

Risk Reference	Risk Description	Opened	Risk score before controls	Existing Controls in Place	Risk score after controls	Change since last reported	Risk Owner (Name & Title)
CR.001	<p>Emergency events</p> <p>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 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.</p>	Apr 11	16	<p>Council and multi-agency plans reviewed as part of wider WM Local Resilience Forum objectives.</p> <p>Resilience Direct (cabinet officer system) to progress information sharing, planning and response mechanisms and data.</p> <p>Council Business Continuity Management System in place.</p> <p>Rest Centre training and provision for 200 people at Three Elms Unit.</p> <p>Gold and Silver officer training sessions and programme under development linked to LRF Task and Finish group. Programme to be completed by October 2017.</p> <p>Comms: BBLP are testing new emergency road closure software, which will update the website automatically within the road closure map. We expect this will now work to report of both planned and emergency road closures and team workflows have been implemented.</p>	12	◀▶	Equality, Resilience, Information and Records Manager.

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CR.002	<p>Health & Safety</p> <p>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.</p>	May 11	16	<p>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.</p> <p>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.</p> <p>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;</p> <p>Spot audits of schools new target complete 10 schools completed. New Property Services buildings statutory compliance system in place by end Oct 2017;difficult to set a timescale for schools statutory compliance as no resource has been allocated to this; statutory compliance with corporate buildings and some contracts still an issue.</p>	12	◀▶	Health and Safety Advisor
CR.003	<p>Medium Term Financial Strategy</p> <p>IF: we do not have a sustainable Medium Term Financial Plan THEN: we will not achieve a balanced budget, risk serious service failure</p>	Aug 12	20	<p>· 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, update going to Cabinet in January</p>	6	▲	Chief Finance Officer

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CR.007	Litigation IF: Litigation claims against Herefordshire Council are successful THEN: this may expose the Council to significant unbudgeted costs and reputational damage	Jun 13	20	Effective legal case management is in place to increase the council's likelihood of defending claims. Additionally, the s151 officer is made aware of pending financial claims against the council at the earliest opportunity. Current litigation and mediation in response to legal claims is ongoing and managed through Project Boards. Oct 17: Expert determination of the matter of job evaluation is underway. Amey have settled costs in regard to the matter of VOP. Jan 17: Adjudication to determine matter of surface dressing (quality of works) is underway.	8	◀▶	Director, ECC 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. The new mandatory training modules have been produced and will be ready for staff to complete from 1st February 2018. 89 audits have been completed in preparation for the GDP Regulations coming into force in May 2018. Work is on track to populate the action plan.	4	◀▶	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. Measures are in place to ensure that access to systems/technology is in place and will be progressed through a number of initiatives.	6	◀▶	Chief Finance Officer

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CR.015	<p>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</p>	Oct-14	20	<p>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. 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.</p>	12	◀▶	Assistant Director of Operations AWB
CR.017	<p>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. Increasing demand for SC services is creating pressure on the social care workforce.</p>	Oct-14	25	<p>Operational performance data reviewed on a monthly basis with operational managers. As part of new pathway modelly, system expectations have been identified. Pathway work now being implemented with a view to more effectively managing potential service users at the front end so as to minimise the long term requirement for care</p>	16	◀▶	Director Adults & Wellbeing

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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 developed. Delivery of the Fastershire project. Delivering 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; construction of the Shell Store Incubation Centre. Support delivery of the Economic Masterplan via Invest Herefordshire Partnership Board.	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. Final BCF plans/agreements being drawn up. Regular monitoring internally and via the Joint Commissioning Board.	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	Jun-15	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

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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	Oct-15	16	Transformation Board and Joint Commisisoning Board in place underpinned by refreshed Health and Well Being strategy. 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	◀▶	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. Board and new process of using board to best effect require development. Jan 18: Next phase of the Accommodation strategy is behind schedule.	4	◀▶	Head of Corporate Asset Management
CR.036	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	Apr-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 will include report writing and decision making as appropriate. Internal Audit report commissioned to review quality of information in reports (draft report due end of January 2018).	2	◀▶	Solicitor to the Council
CR.037	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	Apr-17	15	Information Security' eLearning training (upon user induction) 'Information Security Refresher' eLearning training (conducted annually) Spooof phishing campaign conducted to raise user awareness. Hoople T&T apply technical measures to detect users clicking on malicious links and/or attachments	12	◀▶	Assistant Director, Communities

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CR.038	<p>Failure of council employees to adhere to standing orders and policy</p> <p>IF: officers fail to adhere to standing orders (e.g. contract and finance procedure rules) and policies</p> <p>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.</p>	Sep-17	16	<p>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.</p> <p>Internal Control Improvement Board to oversee development and implementation of an improvement plan to ensure effective internal controls in respect of capital spend, project management and contract management are in place and complied with across the council.</p>	12	◀▶	Head of Law and Governance
CR.039	<p>Safeguarding work to support the service during police investigation.</p> <p>IF/AS: There is a lack of capacity in management</p> <p>THEN: There may be disruptions in casework, unsettled staff and service users.</p>	Oct-17	16	Interim senior management in place to provide additional capacity. Staff communicated with and support in place.	8	◀▶	CEX; director for children's wellbeing
NEW CR.040	<p>Good internal controls protect against fraud and error</p> <p>IF: good internal controls are not in place or followed</p> <p>THEN: funds could be spent inappropriately.</p>	Nov-17	16	<p>Financial procedure rules; contract procedure rules; aggression workflow; governance processes.</p> <p>Internal Control Improvement Board set up to review and suggest improvement to internal controls; member working group set up to oversee work of the Board.</p> <p>The outputs of the Board will feed into the review of the Annual Governance Statement.</p>	8	NEW	Head of corporate finance

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The following risks have been removed or reduced to directorate/service risks							
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