

## Risk / opportunity scoring matrix

Consequence					
Likelihood	1 Insignificant Impact/ Benefit	2 Minor Impact/ Benefit	3 Moderate Impact/ Benefit	4 Major Impact/ Benefit	5 Significant Impact/ Benefit
5 Certain	5	10	15	20	25
4 Likely	4	8	12	16	20
3 Possible	3	6	9	12	15
2 Unlikely	2	4	6	8	10
1 Rare	1	2	3	4	5

Risk Reference	Risk Description	Opened	Risk score before controls	Existing Controls in Place	Risk score after controls	Change since last reported	Risk Owner
CR.001	<b>Emergency events</b> <b>IF:</b> significant events happen (e.g. severe weather, major flooding, terrorism and/or influenza pandemic risks) <b>THEN:</b> 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. Gold and Silver officer training sessions and programme completed. BBLP tested new emergency road closure software, which will update the website automatically within the road closure map.	12	◀▶	Health Safety and Resilience Manager
CR.002	<b>Health &amp; Safety</b> <b>IF:</b> Herefordshire Council doesn't comply with Health and Safety legislation <b>THEN:</b> 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	<b>Medium Term Financial Strategy</b> <b>IF:</b> we do not have a sustainable Medium Term Financial Plan <b>THEN:</b> we will not achieve a balanced budget, risk serious service failure	Aug 12	20	MTFS to 19/20 approved by Council in February. All savings RAG rated and reviewed. MTFS linked to Corporate Priorities. Monthly financial reports to Management team and Cabinet; Performance Challenge meetings. Base budget review exercise completed. Prudent levels of reserves in place. Regular reviews by Cabinet of reserves and assumptions around inflation.	6	◀▶	Chief Finance Officer
CR.007	<b>Litigation</b> <b>IF:</b> ongoing contract changes and budget savings increase the level of exposure to litigation/dispute <b>THEN:</b> the Council may lose and be liable for costs in excess of £M (effecting budget position) and incurring reputational harm.	Jun 13	16	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. In house and external legal teams in place dealing with adjudications and litigation.	8	◀▶	Solicitor to the Council
CR.008	<b>Information governance</b> <b>IF:</b> staff do not treat the information they access appropriately <b>THEN:</b> 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 rolled out 1st February 2018. A new member of staff started with the team in May and is delivering the IG School Data Protection Officer (DPO) role and supporting the team with work load.	4	◀▶	Assistant Director, Corporate Support
CR.011	<b>ICT Platforms</b> <b>IF:</b> the technology ICT systems/platforms are not appropriate or used to their full effect <b>THEN:</b> 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	◀▶	Assistant Director, Corporate Support

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CR.015	<b>Deprivation of Liberty</b> <b>IF:</b> The authority does not meet the statutory requirements for Deprivation of Liberty Safeguards and individuals are unlawfully deprived of their liberty <b>THEN:</b> The authority faces a risk of 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 DOLs 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. Three full time BIA posts have been created and a MCA DoLS team manager post has been created as part of the adults social care restructure. The ADASS guidance for case prioritisation is being followed within the DoLS service. 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	◀▶	Director Adults & Communities
CR.017	<b>Demographic Pressures</b> <b>IF:</b> due to increasing financial and demographic pressures, the council is unable to meet it's statutory obligations and assess clients in a timely manner and annually review all long-term packages of care <b>THEN:</b> clients might not receive the timely interventions required and we might miss the opportunity to maximise independence	Oct-14	25	Operational performance data reviewed on a monthly basis with operational managers. Pathway redesign work completed with stronger review at the front door and community brokers are in place to identify alternatives to formal care and support. There is early evidence that the work of community brokers has reduced overall demand on social care. Additional external capacity is now in place to focus on re-assessment work	16	◀▶	Director Adults & Communities
CR.020	<b>Economic Resilience</b> <b>IF:</b> the Invest Herefordshire Economic Vision is not supported by key stakeholders and does not deliver initiatives which address economic growth prospects and local economic concerns and meet local need <b>THEN:</b> there will be a fall in indigenous and new business investment within Herefordshire engagement with the council which could affect large business retention, business rates income, productivity, employment and wage rates, and wider resilience in the local economy.	Jun 15	16	Implementation of the Economic Development Strategy. Economic Masterplan adopted. Delivery of the Fastershire project. Delivering and promoting the Local Development Framework. Implementing the delivery of the Enterprise Zone. Securing external funding. Delivery of Ross Enterprise park.	12	◀▶	Economic Development Manager
CR.022	<b>Integration (One Herefordshire)</b> <b>IF:</b> there is a limited shared vision on the operational implications for One Herefordshire and integration <b>THEN:</b> there will be continued challenges in areas such as BCF/IBCF and continued risk of "cost shunting" between agencies rather than focussing on system costs.	Jun-15	25	An approved BCF between CCG and the local authority that approves integration and schemes to be delivered. Ongoing negotiations and monitoring through the BCF partnership board and Joint Commissioning Board.	9	◀▶	Director for Adults & Communities
CR.023	<b>Council Redesign/Resources</b> <b>IF:</b> Reducing resources in the form of grant, uncertainty and the requirement to deliver transformation at speed combine <b>THEN:</b> there will be an risk of failure to meet statutory and/or legal duties and powers.	Jun-15	25	Transformation programme within each directorate, corporate plan, refreshed governance and constitution, quarterly performance management reporting and director performance management through appraisal system.	12	◀▶	Chief Executive
CR.028	<b>Workplace / Accommodation Programme</b> <b>IF:</b> the Programme is not managed to time and budget and does not include BWoW principles <b>THEN:</b> there will be significant risks to service delivery, savings plans and the life cycle of buildings.	Mar 16	12	Corporate Property Board. Escalation of high risk items to ECC management team and to members for political consideration of priorities. Create high level risk management plan identifying critical repairs for Capital Strategy and Asset Management Group to consider. Undertaking a programme of condition surveys on a cyclical basis will provide detail on scale of backlog maintenance. CWB internal review post-Ofsted needs to be completed before a strategic property review is completed including BWoW.	12	▲	Strategic Property Services Manager
CR.036	<b>Good decision-making</b> <b>IF:</b> officers and members do not uphold the principles of good decision-making <b>THEN:</b> 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, equality, procurement 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; report received and being actioned.	2	◀▶	Solicitor to the Council

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CR.037	<b>Cyber attack</b> IF: we do not protect against a potential cyber attack <b>THEN:</b> 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). Spoof phishing campaign conducted to raise user awareness. Hoople T&T apply technical measures to detect users clicking on malicious links and/or attachments. We have run some software against all system passwords to check how secure these are. 18% did not meet the standards. IG team are signing up to Care Cert in order to receive further warnings around cyber attacks. IT are in the process of signing up the council domain to a website that collects information from leaked data breaches. We will then be notified if any council domain email addresses have been misused/hacked. Completed and submitted Cyber Security stocktake to the LGA, and completed a Cyber Essentials self assessment.	12	◀▶	Assistant Director, Corporate Support
CR.038	<b>Failure of council employees to adhere to standing orders and policy</b> IF: officers fail to adhere to standing orders (e.g. contract and finance procedure rules) and policies <b>THEN:</b> 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.	Sep-17	16	Contract and finance procedure rules have been rewritten and published. Toolkits, guidance and training have been implemented. Schemes of delegation have been written as part of the new constitution. Governance training has been provided. 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.	12	◀▶	Head of Law and Governance
CR.039	<b>Safeguarding work to support the service during police investigation</b> IF: there is a lack of capacity in management <b>THEN:</b> there may be disruptions in casework, unsettled staff and service users.	Oct-17	16	Interim senior management in place to provide additional capacity. Staff communicated with and support in place.	8	◀▶	Director for children and families
CR.040	<b>Good internal controls protect against fraud and error</b> IF: good internal controls aren't in place and followed to protect against the potential of fraud, corruption, financial management, malpractice or error <b>THEN:</b> this produces a heightened risk of fraud, corruption and/or poor value for money with the consequent negative reputational impact.	Nov-17	16	Follow-up on SWAP audit recommendations so that they are all dealt with fully so that systems, processes and compliance are improved. EE code of conduct - should be issued with contract of employment. Recruitment process which ensures appropriate background checks. Induction programme. Fraud, bribery and corruption policies. Whistleblowing Policy. Finance procedure rules. Contract procedure rules. Agresso workflow. Governance processes.	8	◀▶	Head of corporate finance
CR.042	<b>Partnerships</b> IF: the partnerships that the council's involved in are not developed / fail to operate effectively / or fail entirely <b>THEN:</b> the strategic objectives / priorities may not be achieved.	Aug-18	12	Partnership governance protocol. Effective communications. Contractual and partnering agreements.	6	◀▶	Head of Corporate Governance
CR.043	<b>Recruitment</b> IF: the council is unable to recruit the level and scale of staff required to vacant posts across the organisation due to inability to attract and/or an unsustainable employable local demographic <b>THEN:</b> there will be insufficient staff to meet service demands; an inability to progress service development; and a financial implication of using agency staff/contractors.	Aug-18	16	Short term reductions in capacity are accommodated by prioritisation and reallocating work amongst staff. Analysis identifying posts which are hard to recruit to. Involvement in regional workforce development and agency market management. Recruitment and retention initiatives.	12	◀▶	Head of HR and Organisational Development
CR.044	<b>Brexit</b> IF: following Brexit 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	16	Continue to engage and participate on key legislation. Inclusion of an assessment of the risks associated with Brexit 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.	12	◀▶	Chief Finance Officer
CR.045a	<b>Development Regeneration Partnership - Keepmoat</b> IF: there is not an adequate pipeline of suitable residential development projects <b>THEN:</b> we will not be able to deliver the benefits through the contract	Feb-18	12	A pipeline of projects has been identified and discussed with the DRP Board. Work is underway to identify and bring forward suitable sites for inclusion in early phases of the programme, specifically relating to housing development, there are, however, limited opportunities that are immediately available.	12	▲	Programme Director, Housing and Growth
CR.045b	<b>Development Regeneration Partnership - Engie</b> IF: the length of time that regeneration projects take to bring forward leads to a perception that the programme is not delivering <b>THEN:</b> confidence will be reduced	Feb-18	9	A pipeline of regeneration projects has been identified and discussed with the DRP Board. Work is underway to bring these projects into the programme; however, the feasibility, design and approval process does take time	6	◀▶	Programme Director, Housing and Growth
CR.046	<b>Capital Programme</b> IF: we are unable to implement the strategic corporate and CWB capital programmes within budget and timescale <b>THEN:</b> operating costs will increase, assets will deteriorate, service delivery could be impacted and opportunities to realise value and benefits could be missed. Strategic change will not be implemented.	Feb-18	16	Corporate Property Strategy Board and CWB Capital Programme Board comprising senior Directors. Capital budget approved for 2018/19, authorisation to implement Capital Programme. Ongoing monitoring of programme and projects. Escalation of high risk items to Directors.	16	▲	Strategic Property Services Manager

## Corporate risk register

Risk Reference	Risk Description	Opened	Risk score before controls	Existing Controls in Place	Risk score after controls	Change since last reported	Risk Owner
CR.047	<b>NMITE University</b> <b>IF:</b> there is a lack of accommodation, cultural and other infrastructure services to enable planned growth in student numbers <b>THEN:</b> this would impact upon the successful delivery of the new university and would create reputational risk for the council.	Aug-18	12	Sites identified for the University accommodation, e.g. Essex Arms. The council has procured a Development Partner to enable the development subject to Cabinet decision. Joint University Development Board (JUDB) has been put in place to effectively allow the University and council to manage the University's development collaboratively. space has been provisionally allocated in the potential facility on station approach to support NMITE's first full cohort in 2020.	9	◀▶	Programme Director, Housing and Growth
<b>The following risks have been removed from the Corporate Risk Register</b>							
CR.021	<b>Welfare Reform</b> <b>IF:</b> the impact of further welfare reform has a financial implication <b>THEN:</b> there might be a reduction in 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 & Communities
<b>The following risks have been added to the Corporate Risk Register</b>							
CR.048	<b>Delayed Transfer Of Care (DTOC)</b> <b>IF:</b> the capacity and effectiveness of the Home First service, timeliness of assessments, the capacity of the care home and domiciliary care market and accuracy of coding <b>THEN:</b> the DTOC numbers will continue to increase.	Aug-18	25	Urgent care remains under review and there is an improvement plan in place. This includes additional dedicated resource and oversight of senior operational and transformation managers.	25	NEW	Director Adults & Communities
CR.049	<b>Market workforce economy</b> <b>IF:</b> the current limited capacity within the social care workforce continues <b>THEN:</b> will there will be an impact on availability of services - this is particularly true of Registered Managers and Nurses	Mar-17	25	External market workforce project launched - the care heroes campaign to attract and retain more people into care.	16	NEW	Director Adults & Communities
CR.050	<b>Market Capacity</b> <b>IF:</b> due to increasing demographic pressures, social care provision within Herefordshire is becoming increasingly limited <b>THEN:</b> we will experience significant difficulties in placing packages of care, delaying placements and increasing the cost of placements. This is particularly true of nursing care provision.	Sep-17	25	Managing the market work programme will include redesign of block contract beds to increase nursing capacity. Further strategic analysis work underway to review feasibility of council controlled care capacity complex/dementia care.	16	NEW	Director Adults & Communities
CR.051	<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	16	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.	16	NEW	Director for children and families
CR.052	<b>IG Toolkit</b> <b>IF:</b> we do not complete the new IG toolkit to the required standard <b>THEN:</b> we will lose access to the NHS N3 connection and a number of data sets required by Adult Wellbeing.	Aug-18	9	The existing toolkit has been completed to a high standard for the last 3 years and we hold the required evidence. Toolkit is at 88% compliance at mid-December against a year-end target of 95%.	6	NEW	Information Governance Manager