

Corporate Risk Register (September 2016)

Risk Reference Number	Opened	Risk Description	Risk Rating (before controls)	Existing Controls in Place	Risk Rating (after controls)	Risk Owner (Name & Title)
CR.001	Apr-11	Emergency events IF: Significant events happen (severe weather, major flooding, terrorism, animal health outbreak, pandemic influenza risks) THEN: there could be a significant cost implication to the Council in meeting its legal requirements under the Civil Contingencies Act 2004. Failing to respond and recover effectively to major emergencies/incidents could result in loss of life to public or council employee, loss of service, economic damage, environmental impacts and reputational damage through adverse publicity	16	Herefordshire Health Protection Committee process in place, providing assurance to the Health and Wellbeing Board. At sub-regional level, the local Health Resilience Partnership is chaired by the Consultant for Public Health linking with NHS and Public Health England. Oct 16: Multi agency exercise planned for an Animal Health incident and recovery in February 2017. Other exercise are ongoing.	12	Erica Hermon, Head of Law, Governance and Resilience
CR.002	May-11	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.	16	<u>Strategy</u> - Ongoing work to determine gaps in provision of asbestos, legionella and fire risks, along with statutory building checks. Review of existing H&S strategy and H&S Policy in progress - Committee have received copies of new strategy document and policy in line with strategy. Awaiting feedback on changes - Generally accepted <u>Cultural</u> - Greater emphasis required by Directorates on regular Directorate sessions/H&S group, to allow feedback to staff and improved awareness and response to H&S concerns; included is senior management/top down delivery of H&S. Training for managers conducted Sept/Oct 2016 and awareness has been raised - Further courses to be planned <u>Systems</u> - Improved promotion of existing H&S systems; ongoing delivery of arrangements (In line strategy). Review of Council Strategy and Health and Safety Policy Completed. Update required on designated councillors expected end Oct 2016 <u>Review</u> Review of progress was undertaken at H&S committee meeting in September - Progress slow and behind schedule	12	Erica Hermon, Head of Law, Governance and Resilience
CR.003	Aug-12	Medium Term Financial Strategy IF: we don't have a sustainable Medium Term Financial Strategy THEN: we will not achieve a balanced budget, risk serious service failure.	20	MTFS to 19/20 approved by Council * All savings RAG rated and reviewed, majority green for 16/17 * MTFS linked to Corporate Priorities. Monthly review by leadership Team and DMTs. External Auditor rates Council as low risk, green for financial resilience and budgetary control.	9	Josie Rushgrove, Head of Corporate Finance
CR.005	Apr-13	School Assets IF: There is insufficient condition oversight of school assets THEN: there may be an increase in costs due to unplanned significant spend.	25	Education assets condition surveys to be completed and school capital investment strategy being developed.	16	Jo Davidson, Director of Children's Wellbeing

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CR.006	Apr-13	Fastershire IF: expectations not met through the Fastershire Broadband Project, Business Case Failure and/or failure to meet State Aid requirements THEN: areas identified as modelled to receive NGA may slip out of programme; There may be slippage in delivery timescales and ultimately the constituent experience of retail services may reflect badly on the council's support for a wholesale solution.	15	The contract includes significant controls to manage slippage and NGA coverage reductions and will deliver 100% of premises at 2Mbps. However, the controls in place lead directly to default and compensation which is not necessarily in the authorities interest. Agree via Cabinet Member decision to extend time-lines. BT are required to certify payment eligibility and will be subject to audit. The Fastershire Broadband Strategy 2014-18 has been adopted by the Authorities to address next stage in delivery with progress on that strategy. The business support programme and Digital Inclusion activity will aim to increase take up and optimisation. Full risk register reported to the Fastershire Board. Side agreement agreed with BT to contractually commit to recovery plan submitted. Additional External Funds sought to tackle difficult to reach areas. Revised Broadband Strategy agreed by Cabinet in December 2015. Oct. 16: Procurements underway, with BDUK assurance agreed, for next phase.	10	Natalia Silver, Assistant Director, Communities
CR.007	Jun-13	Litigation IF: litigation claims against Herefordshire Council are successful THEN: this may expose the Council to significant unbudgeted costs and reputational damage.	20	The Council will escalate matters through formal dispute resolution processes as required. The timing of these next steps will be set in response to circumstances. Oct 16: Judgement on matter taken to enforcement in Council's favour. Other matters continue to be progressed through dispute resolution procedures. Current litigation and mediation response to legal claims is ongoing and managed through Projects Boards.	12	Geoff Hughes, Director, ECC Natalia Silver, Assistant Director, Communities
CR.008	Feb-14	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.	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. Report to Management Board on cases of data breach. 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. 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.	8	Natalia Silver, Assistant Director, Communities

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CR.010	Apr-14	Staff recruitment/retention IF: We are unable to recruit/retain permanent members of staff across the directorate to undertake key roles and therefore continue to over rely on agency staff THEN: The costs will continue to be excessive and change will not be driven through.	16	Workforce strategy for social care is in place to ensure that where possible we recruit to roles on a permanent basis, and grow our own. Involvement in regional workforce development and agency market management.	9	Jo Davidson, Director of Children's Wellbeing
CR.011	Apr-14	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.	16	Programme Boards for major systems improvements, Agresso, FWI, Adult Care.	6	Nick Mather, Interim Chief Operating Officer
CR.012	Jun-14	Education Outcomes IF: Sufficient Improvement is not made to education outcomes through education strategic plan THEN: Likely to be judged inadequate and require intervention.	16	Education Strategic plan, improvement partnership.	9	Jo Davidson, Director of Children's Wellbeing
CR.013	Sep-14	Children's and Families Act IF: The Children's & Families Act legislation raises awareness with the residents of Herefordshire of entitlement to services THEN: We may be unable to meet requirements from within existing resources, will suffer reputational damage and may face legal challenge through tribunal /judicial review.	20	Children and Young People's Partnership, Development and implementation of CYP Plan, Implementation of CWD Strategy via CHIPP programme test. CWD Strategy as part of CYP Plan has been finalised by CYP partnership.	12	Jo Davidson, Director of Children's Wellbeing
CR.015	Oct-14	Deprivation of Liberty The authority does not meet the statutory requirements for Deprivation of Liberty and individuals are unlawfully deprived of their liberty.	20	Additional investment into DOL's has been made, and weekly performance management of waiting list is in place. regular reporting and review up to Director Level and to Safeguarding Adults Executive Group. Working with external Best Interest Assessors - although these are limited in availability due to national demand. Dols team are checking all referrals for DoLS against list of open safeguarding referrals to ensure these cases are prioritised in terms of implementing DoLS. Other triage criteria are also followed to identify cases where there is a high risk to the individual and a high risk to the Council of litigation. Two full time BIA posts have been created and filled on a one year secondment basis. Further awareness training with staff and providers, additional legal support and constant review and prioritisation of cases waiting for assessment. Programme to train staff as BIAs in place. Independent BIA engagement plan ongoing two additional full time seconded posts created and filled. Multi agency MCA and DoLS policies completed.	12	Stephen Vickers, Assistant Director of Operations AWB

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CR.016	Oct-14	Safeguarding Individuals at risk of abuse are not protected.	16	A Safeguarding Improvement Programme has implemented a new process to embed the principles of Making Safeguarding Personal. This has included changes to the current processes, an improved performance framework and a new audit tool. Progress will continue to be monitored going forward and be fed into DLT, AD Operations and monthly report to DASS and HSAB. Peer challenge including independent auditing has taken place, recommended system and practice actions are included in the MSP review. Processes for identifying learning from AWB case audits and audits undertaken through HSAB PAQA as well as SAR are now in place and monitored through single agency board (DLT) and HSAB. Safeguarding Improvement Plan in place with Peer Challenge to Review Sept 2015.	12	Stephen Vickers, Assistant Director of Operations AWB
CR.017	Oct-14	Demographic Pressures Continued demographic pressures require significant savings to be made or reductions in levels of dependency to manage rising levels of demand across council services.	25	Range of primary and secondary preventative services commissioned including Information, Advice, Signposting, Reablement, Telecare, Rapid Response. Communications strategy and proactive media briefing advising on ASC LA services focus. Proactive screening of cases that are not eligible through reviews and diversion to other services. Ongoing demographic modelling and develop effective demand and market analysis to support working with partners on service models and pathways to more effectively manage or reduce demand and dependency. Implementation of integrated prevention strategy.	16	Martin Samuels, Director of Adults Wellbeing
CR.020	Jun-15	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.	16	Implementation of the Economic Development Strategy Economic Masterplan being developed. Delivery of the Fastershire project. Preparing 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.	12	Geoff Hughes, Director for Economy, Communities & Corporate
CR.021	Jun-15	Welfare Reform Impact of further welfare reform is currently not able to be quantified in terms of financial impact on Herefordshire residents with subsequent reduction in payment of council tax, other financial liabilities to the council and increasing pressure for local support to be met by the council.	20	Welfare Rights service in place, IAS service will support individuals into community capacity that gives specialist advice on welfare issues. Review of national guidance and EIA of all new policies.	12	Martin Samuels, Director of Adults Wellbeing

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CR.022	Jun-15	Integration The scale and pace of integration work required internally to the council and across health and social care proves to be undeliverable and a new model for integrated and financially viable health and social care pathways does not emerge.	25	Transformation Board and Joint Commissioning Board in place underpinned by refreshed Health and Well Being strategy. Programme Review and Independent Chair/Programme Director in place.	16	Martin Samuels, Director of Adults Wellbeing
CR.023	Jun-15	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.	25	Transformation programme within each directorate, corporate plan, refreshed governance and constitution, quarterly performance management reporting and director performance management through appraisal system. Benefits realisation and review arrangements through quarterly performance management.	12	Alistair Neill, Chief Executive
CR.024	Oct-15	System resilience and urgent care The role and responsibility of adult social care alongside system and process is not clearly set out in relation to system resilience and urgent care	16	Social care pathway for prevention of hospital admission and discharge is aligned with WVT. Joint post funded through SRG to manage interface is in place, number of schemes funded through BCF to support urgent care - however this post has now ceased. On call arrangements in place and AMPH/EDT rota is in place.Senior Management attend operational and strategic SRG. IUCS in place. Recently appointed a complex care pathway lead, to lead on EDT OOH provision.	16	Stephen Vickers, Assistant Director of Operations AWB
CR.028	Mar-16	Accommodation Strategy IF: the Programme is not managed to time and budget THEN: there will be significant risks to service delivery and savings plans	12	Secure either Memorandum of Agreements or legal contracts to be in place. A number of decisions on elements of the Delivery Plan remain outstanding. Sep 16: In principle agreement to house children's safeguarding has been formulated but still requires decision to implement. Oct 16: Draft proposals to meet medium term solution have been prepared but are to be approved.	9	Tony Featherstone, Head of Corporate Asset Management
CR.029	Apr-16	Education funding IF the national funding formula for education removes significant funding without removing statutory responsibilities THEN the local authority may not be able to carry out its duties effectively, funding pressure will result, the effectiveness of some schools and outcomes for children will decline	20	Management Board and Leader's briefing aware of implications. Working group established to develop Herefordshire's approach	16	Chris Baird, Assistant Director Education and Commissioning
CR.030	Apr-16	White Paper - Educational Excellence Everywhere IF schools and the local authority focus solely on the possible implications of the White Paper Educational Excellence Everywhere THEN focus will lessen on improving pupil outcomes, particularly the most vulnerable, and on budget control at a time of increasing pressures	20	Local authority establishing a way forward with schools. Working group led by the Director of Children's Wellbeing.Management Board and Leader's briefing aware of implications. Working group established to develop Herefordshire's approach. Continued implementation of the HSIP Framework via Learning and Achievement and a focus on vulnerable groups including implementing work to address closing the gap. Work to be reviewed via Strategic Education Board and HSIP	16	Chris Baird, Assistant Director Education and Commissioning

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CR.031	Jul-16	BREXIT IF Negotiating leaving the European Union is yet to commence and will take 2 years THEN: in the interim there is expected to be volatility and uncertainties to affect businesses individuals and funding opportunities.	20	Regular monitoring and reporting to be scheduled as data shared. Oct: Recent announcement indicates that the risk will decrease but there has not been any evidence as yet.	12	Josie Rushgrove, Head of Corporate Finance
CR.032	Jul-16	Pensions re-evaluation IF: A revaluation is due in the summer of 2016 based on the portfolio position as at 31 March 2016, market conditions and valuation assumptions have a major impact on the valuation of the deficit THEN: A pensions working group, national guidelines and valuation experts work together to establish an agreed approach and deficit estimate. Changes in assumptions could result in a need to refresh the MTFS with additional savings to fund	12	Input during summer to group meetings, negotiating with WCC when revaluation data received	9	Josie Rushgrove, Head of Corporate Finance
CR.033	Jul-14	Families First (Troubled Families) IF Families First (Troubled Families) Programme does not deliver THEN: Families outcomes will not improve, savings / efficiencies will not be realised and TF grant will not be paid	16	Continue to develop the Intelligence Hub with Data Analyst and discussion with Family Support team to deliver on planned work. ICT solution has progressed with provider appointed. system is being implemented over the summer 2016 and scheduled to go live in the Autumn 2016 Commissioned Services and internal service spec on requirements of family support/direct work services to work with these families and match outcomes to TF targets.	4	Gordon Murray, Head of Commissioning
CR.034	Jul-14	Short Breaks Recommissioning IF Short breaks recommissioning is delayed THEN: Significant reputational damage may be caused	16	Discussions to take place with placement officers to ensure that they are able to prioritise workloads	9	Gordon Murray, Head of Commissioning