk level.

Directorate or division in Corporate Centre		Economy and Place
As director or assistant director of the Corporate Centre I have reviewed the content of the self-assessment the following risk level.		06/05/2021
Risk level		Any comment
Purpose and accountability	low	
Decision making	low	
Finance	low	
Conduct and behaviour	low	
Liability	low	
Performance, evaluation and review	low	
Overall assessment	low	

For office use

Date of return	07/05/2021
Status assessment	fully complete
Version	2020-21 v1

Significant partnerships 2020/21

Hereford Towns Fund Board

1. Project outline		
1.1	Name and job title of the link officer within Herefordshire Council (completing this form)	Nick Webster, Economic Development Manager
1.2	Date self assessment completed	04/06/2021
1.3*	Name of partnership	Hereford Towns Fund Board
1.4	Directorate	Economy and Place
1.5*	Type of partnership: What best describes the status of the partnership? If other please provide details	incorporated partnership (i.e. a separate and distinct legal entity) If other please describe:
1.6*	Web address for further reference	www.strongerhereford.co.uk
1.7*	Email address for further information	nwebster@herefordshire.gov.uk
2. Purpose and accountability		
2.1	Are there terms of reference?	yes
2.2	Were the terms of reference updated in 2020/21?	yes
2.3	Is the vision, aims and objectives clearly set out in the terms of reference or elsewhere? If elsewhere where?	yes
2.4	Is there a partnership agreement in place providing legal documentation?	no A partnership agreement is in the process of drafting for sharing with the Board at a forthcoming meeting.
2.5	Which predominant council priority does the partnership meet?	Economy
2.6	Please list all other organisations involved in the partnership	South Hereford constituency MP Marches LEP Hereford Business Improvement District Hereford City Council Herefordshire Voluntary Organisations Support Services NMiTE Small business representatives from various sectors British Land Welsh Water
2.7	Which council members and officers are on the partnership?	Cabinet Member Environment, Economy and Skills (Board member) Leader of the Council is an observer Economic Development Manager is an advisor
2.8	Is it documented what authority the partnership has	yes

	to take decisions and the scope of that authority?	
2.9	Are the roles and responsibilities of members clear and documented?	yes
2.10	Where relevant, who is the accountable body?	Herefordshire Council
2.11	Where does the partnership report to, and how frequently?	Government (MHCLG) have oversight of the Towns Fund programme. No reporting framework has been set up by government at this stage other than the submission timescales for the Town Investment Plan and project business cases.
2.12	Any affiliated or subsidiary groups or partnerships? If yes please specify.	no
Notes on purpose and accountability including areas of risk:		
3. Decision Making		
3.1	Is there a clear and documented process for decision making?	yes
3.2	Are the decisions of the partnership recorded?	yes
3.3	Are decisions of the partnership publicised?	yes
3.4	Are members financially and reputational accountable to the decisions made?	yes reputational N/A financially
Notes on Decision Making including areas of risk:		
4. Finance		
4.1	How is the partnership funded?	The partnership has received £202k of capacity funding from government (MHCLG) for the specific purpose of drafting a Town Investment Plan and project business cases. This funding is held by the council and expenditure against the funds is subject to council approval and governance.
4.2	What was the total value of council funding / investment for the financial year?	2020/21: Estimated at circa £40,000 of in-kind officer support during the Town Investment Plan drafting stage.
4.3	What is the nature of the council funding? If other please outline.	inkind
4.4	Does the partnership have documented financial procedures?	n/a. The council are the accountable body for the capacity funding and any expenditure goes through the council governance and financial procedure rules.
4.5	Does the partnership produce an annual statement of accounts?	no
Notes on Finance including areas of risk:		

5. Conduct and behaviour		
5.1	Does the partnership have any employees?	no
5.2	If so are there effective employment policies and practices in place?	n/a
5.3	Does the partnership have policies and procedures in place to deal with:	
	Standards of conduct	no
	Complaints	no
	Whistleblowing	no
	Declarations of interest	yes
	Gifts and hospitality	yes
Notes on Conduct and Behaviour including areas of risk:		
6. Liability		
6.1	Are clearly documented rules / exit strategies in place if one partner leaves or is partnership terminated?	no
6.2	Is there limit of indemnity on the partnership liability insurance (if relevant)?	n/a
6.3	Is there a risk of liability on the council for the e.g. accountable body, decision makers, financial liability solely or jointly?	no
Notes on Liability including areas of risk:		
7. Performance, evaluation and value		
7.1	Is performance reported to the partnership on a regular basis?	n/a
7.2	Does the partnership produce an annual report covering performance?	n/a
7.3	Has the partnership defined outcomes that are measured?	no
7.4	In the past year has there been any inspections, audits or reviews?	no
7.5	Is there a review of value for money e.g. the resources used create the outputs required?	no
7.6	Does the partnership have a process for risk management?	no
7.7	How often is the risk register reviewed?	n/a
7.8	Key changes and risks within the partnership in 2020/21 months	The Towns Fund Board was established in summer 2020 with the specific purpose of drafting a Town Investment Plan and gaining a Town Deal for Hereford. Formation of the Board was a stipulation of government as was broad membership and representation.

7.9	Outcomes of note in 2020/21 months	The Hereford Towns Fund Board completed the drafting of and submitted a Towns Investment Plan to government by the deadline of end January 2021. The next phase of the process involves government issuing Hereford with heads of Terms, these are likely to be received in late May / early June and until received there is little further work required of the Board.
7.10	Key plans for 2021/22	Beyond Heads of Terms, the Board and council will need to sign these off with government, agree which projects will be taken forward to business case development, and complete and submit to government the business cases within 12 months of the Heads of Terms being signed.
Notes on Performance, Evaluation and Value including areas of risk:		

8. Overview assessment completed by Director

Once the self-assessment is completed please use the points below to document the considered risk level.

Directorate or division in Corporate Centre		Economy and Place
As director or assistant director of the Corporate Centre I have reviewed the content of the self-assessment the following risk level.		Click or tap to enter a date.
Risk level		Any comment
Purpose and accountability	medium	
Decision making	low	
Finance	low	
Conduct and behaviour	low	
Liability	low	
Performance, evaluation and review	low	
Overall assessment	low	

For office use

Date of return	07/05/2021
Status assessment	fully complete
Version	2020-21 v1

Significant partnerships 2020/21

Herefordshire Safeguarding Adults Board (HSAB)

1. Project outline		
1.1	Name and job title of the link officer within Herefordshire Council (completing this form)	Steve Berry - Partnership Manager
1.2	Date self assessment completed	26/04/2021
1.3*	Name of partnership	Herefordshire Safeguarding Adults Board (HSAB)
1.4	Directorate	Adults and Communities
1.5*	Type of partnership: What best describes the status of the partnership? If other please provide details	Statutory partnership (required by law) If other please describe:
1.6*	Web address for further reference	https://herefordshiresafeguardingboards.org.uk/
1.7*	Email address for further information	anne.bonney@herefordshire.gov.uk or Stephen.Berry@herefordshire.gov.uk
2. Purpose and accountability		
2.1	Are there terms of reference?	yes
2.2	Were the terms of reference updated in 2020/21?	yes
2.3	Is the vision, aims and objectives clearly set out in the terms of reference or elsewhere? If elsewhere where?	yes
2.4	Is there a partnership agreement in place providing legal documentation?	yes
2.5	Which predominant council priority does the partnership meet?	Community
2.6	Please list all other organisations involved in the partnership	West Mercia Police Herefordshire Clinical Commissioning Group Wye Valley NHS Trust Herefordshire & Worcestershire Health and Care NHS Trust Care Quality Commission NHS England Area Team National Probation Service Carers Representative Voluntary Sector Further/Adult Education Housing Healthwatch Herefordshire
2.7	Which council members and officers are on the partnership?	Director of Adult and Communities Assistant Director Adult & Communities

2.8	Is it documented what authority the partnership has to take decisions and the scope of that authority?	yes
2.9	Are the roles and responsibilities of members clear and documented?	yes
2.10	Where relevant, who is the accountable body?	Herefordshire Council
2.11	Where does the partnership report to, and how frequently?	Quarterly Board Meetings and an annual report is submitted to Herefordshire Council
2.12	Any affiliated or subsidiary groups or partnerships? If yes please specify.	yes The HSAB shares a Joint Case Review Group with the Community Safety Partnership (for Domestic Homicides) and the Safeguarding Children Partnership (Child Safeguarding Practice Reviews). It is also Strategically linked with these two partnerships through their shared strategic themes of domestic abuse and exploitation.
Notes on purpose and accountability including areas of risk: a. & 2.4 Yes - HSAB Constitution		
3. Decision Making		
3.1	Is there a clear and documented process for decision making?	yes
3.2	Are the decisions of the partnership recorded?	yes
3.3	Are decisions of the partnership publicised?	yes
3.4	Are members financially and reputational accountable to the decisions made?	yes
Notes on Decision Making including areas of risk: 3.3 decisions publicised in annual report 3.4 As Herefordshire Council accountable body		
4. Finance		
4.1	How is the partnership funded?	The partnership has a budget that is contributed to by all three strategic Partner organisations. The Independent Chair is financed from this budget.
4.2	What was the total value of council funding / investment for the financial year?	2020/21: £136,685 from Children's Social Care and £103,000 from Adult Social Care totalling £239,685 from the Council. Note that this is shared with the HSCP and the HCSP.
4.3	What is the nature of the council funding? If other please outline.	pooled funding
4.4	Does the partnership have documented financial procedures?	yes

4.5	Does the partnership produce an annual statement of accounts?	yes
Notes on Finance including areas of risk: 4.4 Follow Council procedures as Herefordshire Council accountable body. 4.5 Yes as part of annual report HSAB Annual Report 2019-20		
5. Conduct and behaviour		
5.1	Does the partnership have any employees?	yes
5.2	If so are there effective employment policies and practices in place?	yes
5.3	Does the partnership have policies and procedures in place to deal with:	
	Standards of conduct	yes
	Complaints	yes
	Whistleblowing	yes
	Declarations of interest	yes
	Gifts and hospitality	yes
Notes on Conduct and Behaviour including areas of risk: a. The Council employees the Partnership Team that supports three Partnerships in total 5.2 & 5.3 Strategic partner individual organisations have these policies in place for respective representatives, where these are related to the Partnership Team the Policies and Procedures are those of the Council.		
6. Liability		
6.1	Are clearly documented rules / exit strategies in place if one partner leaves or is partnership terminated?	yes
6.2	Is there limit of indemnity on the partnership liability insurance (if relevant)?	n/a
6.3	Is there a risk of liability on the council for the e.g. accountable body, decision makers, financial liability solely or jointly?	yes
Notes on Liability including areas of risk: 6.3 Financial liability as accountable body		
7. Performance, evaluation and value		
7.1	Is performance reported to the partnership on a regular basis?	yes
7.2	Does the partnership produce an annual report covering performance?	yes
7.3	Has the partnership defined outcomes that are measured?	yes
7.4	In the past year has there been any inspections, audits or reviews?	yes

7.5	Is there a review of value for money e.g. the resources used create the outputs required?	no
7.6	Does the partnership have a process for risk management?	yes
7.7	How often is the risk register reviewed?	approx. once a year
7.8	Key changes and risks within the partnership in 2020/21 months	None
7.9	Outcomes of note in 2020/21 months	<ul style="list-style-type: none"> • 'Making Safeguarding Personal' agenda • VARM process • Hoarding Policy • Partnership Team restructure • Development of a new Performance dashboard
	Key plans for 2021/22	HSAB Strategic Plan
Notes on Performance, Evaluation and Value including areas of risk: 7.4 Internal Partnership case audits		

8. Overview assessment completed by Director

Once the self-assessment is completed please use the points below to document the considered risk level.

Directorate or division in Corporate Centre		Adults and Communities
As director or assistant director of the Corporate Centre I have reviewed the content of the self-assessment the following risk level.		01/06/2021
Risk level		Any comment
Purpose and accountability	low	
Decision making	low	
Finance	low	
Conduct and behaviour	low	
Liability	low	
Performance, evaluation and review	low	
Overall assessment	low	

For office use

Date of return	01/06/2021
Status assessment	fully complete
Version	2020-21 v1

Significant partnerships 2020/21

Herefordshire Safeguarding Children Partnership

1. Project outline		
1.1	Name and job title of the link officer within Herefordshire Council (completing this form)	Steve Berry - Partnership Manager
1.2	Date self assessment completed	26/04/2021
1.3*	Name of partnership	Herefordshire Safeguarding Children Partnership
1.4	Directorate	Childrens and Families
1.5*	Type of partnership: What best describes the status of the partnership? If other please provide details	non-statutory partnership If other please describe: Whilst not statutory it should be considered on a par to a statutory Partnership.
1.6*	Web address for further reference	https://herefordshiresafeguardingboards.org.uk/
1.7*	Email address for further information	Stephen.Berry@herefordshire.gov.uk
2. Purpose and accountability		
2.1	Are there terms of reference?	yes
2.2	Were the terms of reference updated in 2020/21?	no
2.3	Is the vision, aims and objectives clearly set out in the terms of reference or elsewhere? If elsewhere where?	yes These are set out in the new SCYPiH arrangements but are currently under review by the Partnership
2.4	Is there a partnership agreement in place providing legal documentation?	don't know
2.5	Which predominant council priority does the partnership meet?	Community
2.6	Please list all other organisations involved in the partnership	Two other statutory Safeguarding Partners are West Mercia Police and Herefordshire and Worcestershire Clinical Commissioning Group. Other partners involved in the partnership are: Wye Valley NHS Trust, Public Health England, West Midlands Ambulance NHS Trust, NHS England, Early Years providers, H&W Youth Justice Service, H&W Fire and Rescue Service, Housing Providers, National Probation Service, Community Rehabilitation Company, CAFCASS, Voluntary Sector
2.7	Which council members and officers are on the partnership?	Safeguarding Partners Board - Director of Children and Families often supported by Assistant Director Childrens Safeguarding Quality and Improvement Subgroups:

		Partnership Team: Partnership Manager, Partnership Officer x 2, Partnership Support Officer x 2, Partnership Support Assistant. Head of Service Safeguarding Head of Service for MASH Head of Service or Early Help Assistant Director for Education Development Head of Learning and Achievement Public Health Specialist
2.8	Is it documented what authority the partnership has to take decisions and the scope of that authority?	yes
2.9	Are the roles and responsibilities of members clear and documented?	yes
2.10	Where relevant, who is the accountable body?	Herefordshire Council
2.11	Where does the partnership report to, and how frequently?	The Partnership Reports, once a year, to the National Child Safeguarding Review Panel and the What Works Centre for Childrens Social Care with an Annual Report. The Annual Report must be widely available. The Partnership also reports to the National Child Safeguarding Review Panel when undertaking Rapid Reviews and Child Safeguarding Practice Reviews. The Safeguarding Children Partnership has an Independent Scrutineer who provides a scrutiny role throughout the course of the year.
2.12	Any affiliated or subsidiary groups or partnerships? If yes please specify.	yes The HSCP shares a Joint Case Review Group with the Community Safety Partnership (for Domestic Homicides) and the Safeguarding Adult Board (Safeguarding Adult Reviews). It is also Strategically linked with these two partnerships through their shared strategic themes of domestic abuse and exploitation.
Notes on purpose and accountability including areas of risk: Memorandum of understanding		
3. Decision Making		
3.1	Is there a clear and documented process for decision making?	yes
3.2	Are the decisions of the partnership recorded?	yes All meetings are minuted
3.3	Are decisions of the partnership publicised?	no
3.4	Are members financially and reputational accountable to the decisions made?	yes
Notes on Decision Making including areas of risk: The three Safeguarding Partners are equally accountable for decision making and providing the budget.		

4. Finance		
4.1	How is the partnership funded?	The partnership has a budget that is contributed to by all three strategic Partner organisations. The Independent scrutineer / Chair is financed from this budget
4.2	What was the total value of council funding / investment for the financial year?	2020/21: £136,685 from Childrens Social Care and £103,000 from Adult Social Care totalling £239,685 from the Council. Note that this is shared with the HSAB and the HCSP.
4.3	What is the nature of the council funding? If other please outline.	pooled funding
4.4	Does the partnership have documented financial procedures?	yes
4.5	Does the partnership produce an annual statement of accounts?	yes
Notes on Finance including areas of risk: a. Partnership follows Herefordshire Council financial procedures b. Yes as part of annual report Herefordshire Safeguarding Children Partnership annual report 2019-20		
5. Conduct and behaviour		
5.1	Does the partnership have any employees?	yes
5.2	If so are there effective employment policies and practices in place?	yes
5.3	Does the partnership have policies and procedures in place to deal with:	
	Standards of conduct	yes
	Complaints	yes
	Whistleblowing	yes Council
	Declarations of interest	yes
	Gifts and hospitality	yes
Notes on Conduct and Behaviour including areas of risk: 5.1 Partnership team employed by Herefordshire Council, and Independent Chair/Independent Scrutineer. 5.2 & 5.3 Strategic partner individual organisations have these policies in place for respective representatives, where these are related to the Partnership Team the Policies and Procedures are those of the Council		
6. Liability		
6.1	Are clearly documented rules / exit strategies in place if one partner leaves or is partnership terminated?	yes
6.2	Is there limit of indemnity on the partnership liability insurance (if relevant)?	n/a
6.3	Is there a risk of liability on the council for the e.g. accountable body, decision makers, and financial liability solely or jointly?	yes
Notes on Liability including areas of risk: 6.1 if a representative leaves a replacement will be found by the respective organisation.		

6.3 As accountable body		
7. Performance, evaluation and value		
7.1	Is performance reported to the partnership on a regular basis?	yes
7.2	Does the partnership produce an annual report covering performance?	yes
7.3	Has the partnership defined outcomes that are measured?	yes
7.4	In the past year has there been any inspections, audits or reviews?	yes
7.5	Is there a review of value for money e.g. the resources used create the outputs required?	no
7.6	Does the partnership have a process for risk management?	yes
7.7	How often is the risk register reviewed?	approx. once a year
7.8	Key changes and risks within the partnership in 2020/21 months	Key risk is financial risk to funding the Partnership Team and activities and the capacity to resource the team to carry out the necessary support for HSCP, HSAB and HCSP.
7.9	Outcomes of note in 2020/21 months	<ul style="list-style-type: none"> • Have reviewed and currently re-designing the structure and function of the HSCP • Have produced new Professional differences protocol. • Launched new Right Help Right Time levels of need. • Restructure of Business Unit to Partnership Team.
7.10	Key plans for 2021/22	<ul style="list-style-type: none"> • Deliver against three year plan that is currently being pulled together by Partners. • Produce a full calendar of quality and performance related activity. • Provide a robust learning offer to multi agency partners.
Notes on Performance, Evaluation and Value including areas of risk: 7.4 There is a dedicated Quality Assurance Group, informed by a data set, risk register and audit programme supported by a multi-agency Performance Group.		

8. Overview assessment completed by Director

Once the self-assessment is completed please use the points below to document the considered risk level.

Directorate or division in Corporate Centre		Childrens and Families
As director or assistant director of the Corporate Centre I have reviewed the content of the self-assessment the following risk level.		21/05/2021
Risk level		Any comment
Purpose and accountability	medium	
Decision making	low	
Finance	low	
Conduct and behaviour	low	
Liability	low	
Performance, evaluation and review	low	
Overall assessment	low	

For office use

Date of return	21/05/2021
Status assessment	fully complete
Version	2020-21 v1

Significant partnerships 2020/21

Malvern Hills Area of Outstanding Natural Beauty

1. Project outline		
1.1	Name and job title of the link officer within Herefordshire Council (completing this form)	Liz Duberley Service Manager for Built and Natural Environment James Bisset – Ecology & Arboriculture Officer, Natural Environment Team
1.2	Date self assessment completed	11/05/2021
1.3*	Name of partnership	Malvern Hills Area of Outstanding Natural Beauty
1.4	Directorate	Economy and Place
1.5*	Type of partnership: What best describes the status of the partnership? If other please provide details	Statutory partnership (required by law) If other please describe:
1.6*	Web address for further reference	https://www.malvernhillsaonb.org.uk/
1.7*	Email address for further information	aonb@worcestershire.gov.uk
2. Purpose and accountability		
2.1	Are there terms of reference?	yes
2.2	Were the terms of reference updated in 2020/21?	yes
2.3	Is the vision, aims and objectives clearly set out in the terms of reference or elsewhere? If elsewhere where?	yes AONB Management Plan (2019-2024) Memorandum of Understanding (2021-2024) CRoW Act 2000 Section 84(4) Partnership Terms of Reference (updated 2017)
2.4	Is there a partnership agreement in place providing legal documentation?	yes
2.5	Which predominant council priority does the partnership meet?	Environment
2.6	Please list all other organisations involved in the partnership	Joint Advisory Committee (JAC): Local Authority: Worcestershire County Council members x2 Herefordshire Council members x2 Malvern Hills District Council member x1 Forest of Dean District Council (inc Gloucestershire County Council) member x1 Other organisations: Malvern Hills Trust Herefordshire Association of Local Councils Worcestershire association of Local Councils National Farmers Union Country Land and Business Association

		Campaign for Protection of Rural England Local Access Forum Herefordshire & Worcestershire Earth Heritage Trust Historic England Forestry Commission Local Tourism – Visit Herefordshire/Worcestershire
2.7	Which council members and officers are on the partnership?	JAC: Cllr Tony Johnson Cllr Helen l'Anson Steering Group: James Bisset or Elizabeth Duberley
2.8	Is it documented what authority the partnership has to take decisions and the scope of that authority?	yes
2.9	Are the roles and responsibilities of members clear and documented?	yes
2.10	Where relevant, who is the accountable body?	Not applicable
2.11	Where does the partnership report to, and how frequently?	JAC x3 meetings a year + 1 full annual report to JAC. Annual 'return' and funding claim to DEFRA and NRW. Annual 'update' published publically on website. Steering Group 3x normal meetings + other decisions and information disseminated as needed.
2.12	Any affiliated or subsidiary groups or partnerships? If yes please specify.	no
Notes on purpose and accountability including areas of risk: AONB Partnership and Staff Unit discharge core legal obligations of Local Authority partners in respect of statutory designation – Area of Outstanding Natural Beauty.		
3. Decision Making		
3.1	Is there a clear and documented process for decision making?	yes
3.2	Are the decisions of the partnership recorded?	yes
3.3	Are decisions of the partnership publicised?	yes
3.4	Are members financially and reputational accountable to the decisions made?	no
Notes on Decision Making including areas of risk:		
4. Finance		
4.1	How is the partnership funded?	Approx 75% DEFRA. 23% partner local authorities. 2% other external grants and projects.
4.2	What was the total value of council funding / investment for the financial year?	2020/21: £16,334 (+ officer support resource)

4.3	What is the nature of the council funding? If other please outline.	grant
4.4	Does the partnership have documented financial procedures?	yes
4.5	Does the partnership produce an annual statement of accounts?	yes
Notes on Finance including areas of risk: Statement of accounts is part of final funding request to DEFRA Worcestershire County Council acts as 'host' financial and employing authority on behalf of partnership (other local authorities provide other project support as needed)		
5. Conduct and behaviour		
5.1	Does the partnership have any employees?	yes
5.2	If so are there effective employment policies and practices in place?	yes
5.3	Does the partnership have policies and procedures in place to deal with:	
	Standards of conduct	yes
	Complaints	yes
	Whistleblowing	yes
	Declarations of interest	yes
	Gifts and hospitality	yes
Notes on Conduct and Behaviour including areas of risk: AONB Staff Unit officers are employed by Worcestershire County Council and are compliant with employing authority's policies and requirements.		
6. Liability		
6.1	Are clearly documented rules / exit strategies in place if one partner leaves or is partnership terminated?	yes
6.2	Is there limit of indemnity on the partnership liability insurance (if relevant)?	n/a
6.3	Is there a risk of liability on the council for the e.g. accountable body, decision makers, financial liability solely or jointly?	yes
Notes on Liability including areas of risk: Agreed MoU provides clarity in respect of partner local authority liability that may occur in additional to normal 'employer' liability as relevant to employees as recorded in section 5 above		
7. Performance, evaluation and value		
7.1	Is performance reported to the partnership on a regular basis?	yes

7.2	Does the partnership produce an annual report covering performance?	yes
7.3	Has the partnership defined outcomes that are measured?	yes
7.4	In the past year has there been any inspections, audits or reviews?	n/a
7.5	Is there a review of value for money e.g. the resources used create the outputs required?	yes
7.6	Does the partnership have a process for risk management?	yes
7.7	How often is the risk register reviewed?	at each meeting
7.8	Key changes and risks within the partnership in 2020/21 months	Updated MoU approved by all partner local authorities
7.9	Outcomes of note in 2020/21 months	Updated MoU approved by all partner local authorities. Continued operations and projects as best possible through Covid restrictions. Discharged the council's core statutory function in respect of WV AONB.
7.10	Key plans for 2021/22	Continuing existing project work. Reacting to changing national picture and priorities. Continuing to discharge local authority's core statutory function in respect of AONBs.
Notes on Performance, Evaluation and Value including areas of risk:		

8. Overview assessment completed by Director

Once the self-assessment is completed please use the points below to document the considered risk level.

Directorate or division in Corporate Centre		Economy and Place
As director or assistant director of the Corporate Centre I have reviewed the content of the self-assessment the following risk level.		11/05/2021
Risk level		Any comment
Purpose and accountability	low	
Decision making	low	
Finance	low	
Conduct and behaviour	low	
Liability	low	
Performance, evaluation and review	low	
Overall assessment	low	

For office use

Date of return	11/05/2021
Status assessment	fully complete
Version	2020-21 v1

Significant partnerships 2020/21

Marches Local Enterprise Partnership

1. Project outline		
1.1	Name and job title of the link officer within Herefordshire Council (completing this form)	Roger Allonby, Head of Economic Development
1.2	Date self assessment completed	21/04/2021
1.3*	Name of partnership	Marches Local Enterprise Partnership
1.4	Directorate	Economy and Place
1.5*	Type of partnership: What best describes the status of the partnership? If other please provide details	incorporated partnership (i.e. a separate and distinct legal entity) If other please describe:
1.6*	Web address for further reference	The Marches LEP - Marches LEP
1.7*	Email address for further information	enquiries@marcheslep.org.uk
2. Purpose and accountability		
2.1	Are there terms of reference?	yes
2.2	Were the terms of reference updated in 2020/21?	yes
2.3	Is the vision, aims and objectives clearly set out in the terms of reference or elsewhere? If elsewhere where?	yes The LEP is a company limited by guarantee – there articles of association set out purpose and role of the company. There are ToR for the Board (Governance - Marches LEP)
2.4	Is there a partnership agreement in place providing legal documentation?	yes Company Articles of Association
2.5	Which predominant council priority does the partnership meet?	Economy
2.6	Please list all other organisations involved in the partnership	Shropshire Council Telford and Wrekin Council 3 sub-regional business Boards Hereford Enterprise Zone
2.7	Which council members and officers are on the partnership?	Leader of the Council (member of the company Board) Cabinet Member Environment, Economy and Skills (alternate board member) Director for Economy and Place is an observer
2.8	Is it documented what authority the partnership has to take decisions and the scope of that authority?	yes
2.9	Are the roles and responsibilities of members clear and documented?	yes

2.10	Where relevant, who is the accountable body?	Shropshire Council
2.11	Where does the partnership report to, and how frequently?	Government (MHCLG and BEIS) have oversight and monitoring including regular periods of review (quarterly/ six monthly).
2.12	Any affiliated or subsidiary groups or partnerships? If yes please specify.	yes Operational sub-group, transport group, energy group, and Skills Advisory Panel
Notes on purpose and accountability including areas of risk:		
3. Decision Making		
3.1	Is there a clear and documented process for decision making?	yes
3.2	Are the decisions of the partnership recorded?	yes
3.3	Are decisions of the partnership publicised?	yes
3.4	Are members financially and reputational accountable to the decisions made?	yes
Notes on Decision Making including areas of risk:		
4. Finance		
4.1	How is the partnership funded?	Funding from government (via MHCLG and BEIS)
4.2	What was the total value of council funding / investment for the financial year?	2020/21: £30,000 (proportionate Local Authority contribution to the LEP exec function).
4.3	What is the nature of the council funding? If other please outline.	revenue
4.4	Does the partnership have documented financial procedures?	yes
4.5	Does the partnership produce an annual statement of accounts?	yes
Notes on Finance including areas of risk:		
5. Conduct and behaviour		
5.1	Does the partnership have any employees?	yes
5.2	If so are there effective employment policies and practices in place?	yes
5.3	Does the partnership have policies and procedures in place to deal with:	
	Standards of conduct	yes
	Complaints	yes
	Whistleblowing	yes
	Declarations of interest	yes
	Gifts and hospitality	yes

Notes on Conduct and Behaviour including areas of risk:		
6. Liability		
6.1	Are clearly documented rules / exit strategies in place if one partner leaves or is partnership terminated?	yes
6.2	Is there limit of indemnity on the partnership liability insurance (if relevant)?	yes
6.3	Is there a risk of liability on the council for the e.g. accountable body, decision makers, financial liability solely or jointly?	yes
Notes on Liability including areas of risk:		
7. Performance, evaluation and value		
7.1	Is performance reported to the partnership on a regular basis?	yes
7.2	Does the partnership produce an annual report covering performance?	yes
7.3	Has the partnership defined outcomes that are measured?	yes
7.4	In the past year has there been any inspections, audits or reviews?	yes
7.5	Is there a review of value for money e.g. the resources used create the outputs required?	yes
7.6	Does the partnership have a process for risk management?	yes
7.7	How often is the risk register reviewed?	at each meeting
7.8	Key changes and risks within the partnership in 2020/21 months	Government has announced a national review of Local Enterprise Partnerships, to be concluded in 2021/22.
7.9	Outcomes of note in 2020/21 months	The LEP secured £14m of Get Building Funding to support Covid 19 Recovery - £5.6m for Herefordshire based projects. The LEP provided £444K of funding to Herefordshire to support the recovery of the visitor economy.
7.10	Key plans for 2021/22	As above the future role of all LEPs is currently being reviewed and may lead to changes in role and activity.
Notes on Performance, Evaluation and Value including areas of risk:		

8. Overview assessment completed by Director

Once the self-assessment is completed please use the points below to document the considered risk level.

Directorate or division in Corporate Centre		Economy and Place
As director or assistant director of the Corporate Centre I have reviewed the content of the self-assessment the following risk level.		05/05/2021
Risk level		Any comment
Purpose and accountability	low	
Decision making	low	
Finance	low	
Conduct and behaviour	low	
Liability	high	The council and the LEP and their accountable body (Shropshire Council) currently have a dispute in regard to the requested repayment of the £3.8m of LEP grant received towards the South Wye Transport Package project.
Performance, evaluation and review	low	
Overall assessment	high	Given the above dispute.

For office use

Date of return	07/05/2021
Status assessment	fully complete
Version	2020-21 v1

Significant partnerships 2020/21

Midlands Connect

1. Project outline		
1.1	Name and job title of the link officer within Herefordshire Council (completing this form)	Victoria Hammond- Senior Transport Planning Officer
1.2	Date self-assessment completed	30/04/2021
1.3*	Name of partnership	Midlands Connect
1.4	Directorate	Economy and Place
1.5*	Type of partnership: What best describes the status of the partnership? If other please provide details	non-statutory partnership If other please describe:
1.6*	Web address for further reference	https://www.midlandsconnect.uk/
1.7*	Email address for further information	mcadmin@midlandsconnect.uk
2. Purpose and accountability		
2.1	Are there terms of reference?	yes
2.2	Were the terms of reference updated in 2020/21?	no A review of governance process is ongoing, this includes reviewing the terms of reference, as noted in the draft Annual Business Plan 2021/22.
2.3	Is the vision, aims and objectives clearly set out in the terms of reference or elsewhere? If elsewhere where?	yes In the Midlands Connect Strategy (2017) and the Midlands Connect Annual Business Plan
2.4	Is there a partnership agreement in place providing legal documentation?	no A draft partner charter has been through the governance process, and the Strategic Board approved the draft at the meeting in October 2020.
2.5	Which predominant council priority does the partnership meet?	Economy
2.6	Please list all other organisations involved in the partnership	The partnership is coordinated by a secretariat funded by DfT grant and which operates with the WMCA as its accountable body. Whilst Herefordshire Council is a partner alongside all of the other local transport authorities in the midlands region it has no financial/legal responsibilities for the MC secretariat. <ul style="list-style-type: none"> • The elected Leaders from all Midlands Local Transport Authorities, and all LEP Chairs across the Midlands are members of the Partnership Advisory Board. • The Strategic Board includes representative elected Leaders from LTAs and LEP Chairs, the representatives for the West Midlands are currently: Cllr Ian Ward (Birmingham) and Cllr Alan White (Staffordshire), Cllr

		<p>Simon Geraghty (Worcestershire); and Mandy Thorn (Marches LEP Chair) and Alun Rogers (Stoke & Staffordshire LEP Chair).</p> <ul style="list-style-type: none"> • The partnership also includes DfT, Network Rail, Highways England, Birmingham and East Midlands Airports, Chambers of Commerce, HS2 Ltd and the West Midlands Rail Executive. • The WMCA is the accountable body for MC. <p>Details of strategic board and steering group representatives at link below: https://www.midlandsconnect.uk/about-us/the-board/</p>
2.7	Which council members and officers are on the partnership?	<p>Cllr David Hitchiner – Leader of the Council (Partnership Advisory Board) Cllr John Harrington - Cabinet Member Infrastructure & Transport (Partnership Advisory Board, nominee)</p> <p>Victoria Hammond – Senior Transport Planner (Transport Advisory Group lead) Steve Burgess – Head of Transport & Access Services (Transport Advisory Group lead)</p> <p>Other officers engage with MC on specific programmes of activity as and when required.</p>
2.8	Is it documented what authority the partnership has to take decisions and the scope of that authority?	yes
2.9	Are the roles and responsibilities of members clear and documented?	yes
2.10	Where relevant, who is the accountable body?	West Midlands Combined Authority (WMCA)
2.11	Where does the partnership report to, and how frequently?	Partnership Advisory Board – 1 x year Strategic Board – 4x year Steering Group – 6 x year Transport Advisory Group – approx. 12 x year
2.12	Any affiliated or subsidiary groups or partnerships? If yes please specify.	no Add free text
Notes on purpose and accountability including areas of risk:		
3. Decision Making		
3.1	Is there a clear and documented process for decision making?	yes
3.2	Are the decisions of the partnership recorded?	yes
3.3	Are decisions of the partnership publicised?	no

3.4	Are members financially and reputational accountable to the decisions made?	no
Notes on Decision Making including areas of risk:		
4. Finance		
4.1	How is the partnership funded?	Government grant 100%
4.2	What was the total value of council funding / investment for the financial year?	2020/21: Zero
4.3	What is the nature of the council funding? If other please outline.	inkind Officer time as part of Transport Advisory group and engagement on Midlands Connect studies.
4.4	Does the partnership have documented financial procedures?	yes
4.5	Does the partnership produce an annual statement of accounts?	yes
Notes on Finance including areas of risk:		
5. Conduct and behaviour		
5.1	Does the partnership have any employees?	yes
5.2	If so are there effective employment policies and practices in place?	yes
5.3	Does the partnership have policies and procedures in place to deal with:	
	Standards of conduct	yes
	Complaints	yes
	Whistleblowing	yes
	Declarations of interest	yes
	Gifts and hospitality	yes
Notes on Conduct and Behaviour including areas of risk:		
MC generally works within the policies and procedures of its accountable body, the WMCA. MC is considering the development of its own constitution which would include the policies listed above, this is referenced in the Annual Business Plan 2021/22 final draft.		
6. Liability		
6.1	Are clearly documented rules / exit strategies in place if one partner leaves or is partnership terminated?	yes
6.2	Is there limit of indemnity on the partnership liability insurance (if relevant)?	n/a
6.3	Is there a risk of liability on the council for the e.g. accountable body, decision makers, financial liability solely or jointly?	no

Notes on Liability including areas of risk:		
7. Performance, evaluation and value		
7.1	Is performance reported to the partnership on a regular basis?	yes Performance reports received and considered by the Midlands Connect Steering group
7.2	Does the partnership produce an annual report covering performance?	yes
7.3	Has the partnership defined outcomes that are measured?	yes
7.4	In the past year has there been any inspections, audits or reviews?	yes MC provides it's sponsor (DfT) with monthly reports which are discussed in detail at regular meetings 6 times per year; and MC sits within the WMCA as the accountable body.
7.5	Is there a review of value for money e.g. the resources used create the outputs required?	yes See 7.4
7.6	Does the partnership have a process for risk management?	yes
7.7	How often is the risk register reviewed?	monthly
7.8	Key changes and risks within the partnership in 2020/21 months	Key changes and risks are captured in the 2021/22 Annual Business Plan final draft
7.9	Outcomes of note in 2020/21 months	These are summarised on pages 8-11 in the 2021/22 Annual Business Plan final draft
7.10	Key plans for 2021/22	These are summarised on pages 14-27 in the 2021/22 Annual Business Plan final draft
Notes on Performance, Evaluation and Value including areas of risk:		

8. Overview assessment completed by Director

Once the self-assessment is completed please use the points below to document the considered risk level.

Directorate or division in Corporate Centre		Economy and Place
As director or assistant director of the Corporate Centre I have reviewed the content of the self-assessment the following risk level.		06/05/2021
Risk level		Any comment
Purpose and accountability	low	
Decision making	low	
Finance	low	
Conduct and behaviour	low	
Liability	low	
Performance, evaluation and review	low	
Overall assessment	low	

For office use

Date of return	07/05/2021
Status assessment	fully complete
Version	2020-21 v1

Significant partnerships 2020/21

NMITE/ Herefordshire Council Strategic Working Group

1. Project outline		
1.1	Name and job title of the link officer within Herefordshire Council (completing this form)	Roger Allonby, Head of Economic Development
1.2	Date self assessment completed	22/04/2021
1.3*	Name of partnership	NMITE/ Herefordshire Council Strategic Working Group
1.4	Directorate	Economy and Place
1.5*	Type of partnership: What best describes the status of the partnership? If other please provide details	other If other please describe: Strategic working group rather than formal partnership
1.6*	Web address for further reference	N/A
1.7*	Email address for further information	N/A
2. Purpose and accountability		
2.1	Are there terms of reference?	yes
2.2	Were the terms of reference updated in 2020/21?	yes
2.3	Is the vision, aims and objectives clearly set out in the terms of reference or elsewhere? If elsewhere where?	yes
2.4	Is there a partnership agreement in place providing legal documentation?	no
2.5	Which predominant council priority does the partnership meet?	Economy
2.6	Please list all other organisations involved in the partnership	N/A
2.7	Which council members and officers are on the partnership?	The following attend the monthly strategic working group meeting. Leader of the Council Cabinet Member for Finance Council Director on rotation Head of Economic Development
2.8	Is it documented what authority the partnership has to take decisions and the scope of that authority?	n/a Not a decision-making group
2.9	Are the roles and responsibilities of members clear and documented?	n/a

2.10	Where relevant, who is the accountable body?	N/A
2.11	Where does the partnership report to, and how frequently?	N/A – Council and NMITE reps report back to their respective organisations.
2.12	Any affiliated or subsidiary groups or partnerships? If yes please specify.	no
Notes on purpose and accountability including areas of risk:		
3. Decision Making		
3.1	Is there a clear and documented process for decision making?	n/a
3.2	Are the decisions of the partnership recorded?	n/a
3.3	Are decisions of the partnership publicised?	n/a
3.4	Are members financially and reputational accountable to the decisions made?	n/a
Notes on Decision Making including areas of risk:		
4. Finance		
4.1	How is the partnership funded?	No funding required
4.2	What was the total value of council funding / investment for the financial year?	2020/21: £0 The council is separately the accountable body for government and LEP funded activity.
4.3	What is the nature of the council funding? If other please outline.	Choose an item. N/A
4.4	Does the partnership have documented financial procedures?	n/a
4.5	Does the partnership produce an annual statement of accounts?	n/a
Notes on Finance including areas of risk:		
5. Conduct and behaviour		
5.1	Does the partnership have any employees?	no
5.2	If so are there effective employment policies and practices in place?	n/a
5.3	Does the partnership have policies and procedures in place to deal with:	
	Standards of conduct	n/a
	Complaints	n/a
	Whistleblowing	n/a
	Declarations of interest	n/a
	Gifts and hospitality	n/a

Notes on Conduct and Behaviour including areas of risk:

6. Liability

6.1	Are clearly documented rules / exit strategies in place if one partner leaves or is partnership terminated?	n/a
6.2	Is there limit of indemnity on the partnership liability insurance (if relevant)?	n/a
6.3	Is there a risk of liability on the council for the e.g. accountable body, decision makers, financial liability solely or jointly?	n/a

Notes on Liability including areas of risk:

7. Performance, evaluation and value

7.1	Is performance reported to the partnership on a regular basis?	n/a
7.2	Does the partnership produce an annual report covering performance?	n/a
7.3	Has the partnership defined outcomes that are measured?	n/a
7.4	In the past year has there been any inspections, audits or reviews?	n/a
7.5	Is there a review of value for money e.g. the resources used create the outputs required?	n/a
7.6	Does the partnership have a process for risk management?	n/a
7.7	How often is the risk register reviewed?	n/a
7.8	Key changes and risks within the partnership in 2020/21 months	Following validation as a Higher Education Institute in 2020, NMITE seeking to recruit first year of students for September 2021.
7.9	Outcomes of note in 2020/21 months	NMITE achieving validation.
7.10	Key plans for 2021/22	Considering infrastructure and environment required to attract students and to live and study.

Notes on Performance, Evaluation and Value including areas of risk:

8. Overview assessment completed by Director

Once the self-assessment is completed please use the points below to document the considered risk level.

Directorate or division in Corporate Centre		Economy and Place
As director or assistant director of the Corporate Centre I have reviewed the content of the self-assessment the following risk level.		05/05/2021
Risk level		Any comment
Purpose and accountability	low	
Decision making	low	
Finance	low	
Conduct and behaviour	low	
Liability	low	The council are the accountable body for £7.2m NMITE's LEP grant funding. This is not subject to clawback.
Performance, evaluation and review	low	
Overall assessment	low	

For office use

Date of return	07/05/2021
Status assessment	fully complete
Version	2020-21 v1

Significant partnerships 2020/21

West Mercia Local Resilience Forum (LRF)

1. Project outline		
1.1	Name and job title of the link officer within Herefordshire Council (completing this form)	Ian Baker Health, Safety & Resilience Manager
1.2	Date self assessment completed	08/04/2021
1.3*	Name of partnership	West Mercia Local Resilience Forum (LRF)
1.4	Directorate	Corporate - People and Organisation Development
1.5*	Type of partnership: What best describes the status of the partnership? If other please provide details	Statutory partnership (required by law) If other please describe: Under the Civil Contingencies Act (2004)
1.6*	Web address for further reference	https://www.westmercia.police.uk/police-forces/west-mercia-police/areas/west-mercia/about-us/about-us/west-mercia-local-resilience-forum2/
1.7*	Email address for further information	sioned.warrell@westmercia.pnn.police.uk wmlrfsecretariat@westmercia.pnn.police.uk
2. Purpose and accountability		
2.1	Are there terms of reference?	yes
2.2	Were the terms of reference updated in 2020/21?	no
2.3	Is the vision, aims and objectives clearly set out in the terms of reference or elsewhere? If elsewhere where?	yes ToR will be updated late 2021 due to change of LRF Chair
2.4	Is there a partnership agreement in place providing legal documentation?	no
2.5	Which predominant council priority does the partnership meet?	Corporate function
2.6	Please list all other organisations involved in the partnership	West Midlands Ambulance Service West Mercia Police Hereford and Worcester Fire and Rescue Service Shropshire Council Telford and Wrekin Council Worcestershire County Council Environment Agency NHS (England and local) Also involved MoD and MHCLG
2.7	Which council members and officers are on the partnership?	Chief Executive and Directors as nominated deputies Health, Safety and Resilience Manager Emergency Planning Officer And others are work determines

2.8	Is it documented what authority the partnership has to take decisions and the scope of that authority?	yes
2.9	Are the roles and responsibilities of members clear and documented?	yes
2.10	Where relevant, who is the accountable body?	The Chief Officers Group for the LRF
2.11	Where does the partnership report to, and how frequently?	Into the Chief Officers Group. Quarterly Also feeds into Central Government via MHCLG and the Civil Contingencies Secretariat at the Home Office
2.12	Any affiliated or subsidiary groups or partnerships? If yes please specify.	yes Task & Finish Groups, Working Groups, National and Regional working groups etc
Notes on purpose and accountability including areas of risk:		
3. Decision Making		
3.1	Is there a clear and documented process for decision making?	yes
3.2	Are the decisions of the partnership recorded?	yes
3.3	Are decisions of the partnership publicised?	no
3.4	Are members financially and reputational accountable to the decisions made?	yes
Notes on Decision Making including areas of risk:		
4. Finance		
4.1	How is the partnership funded?	Herefordshire Council and LRF members pay a yearly contribution towards the LRF Secretariat
4.2	What was the total value of council funding / investment for the financial year?	2020/21: £3,777.00
4.3	What is the nature of the council funding? If other please outline.	pooled funding
4.4	Does the partnership have documented financial procedures?	no
4.5	Does the partnership produce an annual statement of accounts?	no
Notes on Finance including areas of risk: Finance is conducted by West Mercia Police		
5. Conduct and behaviour		
5.1	Does the partnership have any employees?	yes

5.2	If so are there effective employment policies and practices in place?	yes
5.3	Does the partnership have policies and procedures in place to deal with:	
	Standards of conduct	yes
	Complaints	yes
	Whistleblowing	yes
	Declarations of interest	yes
	Gifts and hospitality	yes
Notes on Conduct and Behaviour including areas of risk: Staff are employed by West Mercia Police and therefore fall under their Employment T&Cs		
6. Liability		
6.1	Are clearly documented rules / exit strategies in place if one partner leaves or is partnership terminated?	n/a
6.2	Is there limit of indemnity on the partnership liability insurance (if relevant)?	n/a
6.3	Is there a risk of liability on the council for the e.g. accountable body, decision makers, financial liability solely or jointly?	n/a
Notes on Liability including areas of risk:		
7. Performance, evaluation and value		
7.1	Is performance reported to the partnership on a regular basis?	yes Reported to Chief Officers Group on a six monthly basis
7.2	Does the partnership produce an annual report covering performance?	no
7.3	Has the partnership defined outcomes that are measured?	no This will start during this year
7.4	In the past year has there been any inspections, audits or reviews?	no
7.5	Is there a review of value for money e.g. the resources used create the outputs required?	n/a This will be done from next year
7.6	Does the partnership have a process for risk management?	yes
7.7	How often is the risk register reviewed?	approx. once a year
7.8	Key changes and risks within the partnership in 2020/21 months	Covid-19 Response
7.9	Outcomes of note in 2020/21 months	Covid-19 Response with concurrent events including flooding, adverse weather
7.10	Key plans for 2021/22	Reviewing the Strategy and the delivery of this.

		Creation of new LRF plans and updates of those already in existence. Key evaluations system being introduced
Notes on Performance, Evaluation and Value including areas of risk:		

8. Overview assessment completed by Director

Once the self-assessment is completed please use the points below to document the considered risk level.

Directorate or division in Corporate Centre		Corporate - People and Organisation Development
As director or assistant director of the Corporate Centre I have reviewed the content of the self-assessment the following risk level.		16/04/2021
Risk level		Any comment
Purpose and accountability	low	
Decision making	low	
Finance	low	
Conduct and behaviour	low	
Liability	low	
Performance, evaluation and review	low	
Overall assessment	low	

For office use

Date of return	16/04/2021
Status assessment	fully complete
Version	2020-21 v1

Significant partnerships 2020/21

Herefordshire and Worcestershire Integrated Care System

1. Project outline		
1.1	Name and job title of the link officer within Herefordshire Council (completing this form)	Rebecca Howell-Jones, Acting Director of Public Health
1.2	Date self assessment completed	29/04/2021
1.3*	Name of partnership	Herefordshire and Worcestershire Integrated Care System
1.4	Directorate	Corporate - Corporate Support
1.5*	Type of partnership: What best describes the status of the partnership? If other please provide details	other If other please describe: The legislative changes to make ICS legal entity are set out in the NHS White Paper. The intention is to establish a statutory ICS in each ICS area. These will be made up of an ICS NHS Body and a separate ICS Health and Care Partnership, bringing together the NHS, local government and partners.
1.6*	Web address for further reference	https://www.hacw.nhs.uk/sustainability-and-transformation-partnership
1.7*	Email address for further information	https://herefordshireandworcestershireccg.nhs.uk/contact-us
2. Purpose and accountability		
2.1	Are there terms of reference?	yes
2.2	Were the terms of reference updated in 2020/21?	yes
2.3	Is the vision, aims and objectives clearly set out in the terms of reference or elsewhere? If elsewhere where?	yes The Long Term Plan forms the basis of the ICS aims and plans. These documents are not yet available publically available as they are in development. Boards that form part of the ICS have Terms of References.
2.4	Is there a partnership agreement in place providing legal documentation?	no
2.5	Which predominant council priority does the partnership meet?	Community
2.6	Please list all other organisations involved in the partnership	Herefordshire Council Herefordshire and Worcestershire CCG Herefordshire Healthwatch Taurus GP Federation West Midlands Ambulance Service NHS Trust Worcestershire Acute Hospitals NHS Trust Worcestershire County Council Worcestershire Health and Care NHS Trust Worcestershire Healthwatch Worcestershire GP federation Wye Valley NHS Trust Representative of Voluntary Organisations (HVOSS)

2.7	Which council members and officers are on the partnership?	ICS Partnership Board - Cllr Crockett - Paul Walker (Chief Executive) - Stephen Vickers (Director of Adults and Communities) ICS Executive - Cllr Bartlett - Paul Walker (Chief Executive) - Stephen Vickers (Director of Adults and Communities) Transition Board - Stephen Vickers (Director of Adults and Communities) - Rebecca Howell-Jones (Acting Director of Public Health) PCN/locality meetings etc are attended by other Council officers as required.
2.8	Is it documented what authority the partnership has to take decisions and the scope of that authority?	n/a
2.9	Are the roles and responsibilities of members clear and documented?	yes
2.10	Where relevant, who is the accountable body?	Each organisation is accountable for its contribution. This includes representative bringing their own authorisation limits.
2.11	Where does the partnership report to, and how frequently?	ICS Partnership Board is the top of the pyramid for reporting. NHS partners report up to regional structures, local authority within LA structure.
2.12	Any affiliated or subsidiary groups or partnerships? If yes please specify.	yes Intelligence Cell
Notes on purpose and accountability including areas of risk:		
3. Decision Making		
3.1	Is there a clear and documented process for decision making?	yes
3.2	Are the decisions of the partnership recorded?	yes
3.3	Are decisions of the partnership publicised?	no
3.4	Are members financially and reputational accountable to the decisions made?	yes
Notes on Decision Making including areas of risk: ICS is operating in shadow form during 21/22. Boards are established, with membership and defined relationships.		
4. Finance		
4.1	How is the partnership funded?	Currently, the partnership is funded as individual organisation through NHS and local authority routes i.e. no specific partnership funding. Legislation is in process to create statutory bodies.

4.2	What was the total value of council funding / investment for the financial year?	2020/21: Not applicable. Funding is not specifically invested into the partnership but currently managed by organisations themselves.
4.3	What is the nature of the council funding? If other please outline.	revenue Usual revenue funding for the council's activities which are associated with this partnership e.g. adult social care, public health.
4.4	Does the partnership have documented financial procedures?	n/a
4.5	Does the partnership produce an annual statement of accounts?	n/a
Notes on Finance including areas of risk: Funding is not pooled. Organisations follow their own rules and procedures.		
5. Conduct and behaviour		
5.1	Does the partnership have any employees?	no
5.2	If so are there effective employment policies and practices in place?	n/a
5.3	Does the partnership have policies and procedures in place to deal with:	
	Standards of conduct	n/a
	Complaints	n/a
	Whistleblowing	n/a
	Declarations of interest	n/a
	Gifts and hospitality	n/a
Notes on Conduct and Behaviour including areas of risk: Conduct and behaviour policies are in place within organisations rather than at the partnership.		
6. Liability		
6.1	Are clearly documented rules / exit strategies in place if one partner leaves or is partnership terminated?	n/a
6.2	Is there limit of indemnity on the partnership liability insurance (if relevant)?	n/a
6.3	Is there a risk of liability on the council for the e.g. accountable body, decision makers, financial liability solely or jointly?	n/a
Notes on Liability including areas of risk: The Council's liabilities are not directly impacted by the partnership – liabilities remain as part of the Council's business as usual.		
7. Performance, evaluation and value		
7.1	Is performance reported to the partnership on a regular basis?	yes
7.2	Does the partnership produce an annual report covering performance?	n/a

7.3	Has the partnership defined outcomes that are measured?	yes Currently being finalised.
7.4	In the past year has there been any inspections, audits or reviews?	yes
7.5	Is there a review of value for money e.g. the resources used create the outputs required?	no
7.6	Does the partnership have a process for risk management?	n/a
7.7	How often is the risk register reviewed?	n/a
7.8	Key changes and risks within the partnership in 2020/21 months	During 2020/21 the ICS will be operating in shadow form. It is anticipated that during this time the relevant legislation will be passed. The intention is to establish a statutory ICS in each ICS area. These will be made up of an ICS NHS Body and a separate ICS Health and Care Partnership, bringing together the NHS, local government and partners.
7.9	Outcomes of note in 2020/21 months	An ICS outcomes framework is in development.
7.10	Key plans for 2021/22	Operate in shadow form and further develop the partnership.
Notes on Performance, Evaluation and Value including areas of risk: Reviewed against the ICS maturity framework. Risk is managed through individual organisations. These are areas which the partnership will further develop and refine as it moves through this shadow year.		

8. Overview assessment completed by Director

Once the self-assessment is completed please use the points below to document the considered risk level.

Directorate or division in Corporate Centre		Corporate - Public Health
As director or assistant director of the Corporate Centre I have reviewed the content of the self-assessment the following risk level.		11/05/2021
Risk level		Any comment
Purpose and accountability	medium	
Decision making	medium	
Finance	medium	
Conduct and behaviour	low	
Liability	low	
Performance, evaluation and review	low	
Overall assessment	medium	This partnership is strategically important for Hfds Council and the future of health and wellbeing of Hfds residents.

For office use

Date of return	11/05/2021
Status assessment	fully complete
Version	2020-21 v1

Significant partnerships 2020/21

Waste Partnership Joint Working Agreement

1. Project outline		
1.1	Name and job title of the link officer within Herefordshire Council (completing this form)	Nicola Percival
1.2	Date self assessment completed	27/04/2021
1.3*	Name of partnership	Joint Working Agreement
1.4	Directorate	Economy and Place
1.5*	Type of partnership: What best describes the status of the partnership? If other please provide details	incorporated partnership (i.e. a separate and distinct legal entity) If other please describe:
1.6*	Web address for further reference	https://www.herefordshire.gov.uk/directory-record/2088/joint-municipal-waste-strategy-for-herefordshire-and-worcestershire-2004-2034
1.7*	Email address for further information	npercival@herefordshire.gov.uk
2. Purpose and accountability		
2.1	Are there terms of reference?	yes
2.2	Were the terms of reference updated in 2020/21?	no
2.3	Is the vision, aims and objectives clearly set out in the terms of reference or elsewhere? If elsewhere where?	yes Joint Working Agreement signed 2014
2.4	Is there a partnership agreement in place providing legal documentation?	yes
2.5	Which predominant council priority does the partnership meet?	Environment
2.6	Please list all other organisations involved in the partnership	N/A
2.7	Which council members and officers are on the partnership?	Full council Cabinet Member Joint Waste Advisory Board = Cabinet Member Commissioning Procurement & Assets, Director Economy & Place (formerly Economy, Communities & Place) & Head of Environment Climate Emergency & Waste (formerly Head of Environment & Waste) Joint Review Board = Director Economy & Place (formerly Economy, Communities & Place) & Head of Environment Climate Emergency & Waste (formerly Head of Environment & Waste)

2.8	Is it documented what authority the partnership has to take decisions and the scope of that authority?	yes
2.9	Are the roles and responsibilities of members clear and documented?	yes
2.10	Where relevant, who is the accountable body?	Add free text
2.11	Where does the partnership report to, and how frequently?	Joint Review Board reports to Joint Waste Advisory Board Meet once every 3 months
2.12	Any affiliated or subsidiary groups or partnerships? If yes please specify.	no Add free text
Notes on purpose and accountability including areas of risk:		
3. Decision Making		
3.1	Is there a clear and documented process for decision making?	yes
3.2	Are the decisions of the partnership recorded?	yes
3.3	Are decisions of the partnership publicised?	yes Key decisions are made by each authority through their own Governance process.
3.4	Are members financially and reputational accountable to the decisions made?	yes
Notes on Decision Making including areas of risk:		
4. Finance		
4.1	How is the partnership funded?	Revenue funds from Herefordshire Council pay Worcestershire County Council for the management of the waste disposal contract. Each council provides representative officers and has budget for payment of the contract which this partnership oversees
4.2	What was the total value of council funding / investment for the financial year?	2020/21: £194K
4.3	What is the nature of the council funding? If other please outline.	revenue Free text
4.4	Does the partnership have documented financial procedures?	n/a Each partner follows the financial procedure rules of their own LA
4.5	Does the partnership produce an annual statement of accounts?	n/a Each partner has revenue budget therefore production of accounts is part of each councils accounts.
Notes on Finance including areas of risk:		
5. Conduct and behaviour		

5.1	Does the partnership have any employees?	yes
5.2	If so are there effective employment policies and practices in place?	yes All staff are employed by the respective councils therefore will follow all policies and practices of their own authority
5.3	Does the partnership have policies and procedures in place to deal with:	
	Standards of conduct	yes
	Complaints	yes
	Whistleblowing	yes
	Declarations of interest	yes
	Gifts and hospitality	yes
Notes on Conduct and Behaviour including areas of risk:		
6. Liability		
6.1	Are clearly documented rules / exit strategies in place if one partner leaves or is partnership terminated?	yes
6.2	Is there limit of indemnity on the partnership liability insurance (if relevant)?	yes
6.3	Is there a risk of liability on the council e.g. accountable body, decision makers, financial liability solely or jointly?	no There is a legal partnership agreement in place
Notes on Liability including areas of risk:		
7. Performance, evaluation and value		
7.1	Is performance reported to the partnership on a regular basis?	yes Performance of the waste disposal contractor is reported monthly to the partnership.
7.2	Does the partnership produce an annual report covering performance?	n/a
7.3	Has the partnership defined outcomes that are measured?	no The partnership exists to manage the Waste Disposal PFI contract.
7.4	In the past year has there been any inspections, audits or reviews?	no
7.5	Is there a review of value for money e.g. the resources used create the outputs required?	no
7.6	Does the partnership have a process for risk management?	yes
7.7	How often is the risk register reviewed?	approx. once a year
7.8	Key changes and risks within the partnership in 2020/21 months	Decision to extend the waste disposal contract (which would continue the partnership) or to re-procure (which could continue the partnership or require amendment to it)
7.9	Outcomes of note in 2020/21 months	Free text

7.10	Key plans for 2021/22	Decision to extend the waste disposal contract (which would continue the partnership) or to re-procure (which could continue the partnership or require amendment to it)
Notes on Performance, Evaluation and Value including areas of risk:		

8. Overview assessment completed by Director

Once the self-assessment is completed please use the points below to document the considered risk level.

Directorate or division in Corporate Centre		Economy and Place
As director or assistant director of the Corporate Centre I have reviewed the content of the self-assessment the following risk level.		30/04/2021
Risk level		Any comment
Purpose and accountability	medium	
Decision making	medium	
Finance	medium	
Conduct and behaviour	low	
Liability	medium	
Performance, evaluation and review	medium	
Overall assessment	medium	

For office use

Date of return	30/04/2021
Status assessment	fully complete
Version	2020-21 v1

Significant partnerships 2020/21

West Mercia Energy

1. Project outline		
1.1	Name and job title of the link officer within Herefordshire Council (completing this form)	Ben Boswell Head of Environment, Climate Emergency & Waste
1.2	Date self assessment completed	05/05/2021
1.3*	Name of partnership	West Mercia Energy
1.4	Directorate	Economy and Place
1.5*	Type of partnership: What best describes the status of the partnership? If other please provide details	other If other please describe: Joint Committee
1.6*	Web address for further reference	https://councillors.herefordshire.gov.uk/ieListMeetings.aspx?CId=878&Year=0 https://www.westmerciaenergy.co.uk/
1.7*	Email address for further information	bboswell@herefordshire.gov.uk
2. Purpose and accountability		
2.1	Are there terms of reference?	yes
2.2	Were the terms of reference updated in 2020/21?	no
2.3	Is the vision, aims and objectives clearly set out in the terms of reference or elsewhere? If elsewhere where?	yes West Mercia Energy Joint Agreement
2.4	Is there a partnership agreement in place providing legal documentation?	yes
2.5	Which predominant council priority does the partnership meet?	Corporate function
2.6	Please list all other organisations involved in the partnership	Shropshire Council Telford & Wrekin Council Worcestershire County Council
2.7	Which council members and officers are on the partnership?	Joint Committee <ul style="list-style-type: none"> • Cabinet Member - Commissioning, Procurement and Assets • Cabinet member - finance and corporate services • (Supported by Head of Environment, Climate Emergency & Waste) S151 Officers meetings <ul style="list-style-type: none"> • S151 Officer

		<p>Senior Officers Meeting</p> <ul style="list-style-type: none"> Director Economy & Place <p>Flexible Energy Advisory Panel</p> <ul style="list-style-type: none"> Head of Environment, Climate Emergency & Waste / Sustainability & Climate Change Manager
2.8	Is it documented what authority the partnership has to take decisions and the scope of that authority?	yes
2.9	Are the roles and responsibilities of members clear and documented?	yes
2.10	Where relevant, who is the accountable body?	Shropshire Council
2.11	Where does the partnership report to, and how frequently?	WME Joint Committee – Biannually https://councillors.herefordshire.gov.uk/ieListMeetings.aspx?CId=878&Year=0
2.12	Any affiliated or subsidiary groups or partnerships? If yes please specify.	no Add free text
Notes on purpose and accountability including areas of risk:		
3. Decision Making		
3.1	Is there a clear and documented process for decision making?	yes
3.2	Are the decisions of the partnership recorded?	yes
3.3	Are decisions of the partnership publicised?	yes
3.4	Are members financially and reputational accountable to the decisions made?	yes
Notes on Decision Making including areas of risk:		
4. Finance		
4.1	How is the partnership funded?	WME operates commercially to public sector organisations as an energy purchasing organisation. WME is funded by its commercial operations.
4.2	What was the total value of council funding / investment for the financial year?	2020/21: The Council received a dividend payment of ~£247,000 from WME in 2020/21 from the operational surplus from WME's operations.
4.3	What is the nature of the council funding? If other please outline.	revenue Free text – This was revenue income to the Council.
4.4	Does the partnership have documented financial procedures?	yes

4.5	Does the partnership produce an annual statement of accounts?	yes
Notes on Finance including areas of risk:		
5. Conduct and behaviour		
5.1	Does the partnership have any employees?	yes
5.2	If so are there effective employment policies and practices in place?	yes
5.3	Does the partnership have policies and procedures in place to deal with:	
	Standards of conduct	yes
	Complaints	yes
	Whistleblowing	yes
	Declarations of interest	yes
	Gifts and hospitality	yes
Notes on Conduct and Behaviour including areas of risk:		
6. Liability		
6.1	Are clearly documented rules / exit strategies in place if one partner leaves or is partnership terminated?	yes
6.2	Is there limit of indemnity on the partnership liability insurance (if relevant)?	yes
6.3	Is there a risk of liability on the council for the e.g. accountable body, decision makers, financial liability solely or jointly?	yes
Notes on Liability including areas of risk: The Council has a financial liability for Herefordshire's share of the WME pension liability and would have a proportional liability for any financial losses incurred by WME. Work has been undertaken in 2020/21 to consider and document the exit strategy should one partner which to leave the Joint Committee however I am unsure if this has been complete. (I will confirm this asap.)		
7. Performance, evaluation and value		
7.1	Is performance reported to the partnership on a regular basis?	yes
7.2	Does the partnership produce an annual report covering performance?	yes
7.3	Has the partnership defined outcomes that are measured?	yes
7.4	In the past year has there been any inspections, audits or reviews?	yes

7.5	Is there a review of value for money e.g. the resources used create the outputs required?	yes
7.6	Does the partnership have a process for risk management?	yes
7.7	How often is the risk register reviewed?	at each meeting
7.8	Key changes and risks within the partnership in 2020/21 months	Forthcoming decision in 2021/22 on change to distribution of surplus.
7.9	Outcomes of note in 2020/21 months	Good financial performance and continued operational surplus.
7.10	Key plans for 2021/22	Forthcoming decision in 2021/22 on change to distribution of surplus.
Notes on Performance, Evaluation and Value including areas of risk:		

8. Overview assessment completed by Director

Once the self-assessment is completed please use the points below to document the considered risk level.

Directorate or division in Corporate Centre		Economy and Place
As director or assistant director of the Corporate Centre I have reviewed the content of the self-assessment the following risk level.		06/05/2021
Risk level		Any comment
Purpose and accountability	low	
Decision making	medium	
Finance	medium	
Conduct and behaviour	low	
Liability	medium	
Performance, evaluation and review	medium	
Overall assessment	medium	

For office use

Date of return	07/05/2021
Status assessment	fully complete
Version	2020-21 v1

Significant partnerships 2020/21

West Midlands Rail partnership

1. Project outline		
1.1	Name and job title of the link officer within Herefordshire Council (completing this form)	Victoria Hammond - Senior Transport Planning Officer
1.2	Date self assessment completed	28/04/2021
1.3*	Name of partnership	West Midlands Rail partnership
1.4	Directorate	Economy and Place
1.5*	Type of partnership: What best describes the status of the partnership? If other please provide details	non-statutory partnership If other please describe:
1.6*	Web address for further reference	https://www.wmre.org.uk/
1.7*	Email address for further information	Malcolm.Holmes@wmre.org.uk (Malcolm Holmes, Chief Executive of WMRE)
2. Purpose and accountability		
2.1	Are there terms of reference?	yes
2.2	Were the terms of reference updated in 2020/21?	yes
2.3	Is the vision, aims and objectives clearly set out in the terms of reference or elsewhere? If elsewhere where?	yes Add free text
2.4	Is there a partnership agreement in place providing legal documentation?	yes
2.5	Which predominant council priority does the partnership meet?	Economy
2.6	Please list all other organisations involved in the partnership	Except with the prior approval of the Members by special resolution only the following shall be entitled to be admitted as members of the Company: (a) the ITA (as an LTA Member); (b) Herefordshire Council (as an LTA Member); (c) Northamptonshire County Council (as an LTA Member); (d) Shropshire Council (as an LTA Member); (e) Staffordshire County Council (as an LTA Member); (f) Borough of Telford & Wrekin (as an LTA Member); (g) Warwickshire County Council (as an LTA Member); (h) Worcestershire County Council (as an LTA Member); (i) Birmingham City Council (as an Associate Member); (j) Coventry City Council (as an Associate Member); (k) Dudley Metropolitan Borough Council (as an Associate Member);

		(l) Sandwell Metropolitan Borough Council (as an Associate Member); (m) Solihull Metropolitan Borough Council (as an Associate Member); (n) Walsall Metropolitan Borough Council (as an Associate Member); and (o) Wolverhampton City Council (as an Associate Member).
2.7	Which council members and officers are on the partnership?	Cllr David Hitchiner – Leader of the Council Cllr John Harrington – Cabinet Member Infrastructure & Transport Steve Burgess – Head of Transport & Access Services Victoria Hammond – Senior Transport Planning Officer
2.8	Is it documented what authority the partnership has to take decisions and the scope of that authority?	yes
2.9	Are the roles and responsibilities of members clear and documented?	yes
2.10	Where relevant, who is the accountable body?	West Midlands Rail Ltd (trading as West Midlands Rail Executive)
2.11	Where does the partnership report to, and how frequently?	The officers from each local authority on a monthly basis, and to the board of directors on a quarterly basis.
2.12	Any affiliated or subsidiary groups or partnerships? If yes please specify.	yes Cheshire East and Stoke-on-Trent Councils are affiliate (non-voting) members
Notes on purpose and accountability including areas of risk:		
3. Decision Making		
3.1	Is there a clear and documented process for decision making?	yes
3.2	Are the decisions of the partnership recorded?	yes
3.3	Are decisions of the partnership publicised?	yes
3.4	Are members financially and reputational accountable to the decisions made?	no
Notes on Decision Making including areas of risk:		
4. Finance		
4.1	How is the partnership funded?	Each local authority member contributes approximately £14.2k per annum to the WMRE partnership. This represents 1.6% of the total partnership income
4.2	What was the total value of council funding / investment for the financial year?	2020/21: £14,200
4.3	What is the nature of the council funding?	revenue

	If other please outline.	Free text
4.4	Does the partnership have documented financial procedures?	yes
4.5	Does the partnership produce an annual statement of accounts?	yes
Notes on Finance including areas of risk:		
5. Conduct and behaviour		
5.1	Does the partnership have any employees?	yes
5.2	If so are there effective employment policies and practices in place?	yes
5.3	Does the partnership have policies and procedures in place to deal with:	
	Standards of conduct	yes
	Complaints	yes
	Whistleblowing	yes
	Declarations of interest	yes
	Gifts and hospitality	yes
Notes on Conduct and Behaviour including areas of risk:		
6. Liability		
6.1	Are clearly documented rules / exit strategies in place if one partner leaves or is partnership terminated?	yes
6.2	Is there limit of indemnity on the partnership liability insurance (if relevant)?	yes
6.3	Is there a risk of liability on the council for the e.g. accountable body, decision makers, financial liability solely or jointly?	no
Notes on Liability including areas of risk: Directors of WMRE would be accountable for decisions made		
7. Performance, evaluation and value		
7.1	Is performance reported to the partnership on a regular basis?	yes
7.2	Does the partnership produce an annual report covering performance?	yes
7.3	Has the partnership defined outcomes that are measured?	yes
7.4	In the past year has there been any inspections, audits or reviews?	no

7.5	Is there a review of value for money e.g. the resources used create the outputs required?	yes
7.6	Does the partnership have a process for risk management?	yes
7.7	How often is the risk register reviewed?	each quarter
7.8	Key changes and risks within the partnership in 2020/21 months	Decline in rail patronage caused by COVID-19; new chair and vice chair appointed
7.9	Outcomes of note in 2020/21 months	Continuation of rail services during pandemic, Restoring Your Railway bid submission and support, funding package for Rail programme
7.10	Key plans for 2021/22	Enact governance evolution changes, influence specification of Direct Award for West Midlands Trains, commence delivery of Rail Programme, Update Rail Investment Strategy, renegotiate Collaboration Agreement with Department for Transport.
Notes on Performance, Evaluation and Value including areas of risk:		

8. Overview assessment completed by Director

Once the self-assessment is completed please use the points below to document the considered risk level.

Directorate or division in Corporate Centre		Economy and Place
As director or assistant director of the Corporate Centre I have reviewed the content of the self-assessment the following risk level.		06/05/2021
Risk level		Any comment
Purpose and accountability	low	
Decision making	low	
Finance	low	
Conduct and behaviour	low	
Liability	low	
Performance, evaluation and review	low	
Overall assessment	low	

For office use

Date of return	07/05/2021
Status assessment	fully complete
Version	2020-21 v1

Significant partnerships 2020/21

Wye Valley Area of Outstanding Natural Beauty

1. Project outline		
1.1	Name and job title of the link officer within Herefordshire Council (completing this form)	Liz Duberley Service Manager for Built and Natural Environment James Bisset – Ecology & Arboriculture Officer, Natural Environment Team
1.2	Date self assessment completed	11/05/2021
1.3*	Name of partnership	Wye Valley Area of Outstanding Natural Beauty
1.4	Directorate	Economy and Place
1.5*	Type of partnership: What best describes the status of the partnership? If other please provide details	Statutory partnership (required by law) If other please describe:
1.6*	Web address for further reference	https://www.wyevalleyaonb.org.uk/
1.7*	Email address for further information	office@wyevalleyaonb.org.uk
2. Purpose and accountability		
2.1	Are there terms of reference?	yes
2.2	Were the terms of reference updated in 2020/21?	yes
2.3	Is the vision, aims and objectives clearly set out in the terms of reference or elsewhere? If elsewhere where?	yes AONB Management Plan (2015-2020) Memorandum of Understanding (2021-2024) CRoW Act 2000 Section 84(4) and 'Agreement as to the establishment and functions of the Wye Valley Area of Outstanding Natural Beauty Joint Advisory Committee' dated 10th November 2000 and the Variation Agreement dated 14th January 2009
2.4	Is there a partnership agreement in place providing legal documentation?	yes
2.5	Which predominant council priority does the partnership meet?	Environment
2.6	Please list all other organisations involved in the partnership	Joint Advisory Committee (JAC) <i>Local Authority Elected Members With Voting Powers:</i> Gloucestershire x2 Herefordshire x4 Monmouthshire x4 Forest of Dean District Cllr Gethyn Davies

		<p>Forest of Dean District Cllr Bruce Hogan</p> <p><i>Town/Parish/Community Councils with Voting Powers:</i> Gloucestershire Association of Town & Parish Councils x1 Herefordshire Association Local Councils x1 One Voice Wales x1</p> <p><i>Co-opted Members with Voting Powers:</i> voluntary conservation sector in Gloucestershire x1 voluntary conservation sector in Herefordshire x1 voluntary conservation sector in Monmouthshire x1 Country Land & Business Association x1 National Farmers Union x1</p> <p><i>Co-opted Members without Voting Powers:</i> Wye Valley Society River Wye Preservation Recreation Sector + Public Rights of Way: Local Tourism sector local Wildlife Trusts National Farmers Union Wales</p> <p>Steering Group (Local Authority Officers) Herefordshire Council Monmouthshire CC Forest of Dean DC Gloucestershire CC</p> <p>Representation from DEFRA and NRW</p>
2.7	Which council members and officers are on the partnership?	<p>JAC: Barry Durkin Paul Symonds Yolande Watson John Hardwick</p> <p>Steering Group: James Bisset or Elizabeth Duberley</p>
2.8	Is it documented what authority the partnership has to take decisions and the scope of that authority?	yes
2.9	Are the roles and responsibilities of members clear and documented?	yes
2.10	Where relevant, who is the accountable body?	Not applicable
2.11	Where does the partnership report to, and how frequently?	<p>JAC x3 meetings a year + 1 full annual report to JAC. Annual 'return' and funding claim to DEFRA and NRW. Annual 'update' published publically on website. Steering Group 3x normal meetings + other decisions and information disseminated as needed.</p>

2.12	Any affiliated or subsidiary groups or partnerships? If yes please specify.	yes Technical Officer Working Party – wider group of officers and staff from ‘key’ organisations or others relevant to current needs/topics to update AONB Unit on current activities, projects and similar. Supports Steering Group in preparing items for JAC.
Notes on purpose and accountability including areas of risk: AONB Partnership and Staff Unit discharge core legal obligations of Local Authority partners in respect of statutory designation – Area of Outstanding Natural Beauty.		
3. Decision Making		
3.1	Is there a clear and documented process for decision making?	yes
3.2	Are the decisions of the partnership recorded?	yes
3.3	Are decisions of the partnership publicised?	yes
3.4	Are members financially and reputational accountable to the decisions made?	no
Notes on Decision Making including areas of risk:		
4. Finance		
4.1	How is the partnership funded?	Approx 75% DEFRA-NRW. 23% partner local authorities. 2% other external grants and projects.
4.2	What was the total value of council funding / investment for the financial year?	2020/21: £23,860 (+ officer and backroom support resource)
4.3	What is the nature of the council funding? If other please outline.	grant
4.4	Does the partnership have documented financial procedures?	yes
4.5	Does the partnership produce an annual statement of accounts?	yes
Notes on Finance including areas of risk: Statement of accounts is part of final funding request to DEFRA/NRW HC acts as ‘host’ financial authority on behalf of partnership (other local authorities provide other required backroom services)		
5. Conduct and behaviour		
5.1	Does the partnership have any employees?	yes
5.2	If so are there effective employment policies and practices in place?	yes

5.3	Does the partnership have policies and procedures in place to deal with:	
	Standards of conduct	yes
	Complaints	yes
	Whistleblowing	yes
	Declarations of interest	yes
	Gifts and hospitality	yes
Notes on Conduct and Behaviour including areas of risk: AONB Staff Unit officers are employed by relevant local authority partners and are compliant with each employing authority's policies and requirements.		
6. Liability		
6.1	Are clearly documented rules / exit strategies in place if one partner leaves or is partnership terminated?	yes
6.2	Is there limit of indemnity on the partnership liability insurance (if relevant)?	n/a
6.3	Is there a risk of liability on the council for the e.g. accountable body, decision makers, financial liability solely or jointly?	yes
Notes on Liability including areas of risk: Agreed MoU provides clarity in respect of partner local authority liability that may occur in additional to normal 'employer' liability as relevant to employees as recorded in section 5 above.		
7. Performance, evaluation and value		
7.1	Is performance reported to the partnership on a regular basis?	yes
7.2	Does the partnership produce an annual report covering performance?	yes
7.3	Has the partnership defined outcomes that are measured?	yes
7.4	In the past year has there been any inspections, audits or reviews?	n/a
7.5	Is there a review of value for money e.g. the resources used create the outputs required?	yes
7.6	Does the partnership have a process for risk management?	yes
7.7	How often is the risk register reviewed?	at each meeting

7.8	Key changes and risks within the partnership in 2020/21 months	Updated MoU approved by all partner local authorities
7.9	Outcomes of note in 2020/21 months	Updated MoU approved by all partner local authorities. Draft Management Plan produced ready for adoption by local authority partners in 2021-22. Continued operations and projects as best possible through Covid restrictions. Discharged the council's core statutory function in respect of WV AONB.
7.10	Key plans for 2021/22	Adoption of new statutory AONB Management Plan (2021-2026). Continuing existing project work. Reacting to changing national picture and priorities. Continuing to discharge local authority's core statutory function in respect of AONBs.
Notes on Performance, Evaluation and Value including areas of risk:		

8. Overview assessment completed by Director

Once the self-assessment is completed please use the points below to document the considered risk level.

Directorate or division in Corporate Centre		Economy and Place
As director or assistant director of the Corporate Centre I have reviewed the content of the self-assessment the following risk level.		11/05/2021
Risk level		Any comment
Purpose and accountability	low	
Decision making	low	
Finance	low	
Conduct and behaviour	low	
Liability	low	
Performance, evaluation and review	low	
Overall assessment	low	

For office use

Date of return	11/05/2021
Status assessment	fully complete
Version	2020-21 v1



Title of report: Work programme update

Meeting: Audit and governance committee

Meeting date: Monday 27 September 2021

Report by: Democratic services manager

Classification

Open

Decision type

This is not an executive decision.

Wards affected

Countywide

Purpose

To provide an update on the committee's work programme.

Recommendation(s)

THAT:

Subject to any updates made by the committee, the work programme for the audit and governance committee be agreed.

Alternative options

- 1 There are no alternative options as regards whether or not to have a work programme as the committee will require such a programme in order to set out its objectives for the coming year.

Reasons for recommendations

- 2 The work programme is recommended as the committee is required to define and make known its work for the coming year. This will ensure that matters pertaining to audit and governance are tracked and progressed in order to provide sound governance for the council.
- 3 The committee is asked to consider any further adjustments.

Further information on the subject of this report is available from
John Coleman, democratic services manager on tel 01432 260382

Key considerations

- 4 The routine business of the committee has been reflected as far as is known, including the regular reporting from both internal and external auditors.

Community impact

- 5 A clear and transparent work programme provides a visible demonstration of how the committee is fulfilling its role as set out in the council's constitution.

Environmental impact

- 6 Whilst this is an update on the work programme and will have minimal environmental impacts, consideration has been made to minimise waste and resource use in line with the council's Environmental Policy.

Equality duty

- 7 This report does not impact on this area.

Resource implications

- 8 There are no financial implications.

Legal implications

- 9 The work programme reflects any statutory or constitutional requirements.

Risk management

- 10 The programme can be adjusted in year to respond as necessary to risks as they are identified; the committee also provides assurances that risk management processes are robust and effective.

Consultees

- 11 The chief finance officer, monitoring officer, chairperson and vice-chairperson have contributed to the work programme.

Appendices

Appendix 1 – work programme for audit and governance committee

Background papers

None identified.

Audit and Governance Committee Constitution		Report	May	June	July	September	October	November	January	March
3.5.9	The purpose of an audit committee is to provide independent assurance on the adequacy of the risk management framework together with the internal control of the financial reporting and annual governance processes.									
3.5.10	Internal Audit	Internal Audit								
a	To consider the Head of Internal Audit's annual report and opinion, and a summary of internal Audit activity (actual and proposed) and the level of assurance it can give over the Council's corporate governance arrangements.	Internal Audit Plan & Internal Audit Charter Progress Report on internal audit plan (see part b for timing) Internal Audit Annual Opinion			Opinion					Audit Charter
b	To consider summaries of specific Internal Audit reports and the main issues arising and seek assurance that action has been taken where necessary.	Progress Report on internal audit plan		Progress report			Progress report		Progress report	Progress report
c	To consider reports dealing with the management and performance of the providers of Internal Audit Services.									
d	To consider a report from Internal Audit on agreed recommendations not implemented within a reasonable timescale.	Tracking of internal and external audit recommendations	Tracking Report				Tracking Report			
e	To be able to call senior officers and appropriate members to account for relevant issues within the remit of the Committee.	No specific activity required as part of normal questioning activity								
f	The Committee will not receive detailed information on investigations relating to individuals. The general governance principles and control issues may be discussed, in confidential session if applicable, at an appropriate time, to protect the identity of individuals and so as not to prejudice any action being taken by the Council.	Progress Report on internal audit plan (see part b for timing)								
3.5.11	External Audit	External Audit								
a	Review and agree the External Auditors annual plan, including the annual audit Fee and annual letter and receive regular update reports on progress.	Annual Audit fee letter External Audit progress update (see part b for timing) Tracking of internal and external audit recommendations (see part 3.5.10d for timing) Annual Audit Letter External Audit Annual Plan	Audit Fee						Annual Letter Annual Plan	
b	To consider specific reports from the External Auditor.	External Audit progress update	Progress Report				Progress Report			Progress Report
c	To meet privately with the External Auditor once a year if required.	Not required to be scheduled on work programme								
d	To comment on the scope and depth of external audit work and to ensure it gives value for money.	No specific activity required as part of normal questioning activity								
e	To recommend appointment of the council's local (external) auditor.	Not required to be scheduled on 20/21 work programme								
f	Ensure that there are effective relationships between external and internal audit that the value of the combined internal and external audit process is maximised.	No specific activity required as part of normal questioning activity. External Audit can place limited reliance on Internal Audit Work.								
3.5.12	Governance									
a	To maintain an overview of the council's Constitution, conduct a biennial review and recommend any changes to council other than changes to the contract procedure rules, finance procedure rules which have been delegated to the committee for adoption.	Accounting Policy Update Contract & Finance Procedure Rules			Accounting Policy Update (if required)				Contract and Financial Procedure Rules	
b	To monitor the effective development and operation of risk management and corporate governance in the council.	Work programme Corporate Risk Register	Risk Register Work programme	Work programme	Work programme	Risk Register Work programme	Work programme	Work programme Risk Register	Work programme	Risk register Work programme
c	To maintain an overview and agree changes to the council policies on whistleblowing and the 'Anti-fraud and corruption strategy'.	Whistleblowing policy Anti-fraud & corruption strategy		Anti-fraud update as part of internal audit progress report			Whistleblowing		Annual update on anti-fraud and corruption strategy	Anti-fraud update as part of internal audit progress report
d	To oversee the production of the authority's Statement on Internal Control and to recommend its adoption.	Statement of Accounts								
e	To annually conduct a review of the effectiveness of the council's governance process and system of internal control which will inform the Annual Governance statement.	Annual Governance Statement	Draft		Final					
f	The council's arrangements for corporate governance and agreeing necessary actions to ensure compliance.	Annual Governance Statement Progress Report							Progress Update	
g	To annually review the council's information governance requirements.	Information Governance Review								
h	To agree the annual governance statement (which includes an annual review of the effectiveness of partnership arrangements together with monitoring officer, s151 officer, caldicott guardian and equality and compliance manager reviews).	Annual Governance Statement Annual Governance Statement Progress Report								Progress Report

Audit and Governance Committee Constitution		Report	May	June	July	September	October	November	January	March
i	To adopt an audit and governance code.									
j	To undertake community governance reviews and to make recommendations to Council.	On an ad hoc basis only								
3.5.13	Waste Contract									
a	To review, in conjunction with external advisers advising the council as lender, the risks being borne as a result of the funding provided by the council to Mercia Waste Management Ltd and consider whether the risks being borne by the council, as lender, are reasonable and appropriate having regard to the risks typically assumed by long term senior funders to waste projects in the United Kingdom and best banking practice.	Energy from Waste Loan Update								
b	To monitor the administration of the loan to the waste project in line with best banking practice having regard to any such external advice, including the terms of any waivers or amendments which may be required or are desirable.	Energy from Waste Loan Update								
c	Consider what steps should be taken to protect the interests of the council as lender in the event of a default or breach of covenant by Mercia Waste Management Ltd, and make recommendations as appropriate to Council, the council's statutory officers or cabinet as appropriate to ensure the appropriate enforcement of security and litigation in relation to the loan to Mercia Waste Management Ltd	Energy from Waste Loan Update								
d	Consider and recommend appropriate courses of action to protect the position of the council as lender to the waste project: (i) make recommendation as appropriate to Council with regards to its budget and policy framework and the loan to the waste project (ii) generally to take such other steps in relation to the loan within the scope of these terms of reference as the committee considers to be appropriate.	Energy from Waste Loan Update								
3.5.14	Code of Conduct: To promote and maintain high standards of conduct by members and co-opted members of the Council									
17 a	To support Town and Parish Councils within the county to promote and maintain high standards of conduct by members and co-opted members of the Council.	Annual Code of Conduct Report								
b	To recommend to Council the adoption of a code dealing with the conduct that is expected of members and co-opted members of the Council.	Part of Re-thinking Governance Review to be scheduled in next year's work programme.								
c	To keep the code of conduct under review and recommend changes/replacement to Council as appropriate.	Part of Re-thinking Governance Review to be scheduled in next year's work programme.								
d	To publicise the adoption, revision or replacement of the Council's Code of Conduct.	Part of Re-thinking Governance Review to be scheduled in next year's work programme.								
e	To oversee the process for the recruitment of the Independent Persons and make recommendations to Council for their appointment.	Recruitment done on an as required basis and not currently scheduled.								
f	To annually review overall figures and trends from code of conduct complaints which will include number of upheld complaints by reference to individual councillors within unitary, town and parish councils and when a code of conduct complaint has been upheld by the Monitoring Officer or by the Standards Panel, after the option of any appeal has been concluded, promptly to publish the name of the councillor, the council, the nature of the breach and any recommendation or sanction applied.	Annual Code of Conduct Report								
g	To grant dispensations under Section 33 (2)(b)(d) and (c) Localism Act 2011 or any subsequent amendment.	On an ad hoc basis only								
h	To hear appeals in relation to dispensations granted under section 33 (2)(a) and (c) Localism Act 2011 by the monitoring officer.	On an ad hoc basis only								
3.5.15	Accounts									
	To review and approve the Statement of Accounts, external auditor's opinion and reports on them and monitor management action in response to the issues raised by external audit.	Statement of Accounts External Auditor Report				Statement & Report				