

Audit Committee  
30 November 2016

Full Corporate Risk Register  
Movement Report

## Corporate Risk Register for November 2016 Audit Committee

Risk Ref	Description	Current Risk Rating
AUDIT0001	There is a risk that the Council experiences significant fraud	Significant
CP0004	As a result of disruptive factors influencing the lives of people in Hertfordshire, there is a risk that residents or staff become radicalised or drawn into terrorism, which could cause harm to themselves or the wider public and reduce community / social cohesion.	Significant
CPRES0001	In the event of a failure of the Local Resilience forum to provide adequate inter-agency plans which correctly identify the capabilities required to deal with a major emergency in Hertfordshire there is a risk that Hertfordshire's multi- agency response may not be fully effective. (formerly SERMU0001)	Significant
CPRES0002	In the event of a failure to prepare adequate Corporate and departmental generic BCP plans, there is a risk that, should a major incident take place (to building, technology & people), there may be insufficient back up arrangements in place, which could result in a higher level of disruption than anticipated causing increased disruption to key resources. (Formerly SERMU0002)	Significant
CPRES0009	If there is insufficient preparation for increased frequency of extreme weather events resulting from climate change, then there might be negative impacts on service delivery, user access to service provision and to the reputation of the Council.	Significant
CSF0055	In the event of inappropriate care or attention there is a risk that a child or young person could die or become seriously injured.	Severe
CSF0070	In the event of inadequate capital being made available from a number of funding streams, part of the costs of delivering the secondary expansion programme and/or schools required to meet demand in new housing developments may need to be met from the council's own resources having exhausted all other eventualities.	Significant
CSHF0002	There is a risk that HCC's pension fund level may not improve sufficiently to cover accrued pension costs because of economic conditions, poor investment or ineffective governance	Severe

Risk Ref	Description	Current Risk Rating
CSHF0005	In the event of a reduction in government and external funding there is a risk of a funding gap which may result in the need to identify measures to further reduce service spend leading to deterioration or interruption of front line service delivery	Significant
CSHF0015	There is a risk that the Authority does not develop sufficient timely proposals to deal with the ongoing reductions in funding/resources which may lead to unplanned reduction of services or the need to draw on reserves. [Formerly CSCE0017]	Significant
ENV0030	In the event of a failure in road inspection and / or fault reporting procedures, there is a risk that the condition of our roads falls below expected standards, which results in injury to citizens and / or successful claims against HCC.	Material
ENV0033	In the event of under investment there is a risk that road maintenance levels cannot be maintained and general deterioration occurs, which may lead to increased number of accidents, loss of reputation and customer dissatisfaction.	Significant
ENV0104	<p>In the event of the Residual Waste Treatment Programme being impacted by one or more of the following scenarios:</p> <ul style="list-style-type: none"> <li>- Revised Project Plan does not proceed or is delayed</li> <li>- Unable to secure suitable alternatives for waste disposal should the contract with VES be terminated.</li> </ul> <p>It may result in:</p> <ul style="list-style-type: none"> <li>- Increased costs to HCC</li> </ul>	Severe
ENV0142	Due to the threat of an increasing number of tree pests and diseases, in particular the imminent threat from Ash Dieback, there is a risk of a significant number of trees being affected which may result in significant unplanned costs, potential dangers to the public and/or service users, impacts on the landscape and loss of biodiversity.	Severe
HCS0010	Inability to attract an increased number of careworkers in line with the Health and Community Services Workforce Strategy leading to non-compliance with the Care Act 2014 duties and customer dissatisfaction.	Severe

Risk Ref	Description	Current Risk Rating
HCS0011	In the event of significant, increasing demand on health and social care services, there is a risk that the Better Care Fund pooled budget may not be sufficient to meet future demand for services	Significant
HCS0012	Due to national NHS commissioning changes from May 2015 there may be structural changes to NHS commissioning, leading to financial uncertainty for jointly commissioned projects including the Better Care Fund within Hertfordshire County Council.	Severe
HCSCP0001	In the event of the quality of care from internal and external HCS care providers becoming inadequate resulting in the death or severe abuse of a client	Severe
HCSMH0002	As a result of the 2014 Supreme Court ruling around Deprivation of Liberty Safeguards (DOLS) there is a risk that an inability to conduct best interest assessments within legal timeframes could lead to unlawful detention of people and potential legal and compensation challenges to HCC.	Severe
HCSOPD0001	Due to increased demands from the NHS for assistance discharging patients from hospital, (this includes new groups of patients not previously referred to social care and admission avoidance), there is a risk of delays in discharging some patients requiring HCC input, which may result in financial and reputational consequences.	Severe
HCSOPD0006	In the event of commercial or contractual failure of private or independent care providers, this may lead to disruption to care provision and impact on service users and carers. (Previously ACSC0001)	Severe
HFRS0004	In the event of a failure to meet national training requirements, poor operational performance from personnel who are not fully trained and competent in their role could lead to the death or serious injury of a firefighter.	Significant
HFRS0007	During unplanned incidents, such as terrorist activity, civil disturbance or large scale wide area flooding, or periods of industrial action, there is a risk that HFRS have insufficient resources to cope which may result in an over-reliance on regional or national resources or significantly reduced fire cover.	Severe

Risk Ref	Description	Current Risk Rating
HR0017	In the event of industrial action there is a risk that services cannot be delivered effectively, which could result in harm to residents.	Significant
HR0018	In the event of a failure to train employees to required standards, there is a risk that staff are not fully competent in their roles, which could lead to the death, serious injury or harm to service users, members of the public or staff themselves e.g. front facing staff like QSWs and staff with access to vulnerable adults and children	Significant
HR0021	If we fail to retain, attract and recruit the right people and right skills and maintain staff engagement at all levels, there may be a significant impact on service delivery and major cost implications. [Formerly CSCE0007]	Severe
HR0022	If we fail to comply with safe staffing legislation and agreed HCC policy and practice there is a risk this could lead to a lack of protection for HCC service users (e.g. children and vulnerable adults) [Formerly CSCE0009]	Significant
IMP0001	There is a risk of the loss/inappropriate acquisition/disclosure of sensitive personal or commercial data, including (but not limited to) paper records/post, the electronic storage / transfer of personal data by email, fax or other technical means, and publication of data for Open Data purposes, which could lead to harm to clients, impact on HCC's reputation, incur legal action and have financial consequences (despite applying best practice there is always the possibility of human error) [Formerly CSCE0013]	Significant
IMP0002	A significant proportion of the Council's expenditure is accounted for by externally commissioned services. In the event of insufficient skills in commissioning / contract management and competencies along with a lack of application of effective monitoring, governance and contract management rigour, there is a risk of poor value, inadequate service provision and data security and/or failure of externally delivered services, which could lead to disruption of service delivery. [Formerly CSCE0019]	Significant

Risk Ref	Description	Current Risk Rating
PHD0014	In the event of a Health Protection emergency such as a communicable disease epidemic, radiological, chemical or biological agent exposure, or extreme weather conditions, there is a risk that the authority may be unable to meet its statutory duty to adequately assure multi-agency health protection arrangements and as a result there are high rates of morbidity or mortality of Hertfordshire residents	Significant
PROP0018	There is a risk that land owned by the Council and no longer required for the purpose for which it was bought may not have an active management regime in place. As a result there is a risk of an H&S incident to persons or property which could give rise to H&SE action and a liability claim.	Significant
PROP0020	As a result of changes in the UK and Local economic climate, which dictates the sale value of assets for disposal, there is a risk that the sale of assets may not provide the level of capital receipts to meet the target. (Formerly PROP0002)	Significant
PROP0021	In the event that the review of how HCC disposes of its surplus land and property assets determines that HCC should develop these sites and assets itself or through joint venture arrangements, there is a risk that such a change to the disposal policy may slow the delivery of the current £20m per annum receipt value in the current Integrated Plan.	Significant
PROP0022	As a result of changes to the way in which development contributions will be collected from new developments through use of Community Infrastructure Levy (CIL) and Section 106 contributions, and the delay in introduction of the new arrangements across all district authorities there is a risk that there may be insufficient money to support infrastructure needs derived from new housing developments etc.[Formerly CSCE0023]	Severe
TEC0004	In the event of failing to maintain and ensure the use of our security systems, technical protocols and change management processes, there is a risk of a cyber attack (virus, penetration or malicious internal action) on HCC's ICT environments causing significant service disruption and possible data loss	Significant

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<b>HCSOPD0006</b> <i>Opportunity to be Healthy and Safe</i> <b>Current Category: Corporate</b> In the event of commercial or contractual failure of private or independent care providers, this may lead to disruption to care provision and impact on service users and carers. (Previously ACSC0001)	Frances Heathcote  Assistant Director Health and Community Commissioning	Reviewed by Risk Owner in late July 2016. Probability to remain the same, Impact increased to very high due to some impact of the EU Referendum felt with the EU Workforce, this has made recruiting care workforce harder. No further score change in the recent risk review carried out in September. Reviewed On :13/10/2016	<div style="background-color: red; color: white; padding: 5px; text-align: center;"><b>Severe</b> 48</div> Probability Possible 3 Impact Very High 16	↔	<div style="background-color: red; color: white; padding: 5px; text-align: center;"><b>Severe</b> 48</div> Probability Possible 3 Impact Very High 16	<div style="background-color: orange; padding: 5px; text-align: center;"><b>Significant</b> 24</div> Probability Possible 3 Impact High 8
<b>Controls:</b>	<u>Ref</u>	<u>Control Description</u>	<u>Status</u>	<u>Owner</u>		
	HCSOPD0006/001	Regular contract monitoring of HCS care providers with a risk-based approach	Existing	Frances Heathcote		
	HCSOPD0006/002	HCS 'Serious Concerns' procedure to deal with failing care providers	Existing	Sue Darker		
	HCSOPD0006/003	Instigation of annual credit checks on all care providers as early warning system	In Progress	Frances Heathcote		
	HCSOPD0006/005	Quarterly performance report to HCS Management Board	Existing	Frances Heathcote		

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<p><b>HFRS0007</b> <i>Opportunity to be Healthy and Safe</i> <b>Current Category:</b> <i>Corporate</i></p> <p>During unplanned incidents, such as terrorist activity, civil disturbance or large scale wide area flooding, or periods of industrial action, there is a risk that HFRS have insufficient resources to cope which may result in an over-reliance on regional or national resources or significantly reduced fire cover.</p>	<p>Ian Parkhouse</p> <p>Assistant Chief Fire Officer - Response and Resilience</p>	<p>Risk and controls reviewed. Changes to controls 005, 007 and 008. Reviewed On :22/09/2016</p>	<p><b>Severe</b> <b>48</b></p> <p><b>Probability</b> Possible 3</p> <p><b>Impact</b> Very High 16</p>	<p>↔</p>	<p><b>Severe</b> <b>48</b></p> <p><b>Probability</b> Possible 3</p> <p><b>Impact</b> Very High 16</p>	<p><b>Severe</b> <b>32</b></p> <p><b>Probability</b> Unlikely 2</p> <p><b>Impact</b> Very High 16</p>



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<b>Controls:</b>	<u>Ref</u>	<u>Control Description</u>			<u>Status</u>	<u>Owner</u>
	HFRS0007/004	Review Integrated Risk Management Plan (IRMP) regularly to assess community risk against resources			Existing	Ian Parkhouse
	HFRS0007/005	Review whole-time and retained workforce numbers on a monthly basis to identify deficiencies and take appropriate action			Existing	Ian Parkhouse
	HFRS0007/006	Crewing office to manage and maintain crewing levels on a daily basis across the organisation and ensure appliance availability			Existing	Ian Parkhouse
	HFRS0007/007	Maximise both personnel and appliance availability through the application of procedures and appropriate management			In Progress	Ian Parkhouse
	HFRS0007/008	Procure and provide specialist vehicles, equipment and teams to meet the current technical rescue risk within the County			In Progress	Ian Parkhouse
	HFRS0007/009	Regularly review site specific response plans, operational procedures and contingency arrangements			Existing	Ian Parkhouse
	HFRS0007/010	Organise and host regular large scale/major incident exercises with local partners on a local, county and regional platform			Existing	Ian Parkhouse
	HFRS0007/011	Regularly review and ensure arrangements are in place to request additional resources both locally and nationally			Existing	Ian Parkhouse

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<p><b>ENV0142</b> <i>Opportunity to be Healthy and Safe</i></p> <p><b>Current Category:</b> <i>Corporate</i></p> <p>Due to the threat of an increasing number of tree pests and diseases, in particular the imminent threat from Ash Dieback, there is a risk of a significant number of trees being affected which may result in significant unplanned costs, potential dangers to the public and/or service users, impacts on the landscape and loss of biodiversity.</p>	<p>Simon Aries</p> <p>Assistant Director - Transport, Waste &amp; Environmental Management</p>	<p>The spread of Ash Dieback into Hertfordshire has continued with confirmed cases now across the county. Furthermore, several of these have been on more mature trees suggesting that its arrival was earlier than previously thought. Oak Processionary Moth (OPM), which has been largely confined to areas of London, has now been confirmed in Watford Borough. New and past nests were found and immediately destroyed by the Forestry Commission (FC). Presence of past nests suggests it has extended its range into Hertfordshire undetected for up to two years. It is likely to become more commonplace in the county over the next few years with implications for the public purse and public health. Controls are in progress and Hertfordshire's tree health network widening. The current score remains at red 40 (severe).</p>	<p><b>Severe</b> 40</p> <p><b>Probability</b> Almost Certain</p> <p><b>Impact</b> High 8</p>	<p>↔</p>	<p><b>Severe</b> 40</p> <p><b>Probability</b> Almost Certain</p> <p><b>Impact</b> High 8</p>	<p>Significant 20</p> <p><b>Probability</b> Almost Certain 5</p> <p><b>Impact</b> Medium 4</p>

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<b>Risk Ref</b> <b>Risk Description</b> <b>Corporate Priority</b> <b>Category</b>	<b>Risk Owner</b>	<b>Progress Update</b>	<b>Previous Risk Score</b>	<b>Movement Direction</b>	<b>Current Risk Score</b>	<b>Target Risk Score</b>
		Reviewed On :10/10/2016				

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<b>Controls:</b>	<u>Ref</u>	<u>Control Description</u>		<u>Status</u>	<u>Owner</u>	
	ENV0142/001	Raising awareness of the issues incl Tree Health pages on website; articles in relevant publications; engagement with partners		In Progress	Tony Bradford	
	ENV0142/002	Establishing extent and potential liability of ash tree population on Highways HCC is responsible to manage		In Progress	Mike Younghusband	
	ENV0142/003	Monitoring of the national and local tree health situation and specialist advice to feed into plans and actions		In Progress	Tony Bradford	
	ENV0142/004	Developing a framework for sharing best practice including the county council's internal Tree Health Network		In Progress	Tony Bradford	
	ENV0142/005	Lobbying the government for support and assistance in responding to the tree health issue in the county		In Progress	Simon Aries	
	ENV0142/006	Identify the financial pressures and secure resources through the Integrated Planning Process where appropriate		In Progress	Simon Aries	
	ENV0142/007	Establish extent and potential liability of tree population on non-Highway HCC land incl Property HCC is responsible to manage		In Progress	Angela Bucksey	
	ENV0142/008	Develop and undertake a coordinated approach across Hertfordshire to deliver a cost effective, proportionate, efficient response		In Progress	Simon Aries	

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	ENV0142/009	Appropriate tree inspection regimes on highway land; summer inspections; staff trained to identify symptoms of relevant diseases		In Progress	Mike Younghusband	
	ENV0142/012	Ensure all relevant departments in the county council have appropriate tree risk policies and procedures in place		In Progress	Simon Aries	
	ENV0142/010	Appropriate tree inspection regimes - HCC land; staff trained to identify disease		In Progress	Angela Bucksey	
	ENV0142/011	Raise awareness and share best practice amongst public, staff, schools (Schools Grid), incl employ a 2 year Tree Health Officer		In Progress	Tony Bradford	
	ENV0142/013	Development of a plant procurement protocol for HCC		In Progress	Patrick Stiles	
	ENV0142/014	Work with partners to plan for restoration of the post-ash dieback landscape		Proposed	Tony Bradford	

<p><b>CSF0055</b> <i>Opportunity to be Healthy and Safe</i></p> <p><b>Current Category: Corporate</b></p> <p>In the event of inappropriate care or attention there is a risk that a child or young person could die or become seriously injured.</p>	<p>Jenny Coles</p> <p>Director of Children's Services</p>	<p>This risk was discussed at CS Core Board on 6th October 2016 and it was agreed that it remains as it is. Reviewed On :07/10/2016</p>	<p><b>Severe</b> <b>32</b></p> <p><b>Probability</b> Unlikely 2</p> <p><b>Impact</b> Very High 16</p>	<p>↔</p>	<p><b>Severe</b> <b>32</b></p> <p><b>Probability</b> Unlikely 2</p> <p><b>Impact</b> Very High 16</p>	<p><b>Severe</b> <b>32</b></p> <p><b>Probability</b> Unlikely 2</p> <p><b>Impact</b> Very High 16</p>
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<b>Controls:</b>	<u>Ref</u>	<u>Control Description</u>			<u>Status</u>	<u>Owner</u>
	CSF0055/003	Maintain casework practice and implement recommendations of reviews			In Progress	Sue Williams
	CSF0055/004	Continually monitor and review safeguarding practice and services within the council and with partners under the HSCB			In Progress	Sue Williams
	CSF0055/005	Implement peer review and inspection actions			In Progress	Sue Williams

<b>CSHF0002</b> <i>Delivering our Vision</i> <b>Current Category: Corporate</b> There is a risk that HCC's pension fund level may not improve sufficiently to cover accrued pension costs because of economic conditions, poor investment or ineffective governance	Claire Cook  Assistant Director Finance	The performance of the fund continues to be monitored. Quarterly Actuarial Navigator reports are shared with the pensions committee. Latest position shows the funding level to be around 79%. Reviewed On :26/09/2016	<div style="background-color: red; color: white; text-align: center; padding: 5px;"><b>Severe</b> 32</div>		<div style="background-color: red; color: white; text-align: center; padding: 5px;"><b>Severe</b> 32</div>	<div style="background-color: red; color: white; text-align: center; padding: 5px;"><b>Severe</b> 32</div>
			<b>Probability</b> Unlikely 2  <b>Impact</b> Very High 16		<b>Probability</b> Unlikely 2  <b>Impact</b> Very High 16	<b>Probability</b> Unlikely 2  <b>Impact</b> Very High 16

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<b>Controls:</b>	<u>Ref</u>	<u>Control Description</u>		<u>Status</u>	<u>Owner</u>	
	CSHF0002/002	Monitor ongoing market conditions and fund performance.		Existing	Patrick Towey	
	CSHF0002/003	Ensure investment decisions are made in line with the strategy and are adequately diversified		In Progress	Patrick Towey	
	CSHF0002/004	Ensure that bond guarantee arrangements are in place for guaranteed admitted bodies which are subject to ongoing monitoring		In Progress	Patrick Towey	
	CSHF0002/005	Ensure that new LGPS and other pension arrangements are implemented effectively		In Progress	Sally Hopper	

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<p><b>ENV0104</b> <i>Delivering our Vision</i></p> <p><b>Current Category:</b> <i>Corporate</i></p> <p>In the event of the Residual Waste Treatment Programme being impacted by one or more of the following scenarios:</p> <ul style="list-style-type: none"> <li>- Revised Project Plan does not proceed or is delayed</li> <li>- Unable to secure suitable alternatives for waste disposal should the contract with VES be terminated.</li> </ul> <p>It may result in:</p> <ul style="list-style-type: none"> <li>- Increased costs to HCC</li> </ul>	<p>Simon Aries</p> <p>Assistant Director - Transport, Waste &amp; Environmental Management</p>	<p>Risk reviewed. On 17th July 2015, the County Council received notification that the application for the Recycling and Energy Recovery facility at New Barnfield had been reconsidered by the Secretary of State following an independent legal challenge by Veolia Environmental Services Ltd (VES) and that planning permission has been refused. Following the Highways and Waste Management Cabinet Panel and Cabinet meetings in November, it was agreed to request a Revised Project Plan (RPP) from VES. VES submitted the draft RPP on 7th July 2015 in accordance with the contract. Following evaluation of the RPP a report detailing VES' proposal for an energy recovery facility at Rye House, Hoddesdon, was taken to the Community Safety and Waste Management Cabinet Panel on 4th March 2016 and</p>	<p><b>Severe</b> 32</p> <p><b>Probability</b> Likely 4</p> <p><b>Impact</b> High 8</p>	<p>↔</p>	<p><b>Severe</b> 32</p> <p><b>Probability</b> Likely 4</p> <p><b>Impact</b> High 8</p>	<p><b>Material</b> 8</p> <p><b>Probability</b> Rare 1</p> <p><b>Impact</b> High 8</p>



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		Cabinet on 14th March 2016 where a decision was made to accept the RPP in Principle. VES has commenced work on a planning application for the site. Following the acceptance of the Revised Project Plan (RPP) Veolia are working on a planning application for the Energy Recovery facility at the Hoddesdon site. It is anticipated that the application will be submitted in autumn 2016. Reviewed On :06/10/2016				
<b>Controls:</b>	<u>Ref</u>	<u>Control Description</u>			<u>Status</u>	<u>Owner</u>
	ENV0104/001	Scenario planning			In Progress	Simon Aries
	ENV0104/002	Legal & financial advice			In Progress	Simon Aries
	ENV0104/003	Liaison with contractor			Existing	Simon Aries
	ENV0104/004	Management of Political Processes			Existing	Simon Aries
	ENV0104/006	Technical advice			Existing	Simon Aries

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<b>HCS0010</b> <i>Opportunity to be Healthy and Safe</i> <b>Current Category: Corporate</b> Inability to attract an increased number of careworkers in line with the Health and Community Services Workforce Strategy leading to non-compliance with the Care Act 2014 duties and customer dissatisfaction.	Iain MacBeath  Director of Health and Community Services	Risk reviewed by owner. Risk confirmed as same probability and impact. Waiting list reduced slightly, recruitment and retention still an issue. Monitoring impact of Brexit and Care Workforce Reviewed On :23/09/2016	<div style="background-color: red; color: white; text-align: center; padding: 5px;"><b>Severe 32</b></div> Probability Likely 4 Impact High 8	↔	<div style="background-color: red; color: white; text-align: center; padding: 5px;"><b>Severe 32</b></div> Probability Likely 4 Impact High 8	<div style="background-color: green; color: white; text-align: center; padding: 5px;"><b>Manageable 4</b></div> Probability Unlikely 2 Impact Low 2
<b>Controls:</b>	<u>Ref</u>	<u>Control Description</u>	<u>Status</u>	<u>Owner</u>		
	HCS0010/001	Regular reporting on workforce strategy to HCSMB	Existing	Frances Heathcote		
	HCS0010/002	Monitoring of new staffing requirements for whole sector in place within commissioning.	In Progress	Frances Heathcote		
	HCS0010/007	Contingency planning around key areas of risk	Existing	Frances Heathcote		

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Risk Ref Risk Description Corporate Priority Category	Risk Owner	Progress Update	Previous Risk Score	Movement Direction	Current Risk Score	Target Risk Score
<b>HCS0012</b> <i>Opportunity to be Healthy and Safe</i> <b>Current Category: Corporate</b> Due to national NHS commissioning changes from May 2015 there may be structural changes to NHS commissioning, leading to financial uncertainty for jointly commissioned projects including the Better Care Fund within Hertfordshire County Council.	Iain MacBeath  Director of Health and Community Services	Risk confirmed as same probability and impact. £18.5m secured for 2016/17. HCS Board members are in open dialogue about future support from NHS and protection of social care monies Reviewed On :16/09/2016	<div style="background-color: red; color: white; padding: 5px; text-align: center;"><b>Severe 32</b></div> Probability Likely 4 Impact High 8	↔	<div style="background-color: red; color: white; padding: 5px; text-align: center;"><b>Severe 32</b></div> Probability Likely 4 Impact High 8	<div style="background-color: orange; padding: 5px; text-align: center;"><b>Significant 16</b></div> Probability Unlikely 2 Impact High 8
<b>Controls:</b>	<b>Ref</b>		<b>Control Description</b>		<b>Status</b>	<b>Owner</b>
	HCS0012/001		Section 75 arrangements in place between NHS and HCC		In Progress	Iain MacBeath
	HCS0012/002		Agreed governance arrangements between CCGs and HCS		In Progress	Iain MacBeath
	HCS0012/003		Joint Integrated Planning Process (IPP) planning with CCGs.		In Progress	Iain MacBeath
	HCS0012/004		Transformation through Better Care Fund.		In Progress	Iain MacBeath
	HCS0012/005		Agreement that social care will form part of financial bridge incorporated into the sustainability and transformation plan		In Progress	Iain MacBeath

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<b>HCSCP0001</b> <i>Opportunity to be Healthy and Safe</i> <b>Current Category: Corporate</b> In the event of the quality of care from internal and external HCS care providers becoming inadequate resulting in the death or severe abuse of a client	Frances Heathcote  Assistant Director Health and Community Commissioning	Risk reviewed September 2016. No changes required Reviewed On :27/09/2016	<div style="background-color: red; color: white; padding: 5px; text-align: center;"> <b>Severe</b>  <b>32</b> </div> Probability Unlikely 2 Impact Very High 16		<div style="background-color: red; color: white; padding: 5px; text-align: center;"> <b>Severe</b>  <b>32</b> </div> Probability Unlikely 2 Impact Very High 16	<div style="background-color: red; color: white; padding: 5px; text-align: center;"> <b>Severe</b>  <b>32</b> </div> Probability Unlikely 2 Impact Very High 16
<b>Controls:</b>	<b>Ref</b>	<b>Control Description</b>	<b>Status</b>	<b>Owner</b>		
	HCSCP0001/001	Assessment and care management procedures in Health & Community Services	Existing	Chris Badger		
	HCSCP0001/002	Hertfordshire's multi-agency safeguarding adults policy and procedures	Existing	Sue Darker		
	HCSCP0001/003	HCS Contract Monitoring Procedures	Existing	Frances Heathcote		
	HCSCP0001/004	Complaints and representations procedure	Existing	Sue Fox		
	HCSCP0001/005	Appropriate and effective supervision of operational staff	Existing	Sue Darker		
	HCSCP0001/006	MAPPA strategic board collaboration to protect vulnerable adults	Existing	Sue Darker		
	HCSCP0001/007	Learning and development of care providers	Existing	Mark Gwynne		

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<b>HCSMH0002</b> <i>Opportunity to be Healthy and Safe</i> <b>Current Category: Corporate</b> As a result of the 2014 Supreme Court ruling around Deprivation of Liberty Safeguards (DOLS) there is a risk that an inability to conduct best interest assessments within legal timeframes could lead to unlawful detention of people and potential legal and compensation challenges to HCC.	Sue Darker  Operations Director, Learning Disabilities and Mental Health	Risk reviewed by risk owner. No change required to impact or probability Reviewed On :04/10/2016	<div style="background-color: red; color: white; padding: 5px; text-align: center;"><b>Severe</b> <b>32</b></div> Probability Likely 4  Impact High 8	↔	<div style="background-color: red; color: white; padding: 5px; text-align: center;"><b>Severe</b> <b>32</b></div> Probability Likely 4  Impact High 8	<div style="background-color: yellow; padding: 5px; text-align: center;"><b>Material</b> <b>8</b></div> Probability Unlikely 2  Impact Medium 4
<b>Controls:</b>	<b>Ref</b>	<b>Control Description</b>			<b>Status</b>	<b>Owner</b>
	HCSMH0002/001	Monthly meetings with Lawyers and Operations Director.			In Progress	Sue Darker
	HCSMH0002/003	Projection for next years workload - Forward Planning			In Progress	Sue Darker

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<b>HCSOPD0001</b> <i>Opportunity to be Healthy and Safe</i> <b>Current Category: Corporate</b> Due to increased demands from the NHS for assistance discharging patients from hospital, (this includes new groups of patients not previously referred to social care and admission avoidance), there is a risk of delays in discharging some patients requiring HCC input, which may result in financial and reputational consequences.	Iain MacBeath  Director of Health and Community Services	Work with NHS is ongoing to reflect the new sustainability and transformational plan already in place Reviewed On :16/09/2016	<div style="background-color: red; color: white; padding: 5px; text-align: center;"><b>Severe 32</b></div> Probability Likely 4 Impact High 8	↔	<div style="background-color: red; color: white; padding: 5px; text-align: center;"><b>Severe 32</b></div> Probability Likely 4 Impact High 8	<div style="background-color: orange; padding: 5px; text-align: center;"><b>Significant 16</b></div> Probability Unlikely 2 Impact High 8
<b>Controls:</b>	<u>Ref</u>	<u>Control Description</u>	<u>Status</u>	<u>Owner</u>		
	HCSOPD0001/001	Regular performance monitoring by HCS Management Board and budget managers	Existing	Chris Badger		
	HCSOPD0001/003	Financial authorisation procedures in place and applied constantly	Existing	Chris Badger		
	HCSOPD0001/008	Intergrated discharge arrangements planned for all major acute hospitals that accept Hertfordshire patients	Complete	Iain MacBeath		
	HCSOPD0001/009	New Commissioning Module for all Specialist Care at Home from hospital	In Progress	Iain MacBeath		

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<p><b>HR0021</b> <i>Delivering our Vision</i></p> <p><b>Current Category:</b> <i>Corporate</i></p> <p>If we fail to retain, attract and recruit the right people and right skills and maintain staff engagement at all levels, there may be a significant impact on service delivery and major cost implications. [Formerly CSCE0007]</p>	<p>Sally Hopper</p> <p>Assistant Director, Human Resources</p>	<p>Turnover has increased notably compared to December (now at 13.6%) impacted by improvements in private sector jobs market and potential impact of proposed 1% pay cap over next 4 years. We are likely to see a further slight increase in turnover continuing in 2016. Continued difficulties recruiting and retaining some key groups. Continuing to monitor turnover and retention and ensure recruitment advertising and branding is strong. Careers portal continues to attract healthy website traffic to the recruitment pages with 55,000 users in August 2016. Reviewed On :14/09/2016</p>	<p><b>Severe</b> <b>32</b></p> <p><b>Probability</b> Likely 4</p> <p><b>Impact</b> High 8</p>	<p>↔</p>	<p><b>Severe</b> <b>32</b></p> <p><b>Probability</b> Likely 4</p> <p><b>Impact</b> High 8</p>	<p>Significant 16</p> <p><b>Probability</b> Unlikely 2</p> <p><b>Impact</b> High 8</p>

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<b>Controls:</b>	<u>Ref</u>	<u>Control Description</u>		<u>Status</u>	<u>Owner</u>	
	HR0021/001	Regular monitoring, workforce planning and forecasting - e.g. incl talent management and succession planning		Existing	Sally Hopper	
	HR0021/007	Ensure the ability to call upon key service providers to meet any short term in-house skills gap		Existing	Sally Hopper	
	HR0021/008	Regular monitoring of the employment 'package' to help ensure HCC remains an Employer of Choice		Existing	Sally Hopper	
	HR0021/010	Maintain and support PMDS scheme, appropriate career schemes and associated training. (replaces controls CSCE0007/003 and 004)		In Progress	Sally Hopper	
	HR0021/012	Develop, implement and embed employee comms, engagement and well-being initiatives, incl Herts Manager & Stakeholder Management		In Progress	Sally Hopper	
	HR0021/013	Develop a future focused strategy for resourcing, including a focus on young people, re-deployment and re-skilling.		In Progress	Sally Hopper	
	HR0021/014	Proactive approach to managing demand and supply e.g. QSW's in collaboration with other LA's		In Progress	Sally Hopper	
	HR0021/015	Target Public Health recruitment at specialist networks, journals and social media sites		In Progress	Alison Hardy	
	HR0021/016	Monitor the external recruitment market including senior manager pay to ensure remain competitive		Existing	Sally Hopper	



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	HR0021/017	Talent & succession plans in place to support future organisation		In Progress		Sally Hopper
<b>PROP0022</b> <i>Opportunity to Prosper</i> <b>Current Category: Corporate</b> As a result of changes to the way in which development contributions will be collected from new developments through use of Community Infrastructure Levy (CIL) and Section 106 contributions, and the delay in introduction of the new arrangements across all district authorities there is a risk that there may be insufficient money to support infrastructure needs derived from new housing developments etc.[Formerly CSCE0023]	Angela Bucksey  Assistant Director - Property	The risk and control measures have been reviewed and there are no changes to scores. Reviewed On :23/09/2016	<div style="background-color: red; color: white; padding: 5px; text-align: center;"><b>Severe</b> <b>32</b></div> Probability Likely 4  Impact High 8	↔	<div style="background-color: red; color: white; padding: 5px; text-align: center;"><b>Severe</b> <b>32</b></div> Probability Likely 4  Impact High 8	<div style="background-color: orange; padding: 5px; text-align: center;"><b>Significant</b> <b>12</b></div> Probability Possible 3  Impact Medium 4

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<b>Controls:</b>	<u>Ref</u>	<u>Control Description</u>			<u>Status</u>	<u>Owner</u>
	PROP0022/002	Engage additional staff resource to drive forward work with Districts on Local Plans			Existing	Jacqueline Nixon
	PROP0022/003	To work effectively with District planners to communicate and identify the required infrastructure			Existing	Jacqueline Nixon
	PROP0022/004	Provide regular updates to Members/stakeholders working with Districts to secure support for successful implementation of CIL			Existing	Angela Bucksey
	PROP0022/005	Identification of possible alternative funding sources and interaction with fund bidding processes			Existing	Angela Bucksey
	PROP0022/006	Develop & maintain dialogue with central government depts as necessary to inform and influence policy and funding decisions			Existing	Angela Bucksey
	PROP0022/007	Establish working relationships with Parish & Town Councils as necessary to achieve effective use of CIL funding			Existing	Angela Bucksey
	PROP0022/008	Work with Districts to bring forward their Local Plans CIL charging and support HCC Infrastructure requirements			Existing	Jacqueline Nixon
	PROP0022/009	Work with districts regarding CIL bidding process to seek to maximise understanding and acceptance of HCC need.			Proposed	Jacqueline Nixon

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<b>CP0004</b> <i>Opportunity to be Healthy and Safe</i> <b>Current Category: Corporate</b> As a result of disruptive factors influencing the lives of people in Hertfordshire, there is a risk that residents or staff become radicalised or drawn into terrorism, which could cause harm to themselves or the wider public and reduce community / social cohesion.	Darryl Keen  Deputy Chief Fire Officer	The Risk owner has reviewed this Risk and confirmed there are no changes at the present time Reviewed On :30/09/2016	Significant 24  Probability Possible 3  Impact High 8	↔	Significant 24  Probability Possible 3  Impact High 8	Significant 16  Probability Unlikely 2  Impact High 8
<b>Controls:</b>	<b>Ref</b>	<b>Control Description</b>	<b>Status</b>	<b>Owner</b>		
	CP0004/002	Prevent Board to develop and regularly review progress of the Prevent action plan	In Progress	Darryl Keen		
	CP0004/004	Hertfordshire Channel Panel established as required by the Counter Terrorism and Security Act 2015	Existing	Darryl Keen		
	CP0004/005	Development of appropriate training to meet requirements of HCC Prevent action plan	In Progress	Darryl Keen		
	CP0004/006	Collaboration with partners (incl schools) to coordinate Prevent activities	Proposed	Darryl Keen		

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Risk Ref Risk Description Corporate Priority Category	Risk Owner	Progress Update	Previous Risk Score	Movement Direction	Current Risk Score	Target Risk Score
<b>CPRES0009</b> <i>Opportunity to Thrive</i> <b>Current Category: Corporate</b> If there is insufficient preparation for increased frequency of extreme weather events resulting from climate change, then there might be negative impacts on service delivery, user access to service provision and to the reputation of the Council.	Ian Parkhouse  Assistant Chief Fire Officer - Response and Resilience	Risk and controls reviewed. Changes to controls 001, 002 and 003. Reviewed On :30/09/2016	<div style="background-color: orange; padding: 5px; text-align: center;">                         Significant 24                     </div> Probability Possible 3 Impact High 8	↔	<div style="background-color: orange; padding: 5px; text-align: center;">                         Significant 24                     </div> Probability Possible 3 Impact High 8	<div style="background-color: orange; padding: 5px; text-align: center;">                         Significant 12                     </div> Probability Possible 3 Impact Medium 4
<b>Controls:</b>	<u>Ref</u> <u>Control Description</u>		<u>Status</u>		<u>Owner</u>	
	CPRES0009/001	Appropriate business continuity arrangements in place and regular annual reviews carried out	Existing		Rad Bristow	
	CPRES0009/002	Continually developing partnership working with agencies developing risk reduction strategies multi agency warn&inform strategy	In Progress		Rad Bristow	
	CPRES0009/003	Each service holds a service level risk which is monitored and reviewed on a regular basis by the resilience team	Existing		Rad Bristow	

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<b>CSF0070</b> <i>Opportunity to Thrive</i> <b>Current Category: Corporate</b> In the event of inadequate capital being made available from a number of funding streams, part of the costs of delivering the secondary expansion programme and/or schools required to meet demand in new housing developments may need to be met from the council's own resources having exhausted all other eventualities.	Simon Newland  Assistant Director (Education Provision & Access)	The risk was discussed at CS Core Board on 6th October 2016 and it was agreed it should remain in place. Reviewed On :07/10/2016	Significant 24  Probability Possible 3  Impact High 8		Significant 24  Probability Possible 3  Impact High 8	Material 8  Probability Unlikely 2  Impact Medium 4
<b>Controls:</b>	<b>Ref</b>		<b>Control Description</b>		<b>Status</b>	<b>Owner</b>
	CSF0070/005		Minimise the number of expansions undertaken including by ensuring information management is fit for purpose		In Progress	Simon Newland
	CSF0070/006		Ensure value for money		In Progress	Simon Newland
CSF0070/007		Secure access to additional funding from DfE		In Progress	Simon Newland	

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<p><b>CSHF0005</b> <i>Delivering our Vision</i></p> <p><b>Current Category:</b> <i>Corporate</i></p> <p>In the event of a reduction in government and external funding there is a risk of a funding gap which may result in the need to identify measures to further reduce service spend leading to deterioration or interruption of front line service delivery</p>	<p>Claire Cook</p> <p>Assistant Director Finance</p>	<p>That final Revenue Support Grant settlement announced on 10 February means the Government grant has been cut by a third. The authority has plans in place to deliver a balanced budget for 2016/17; this includes the transitional funding that the government have made available for 2016/17 and 2017/18 as well as a number of other measures that are capable of immediate implementation. However, the outlook for future years remains challenging. Given this, SMB are working with members to bring forward a set of savings proposals early in 2016/17 in order to address the budget gap in 2017/18 and future years. There is also a risk to Educational Services Grant (ESG) which will impact Hertfordshire County Council greatly. Proposed changes to business rates will affect funding, detail not yet known.</p>	<p>Significant 24</p> <p>Probability Possible 3</p> <p>Impact High 8</p>	<p>↔</p>	<p>Significant 24</p> <p>Probability Possible 3</p> <p>Impact High 8</p>	<p>Manageable 4</p> <p>Probability Rare 1</p> <p>Impact Medium 4</p>

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		There is potential risk to expected funding following the referendum decision to leave the EU. Reviewed On :26/09/2016				
<b>Controls:</b>	<u>Ref</u>	<u>Control Description</u>		<u>Status</u>	<u>Owner</u>	
	CSHF0005/005	Timely reporting to senior managers highlighting risks relating to available resources to enable mitigations to be made.		In Progress	Lindsey McLeod	
	CSHF0005/007	Work with districts to monitor changes to business rates related to loss of businesses/impact revaluations/improve collection.		In Progress	Claire Cook	
	CSHF0005/008	HCS Board members are engaged in negotiations with the NHS about future protection of social care		In Progress	Iain MacBeath	
	CSHF0005/009	Monitor the impact of proposed changes to Education Funding to enable senior officers/members to make timely/informed decisions.		In Progress	Abioye Asimolowo	

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<b>CSHF0015</b> <i>Opportunity to Thrive</i> <b>Current Category: Corporate</b> There is a risk that the Authority does not develop sufficient timely proposals to deal with the ongoing reductions in funding/resources which may lead to unplanned reduction of services or the need to draw on reserves.[Formerly CSCE0017]	Claire Cook  Assistant Director Finance	Risk and control measures reviewed and updated accordingly. Reviewed On :26/09/2016	Significant 24  Probability Possible 3  Impact High 8	↔	Significant 24  Probability Possible 3  Impact High 8	Significant 16  Probability Unlikely 2  Impact High 8
<b>Controls:</b>	<b>Ref</b>		<b>Control Description</b>		<b>Status</b>	<b>Owner</b>
	CSHF0015/004		Horizon scanning/policy Network		In Progress	Alex James
	CSHF0015/001		A transformation programme that supports the organisation to deliver the necessary efficiencies including work with partners.		In Progress	Claire Cook
	CSHF0015/002		Take account and anticipate changes through analysis of Government papers/announcement so management can make informed decisions		In Progress	Lindsey McLeod
	CSHF0015/003		Continue to carry out Service-led budget reviews		In Progress	Lindsey McLeod



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<p><b>HCS0011</b> <i>Opportunity to be Healthy and Safe</i> <b>Current Category:</b> <i>Corporate</i></p> <p>In the event of significant, increasing demand on health and social care services, there is a risk that the Better Care Fund pooled budget may not be sufficient to meet future demand for services</p>	<p>Jamie Sutterby</p> <p>Assistant Director, Health Integration (E&amp;NH)</p>	<p>Risk reviewed by Risk Owner on 5th October 2016. No change required to risk, probability or impact Reviewed On :05/10/2016</p>	<p>Significant 24</p> <p>Probability Possible 3</p> <p>Impact High 8</p>	<p>↔</p>	<p>Significant 24</p> <p>Probability Possible 3</p> <p>Impact High 8</p>	<p>Material 8</p> <p>Probability Unlikely 2</p> <p>Impact Medium 4</p>

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<b>Controls:</b>	<u>Ref</u>	<u>Control Description</u>		<u>Status</u>	<u>Owner</u>	
	HCS0011/001	The approach Hertfordshire have taken in constituting the BCF ensures the stability of finance for many BCF funded services		In Progress	Keir Mann	
	HCS0011/002	Regular monitoring of metrics through joint governance structures to identify lack of progress and areas for improvement		In Progress	Keir Mann	
	HCS0011/003	Agreement of risk sharing and contingency plans with NHS partners		In Progress	Keir Mann	
	HCS0011/004	Pay for performance funding used to fund projects across providers, risk shared, rather than concentrated in single provider.		Complete	Keir Mann	
	HCS0011/006	Increased allocations to BCF budget from CCGs		Existing	Keir Mann	
	HCS0011/007	Reducing spend on acute admissions and other services as a result of BCF projects and other health and social care system change		In Progress	Keir Mann	
	HCS0011/008	Better Care fund plan agreed by HWB		In Progress	Keir Mann	
	HCS0011/009	Scoping opportunities for joint commissioning between HCC and CCGs		In Progress	Keir Mann	

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<p><b>HR0018</b> <i>Delivering our Vision</i></p> <p><b>Current Category:</b> <i>Corporate</i></p> <p>In the event of a failure to train employees to required standards, there is a risk that staff are not fully competent in their roles, which could lead to the death, serious injury or harm to service users, members of the public or staff themselves e.g. front facing staff like QSWs and staff with access to vulnerable adults and children</p>	<p>Sally Hopper</p> <p>Assistant Director, Human Resources</p>	<p>HR are currently reviewing the Learning &amp; Development offering. Reviewed On :19/09/2016</p>	<p>Significant 24</p> <p>Probability Possible 3</p> <p>Impact High 8</p>	<p>↔</p>	<p>Significant 24</p> <p>Probability Possible 3</p> <p>Impact High 8</p>	<p>Significant 16</p> <p>Probability Unlikely 2</p> <p>Impact High 8</p>

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Date filtered on: 11/08/2016



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<b>Controls:</b>	<u>Ref</u>	<u>Control Description</u>		<u>Status</u>	<u>Owner</u>	
	HR0018/001	Enable review and monitoring of training provision; through People Strategy, Strategic Workforce Planning, Employee Lifecycle		In Progress	Sally Hopper	
	HR0018/002	Management Development Programme to deliver more mentoring/coaching opportunities for managers to develop in house talent		In Progress	Sally Hopper	
	HR0018/003	Incorporate HCC values & leadership qualities into new training provisions for managers		In Progress	Sally Hopper	
	HR0018/004	Regular monitoring, workforce planning and forecasting - e.g. incl talent management and succession planning		Existing	Sally Hopper	
	HR0018/005	Maintain and support PMDS scheme, appropriate career schemes and associated training, coaching / mentoring		In Progress	Sally Hopper	
	HR0018/006	Deliver appropriate training to meet requirements of HCC Prevent action plan.		In Progress	Sally Hopper	

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<p><b>IMP0002</b> <i>Delivering our Vision</i></p> <p><b>Current Category:</b> <i>Corporate</i></p> <p>A significant proportion of the Council's expenditure is accounted for by externally commissioned services. In the event of insufficient skills in commissioning / contract management and competencies along with a lack of application of effective monitoring, governance and contract management rigour, there is a risk of poor value, inadequate service provision and data security and/or failure of externally delivered services, which could lead to disruption of service delivery. [Formerly CSCE0019]</p>	<p>Stuart Bannerman Campbell</p> <p>Assistant Director - Impr ovement and Technology</p>	<p>The risk owner has reviewed the risk and controls and there is no change. Reviewed On :06/10/2016</p>	<p>Significant 24</p> <p>Probability Possible 3</p> <p>Impact High 8</p>	<p>↔</p>	<p>Significant 24</p> <p>Probability Possible 3</p> <p>Impact High 8</p>	<p>Material 8</p> <p>Probability Rare 1</p> <p>Impact High 8</p>

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<b>Controls:</b>	<u>Ref</u>	<u>Control Description</u>		<u>Status</u>		<u>Owner</u>
	IMP0002/002	Effective use of The `Do, Buy, Share' model of procurement		In Progress		Paul Drake
	IMP0002/005	Specialist procurement training programme commences Jan 2014		In Progress		Paul Drake
	IMP0002/006	Regular newsletter and Contracting Best Practice meeting which takes place bi monthly		In Progress		Paul Drake
	IMP0002/008	SPG team specialist support to key business areas		In Progress		Paul Drake
	IMP0002/009	Undertake a review of the procurement / commissioning approach across the county in Autumn 2015 and investigate any skills needs		In Progress		Paul Drake
	IMP0002/010	Effective service and contractual checks are made by contracting managers pre contract placement and on an ongoing basis		In Progress		Paul Drake
	IMP0002/011	HCC's Technology team provide support to contracting managers to assess ICT implications and security.		In Progress		David Mansfield

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<b>AUDIT0001</b> <i>Delivering our Vision</i> <b>Current Category: Corporate</b> There is a risk that the Council experiences significant fraud	Terry Barnett  Head of Assurance	The risk and controls have been reviewed and there are no changes Reviewed On :06/10/2016	Significant 16  Probability Likely 4  Impact Medium 4		Significant 16  Probability Likely 4  Impact Medium 4	Material 8  Probability Unlikely 2  Impact Medium 4
<b>Controls:</b>	<b>Ref</b>		<b>Control Description</b>		<b>Status</b>	<b>Owner</b>
	AUDIT0001/001		Risk based programme of work by both SIAS and SAFS focussing on areas that are susceptible to fraud		In Progress	Terry Barnett
	AUDIT0001/006		Managing the content from the Fraud reporting facility available on Herts Direct and Compass		In Progress	Terry Barnett
	AUDIT0001/007		Oversight of fraud risk at audit committee		In Progress	Terry Barnett

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<b>CPRES0001</b> <i>Delivering our Vision</i> <b>Current Category: Corporate</b> In the event of a failure of the Local Resilience forum to provide adequate inter-agency plans which correctly identify the capabilities required to deal with a major emergency in Hertfordshire there is a risk that Hertfordshire's multi- agency response may not be fully effective (formerly SERMU0001)	Ian Parkhouse  Assistant Chief Fire Officer - Response and Resilience	The Risk owner has reviewed this risk and confirmed there are no changes at the present time Reviewed On :30/09/2016	<div style="background-color: orange; padding: 5px; text-align: center;">                         Significant 16                     </div> Probability Rare 1  Impact Very High 16		<div style="background-color: orange; padding: 5px; text-align: center;">                         Significant 16                     </div> Probability Rare 1  Impact Very High 16	<div style="background-color: orange; padding: 5px; text-align: center;">                         Significant 16                     </div> Probability Rare 1  Impact Very High 16
<b>Controls:</b>	<b>Ref</b>	<b>Control Description</b>	<b>Status</b>	<b>Owner</b>		
	CPRES0001/001	LRF business plan to address areas of concern / key priorities	Existing	Rad Bristow		
	CPRES0001/002	HCC an active participant in LRF activity	Existing	Rad Bristow		
	CPRES0001/003	Agreed programme of training/exercising, including development plan for LRF members & internal incident response managers	Existing	Rad Bristow		
	CPRES0001/006	Regular Review and update of the Community Risk Register checking for potential risks that are relevant.	In Progress	Rad Bristow		
	CPRES0001/007	Agreed annual programme of reviewing inter-agency plans undertaken	In Progress	Rad Bristow		



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<b>CPRES0002</b> <i>Delivering our Vision</i> <b>Current Category: Corporate</b> In the event of a failure to prepare adequate Corporate and departmental generic BCP plans, there is a risk that, should a major incident take place (to building, technology & people), there may be insufficient back up arrangements in place, which could result in a higher level of disruption than anticipated causing increased disruption to key resources. (Formerly SERMU0002)	Ian Parkhouse  Assistant Chief Fire Officer - Response and Resilience	The Risk owner has reviewed this Risk and confirmed there are no changes at the present time Reviewed On :30/09/2016	Significant 16  Probability Rare 1  Impact Very High 16		Significant 16  Probability Rare 1  Impact Very High 16	Significant 16  Probability Rare 1  Impact Very High 16
<b>Controls:</b>	<b>Ref</b>	<b>Control Description</b>			<b>Status</b>	<b>Owner</b>
	CPRES0002/001	Plans in place for all departments / service areas and 4 principle office locations			Existing	Rad Bristow
	CPRES0002/002	Regular reporting to Resilience Board and SMB on plan reviews, training and exercising			Existing	Rad Bristow
	CPRES0002/003	Work programme to focus support on key areas where vulnerability is greatest			Existing	Rad Bristow

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<b>ENV0033</b> <i>Opportunity to be Healthy and Safe</i> <b>Current Category: Corporate</b> In the event of under investment there is a risk that road maintenance levels can not be maintained and general deterioration occurs, which may lead to increased number of accidents, loss of reputation and customer dissatisfaction.	Rob Smith  Deputy Director Environment	Risk reviewed - The Annual Road Maintenance Programme for 2016/17 is being delivered. No change to report in this quarter. Reviewed On :20/09/2016	Significant 16  Probability Unlikely 2  Impact High 8		Significant 16  Probability Unlikely 2  Impact High 8	Material 8  Probability Rare 1  Impact High 8
<b>Controls:</b>	<b>Ref</b>	<b>Control Description</b>			<b>Status</b>	<b>Owner</b>
	ENV0033/001	Regular performance monitoring			Existing	Rob Smith
	ENV0033/002	Efficient Asset management principles			Existing	Rob Smith
	ENV0033/003	Claims information reported regularly to Environment by the Insurance team			Existing	Fiona Timms
	ENV0033/004	Review of Maintenance Strategy			In Progress	Rob Smith
	ENV0033/005	Introduction of Highways triage system			Existing	Rob Smith
	ENV0033/006	Member decision for targeted extra investment in enhanced maintenance project			Existing	Rob Smith

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<b>HFRS0004</b> <i>Delivering our Vision</i> <b>Current Category:</b> <i>Corporate</i> In the event of a failure to meet national training requirements, poor operational performance from personnel who are not fully trained and competent in their role could lead to the death or serious injury of a firefighter.	Chris Bigland  Fire and Rescue Assistant Chief Officer - Service Support	Risk and controls reviewed. Changes to controls 001, 002 and 004. Reviewed On :30/09/2016	<div style="background-color: orange; padding: 5px; text-align: center;">                         Significant 16                     </div> Probability Unlikely 2  Impact High 8		<div style="background-color: orange; padding: 5px; text-align: center;">                         Significant 16                     </div> Probability Unlikely 2  Impact High 8	<div style="background-color: orange; padding: 5px; text-align: center;">                         Significant 16                     </div> Probability Unlikely 2  Impact High 8
<b>Controls:</b>	<u>Ref</u>	<u>Control Description</u>	<u>Status</u>	<u>Owner</u>		
	HFRS0004/001	Integrated Personal Development System	Existing	Chris Bigland		
	HFRS0004/002	Station Audit Process	Existing	Chris Bigland		
	HFRS0004/004	Feedback from standard meetings informs improvements in equipment, technique and performance to drive the Service forward	Existing	Chris Bigland		

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<b>HR0017</b> <i>Delivering our Vision</i> <b>Current Category: Corporate</b> In the event of industrial action there is a risk that services cannot be delivered effectively, which could result in harm to residents.	Sally Hopper  Assistant Director, Human Resources	Currently no live local disputes at present and the risk is being managed and mitigated. Reviewed On :14/09/2016	<div style="background-color: orange; padding: 5px; text-align: center;">                         Significant 16                     </div> Probability Unlikely 2  Impact High 8		<div style="background-color: orange; padding: 5px; text-align: center;">                         Significant 16                     </div> Probability Unlikely 2  Impact High 8	<div style="background-color: yellow; padding: 5px; text-align: center;">                         Material 8                     </div> Probability Unlikely 2  Impact Medium 4
<b>Controls:</b>	<b>Ref</b>	<b>Control Description</b>	<b>Status</b>	<b>Owner</b>		
	HR0017/001	Engagement with recognised trade unions and robust co-ordination of response to industrial action	In Progress	Sally Hopper		
	HR0017/002	Workforce engagement, change management and adherence to statutory requirements for consultation	Existing	Sally Hopper		
	HR0017/003	BCP plans are in place to maintain a level of service throughout HCC during a period of industrial action	In Progress	Rad Bristow		

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<b>HR0022</b> <i>Delivering our Vision</i> <b>Current Category: Corporate</b> If we fail to comply with safe staffing legislation and agreed HCC policy and practice there is a risk this could lead to a lack of protection for HCC service users (e.g. children and vulnerable adults) [Formerly CSCE0009]	Sally Hopper  Assistant Director, Human Resources	We have commenced random sampling of employees DBS statements for groups of employees who were taken out of the re-check regime. Random samples that have been completed have had zero traces. Reviewed On :14/09/2016	<div style="background-color: orange; padding: 5px; text-align: center;">                         Significant 16                     </div> Probability Unlikely 2  Impact High 8		<div style="background-color: orange; padding: 5px; text-align: center;">                         Significant 16                     </div> Probability Unlikely 2  Impact High 8	<div style="background-color: orange; padding: 5px; text-align: center;">                         Significant 16                     </div> Probability Unlikely 2  Impact High 8
<b>Controls:</b>	<u>Ref</u>	<u>Control Description</u>	<u>Status</u>	<u>Owner</u>		
	HR0022/001	Robust policy and practice agreed and regularly reviewed by Head of Human Resources & Organisational Development	Existing	Sally Hopper		
	HR0022/003	Use learning from regular audits and QA inspections to improve policy, process and practice.	Existing	Sally Hopper		
	HR0022/005	Address cultural issues and technical understanding of line managers via training and organisational development intervention	In Progress	Sally Hopper		
	HR0022/006	Deliver appropriate training to meet requirements of HCC Prevent action plan.	In Progress	Sally Hopper		

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<p><b>PHD0014</b> <i>Opportunity to be Healthy and Safe</i> <b>Current Category: Corporate</b> In the event of a Health Protection emergency such as a communicable disease epidemic, radiological, chemical or biological agent exposure, or extreme weather conditions, there is a risk that the authority may be unable to meet its statutory duty to adequately assure multi-agency health protection arrangements and as a result there are high rates of morbidity or mortality of Hertfordshire residents</p>	<p>Joel Bonnet  Deputy Director of Public Health</p>	<p>No change to this risk Reviewed On :12/09/2016</p>	<p>Significant 16  Probability Rare 1  Impact Very High 16</p>	<p>↔</p>	<p>Significant 16  Probability Rare 1  Impact Very High 16</p>	<p>Significant 16  Probability Rare 1  Impact Very High 16</p>

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<b>Controls:</b>	<b>Ref</b>	<b>Control Description</b>			<b>Status</b>	<b>Owner</b>
	PHD0014/001	The Health Protection Committee meets quarterly to discuss issues of health protection and plan health protection arrangements			In Progress	Gill Goodlad
	PHD0014/002	The Local Health Resilience Partnership (LHRP) meets quarterly			In Progress	Jim McManus
	PHD0014/003	HCC Multi Agency Emergency Response Plan (Version 3.3 November 2013) – describes Hertfordshire approach to emergency situations			Existing	Rad Bristow
	PHD0014/004	Structures processes and people in place - allow communication between key partners for review and monitoring of the			In Progress	Jim McManus
	PHD0014/005	Hertfordshire follows the national guidance on management of infectious outbreaks and pandemic flu			In Progress	Jim McManus
<b>PROP0020</b> <i>Opportunity to Prosper</i> <b>Current Category: Corporate</b>  As a result of changes in the UK and Local economic climate, which dictates the sale value of assets for disposal, there is a risk that the sale of assets may not provide the level of capital receipts to meet the target. (Formerly PROP0002)	Angela Bucksey  Assistant Director - Property	Risk and control measures have been reviewed with no changes to scores. Reviewed On :23/09/2016	<b>Significant</b> 16  <b>Probability</b> Unlikely 2  <b>Impact</b> High 8	↔	<b>Significant</b> 16  <b>Probability</b> Unlikely 2  <b>Impact</b> High 8	<b>Material</b> 8  <b>Probability</b> Unlikely 2  <b>Impact</b> Medium 4

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<b>Controls:</b>	<u>Ref</u>	<u>Control Description</u>			<u>Status</u>	<u>Owner</u>
	PROP0020/002	Maintain awareness of market conditions & potential for change for written report and brief Resources & Performance Exec Member			Existing	Angela Bucksey
	PROP0020/003	Continue to determine the latest market value before taking any asset to sale			Existing	Mike Evans
	PROP0020/004	Take advantage of sale opportunities such as unsolicited approaches where possible subject to procurement rules being followed			Existing	Mike Evans
<b>TEC0004</b> <i>Delivering our Vision</i> <b>Current Category: Corporate</b>  In the event of failing to maintain and ensure the use of our security systems, technical protocols and change management processes, there is a risk of a cyber attack (virus, penetration or malicious internal action) on HCC's ICT environments causing significant service disruption and possible data loss	David Mansfield  Head of Technology	Current control measures remain unchanged Reviewed On :30/09/2016	<b>Significant</b> 16  <b>Probability</b> Unlikely 2  <b>Impact</b> High 8	↔	<b>Significant</b> 16  <b>Probability</b> Unlikely 2  <b>Impact</b> High 8	<b>Significant</b> 16  <b>Probability</b> Unlikely 2  <b>Impact</b> High 8



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	TEC0004/001	Industry approved security measures (firewalls, desktop AV, email filtering software etc) implemented, monitored and maintained			Existing	David Mansfield
	TEC0004/002	New/updated systems/apps conform to agreed security requirements inc successful network pen testing, before implementation			Existing	David Mansfield
	TEC0004/004	Tech with Info Gov & HR continuously dev & deliver ICT policy/security educ/awareness training for staff, managers, mems			Existing	David Mansfield
	TEC0004/006	Rolling program of testing HCC network infrastructure including penetration testing			Existing	David Mansfield
	TEC0004/007	ICT Service Providers must adhere to our sec & tech stds in providing/implementing/updating systems & ICT infrastructure			Existing	David Mansfield

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<b>IMP0001</b> <i>Delivering our Vision</i> <b>Current Category:</b> <i>Corporate</i> There is a risk of the loss/inappropriate acquisition/disclosure of sensitive personal or commercial data, including (but not limited to) paper records/post, the electronic storage / transfer of personal data by email, fax or other technical means, and publication of data for Open Data purposes, which could lead to harm to clients, impact on HCC's reputation, incur legal action and have financial consequences (despite applying best practice there is always the possibility of human error) [Formerly CSCE0013]	Stuart Bannerman Campbell Assistant Director - Impr ovement and Technology	The risk owner has reviewed the risk and controls which continue to be effective, and there are no changes. Reviewed On :06/10/2016	<div style="background-color: #f4a460; padding: 5px; text-align: center;">                         Significant 12                     </div> Probability Possible 3 Impact Medium 4		<div style="background-color: #f4a460; padding: 5px; text-align: center;">                         Significant 12                     </div> Probability Possible 3 Impact Medium 4	<div style="background-color: #ffff00; padding: 5px; text-align: center;">                         Material 8                     </div> Probability Unlikely 2 Impact Medium 4

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	IMP0001/001	Policy framework is regularly reviewed and staff made aware of responsibilities		Existing	Martin Aust	
	IMP0001/003	Mandatory data protection training in place for all staff at induction and repeated annually and monitored for all other staff		In Progress	Elaine Dunncliffe	
	IMP0001/004	HCC is linked into the Government's secure network to enable secure data exchange with central government services		In Progress	David Mansfield	
	IMP0001/005	Research and implement additional security features to protect HCC's electronic data		In Progress	David Mansfield	
	IMP0001/016	Regular additional targeted training delivered to staff groups that handle sensitive personal data		In Progress	Elaine Dunncliffe	
	IMP0001/021	A common data sharing framework is in place and respective agreements reviewed and updated on a regular basis		In Progress	Elaine Dunncliffe	
	IMP0001/023	Programme in place to address issues where poor data quality/info handling has been identified as the cause of data breaches		In Progress	Elaine Dunncliffe	
	IMP0001/027	Implement a new and improved network printing service across the organisation		In Progress	Roger Barrett	

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<b>PROP0018</b> <i>Opportunity to be Healthy and Safe</i> <b>Current Category:</b> Corporate There is a risk that land owned by the Council and no longer required for the purpose for which it was bought may not have an active management regime in place. As a result there is a risk of an H&S incident to persons or property which could give rise to H&SE action and a liability claim.	Angela Bucksey  Assistant Director - Property	Risk and control measures reviewed with no changes to scores. Reviewed On :23/09/2016	<div style="background-color: orange; padding: 5px; text-align: center;">                         Significant 12                     </div> Probability Possible 3 Impact Medium 4		<div style="background-color: orange; padding: 5px; text-align: center;">                         Significant 12                     </div> Probability Possible 3 Impact Medium 4	<div style="background-color: green; padding: 5px; text-align: center;">                         Manageable 4                     </div> Probability Unlikely 2 Impact Low 2
<b>Controls:</b>	<u>Ref</u>	<u>Control Description</u>	<u>Status</u>	<u>Owner</u>		
	PROP0018/001	Processes to identify land to which this risk applies have been identified and are in use	Existing	Angela Bucksey		
	PROP0018/002	Agreement to be reached on what management regimes can be implemented/alternative solutions deployed to resolve potential issues	Existing	Angela Bucksey		
	PROP0018/003	Out of use land and property management processes to ensure it is managed appropriately.	Existing	Mike Evans		

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Risk Ref Risk Description Corporate Priority Category	Risk Owner	Progress Update	Previous Risk Score	Movement Direction	Current Risk Score	Target Risk Score
<p><b>PROP0021</b> <i>Opportunity to Prosper</i></p> <p><b>Current Category:</b> <i>Corporate</i></p> <p>In the event that the review of how HCC disposes of its surplus land and property assets determines that HCC should develop these sites and assets itself or through joint venture arrangements, there is a risk that such a change to the disposal policy may slow the delivery of the current £20m per annum receipt value in the current Integrated Plan.</p>	<p>Angela Bucksey</p> <p>Assistant Director - Property</p>	<p>Update on 25/10/2016: This new risk has been identified as a result of considering alternative methods for surplus land and property asset disposal. If the current review shows that better financial returns (in both capital and revenue outcomes) could be achieved by HCC developing the sites or through joint venture arrangements than the current policy of disposal with outline planning consent, then the current capital financial strategy may need to be reviewed. Undertaking such a change may slow the delivery of the current £20m per annum receipt value in the current Integrated Plan but this would only occur if the review identifies longer term financial gain to HCC is desirable. The review is underway and will complete by January 2017.</p> <p>Update on 08/11/2016: - Following discussion at</p>	<p>08/11/2016 Material 8</p> <p><b>Probability</b> Unlikely 2</p> <p><b>Impact</b> Medium 4</p>	<p>➔</p>	<p>Significant 12</p> <p><b>Probability</b> Possible 3</p> <p><b>Impact</b> Medium 4</p>	<p>Material 8</p> <p><b>Probability</b> Unlikely 2</p> <p><b>Impact</b> Medium 4</p>

# Recent movement report (incl JT) - Corporate Risk Register for November 2016 Audit Committee

Report Date: 08/11/2016

Date filtered on: 11/08/2016



Notes: References highlighted **Purple** have been added since the 11/08/2016.

Old Category is shown when there has been a change of category.

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Risk Ref Risk Description Corporate Priority Category	Risk Owner	Progress Update	Previous Risk Score	Movement Direction	Current Risk Score	Target Risk Score
		October Policy & Resources Officer Group, the risk owner has increased the score to better reflect the current risk level. Reviewed On :08/11/2016				
<b>Controls:</b>	<u>Ref</u>	<u>Control Description</u>			<u>Status</u>	<u>Owner</u>
	PROP0021/001	12 positive land sites that will provide good returns identified			In Progress	Mike Evans
	PROP0021/002	Project underway with external support to evaluate options and outcomes available from the proposed sites and report back			In Progress	Mike Evans
	PROP0021/003	Work with Finance team to reflect the options and outcomes in the capital financial strategy			In Progress	Mike Evans
<b>ENV0030</b> <i>Opportunity to be Healthy and Safe</i> <b>Current Category: Corporate</b>  In the event of a failure in road inspection and / or fault reporting procedures, there is a risk that the condition of our roads falls below expected standards, which results in injury to citizens and / or successful claims against HCC.	Rob Smith  Deputy Director Environment	Risk reviewed. The current risk score has been reduced as a result of the service's partnership with Ringway to ensure that work is carried out robustly and, thus, the target frame for repair of defects are being achieved. Additionally, an audit of inspections showed no significant issues. Reviewed On :20/09/2016	20/09/2016 Significant 16  Probability Unlikely 2  Impact High 8		Material 8  Probability Rare 1  Impact High 8	Material 8  Probability Rare 1  Impact High 8

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<b>Controls:</b>	<u>Ref</u>	<u>Control Description</u>		<u>Status</u>	<u>Owner</u>	
	ENV0030/001	Protocol for the investigation of road deaths agreed with police.		Existing	Rob Smith	
	ENV0030/002	Annual programmes of accident remedial engineering schemes, and structural and routine maintenance in place		Existing	Rob Smith	
	ENV0030/003	Broad and accessible fault reporting procedure available to members of the public		Existing	Rob Smith	
	ENV0030/004	Quarterly reports from Insurance Team on High Court Cases		Existing	Rob Smith	
	ENV0030/005	Audit of inspections & inspection programme		Existing	Rob Smith	
	ENV0030/006	Protocol for Serious injury accidents which may result in significant insurance claims		In Progress	Rob Smith	
	<u>ENV0030/007</u>	<u>Back up process for online fault report system.</u>		<u>In Progress</u>	<u>Steve Johnson</u>	