

Risk Reference	Risk Description	Opened	Risk score before controls	Existing Controls in Place	Risk score after controls	Change since last reported	Risk Owner	Reporting Level
CR.001 ECC.004 LGR.001 LGR.002 LGR.005	Emergency events 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.	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	Corporate
CR.002 LGR.003	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	Corporate
CR.003 CFC.007 COR.008	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 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	Corporate
CR.007 ECC.003 LGR.06 LGR.07 PBC.006	Litigation IF: ongoing contract changes and budget savings increase the level of exposure to litigation/dispute THEN: 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	Corporate
CR.008 LGR.019	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 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	Corporate
CR.011 ECC.006	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	◀▶	Assistant Director, Corporate Support	Corporate
CR.020 EEC.058	Economic Resilience IF: 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 THEN: 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	Corporate
CR.028 CAM.002	Workplace / Accommodation Programme IF: the Programme is not managed to time and budget and does not include BWoW principles THEN: 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	Corporate
CR.036 LGR.029	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, 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	Corporate

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CR.037 ERIC.009	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). 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	Corporate
CR.038 LGR.030	Failure of council employees to adhere to standing orders and policy IF: officers fail to adhere to standing orders (e.g. contract and finance procedure rules) and policies 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.	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	Corporate
CR.040 RES.006	Good internal controls protect against fraud and error IF: good internal controls aren't in place and followed to protect against the potential of fraud, corruption, financial management, malpractice or error THEN: 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	Corporate
CR.042	Partnerships IF: the partnerships that the council's involved in are not developed / fail to operate effectively / or fail entirely THEN: 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	Corporate
CR.043	Recruitment 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 THEN: 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	Corporate
CR.044	Brexit IF: following Brexit there is uncertainty or policy decisions that impact the council THEN: 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	Corporate
CR.045a	Development Regeneration Partnership - Keepmoat IF: there is not an adequate pipeline of suitable residential development projects THEN: 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	Corporate
CR.045b	Development Regeneration Partnership - Engie IF: the length of time that regeneration projects take to bring forward leads to a perception that the programme is not delivering THEN: 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	Corporate
CR.046	Capital Programme IF: we are unable to implement the strategic corporate and CWB capital programmes within budget and timescale THEN: 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
CR.047	NMITE University IF: there is a lack of accommodation, cultural and other infrastructure services to enable planned growth in student numbers THEN: 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	Corporate

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CCS.013	Fastershire delivery IF: coverage and take up falls short of plans with the revised broadband strategy THEN: premises will not be able to take up a service or make the most of investment in the fibre network effecting economic performance and community vitality.	Mar-17	20	Accepted BTs stage 2 delivery via deed of variation. New contract awarded to reach premises not included in phase one. Stage 4 programme to create bespoke solutions for premises not included in current contracted delivery. Digital inclusion and business support programme and awareness campaign to raise the opportunities of being online and taking up a fibre service. BT contract complete and data available via the Fastershire website. Mechanism in place for reporting any problems in ordering fibre network Complete understanding of outstanding premises to reach and unable to order a service.	9	◀▶	Assistant Director, Corporate Support	Directorate
ECC.004 COMS.002 LGR.001 LGR.002 LGR.005	Emergency Communications IF: emergency communications are not effectively implemented in good time THEN: the public could be put at unnecessary risk	Sep-15	8	Emergency on-call rota to react when required. Developing social media communities to improve outreach and improving web content to establish a trusted online resource for local residents. Social sign-in offers this functionality but requires training for comms staff then roll-out to organisation. On call rota is extended when emergency is possible to extend to social media support.	4	◀▶	Communications Manager	Directorate
LGR.020	Human rights claims IF: as a result of s20 and S34(4) THEN: this may increase the risk of these types of claims	Oct-15	20	One of Herefordshire cases has concluded with no costs being made against us and no Human Rights claim. Others have incurred up to £5K each being awarded in costs. The revocation of placement order element of this risk has been greatly reduced, but replaced by potential legal challenge of the council's S20 and s34(4) processes	16	◀▶	Solicitor to the Council	Directorate
LGR.021	Deprivation of Liberty Safeguards (DoLs Claims) IF: DoLs applications are challenged in respect of delays in assessment process and legal approval THEN: individuals/service users could make claim for being deprived of the liberty without due process having been followed, breaching their human rights.	May-16	20	The judgement has given guidance on consideration needing to be made prior to a challenge to an authorisation which could reduce the number of applications. There are now also community DoLs applications to be made in respect of 16-18 year olds. The cost of claims is not covered by the council's insurance policy Judgement received sets out guidance on considerations to be made by party challenging a DoLs authorisation which should lead to less section 21a appeals, although there is likely to be an increase in community applications and those for children 16-18 due to recent case law in this area.	15	◀▶	Solicitor to the Council	Directorate
WD.001	Waste management services contract IF: we fail to make best decision in regard to WMSC extension THEN: value for money to the council will not be delivered.	Apr-18	20	Contract governance in place with regular meetings between councils. Plan of work agreed and work underway to understand and assess all options	15	◀▶	Head of Environment and Waste Services	Directorate
WD.002	Charging for waste IF: We fail to agree change to implement charging for non household waste at household recycling centres THEN: savings will not be achieved	Apr-18	9	Contract governance in place with regular meetings between councils.	6	◀▶	Head of Environment and Waste Services	Directorate
E&P.007	Bridge Condition IF: a robust asset management approach is not taken, and an appropriate level of investment is not made available THEN: the condition of the County asset stock will deteriorate with potential failure of structures, resulting in network closures thus affecting communities and the economic viability of growth areas.	Nov-16	16	Clear asset strategy in place , regular inspections are programmed and a forward programme of planned maintenance are in place. The annual plan identifies those schemes that have been prioritised for small capital works to be delivered. Any structures at risk are also included in the overall Network Risk Matrix which is reviewed by BBLP and HC as part of an ongoing process. £500k has been included in the council's Capital Programme to progress bridge design. Funding secured and included in 2018/19 annual plan. Works planned to replace Storesbrook bridge on B4214 north of Ledbury, anticipated start date November 2018. Completion within 16 week period.	8	▼	Head of Highways & Community Services	Directorate
MAJ.001	Road Infrastructure IF: we fail to deliver the necessary infrastructure to deliver core strategy growth THEN: impacting on the delivery of planned homes and jobs.	Aug-18	16	Develop robust programme for delivery of individual projects and commission the appropriate resource to deliver project through design, planning, statutory process and construction. Undertake scheme delivery in accordance with national standards and guidance. Ensure appropriate consultation with statutory organisations to ensure that delivery is not delayed. Develop robust business case to ensure funding can be secured. Continued review of project progress through MIDB governance to ensure progress to programme and within budget. Appropriate programme of governance / decision reports to ensure progress to programme and appropriate authority to progress. Regular meetings with funding organisations to agree blended funding package opportunities for projects. Close working with DfT and Highways England to ensure appropriate support given the existing A49 status and associated impact on delivery of a bypass and improved city centre.	12	◀▶	Acting Director for Economy and Place	Directorate
PBC.023	South Wye Transport Package IF: scheme cost following detailed design exceeds budget THEN: it will significantly affect ability to deliver the project to programme	Oct-16	16	Continue to review cost forecasts and estimates as detailed design progresses. Prioritise elements for delivery and consider alternative funding opportunities as project moves towards construction. Procurement of SLR contractor commenced - tender returns are currently scheduled to be returned late Summer 2018 - this will enable final business case of SWTP to be completed.	12	◀▶	Acting Director for Economy and Place	Directorate
GRO.001	5 year Housing Land Supply IF: we do not actively address the current lack of five year land supply THEN: it will continue to be difficult to resist applications for planning permission for housing on sites not currently identified in the Local Plan which would undermine the plan led approach, lead to development of sites which are locally considered inappropriate and potentially affect the deliverability of identified strategic sites and associated infrastructure.	Mar-16	12	Adopted Core Strategy, annual refresh of Housing Land Assessment and monitoring of planning permissions and housing completions.	9	◀▶	Acting Director for Economy and Place	Directorate

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GRO.005	University loan IF: the loan is an unsecured loan, if university is not in position to repay the loan THEN: there is a risk that the council will have to write off the £300k and any associated costs .	May 17	9	Legal services have developed a loan agreement is in place between the council and NMITE. However, the university are not in a position to offer security for the loan.	6	▲	Programme Director, Housing & Growth	Directorate
RES.007	NMITE IF: funding is not released appropriately for NMITE THEN: there will be reputational damage to the council.	Dec 17	4	Memorandum of understanding being prepared.	2	◀▶	Head of Management Accounting	Directorate
CICE.009	Provide adequate support (staff and resources) to an incident IF: the Council does not have adequate number of staff who can support an emergency situation (rest centres, ACPs etc.) THEN: we are not complying with Civil Contingencies Act and also face bad publicity	Feb 18	15	A training programme for staff is available. Staff deployment policy.	6	▼	Health Safety and Resilience Manager	Directorate
ECC.001 AMPS.012 PEO.010 CFC.002	Major Capital Projects (including Schools) IF: we don't deliver Major Capital Projects within budget or within timescale THEN: this will lead to increased costs and reputational damage and failure to deliver statutory services.	Aug 12	16	Corporate Property Strategy Board and CWB Capital Programme Board comprising senior Directors. Interim role filled as of 1 May and Capital Programme is being implemented in line with agreed budgets.	4	▼	Strategic Property Services Manager	Directorate
AMPS.001	Backlog maintenance IF: we don't invest sufficiently in backlog and planned maintenance THEN: potential closure of key critical front line facing public services.	Apr 13	12	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. Problem in procuring condition surveys have extended timeline. A three year capital programme is being drafted based upon analysis of data and known condition issues(inc. existing condition survey data) - However the backlog maintenance cost is so great it will never be resolved. data on backlog cost is being used to inform future investment/disposal strategy.	9	◀▶	Strategic Property Services Manager	Directorate
CAM.010	Failure to successfully implement BWoW IF: BWoW is not implemented THEN: savings from the estate will not be achieved.	Mar 18	12	HR being supported by Property Services will lead on implementation of BWoW as part of the workplace strategy. Implementation planning is being carried out, to ensure that all disciplines are involved, the first phase, the relocation of the Legal team to Plough Lane from Union Street - completed. CWB internal review post-Ofsted needs to be completed before a strategic property review is completed including BWoW.	9	▲	Strategic Property Services Manager	Directorate
ECC.001 CFC.002 AMPS.012	Major Capital Projects (including schools) IF: we don't deliver Major Capital Projects within budget or within timescale THEN: this will lead to increased costs and reputational damage	Aug 12	16	Monitoring of project plan through CSWG and major infrastructure boards, DMTs and CWB capital board Monitoring of BWOW and information management projects through the IMT Board. Project management through property services Escalation of high risk items to Leadership Team for resolution. Spend manager meetings taking place, optimum siting of services under review. New financial regs being introduced work needed on standardising processes across HC. To implement new template and Agresso project management from 2018/19. Pressures still remain in terms of capacity and servicing projects - residual risk score increased as a result	16	▲	Corporate Finance Manager	Directorate
CAM.009	CWB capital programme IF: this is not aligned with broader property strategy THEN: there could be duplication of expenditure, and failure to realise benefits	Feb 18	9	Regular meeting with CWB Capital Programme Board. CWB capital programme board have agreed that all new CWB capital projects will use the new corporate project management system. This continues to be monitored.	2	◀▶	Strategic Property Services Manager	Directorate
The following risks have been added to the Register								
CAM.021	Property Services Redesign IF: Service redesign is not completed and recommendations implemented THEN: the service will not be fit for purpose for the future	Aug-18	12	Service redesign is currently being drafted with a view to presenting a paper to Cabinet shortly.	9	NEW	Strategic Property Services Manager	Directorate
CICE.008 CR.052	IG Toolkit IF: we do not complete the new IG toolkit to the required standard THEN: 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	Corporate