

**Corporate Risk Register
as at 22nd September 2008**

Risk Reference Number	Council Objective	Risk Details			Risk Score	Existing Controls	Assessment of Residual Risk			Action Log			
		Identified Risk Area	Likelihood (probability)	Potential Consequences (severity)			Likelihood (probability)	Consequences (severity)	Residual Risk Score	Risk Owner	Action Description	Action Owner	Target / Review Date
CR4	Organisational improvement and greater efficiency	Failure to prepare adequately for CAA and raise our DoT score from improving adequately.	4	2	8	The key mitigation actions are: 1) sustaining our current rate of improvement in key performance indicators through the introduction of the NIS 2) action to fundamentally improve data quality 3) preparing adequately for audits / inspections in 2008 and avoiding negative reports 4) properly explaining the reduction in our overall score from February 2008 to staff, the public and partners; 5) a project managed programme of key preparatory projects through 2008/09 including joint planning and performance management across Herefordshire; and 6) New rolling self-evaluation for CAA; adequate provision of supporting evidence, including Price Waterhouse Cooper benchmarking material, to the Audit Commission lead for this year's Direction of Travel (DoT) assessment	3	2	6	ALL / Chief Executive	a) proactive management of all corporate audits e.g. performance indicators and data quality b) deliver robust improvement plans where audit results were poor in the past c) continue to improve PIs, especially satisfaction indicators and evidence other improvements for the DoT d) agreeing a standard approach prior to all future audits/inspections e) redirect Improvement Managers to the areas that need most improvement.	Deputy Chief Executive Relevant HoS / Director; Head of Policy & Performance Relevant HoS / Director; Head of Policy & Performance Head of Policy & Performance Head of Policy & Performance	Mar-08 Mar-08 Sep-08 Apr-08 Apr-08

Risk Reference Number	Council Objective	Risk Details			Risk Score	Existing Controls Controls in Place	Assessment of Residual Risk			Risk Owner	Action Log		
		Identified Risk Area	Likelihood (probability)	Potential Consequences (severity)			Likelihood (probability)	Consequences (severity)	Residual Risk Score		Action Description	Action Owner	Target / Review Date
CR5	Organisational improvement and greater efficiency	The inability to provide critical services due to the failure of the ICT networks	4	5	20	Substantial capital investment has been made in ICT network and disaster recovery arrangements. Extensive ICT specific service continuity plans have been developed and are exercised. Workshops held for all directorates and service continuity plans have been prepared and are due for testing during the year in business critical systems and services. Monthly checks made to ensure amendments are made to all plans. The Audit Commission's Use of Resources report 2008 notes that the Council lacks a consolidated business continuity plan. This is an issue that needs urgent attention to improve to at least minimum acceptable standards by 31/03/08.	3	5	15	Deputy Chief Executive	The service continuity plans developed by directorates are reviewed on an annual basis following service continuity week in September. The current plans are reviewed to create an authority wide response to any critical incident. Mapping of key ICT systems is complete. No corporate testing of plans, only at service level. In the process of identifying the critical services that would need to continue - and any spare capacity. ICT mock disaster recovery scenario held.	ALL / Deputy Chief Executive	Oct-08
CR11	Organisational improvement and greater efficiency	Failure to recruit and retain staff where there are national skills shortages and including the impact of Job Evaluation. Ensuring consistent treatment of Equal Pay Claims.	3	3	9	Succession planning as part of management development provision. Utilise SRDs / implement career development posts and conclude job evaluation. HR to support Directorates deliver to identified training needs, to work to Investor in People standard. Focused recruitment activity to support identified shortages e.g. Social Work (Children's) and more recently difficulties in recruiting to Asset Management & Property Services posts. Develop secondment opportunities internally and with partners. Implement Market Forces Supplement. Improving leadership and management through revised management development provision. Pride in Herefordshire approach to be implemented.	2	3	6	ALL / Head of Human Resources		ALL / Head of Human Resources	Jan-09

Risk Reference Number	Council Objective	Risk Details				Existing Controls	Assessment of Residual Risk				Action Log		
		Identified Risk Area	Likelihood (probability)	Potential Consequences (severity)	Risk Score	Controls in Place	Likelihood (probability)	Consequences (severity)	Residual Risk Score	Risk Owner	Action Description	Action Owner	Target / Review Date
CR17	Organisational improvement and greater efficiency	Reputation and organisational risk of failing to improve Use of Resources assessments to 4 by the end of the Corporate Plan period - 2011.	3	4	12	Use of Resources 2007/08 improvement plan has been implemented and reflects in a robust self assessment submitted in September 2008. A positive Annual Governance Report 2008 is a further reassurance of improvement over the last 12 months. The directorate is actively engaged in preparing for the Comprehensive Area Assessment including the new Use of Resources.	2	3	6	ALL	Joint Management Team to ensure that their directorate and service plan targets for Use of Resources are actioned as part of monthly performance management arrangements.	ALL	Jan-09
CR27	Organisational improvement and greater efficiency	CRB process not carried out to an appropriate and reliable level	4	4	16	Officers agreed areas of concern and an action plan to be drawn up to redress the issues as quickly as possible.	3	4	12	Head of Human Resources	An action plan has been developed that will address the identified areas of concern. Additional resources and finance have been approved by agreement with the Chief Executive and recruitment to additional posts, to meet the increased workload, has commenced. The CRB policy is being reviewed, with a draft and update on progress to be presented to JMT in October 08.	Head of Human Resources	Oct-08
CR28	Organisational improvement and greater efficiency	Deliverable benefits from Herefordshire Connects not realised	4	3	12	MTFS updated for 08/09 to include modernisation fund to allow for review of Herefordshire Connects programme to be integrated with accommodation strategy for future organisation arrangements between Herefordshire Council and the PCT.	3	3	9	Director of Resources	a) Benefits and Commercials Group in place and meeting regularly, benefits envisaged to be assessed at each meeting b) Programme Board receive regular exception reports c) Actual investment and savings monitored against the MTFS.	Head of Financial Services Programme Manager (Herefordshire Connects) Head of Financial Services	Dec-08 Dec-08 Dec-08

Risk Reference Number	Council Objective	Risk Details			Existing Controls	Assessment of Residual Risk			Action Log				
		Identified Risk Area	Likelihood (probability)	Potential Consequences (severity)	Risk Score	Controls in Place	Likelihood (probability)	Consequences (severity)	Residual Risk Score	Risk Owner	Action Description	Action Owner	Target / Review Date
CR29	Organisational improvement and greater efficiency	Both Data Centres are in leased accommodation, are near capacity, plus there are environment issues such as power and fire suppression that need to be addressed. Loss of data centres will affect delivery of all services.	4	5	20	Decisions required from accommodation strategy to establish where future data centres should be located. Project to be established to relocate data centres to these locations. Investment required, server virtualisation will reduce risk in part.	3	5	15	Deputy Chief Executive	Agreed that the data centre outside of the scope of the accommodation strategy. Alternative sites are being looked at (with potential of joint PCT/Council data centre). Server virtualisation project commenced.	Head of ICT	Oct-08
CR30	Organisational improvement and greater efficiency	Legacy systems out of support with vendors, and on old hardware. Compounded by CR28 Benefits from Connects e.g. Cedar	4	4	16	Establish which systems are deemed critical and make good the systems, Any expenditure may need to be deducted from Connects benefits.	4	4	16	Deputy Chief Executive	Complete contract register of IT systems within the Council being compiled. Including support / warrantee agreements. For many systems this information is in directorates. Cedar upgrade commenced to ensure support agreement in place.	Head of ICT	Dec-08
CR35	Organisational improvement and greater efficiency - data quality	Inadequate attention to data quality governance and leadership, policies, systems and processes, people and skills as well as poor data use and reporting, i.e. failure to adopt the voluntary national standards promoted by the audit commission	5	3	15	Include internal and external audits, directorate held proformas for each indicator, limited checks on source systems, limited staff training, limited data sharing protocols	3	3	9	ALL / Deputy Chief Executive	Across all five areas of the data quality standards but especially the current lack of a comprehensive set of operational procedures and guidance, inconsistent application of the above, lack of standards for shared data, contract clauses, inadequate communication with staff and a lack of systematic training	ALL / Head of Policy & Performance	Nov-08

Risk Reference Number	Council Objective	Risk Details			Existing Controls	Assessment of Residual Risk			Action Log				
		Identified Risk Area	Likelihood (probability)	Potential Consequences (severity)	Risk Score	Controls in Place	Likelihood (probability)	Consequences (severity)	Residual Risk Score	Risk Owner	Action Description	Action Owner	Target / Review Date
CR36	Organisational improvement & greater efficiency	Failure to deliver services and meet key objective of achieving performance targets due to lack of Data Base Administrator support and sufficient server capacity for housing benefit and local tax systems (risk BES1 from the Benefit & Exchequer Services risk register refers).	3	3	9	Remote support is provided by Academy and ICT are attempting to recruit additional Data Base Administrators. Working with the suppliers and ICT to identify options for resolving the server capacity issue.	3	3	9	Director of Resources	Recruitment process for additional Data Base Administrators failed. ICT are considering temporary resourcing. By March 2009, identify and implement the option that will offer the required system capacity with appropriate back-up.	Head of Benefit & Exchequer Services	Oct-08
CR37	Organisational improvement & greater efficiency	Failure to deliver services and meet key objective of achieving improvements needed in benefit services to meet the requirements of the new benefit inspection regime due to customer services performance (risk BES2 from the Benefit & Exchequer Services risk register refers).	4	4	16	An improvement plan has been developed with the Department for Work & Pensions for benefit and customer services. Input is being provided to the Customer Services Strategy Review.	3	4	12	Director of Resources	Benefit improvement plan agreed with effective dates now being implemented, with monitoring to ensure anticipated benefits are achieved. Ongoing evaluation of other Key Lines of Enquiry. Feed issues into the Customer Services Strategy Review. Encourage customers to use the self-service facility. Evaluate the options for reducing the number of calls. Update customer forms and information to make them easier to understand and seek customer feedback.	Head of Benefit & Exchequer Services	Oct-08

Risk Reference Number	Council Objective	Risk Details			Risk Score	Existing Controls	Assessment of Residual Risk			Action Log			
		Identified Risk Area	Likelihood (probability)	Potential Consequences (severity)		Controls in Place	Likelihood (probability)	Consequences (severity)	Residual Risk Score	Risk Owner	Action Description	Action Owner	Target / Review Date
CR38	Sustainable Communities	Failure of Integrated Waste Management PFI either through termination or because the contract fails to ensure there are adequate alternatives to land filling waste. Failure would mean that the Council would have termination costs to pay and the authority would be unable to meet its diversion targets exposing the Council to the risk of heavily inflated landfill costs - possibly between £100 and £200 per tonne. Failure of the contract would also lead to the loss of PFI credits at a level of £1.4 million per annum.	2	4	8	An ongoing commitment from Herefordshire and Worcestershire to retaining the existing contract is being developed. The councils are developing a revised Joint Municipal Waste Management Strategy, which is expected to deliver an adequate solution to diverting waste from landfill, so will enable the authorities to vary the PFI contract to minimise the risk of termination. Mercia Waste Management are negotiating a contract to secure capacity at an energy from waste plant to ensure the two authorities meet their diversion targets. The contracts are both "out of County" and are designed to deliver the minimum quantity of waste to meet our Landfill Allowance Trading Scheme target and to minimise the amount of waste being transported out of the counties. In addition, further work is being undertaken to secure appropriate diversion technology to secure the longer term viability of the contract. The two councils are planning to establish a senior project board to drive the	2	4	8	Director of Environment & Culture	Full engagement of the Council's representatives on the Project Board to enable it to achieve its objectives	Head of Culture & Leisure	Dec-08
CR39	Sustainable Communities	Environment and Culture Directorate spending pressures outweigh the resources available to meet them.	4	3	12	The forecast 2008-09 outturn for the Directorate is an overspend of £550,000, with a recurrent underlying overspend of £1m+. The Directorate has developed a cross-directorate approach to identify both short and longer-term opportunities for efficiencies and increases in income.	3	2	6	Director of Environment & Culture	Develop a revised budget management plan for the Directorate.	Director of Environment & Culture	Oct-08

Risk Reference Number	Council Objective	Risk Details			Risk Score	Existing Controls	Assessment of Residual Risk			Risk Owner	Action Log		
		Identified Risk Area	Likelihood (probability)	Potential Consequences (severity)		Controls in Place	Likelihood (probability)	Consequences (severity)	Residual Risk Score		Action Description	Action Owner	Target / Review Date
CR40	Sustainable Communities	A "normal" winter during 2008/9 would result in an overspend of £300,000 due to historic under allocation to cover costs of winter maintenance. A severe winter would result in even higher level of overspend.	4	3	12	The Council's Medium Term Financial Strategy highlights the requirement for all Directorate budgets to be managed within budget. Review of opportunities for improved efficiency and cost reductions in delivery of winter services to reduce any potential overspend. Risk of overspend to be highlighted corporately to seek assistance from earmarked reserves if weather conditions result in the need to overspend in this important area of service.	4	2	8	Director of Environment & Culture	Review of opportunities for improved efficiency and cost reductions in delivery of winter services to reduce any potential overspend. Risk of overspend to be highlighted corporately to seek assistance from corporate budgets if weather conditions result in the need to overspend in this important area of service. Further consideration will be given to the effects of climate change on services following the publication of the Local Climate Impact Profile.	Head of Highways	Jan-09
CR41	Sustainable Communities	Increasing frequency of summer flooding and adverse weather events. This is leading to increased and unpredictable pressure on highway maintenance budgets.	3	3	9	Emergency Plans in place to ensure service and partners effectively responds to events as they arise. Belwin funding process available to provide some funding to respond to severe events, although threshold funding must be met from the Council's own funds	3	2	6	Director of Environment & Culture	Further consideration will be given to the effects of climate change on services following the publication of the Local Climate Impact Profile.	Head of Highways	Mar-09
CR42	Economic Development and Enterprise	Economic downturn affects car parking income due to drop in number of visitors resulting in budget shortfall in 2008/09 of up to £280,000	4	3	12	Charges increased in June 2008 will help to minimise shortfall in income but economic downturn is still having a net effect. Costs will be managed as far as possible during current year.	4	2	8	Director of Environment & Culture	Further increases in charges and the possible introduction of on-street parking charges will be considered following the Strategic Consultation.	Head of Highways	Mar-09
CR43	Sustainable Communities	Regeneration Directorate spending pressures outweigh the resources available to meet them.	4	4	16	The Council's Medium Term Financial Strategy highlights the requirements for all Directorate budgets to be managed within budget. Work is continuing, to understand the potential clawback for the ARCH (Action for Regeneration Communities in Herefordshire) programme.	2	4	8	Director of Regeneration	A detailed recovery plan is being developed for Homeless Services.	Director of Regeneration	Oct-08
CR 44	Children and Young People	Directorate spending pressures outweigh the resources available to meet them.	4	4	16	The Council's Medium Term Financial Strategy highlights the requirements for all Directorate budgets to be managed within budget.	2	4	8	Director of Children's Services	A budget management plan to identify savings for Children and Young People is being taken forward.	Director of Children's Services	Oct-08

Risk Reference Number	Council Objective	Risk Details			Existing Controls		Assessment of Residual Risk			Action Log			
		Identified Risk Area	Likelihood (probability)	Potential Consequences (severity)	Risk Score	Controls in Place	Likelihood (probability)	Consequences (severity)	Residual Risk Score	Risk Owner	Action Description	Action Owner	Target / Review Date
CR45	Organisational improvement & greater efficiency	Human Resources - an inability to develop robust and fit for purpose data management and strong transactional services to Directorates, which will enable and inform sound decision making and planning within the Council.	3	5	15	None	2	5	10	Head of Human Resources	New system is in the process of being evaluated and purchased subject to Cabinet approval.	Head of Human Resources	Dec-08
CR46	Organisational improvement & greater efficiency	Potential failure to provide a robust corporate workforce plan will lead to the risk that we fail to maximise our opportunities in relation to recruitment and retention, as well as assessing and meeting our key future priorities in relation to learning and development.	2	3	6	None	2	3	6	Head of Human Resources	A corporate framework and plan are currently in the early stages of development	Head of Human Resources	Dec-08
CR47	Health and Well-Being / Adult Social Care	Adult Social Care - £300k projected overspend to be managed. This could be greater depending on the balance of care falling on the council (in the case of social care) or on the PCT (in the case of continuing health care).	3	3	9	The Council's Medium Term Financial Strategy highlights the requirements for all Directorate budgets to be managed within budget.	2	3	6	Director of Adult Social Care	Budget management plan. Joint assessment of individual cases with PCT.	Head of Commissioning and Safeguarding	Oct-08