

Ref	Risk Description	Opened	Economy	Community	Environment	Risk score before controls (LxC)	Existing Controls in Place	Risk score after controls (LxC)	Risk Appetite	Further actions required	Risk Owner
CRR.03	<b>Budget and Savings Plans - Children &amp; Families</b> <b>IF/AS:</b> The demand for placements for looked after children and care leavers exceeds that planned for when the budget was set <b>THEN:</b> the spend will be greater than the budget within children and families <b>IF/AS:</b> The savings plans across the directorate are not delivered with support from council services <b>THEN:</b> Resources and the MTFs across the council may be at risk	Apr-17		*		<b>25</b> <b>(5x5)</b>	Budget is reviewed monthly DLT/SMT/Management Board and then informing Cabinet. Alternatives to care panel in place on a weekly basis to review cases that may be considered to be moving towards becoming looked after, chaired by the AD safeguarding and family support. Corporate contingency in place as part of 2019/2020 to cover any spend over planned budget. Business case for Edge of Care Service been developed with input from Staffordshire Council; cabinet agreed to use of earmarked reserves in 2019/20 to start the edge of care service. Cabinet gave agreement to use money 2019/20. Business case accepted and recruitment successful. ECHO Service staffed and launched May 2020, and at the end of Q2 embedded and making a difference to childrens lives.	<b>20</b> <b>(4x5)</b>	Further mitigation required	Project established looking at alternatives to far away residential provision and what local alternatives can be developed	Director Children & Families
CRR.04	<b>Human Rights claims</b> <b>IF:</b> a result of high court decisions regarding children's social care cases <b>THEN:</b> Herefordshire council may face Human Rights claims.	Dec-16		*		<b>20</b> <b>(5x4)</b>	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.	<b>20</b> <b>(5x4)</b>	Further mitigation required	Children's services and legal services 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.09	<b>EU exit</b> <b>IF:</b> following the EU exit there is uncertainty or policy decisions that impact the council <b>THEN:</b> 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		*		<b>16</b> <b>(4x4)</b>	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.	<b>16</b> <b>(4x4)</b>	Accept	It is recognised that the council's policy is to not accept red risks on the corporate risk register, however in this instance, there is little opportunity to influence the ongoing negotiations dealing with the EU exit and subsequent policy decisions. Due to the ongoing Pandemic there is a risk of that the normal scrutiny processes around the negotiations and policy changes are not followed.	Chief Finance Officer
CRR.31	<b>South Wye Transport Package</b> <b>IF:</b> scheme costs increase as a result of changes to programme <b>THEN:</b> they will exceed current approved budget and it will significantly affect ability to drawdown grant funding within funding window.	Jun-19		*		<b>16</b> <b>(4*4)</b>	Continue to review cost forecasts and estimates as programme is revised. Report forecasts each month at MIDB to support decision making. Following the LEP decision to withdraw funding, alternative sources of funding will be required if review concludes that scheme should progress, noting that costs will have increased as a result of the delay to the programme.	<b>20</b> <b>(5*4)</b>	Further Mitigation Required	Transport strategy development will consider resource implications of any decision taken regarding the SWTP.	Director Economy & Place
CRR.33	<b>South Wye Transport Package</b> <b>IF:</b> The Marches LEP require existing growth funding to be repaid based on any change in approach to the SWTP <b>THEN:</b> Funding will need to be allocated for repayment of the growth funding, impacting on other budgets.	Nov-19		*		<b>20</b> <b>(4*5)</b>	Ongoing discussions with Marches LEP regarding existing funding. DfT have confirmed to the LEP that they do not require the payback of funding. Submissions made for Marches LEP further funding for alternative projects; being a package of works associated with HEZ including two of the three preferred SWTP ATMs.	<b>20</b> <b>(4*5)</b>	Further Mitigation Required	Response has been provided to the LEP regarding spend to date and payback.	Director Economy & Place

CRR.39	<b>COVID 19</b> <b>AS:</b> the global COVID 19 pandemic reaches Herefordshire <b>Then:</b> 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.	Mar-20	*	*	*	25 (5x5)	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.	25 (5x5)	Further mitigation required	Continue to re-assess the required response and ascertain how the COVID response transfers into business as usual .	Chief Executive
CRR.45	<b>Covid 19 funding issues</b> <b>IF:</b> Government does not fully fund the financial implications of responding to the Covid 19 pandemic <b>THEN:</b> we will overspend our revenue budget, placing pressure on revenue reserves and ultimately the financial failure of the council	Jun 20	*	*	*	25 (5x5)	Government have issued £11m of grant to date for Covid 19 issues. Prudent levels of reserves in place. Regular engagement with MHCLG - delta returns, CCN and LGA.	16 (4x4)	Further mitigation required	Continue to engage MHCLG and Government Close monitoring of all Covid 19 expenditure and non Covid income and expenditure. Lobbying of Central Government. Further grant funding and income compensation is being pursued and claimed via Delta. The forecast financial impact does vary depending on tier restrictions and central government announcements and decisions.	Chief Finance Officer
CRR.46	<b>Parking Income</b> <b>AS</b> the government have announced that income loss from car parking is to only be covered by 75% if this is 5% of total planned income. <b>THEN,</b> subject to the further detail of this funding being confirmed, the council could have a loss of planned parking income between £400K (best case) and £1.5m (worse case)	Jul-19	*			20 (4*5)	Awaiting clarification from Finance Team.	20 (4*5)	Further mitigation required	Parking, finance and S151 officer to review detail of Govt. funding and make a claim for appropriate grant to cover loss of parking income.	Director Economy & Place
CRR.47	<b>Hereford Transport Package</b> <b>IF:</b> decision taken to pause or review this transport project <b>THEN:</b> there will be a cost implication and current funding opportunities could be lost	Jun-19	*			20 (5*4)	Identify sources of funding for project review. Agree a scope for review and plan to conclude review as quickly as possible to maintain progress and retain confidence of current funders sources and partners.	20 (5*4)	Further mitigation required	Transport strategy development will consider resource implications of any decision taken regarding the HTP.	Director Economy & Place
CRR.48	<b>Hereford City Centre Transport Package</b> <b>IF:</b> There is a significant change in scope of the transport hub and public realm project <b>THEN:</b> Programme will be impacted and costs could increase and exceed available budget.	Jun-19	*			16 (4*4)	Revised consultation strategy agreed with cabinet member to undertake a consultation presenting outline designs prepared to date. Review of budget of remaining elements of package underway to confirm scale of interventions that can be delivered within budget but maintaining commitments in business case.	16 (4*4)	Further mitigation required	Cabinet member decision to commence consultation has been rescheduled to enable further budget review. Programme will need to be adjusted once next steps are agreed.	Director Economy & Place
CRR.49	<b>Hereford City Centre Transport Package</b> <b>IF:</b> Statutory land payments associated with the CLR element of the HCCTP are not approved for payment until the budget and forecast review is completed <b>THEN:</b> There is a risk that the matter will be taken to the Upper Land Tribunal and additional costs would be incurred.	Oct-20	*			16 (4*4)	Land payments are being assessed utilising specialist agents to support property team to identify and assess outstanding statutory payments.	16 (4*4)	Further mitigation required	Required governance decision report drafted and being reviewed with monitoring officers.	Director Economy & Place
CRR.50	<b>School Assets</b> <b>IF/AS:</b> Insufficient condition oversight of school assets is not in place <b>THEN:</b> There may be an increase in costs due to unplanned significant spend	Apr-17	*			25 (5x5)	Education assets condition surveys have been completed and the school capital investment strategy has been reviewed; we are taking through the governance process the school capital grants strategy. Following COVID however the risk remains.	16 (4x4)	Further mitigation required	This risk is in relation to the condition of premises and the team are progressing as quickly as possible following lockdown due to COVID 19	AD Education Development and Skills

CRR.51	<b>Foster Carers</b> <b>IF/AS:</b> The council is unable to recruit and retain sufficient foster carers <b>THEN:</b> 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	20 (5x4)	Further mitigation required	A recent review of the sufficiency strategy and the annual fostering report indicates we have not been successful in meeting recruitment targets. Further work is now underway to establish a different approach to foster care recruitment and also to the use of residential placements. Changes have been made to the payment of existing council foster carers who will support children that move from residential placements. Work has been carried out to identify what change in foster payments might be considered by cabinet in relation to the wider market and Herefordshire's current payments. These will come to cabinet member in Oct/Nov 2020	AD Safeguarding and Family Support
CRR.52	<b>Court Cases</b> <b>IF/AS:</b> The high profile child care case before the courts is found against the council. <b>THEN:</b> This will lead to a reputational risk and a potential fine from the courts	Aug-20	*		20 (5x4)	An action plan has been developed to address the learning issues from this case and improvements in practice and performance	20 (5x4)	Further mitigation required	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.	Director Children & Families
CRR.53	<b>Market viability</b> <b>IF:</b> Provider services fail, <b>THEN:</b> we will need to manage the transfer of a number of service users in very short timescales, in an already difficult market, with limited capacity.	Sep-17	*		20 (4*5)	QAF in place to monitor provider activity. Provider failure policy and procedures in place. Senior Commissioning Officers close oversight of market conditions, current market capacity. Consideration of further block contracts. A rehearsed in practice operational response to urgent closures of provision. Reviewed policies and procedures by HC Emergency Team and these have been implemented within operational teams. Programme of work includes review of market position statement and the creation of an accommodation needs assessment. The local authority has opened its first care home at the Hillside Care Centre.	16 (4*4)	Further mitigation required	A capital investment of £14m has been made by Cabinet to develop the market further during 21/22. A programme of work to develop Hoople Health & Care is also being considered	Assistant Director Commissioning
CRR.54	<b>Nursing Capacity</b> <b>IF:</b> the current trends of difficulty in placing in nursing beds due to increased complexity and potentially the impact of Covid continue <b>THEN</b> there will be a further increase in the spend and reduction in capacity of beds available.	Mar-18	*		20 (4*5)	Continual engagement with providers, supporting planning applications, scoping alternative models of delivery. Additional engagement has taken place with providers during the Covid19 period and capacity in Nursing homes is manageable with close scrutiny. A widening of the Discharge to Assess service which will support increased reablement opportunity.	16 (4*4)	Further mitigation required	Longer term investment in community support with those who may require nursing support. Consideration to commissioning approach of nursing beds to ensure capacity is available, also robust challenge and audit on all placements made.	Head of Care Commissioning
CRR.55	<b>Access to Health funding (CHC and joint funding)</b> Herefordshire remains in the bottom quartile of cases fully funded meeting CHC eligibility. <b>IF</b> CCG continue to not accept that there are any process or decision making irregularities influencing this trend <b>THEN</b> 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.	Aug-19	*		25 (5*5)	Issue called to scrutiny and feedback where CCG and ASC were asked to account for the status quo. The peer review explored the CHC component within their last peer review on DTOC in February 2019. Ops initiated a joint review last year. Recruited a CHC lead who started 2019 and has reviewed internal processes and is taking forward an action plan in respect of processes, training of social care staff and improved joined working and practices with CHC team. Identified social workers who have a particular understanding for CHC or ad where the can be trained to a high standard so we have CHC champions in each team. Head of services co-chairing quality assurance panel with CCG and we are beginning to see a small shift towards new cases being found eligible for CHC or for joint funding. CCG has merged with Worcestershire CCG with new CCG arrangements. Covid has resulted in a significant amount of retrospective work to be undertaken. There remains no clear evidence that CCG is adjusting the way it conducts assessments or decision making. So therefore the risk remains. Strategic conversations are ongoing to improve the delivery of this service and achieve fair funding pathways.	25 (5*5)	Further mitigation required	We are currently scoping for a specialist company to support with our work with the CHC. We also have a team of social workers who have been individually selective to take on the majority of the CHC work. Additionally our CHC lead is making significant progress in developing processes, quality of practice and decision making which is beginning to see a difference making within outcomes for those requiring health funding.	Assistant Director Operations

CRR.56	<p><b>Discretionary Housing Payment</b> <u>If</u> the council continues to underspend Discretionary Housing Payment (DHP) by more than 30% annually, <b>then</b>; housing solutions for the most vulnerable people (homeless, care leavers etc.) will continue to be limited, pressure on council budgets will increase whilst government grant reduces <b>and</b> scrutiny will increase on the council's homelessness performance and use of resources.</p>	Nov-19		*		<p><b>16</b> (4*4)</p>	<p>The local DHP policy, updated in 2017/18 to make clear priority on certain vulnerable groups. Proposals from Strategic Housing for using DHP more creatively especially to support Care leavers.</p>	<p><b>16</b> (4*4)</p>	<p>Further mitigation required</p>	<p>Ongoing financial monitoring and exploration of additional spend possibilities to support the vulnerable cohort. Ongoing challenges linked to reduced activity and costs as a result of COVID-19.</p>	<p>Head of Community Commissioning and Resources</p>
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