

Risk Description	Opened	Risk Rating before Controls	Existing Controls in Place	Risk Rating after Controls	Direction of Travel	Risk Owner
Emergency events IF/AS: 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 deployment to backfill and maintain critical services. Failing to respond effectively to major emergencies/incidents could result 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.	Apr-11	16	Council and multi-agency plans reviewed as part of wider WM Local Resilience Forum objectives. Resilience Direct (cabinet officer system) to progress information sharing, planning and response mechanisms and data. Council Business Continuity Management System in place. Rest Centre training and provision for 200 people at Three Elms Unit. Gold and Silver officer training sessions and programme under development linked to LRF Task and Finish group. Comms: BBLP tested new emergency road closure software, which will update the website automatically within the road closure map. We expect this will now work to report of both planned and emergency road closures and team workflows have been implemented.	12	▶	Corporate Customer Information and Equality Manager
Information governance IF: Staff do not treat the information they access appropriately THEN: this may lead to the risk of referral to the Information Commissioner and/or legal challenge with resultant unbudgeted costs and reputational damage for the Council.	Feb-14	16	A series of mandatory online training modules have been introduced (including Data Protection, Environmental Information Regulations, Freedom of Information, Information Security). All employees must also complete a staff confidentiality agreement in order to acknowledge that they agree to abide by the council's information governance policies. The new mandatory training modules have been produced and will be ready for staff to complete from 1st February 2018. 89 audits have been completed in preparation.	4	▶	Assistant Director, Communities
Litigation: With ongoing contract changes and budget savings being applied the level of exposure to litigation/dispute has increased along with the likelihood of financial and reputational risk. IF significant claims are made and won against the Council THEN the Council may lose and be liable for costs in excess of £M (affecting budget position) and incurring reputational harm.	Sep 13	16	Effective legal case management is in place to increase the council's likelihood of defending claims. Additionally, the s151 officer is made aware of pending financial claims against the council at the earliest opportunity. Current litigation and mediation in response to legal claims is ongoing and managed through Project Boards. Oct 17: Expert determination of the matter of job evaluation is underway. Amey have settled costs in regard to the matter of VOP. Jan 17: Adjudication to determine matter of surface dressing (quality of works) is underway.	8	▶	Director, ECC Assistant Director, Communities
Economic Resilience IF: The Herefordshire economic position does not improve THEN: the county will continue to underperform economically and suffer from low wage levels, low educational attainment, low number of skilled jobs, and a general low market attractiveness.	Jun-15	16	Implementation of the Economic Development Strategy. Economic Masterplan developed. Delivery of the Fastershire project. Delivering and promoting the Local Development Framework. Implementing the delivery of the Enterprise Zone. Securing external funding. Delivery of European Union funded business support schemes; the creation of the Hereford University; construction of Hereford Western Relief Road; construction of the Shell Store Incubation Centre. Support delivery of the Economic Masterplan via Invest Herefordshire Partnership Board. Planning permission for Model Farm secured	12	▶	Programme Director Housing and Growth
Workplace/Accommodation Programme IF: the Programme is not managed to time and budget THEN: there will be significant risks to service delivery and savings plans	Mar-16	12	Accommodation Board. Board and new process of using board to best effect require development. Jan 18: Next phase of the Accommodation strategy is behind schedule. Plan to take to Corporate Property Strategy Board during March. Now due to go to Cabinet in April 2018. Mar 18: A further review of the strategy has been requested, this has delayed the plan.	9	▶	Strategic Property Services Manager
Health & Safety IF: Herefordshire Council doesn't comply with Health and Safety legislation THEN there is an increased risk of: employees injured through work activity; council prosecuted by HSE for breaches of legislation; increased insurance claims and insurance premiums; member of public, contractor or employee killed at work, possible corporate manslaughter, loss of reputation and financial costs to the council; sickness rates increase because of lack of compliance with good health, safety and wellbeing practice; increased employer/employee litigation through inconsistent approach to managing health and safety in the workplace; unable to defend H&S claims or disputes; and, fire damage and financial and reputational costs to the council through fire at a council owned building.	May-11	16	Strategy – Strategy/project plan in place to achieve full compliance with H&S legislation, prioritised by high risk activities; H&S policy current and reviewed each year. Cultural – Sharepoint H&S tool box available via front page of intranet; H&S and Fire Safety part of existing mandatory training; some improvement has been made in last period with wider engagement from employees with H&S systems (when things have gone wrong); employees consulted about H&S issues through 'house' meetings. Systems – Accident reporting/investigation and work based ill health in place; mandatory training; first aid/fire warden training in place; some systems updated (focused on high risk areas); employers liability insurance; Directorate H&S reps kept up to date with current risks and good practice control measures; Spot audits of schools new target complete 10 schools completed. New Property Services buildings statutory compliance system in place by end Oct 2017; difficult to set a timescale for schools statutory compliance as no resource has been allocated to this; statutory compliance with corporate buildings and some contracts still an issue.	12	▶	Health and Safety Advisor
ICT Platforms IF: The technology ICT systems/platforms are not appropriate or used to their full effect THEN: We fail to transform our services and cost the organisation more money	Apr-14	16	Programme Boards for major systems improvements, FWI, Adult Care. Measures are in place to ensure that access to systems/technology is in place and will be progressed through a number of initiatives.	6	▶	Assistant Director, Communities
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.	Mar-17	12	Decision reports are subject to a quality assurance process which includes review by risk, legal, finance, governance and the lead director. A programme of training and development has been developed to support implementation of the new constitution. This will include report writing and decision making as appropriate. Internal Audit report commissioned to review quality of information in reports; report received and being actioned.	2	▶	Solicitor to the Council

Risk Description	Opened	Risk Rating before Controls	Existing Controls in Place	Risk Rating after Controls	Direction of Travel	Risk Owner
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	Jul-17	15	Information Security' eLearning training (upon user induction)'Information Security Refresher' eLearning training (conducted annually)Spoo phishing campaign conducted to raise user awareness.Hoople T&T apply technical measures to detect users clicking on malicious links and/or attachments.We have run some software against all system passwords to check how secure these are. 18% did not meet the standards.Mar 18: Comms have been issued to staff in News Core and we are investigating whether we can make the 'password strength check' available to staff via our intranet.	12	►	Assistant Director, Communities
Failure of council employees to adhere to standing orders and policy: IF/AS: officers fail to adhere to standing orders (eg contract and finance procedure rules) and policies THEN: the number of internal disciplinary and/or exposure to legal challenge will increase, along with the likelihood of financial and reputational risk, resulting in claims being made and won against the Council with costs and reputational harm incurred.	Jun-17	16	Contract and finance procedure rules have been rewritten and published in May 2017. Toolkits, guidance and training have been implemented. Schemes of delegation have been written as part of the new constitution. Governance training has been provided.Internal Control Improvement Board to oversee development and implementation of an improvement plan to ensure effective internal controls in respect of capital spend, project management and contract management are in place and complied with across the council.	12	►	Head of Law and Governance
Medium Term Financial Strategy Performance IF: the Council does not deliver its MTFS strategy, THEN: there is a risk that the organisation will not achieve a balanced budget and risk service failure	Aug-12	20	· MTFS to 19/20 approved by Council in Feb. All savings RAG rated and reviewed. Majority green for 17/18 * MTFS linked to Corporate Priorities * MTFS to 19/20 published.	8	►	Chief Finance Officer
Good internal controls protect against fraud and error IF/AS: good internal controls are not in place or followed THEN: funds could be spent inappropriately	Nov-17	16	Financial procedure rules; contract procedure rules; agression workflow; governance processes.Internal Control Improvement Board set up to review and suggest improvement to internal controls; member working group set up to oversee work of the Board. The outputs of the Board will feed into the review of the Annual Governance Statement.	8	►	Head of Corporate Finance
Lease termination IF: Landlords terminate leases of council's operational buildings e.g Nelson House, THEN: Closure of buildings will risk service delivery	Jan-18	9	Development of Accommodation Strategy will deliver benefits in terms of cash savings and facilitate a move to modern working practice (BWoW)	6	►	Strategic Property Services Manager
Disruptive incidents: IF/AS: Significant disruptive events happen (e.g. ICT failure, staff shortage, denial of accommodation or resources) THEN: the organisation could fail to deliver critical services. This would impact on our ability to safeguard the most vulnerable in our communities and respond to emergency events.	Dec-11	16	Business Continuity Management System in place to allow engagement and production of plans to ISO22301. Critical services identified and corporate framework and service level plans developed. Plans reviewed cognisant of disruptive incidents and continuing organisation changes. Hoople ICT Disaster Recovery Plan. Application recovery order in place.	9	►	Corporate Customer Information and Equality Manager
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.	Mar-17	20	Accepted BTs stage 2 delivery via deed of variation. New contract awarded to reach premises not included in phase one. Stage 4 programme to create bespoke solutions for premises not included in current contracted delivery. Digital inclusion and business support programme and awareness campaign to raise the opportunities of being online and taking up a fibre service.	9	►	Assistant Director, Communities
Prosecutions: IF: enforcement action is taken, coupled with the use of Injunctions to compel people to do specific acts; THEN: the likelihood of JR could increase, and we may not be able to recover the costs.	Dec-16	12	Reputational and health and safety: Many cases have a high public interest, some with a significant health and safety risk to residents (the works for which are absent and in breach of the planning conditions). The risk of a significant breach in health and safety will justify robust injunction action being taken against residents.	9	►	Head of Law and Governance
Human rights claims: IF: as a result of 2 successful human rights claims against Herefordshire Council, further claims are made THEN: Herefordshire council currently have approx. 8 cases involving Revocation of Placement Orders (children's wellbeing) for which we are at risk of further human rights claims; in all of these cases there have been significant delays in these Applications being made to the Court. This is where the breach of Human Rights claims are being made. Recent case involving s20 and S34(4) will increase this risk.	Oct-15	20	One of Herefordshire cases has concluded with no costs being made against us and no Human Rights claim. Others have incurred up to £5K each being awarded in costs. The revocation of placement order element of this risk has been greatly reduced, but replaced by potential legal challenge of the council's S20 and s34(4) processes. Continue to monitor legal updates. There may be more Human Rights claims made against the Local Authority following the outcome of these cases, including one recent s20 case which will be published. The results of cases involving adults has shown there is low risk, though cases involving children are to be resolved. Legal services reviewing all current s20 cases in light of two recent cases in which the council will be openly named and financial penalties yet to be determined by the Judge. Risk analysis ongoing of historic s34(4) used to establish risk of challenge. Will look at further cases so that corrective action can be taken.	16	►	Assistant Director, Communities
Bridge Condition IF a robust asset management approach is not taken, and an appropriate level of investment is not made available, THEN the condition of the County asset stock will deteriorate with potential failure of structures, resulting in network closures thus affecting communities and the economic viability of growth areas.	Nov-16	16	Clear asset strategy in place, regular inspections are programmed and a forward programme of planned maintenance are in place. The annual plan identifies those schemes that have been prioritised for small capital works to be delivered. Any structures at risk are also included in the overall Network Risk Matrix which is reviewed by BBLP and HC as part of an ongoing process. Client and BBLP meet on regular basis to assess the Network risk which will include structures. Any structures that have been identified as a high risk are monitored on a more frequent basis, (often monthly).	8	►	Head of Highways & Community Services
Hereford By-pass IF: We fail to determine the preferred route and secure funding for the bypass THEN: this will prevent securing planning and delivering scheme to programme. This could require review of Core Strategy	May-15	16	Cabinet approval in place to develop the scheme business case and route selection. Project team in place to undertake a robust appraisal process to enable preferred route to be selected. Ongoing submission of bids to secure funding contributions to the scheme and its development. Consultation on shortlist of possible routes progressed and reort being drafted.	12	►	Assistant Director, Environment & Place

Risk Description	Opened	Risk Rating before Controls	Existing Controls in Place	Risk Rating after Controls	Direction of Travel	Risk Owner
South Wye Transport Package IF: Scheme cost following detailed design exceeds budget THEN: it will significantly affect ability to deliver the project to programme	Oct-16	16	Continue to review cost forecasts and estimates as detailed design progresses. Prioritise elements for delivery and consider alternative funding opportunities as project moves towards construction.	12	▶	Assistant Director, Environment & Place
5 year Housing Land Supply IF: We do not actively address the current lack of five year land supply THEN: it will continue to be difficult to resist applications for planning permission for housing on sites not currently identified in the Local Plan which would undermine the plan led approach, lead to development of sites which are locally considered inappropriate and potentially affect the deliverability of identified strategic sites and associated infrastructure.	Mar-16	12	Adopted Core Strategy, annual refresh of Housing Land Assessment and monitoring of planning permissions and housing completions. Number of permissions granted rising significantly but Core Strategy Delivery Board overseeing corrective approaches.	9	▶	Assistant Director, Environment & Place Programme Director, Housing & Growth
Major Capital Projects (including Schools) IF: We don't deliver Major Capital Projects within budget or within timescale THEN: this will lead to increased costs and reputational damage and failure to deliver statutory services	Aug-12	16	Corporate Property Strategy Board and CWB Capital Programme Board comprising senior Directors.	12	▶	Strategic Property Services Manager
			<ul style="list-style-type: none"> - Monitoring of project plan through CSWG and major infrastructure boards, DMTs and CWB capital board - Monitoring of BWOW and information management projects through the IMT Board. - Project management through property services - Escalation of high risk items to Leadership Team for resolution. 			Corporate Finance Manager
Backlog maintenance IF: We don't invest sufficiently in backlog and planned maintenance THEN: potential closure of key critical front line facing public services.	Apr-13	12	Escalation of high risk items to ECC management team and to members for political consideration of priorities. Create high level risk management plan identifying critical repairs for Capital Strategy and Asset Management Group to consider.	9	▶	Strategic Property Services Manager
Development Regeneration Programme IF/AS: the council does not identify and include enough sites into the development and regeneration programme THEN: there is a risk that the programme will not deliver the regeneration and community benefits anticipated	May-17	12	The council is currently procuring a development partner with the expertise to support the council through the development process. The procurement will put in place a contract which will allow the council to control the development programme and will include commitments from the developer to deliver community and regeneration benefits. An overall draft programme will be developed which will provide estimated benefits from each proposed sites and from the programme as a whole. This will illustrate the likely benefits of delivering the programme and the opportunity costs associated with withdrawing sites or delaying delivery.	9	▶	Programme Director Housing and Growth
Building maintenance and FM reprocurments IF: We do not reprocure within the specific deadline THEN: critical support services will be lost in respect of managing the estate	Nov-17	20	Current contracts can run until September 2018. A report is to Cabinet has been aproved enabling contract extension to 31.8.18. The report in respect of the contract beyond 31.8.18 has been to Overview Scrutiny Committee and will be submitted for Cabinet approval as soon as possible.	9	▶	Strategic Property Services Manager
One Public Estate IF: We do not lead, participate and take action THEN: Significant opportunities to make savings will be lost from the corporate estate and derived benefits from the development of council and other public assets will not be realised and funding withdrawn	Nov-17	12	Both the strategic Board and One Herefordshire operating group has been established to prioritise and allocate resource to OPE projects.	6	▶	Strategic Property Services Manager
University loan IF/AS: The loan is an unsecured loan, if university is not in position to repay the loan THEN: There is a risk that the council will have to write off the £300k and any associated costs	May-17	9	Legal services have developed a loan agreement is in place between the council and NMITE.	6	▶	Programme Director Housing and Growth
NMITE IF/AS: Funding is not released appropriately for NMITE THEN: there will be reputational damage to the council	Dec-17	4	Memorandum of prepared.	2	▶	Head of Management Accounts
EU funding programmes IF: there is insufficient interest in take up of EU funding, in particular ESF and LEADER THEN: the full allocation of funding and related benefits for Herefordshire will not be achieved.	Dec-17	12	Officers are supporting potential applicants to ensure good quality bids are submitted. Additional staffing resources have been recruited for ESF Employment and Skills and Social Inclusion. Wide scale promotion of all EU funding streams and officer support to encourage maximum take up.	6	▶	Programme Director Housing and Growth
Changes in care home market IF: there are changes to the home care market which affect the disposal of specialist assets i.e. Hillside THEN: these assets will incur a liability and risk vandalism whilst awaiting disposal/alternative use	Feb-18	6	Undertaking a feasibility assessment to determine whether Hillside is capable of reusing as a care facility. Outcome awaited in March 18.	2	▶	Strategic Property Services Manager