

Corporate Services Risk Register

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	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	Operational Manager, Broadband
Yes	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	IT Supplier (Hoople Ltd) holders of ISO 27001:2013, and; Cyber Essentials Plus certificates – both in good standing. Implemented 'defence in depth' strategy covering: Administrative, Technical and Physical controls to maintain our security goals: Confidentiality, Integrity and Availability.	12	Assistant Director, Corporate Support A / R by Information Governance Manager

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Yes	<p>Information governance</p> <p>IF: staff do not treat the information they access appropriately</p> <p>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.</p>	Feb 14	16	<p>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. Ensuring that we our knowledge is up to date on relevant legislation.</p> <p>Report to Management Board on cases of data breach.</p> <p>The Council now have in place monitoring arrangements to identify who is doing the training and ensuring that the training is done annually which raises awareness and understanding of the risks across the organisation.</p> <p>Employees cannot have access to the IT systems unless they have signed the confidentiality agreement and we have identified areas of the business that are most at risk due to the information that they hold and have provided further face to face training for these areas.</p> <p>Feb 17: 10 audits have taken place to look at processes including physical security, confidentiality, and staff awareness. These will continue. Full report went to Management Board 28/02/17.</p> <p>General data protection regulations come into force in May 2018, an action plan is being developed.</p> <p>Jun 17: Action Plan in place and a report to management Board on 6 Jun 17. An audit will be undertaken with all services across the organisation.</p> <p>Oct 17 - audits are being carried out across the organisation with actions being recorded in an action plan. A review of mandatory training is being carried out for a new 2018 module.</p> <p>Nov 17 - The new mandatory training modules are ready to be entered into CPD online for 2018. Specialist GDPR</p>	4	<p>Assistant Director, Corporate Support</p> <p>A / R by Information Governance Managerr</p>

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Yes	IG Toolkit IF: we do not complete the new IG toolkit to the required standard THEN we will lose access to the NHS N3 connection and a number of data sets required by Adult Wellbeing.	06/02/2018	9	Standards for 2020 Toolkit released and an action plan prepared. Currently 83% of mandatory assertions completed. Outstanding work includes consolidation of Information Sharing Register; Software Register; Contract review for suppliers handling personal data; Business Continuity exercise for data security etc.	6	Information Governance Manager
Yes	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 in place.	6	Assistant Director Corporate Support / Hoople delivery
Yes	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 included report writing and decision making as appropriate.	9	Solicitor to the Council
Yes	Failure of council employees to adhere to standing orders and policy: IF: 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.	12	Solicitor to the Council

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Yes	Litigation IF: ongoing contract changes and budget savings increase the level of exposure to litigation/dispute THEN: the Council may lose and be liable for costs in excess of £M (effecting budget position) and incurring reputational harm.	Jun-13	16	In house and external legal teams in place dealing with adjudications and litigation. Formal mediation has been undertaken. Mediation window remains open. The Council has commenced enforcement action in regard to prior adjudicator's decision.	4	Solicitor to the Council
Yes	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 necessitate staff redeployment 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 completed. BBLP tested new emergency road closure software, which will update the website automatically within the road closure map.	12	Health Safety and Resilience Manager

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Yes	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 breeches 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. Property Services buildings statutory compliance system in place.	12	Health and Safety Advisor
Yes	Medium Term Financial Strategy IF: we do not have a sustainable Medium Term Financial Plan THEN: we will not achieve a balanced budget, risk serious service failure	Aug 12	20	MTFS to 19/20 approved by Council in February. All savings RAG rated and reviewed. MTFS linked to Corporate Priorities. Monthly financial reports to Management team and Cabinet; Performance Challenge meetings. Base budget review exercise completed. Prudent levels of reserves in place. Regular reviews by Cabinet of reserves and assumptions around inflation.	6	Chief Finance Officer

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Yes	Good internal controls protect against fraud and error IF: good internal controls aren't in place and followed to protect against the potential of fraud, corruption, financial management, malpractice or error THEN: this produces a heightened risk of fraud, corruption and/or poor value for money with the consequent negative reputational impact.	Nov-17	16	Follow-up on SWAP audit recommendations so that they are all dealt with fully so that systems, processes and compliance are improved. EE code of conduct - should be issued with contract of employment. Recruitment process which ensures appropriate background checks. Induction programme. Fraud, bribery and corruption policies. Whistleblowing Policy. Finance procedure rules. Contract procedure rules. Agresso workflow. Governance processes.	8	Head of corporate finance
Yes	Recruitment IF: the council is unable to recruit the level and scale of staff required to vacant posts 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.	Aug-18	16	Short term reductions in capacity are accommodated by prioritisation and reallocating work amongst staff. Analysis identifying posts which are hard to recruit to. Involvement in regional workforce development and agency market management. Recruitment and retention initiatives.	12	Head of HR and Organisational Development
Yes	EU exit IF: following the EU exit there is uncertainty or policy decisions that impact the council THEN: there may be an impact on the economic and social programmes of the Council and its partners, including: interest rates and exchange rates impacting on the affordability of the council's capital programme; and restriction on the free movement of people which could lead to skills gaps and adverse impact on the workforce.	Aug-18	16	Inclusion of an assessment of the risks associated with EU exit in our MTFs and Treasury Management Strategy, and our debt profile is monitored and managed to avoid exposure to interest rate fluctuations. The Capital Programme will include a risk assessment of the cost of borrowing, and it will be reviewed constantly to ensure its continued affordability.	12	Chief Finance Officer

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Yes	Partnerships IF: the partnerships that the council's involved in are not developed / fail to operate effectively / or fail entirely THEN: the strategic objectives / priorities may not be achieved.	Aug-18	12	Partnership governance protocol. Effective communications. Contractual and partnering agreements.	6	Head of Corporate Governance
Yes	Council Redesign/Resources Reducing resources in the form of grant, uncertainty and the requirement to deliver transformation at speed combine to increase risk of failure to meet statutory and/or legal duties and powers	Jun-15	25	Transformation programme within each directorate, corporate plan, refreshed governance and constitution, quarterly performance management reporting and director performance management through appraisal system.	12	Chief Executive