

Risk Reference	Risk Description	Opened	Risk score before controls	Existing Controls in Place	Risk score after controls	Risk Owner (Name & Title)
CR.001	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 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.	12	Equality, Resilience, Information and Records Manager.
CR.002	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.	12	Health and Safety Advisor
CR.003	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 Feb. All savings RAG rated and reviewed. Majority green for 17/18 * MTFS linked to Corporate Priorities * MTFS to 19/20 published	3	Director of Resources
CR.006	Fastershire IF: Expectations not met through the Fastershire Broadband Project, Business Case Failure and / or failure to meet State Aid requirements and the supplier fails to provide an acceptable baseline of deployment from which to deviate or monitor change. 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; BT could deliver to ineligible areas and low take up and optimisation could undermine the original investment case.	Apr 13	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. This strategy was updated and adopted by Cabinet in December. The business support programme and Digital Inclusion activity will aim to increase take up and optimisation and ultimately prove the business case. Full risk register reported to the Fastershire Board	10	Assistant Director, Communities
CR.007	Litigation IF/AS: Litigation claims against Herefordshire Council are successful THEN: this may expose the Council to significant unbudgeted costs and reputational damage		20	Compliance with the Contracts dispute resolution procedure. Legal and commercial opinion has been sought in support of Herefordshire's case. Structured dispute resolution processes are being taken forward including negotiation, adjudication and formal mediation. Litigation may be required to resolve high value matters. Effective legal case management is now in place to increase Council's likelihood of defending any claim. Additionally, S151 Officer is made aware of pending financial claims against Council at earliest opportunity. For ongoing cases, an appropriate base line budget (from which to operate and deliver an effective legal service and to increase chances of Council losing litigation cases) has been provided.	8	Director of Economy, Communities and Corporate Assistant Director, Communities
CR.008	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.	8	Assistant Director, Communities
CR.011	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,	6	Director of Resources

Corporate Risk Register

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CR.015	Deprivation of Liberty The authority does not meet the statutory requirements for Deprivation of Liberty and individuals are unlawfully deprived of their liberty An increasing number of cases already subject to DoLS are being taken to the Court of protection, increasing the risk of Costs and Financial penalties for the Local Authority	Oct-14	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. 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	12	Assistant Director of Operations AWB
CR.016	Safeguarding Individuals at risk of abuse are not protected	Oct-14	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.	12	Assistant Director of Operations AWB
CR.017	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	Oct-14	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	16	Director Adults & Wellbeing
CR.020	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 being developed. Delivery of the Fastershire project. Delivering and promoting the Local Development Framework. Implementing the delivery of the Enterprise Zone. Securing external funding.	12	Assistant Director, Growth
CR.021	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	Jun-15	20	Welfare Rights service in place, IAS service will support individuals into community capacity that gives specialist advice on welfare issues	12	Director Adults & Wellbeing
CR.022	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	Jun-15	25	Transformation Board and Joint Commissioning Board in place underpinned by refreshed Health and Well Being strategy	16	Director Adults & Wellbeing
CR.023	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 director, corporate plan, refreshed governance and constitution, quarterly performance management reporting and director performance management through appraisal system	12	Chief Executive
CR.024	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 WVVT. 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	16	Assistant Director of Operations
CR.028	Accommodation Strategy 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	4	Head of Corporate Asset Management
CR.031	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	Jul-16	20	Yet to be established formally	12	Director of Resources
CR.032	Pensions re-evaluation AS: 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	Jul-16	12	WCC, Mercer, Grant Thornton and pension board representatives	9	Director of Resources

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CR.034	Short Breaks Recommissioning IF/AS: Short breaks recommissioning is delayed THEN: Significant reputational damage may be caused	Jul-14	16	DLT have been made aware of this situation. There will always be searches of this nature; and contract compliance visits are required to be completed. There are due to be staffing changes with new roles being created out of the existing post.	12	Childrens Joint Commissioning Manager
CR.035 NEW	Early Help IF/AS: The new early help strategy is not implemented quickly and effectively THEN: The child protection system will come under pressure again; OR children and their families will be waiting for support which if not available within a reasonable time, may lead to an increase in risk of harm.	Dec-16	16	Implementation programme under development	12	HoS Education Development

The following risks have been reduced to directorate / service risks

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CR.005	School assets IF/AS: Insufficient condition oversight of school assets is not in place THEN: There may be an increase in costs due to unplanned significant spend	Apr-14	25	Education assets condition surveys to be completed and school capital investment strategy being developed.	16	Cabinet / DLT/ SMT
CR.010	Staff recruitment/retention IF/AS: 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	01/04/2014	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	DCS/DLT/SMT
CR.012	Education Outcomes IF / AS: Sufficient Improvement is not made to education outcomes through education strategy Then : Schools are likely to be judged inadequate and require intervention	Jun-14	16	Education Strategic plan, improvement partnership	9	HOS Additional Needs
CR.013	Children's and Families Act IF/AS: The Childrens & 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	Sep-14	20	Children and Young People's Partnership, Development and implementation of CYP Plan, Implementation of CWD Strategy	12	Children with Disabilities Strategy Group / EAC SMT
CR.029	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	Apr-16	20	Management Board and Leader's briefing aware of implications. Working group established to develop Herefordshire's approach	16	Assistant Director Education and Commissioning
CR.030	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	Apr-16	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	Assistant Director Education and Commissioning
CR.033	Families First (Troubled Families) IF/AS: 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	Jul-14	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.	16	Head of Service Commissioning