

Corporate and Strategic Risk Register for March 2019 Audit Committee

CONTENTS - Click on the [Risk Reference](#) to go to the details of the risk

RISK PAGES - Click on the Hertfordshire logo to return to the contents pages



NOTE – An arrow, and its direction, denotes any change to the risk score since the previous report and the colour of any arrow shows the previous risk category, i.e. red, amber, yellow or green. Withdrawn or de-escalated risks are no longer shown.

Risk Ref	Brief Risk Description	Risk Score	Risk Owner
ENV0104	<p>In the event of the Residual Waste Treatment Programme being impacted by one of the following scenarios:</p> <ul style="list-style-type: none"> - The Energy Recovery Facility (ERF) at Rye House does not proceed or is delayed - Unable to secure suitable, cost effective, alternatives for waste disposal should the contract with Veolia (VES) be terminated. <p>It may result in:</p> <ul style="list-style-type: none"> - Increased costs to HCC 	<div style="background-color: red; color: white; padding: 5px; width: 40px; margin: 0 auto;">40</div>	<p>Simon Aries Assistant Director - Transport, Waste & Environmental Management</p>
ENV0148	<p>As a result of TFL's abandonment of the Metropolitan Line Extension (Croxley Rail Link scheme), there is a risk of claims to the Council (liability is capped at £3m), difficulties in re-claiming local investment sunk into the scheme and reputational loss. This will also have a significant impact on future growth in the area.</p>	<div style="background-color: red; color: white; padding: 5px; width: 40px; margin: 0 auto;">40</div>	<p>Mark Kemp Director of Environment & Infrastructure</p>
HCS0010	<p>If there is a continuing inability to attract the required number of Homecare work force in line with the Adult Care Services Workforce Strategy, there is an increasing risk of non-compliance and a reduction in the ability to provide safe and appropriate care in users own homes which may lead to impacts on their health and wellbeing.</p>	<div style="background-color: red; color: white; padding: 5px; width: 40px; margin: 0 auto;">40</div>	<p>Kulbir Lalli Head of Integrated Accommodation Commissioning</p>
CPRES0002	<p>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)</p>	<div style="background-color: red; color: white; padding: 5px; width: 40px; margin: 0 auto;">32</div>	<p>Gus Cuthbert Assistant Chief Fire Officer</p>
CSF0055	<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. In addition to the death or serious injury of the child, this could lead to formal intervention by Government and/or legal action by</p>	<div style="background-color: red; color: white; padding: 5px; width: 40px; margin: 0 auto;">32</div>	<p>Jenny Coles Director of Children's Services</p>

Risk Ref	Brief Risk Description	Risk Score	Risk Owner
	families or carers.		
ENV0149	As a result of the restrictions introduced in 2015 on the use of S106 for the pooling of developer contributions towards new infrastructure together with the introduction of the Community Infrastructure Levy (CIL), there is a risk that the uptake of CIL, which is the Government's preferred method for pooling contributions, remains slow, and due to the limited influence HCC can bring to bear over the districts on the spending priorities of CIL revenue as a non CIL charging Authority, this may result in there being insufficient money to support infrastructure needs derived from new housing. [Formerly PROP0022 & CSCE0023]	32	Patsy Dell Assistant Director Strategic Planning, Infrastructure and Economy
HCS0016	In the event of significant unforeseen demand on health and social care services and a risk of budget overspend and ongoing uncertainty about how these will be addressed nationally, there is a risk of insufficient budget to meet future demands of services. [supersedes risks HCS0011 & HCS0012]	32	Helen Maneuf ACS Assistant Director, Planning & Resources
HCS0018	In the event of inadequate safeguarding arrangements, a vulnerable person at risk of harm is not identified and protected appropriately. [Formerly HCSLD0005]	32	Sue Darker Operations Director, Learning Disabilities and Mental Health
HCSCP0001	In the event of a Hertfordshire Care Provider becoming inadequate or failing, there is a risk that this may result in poor care to clients or a safeguarding issue.	↓ 32	Chris Badger Deputy Director ACS & Operations Director, Older People
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.	32	Sue Darker Operations Director, Learning Disabilities and Mental Health
HFRS0007	During unplanned incidents, such as terrorist activity, civil disturbance, large scale wide area flooding, or periods of industrial action, there is a risk that HFRS may be over reliant on existing regional or national resources which may lead to reduced fire cover.	32	Gus Cuthbert Assistant Chief Fire Officer
PROP0027	In the event that Fire Risk Assessments are not undertaken/are delayed or that remedial actions and findings on sites where HCC is the responsible body (including those that are leased out and managed by Housing Associations) are not implemented in a timely	32	Sass Pledger Assistant Director - Property

Risk Ref	Brief Risk Description	Risk Score	Risk Owner
	way, there is a risk to life for HCC service users, staff and the public or damage to property and assets which may lead to service disruption, financial losses, potential litigation and reputational impacts.		
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.	24	Guy Pratt Deputy Director of Community Protection
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.	24	Gus Cuthbert Assistant Chief Fire Officer
CPRES0010	There is continued and significant uncertainty in respect to the nature of an agreement and transitional arrangements for the U.K.'s withdrawal from the European Union. There is a risk that we cannot adequately plan and prepare for the possible and potentially significant consequences on public services under a number of scenarios, including possible regulatory, legal, workforce, supply chain and financial impacts, as well as on the local communities and economy of Hertfordshire.	24	Guy Pratt Deputy Director of Community Protection
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.	24	Simon Newland Assistant Director (Education Provision & Access)
CSF0082	As a result of national and local efficiencies, there is a risk that partnership funding may be withdrawn or withheld.	24	Jenny Coles Director of Children's Services
CSF0083	As a result of the new welfare, reform and immigration arrangements, there is a risk of an increase in families becoming homeless and/or requiring support from Children's Services (and other services).	24	Matt Ansell Operations Director Children & Families, Children's Services
CSHF0016	In the event that the Authority does not develop sufficient and timely proposals to deal with the ongoing or further reductions in funding/resources, there is a risk that the need to close the funding gap may result in identifying measures for unplanned reductions in service spend leading to deterioration or interruption of front line service delivery. [Formerly CSHF0005 and CSHF0015]	24	Benjamin Jay Interim Assistant Director Finance

Risk Ref	Brief Risk Description	Risk Score	Risk Owner
ENV0142	Hertfordshire is facing an increasing threat from tree pests and diseases, including ash dieback and Oak Processionary Moth. In this context, there is a risk that current systems and resources for tree management will not be fit for purpose. Failure to manage tree risk may result in significant unplanned costs (including liability claims), danger to the public and or/service users, and impact on landscape and ecosystem services.	24	Simon Aries Assistant Director - Transport, Waste & Environmental Management
HR0018	If the Council fails to educate, train and provide tools and processes for employees to effectively fulfil their roles (Including compliance with data protection, health and safety, safe staffing legislation, and role specific training) there is a risk that staff are not fully competent or productive. This could lead to service failures such as serious injury or harm, particularly to vulnerable service users (and the public) fines and/or prosecutions, and inefficiency in how work is delivered.	24	Sally Hopper Assistant Director, Human Resources
HR0021	If we fail to retain, attract and recruit the right people (managers, officers and volunteers) and right skills and maintain engagement at all levels, there may be a significant impact on service delivery and major cost implications. [Formerly CSCE0007]	24	Sally Hopper Assistant Director, Human Resources
IMP0001	There is a risk - of the loss/inappropriate acquisition/disclosure of sensitive personal or commercial data contrary to the requirements of the Data Protection Act 2018 and the General Data Protection Regulation (in force from 25 May 2018) - that we may breach the rights of data subjects; which could lead to harm to clients, impact on HCC's reputation, incur legal action and have severe financial consequences (despite applying best practice there is always the possibility of human error). [Formerly CSCE0013]	24	Simon Banks Assistant Chief Legal Officer
PROP0023	HCC has established Herts Living Limited which is collaborating with a Joint Venture partner to maximise returns on its land and assets. In the event of delays, changes to standards or other unexpected developments, there is a risk that these arrangements do not perform as anticipated, which could result in a reduction of projected financial returns, slow the pace of development and returns and also reduce other benefits from the arrangements. This could also lead to reputational impacts for HCC. (Replaces PROP0020 and PROP0021).	24	Mike Evans Director – Herts Living Limited
SP0005	A significant proportion of the Council's expenditure is accounted for by externally commissioned services. In the event of insufficient skills in commissioning / contract	24	Benjamin Jay Interim Assistant

Risk Ref	Brief Risk Description	Risk Score	Risk Owner
	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 IMP0002/CSCE0019]		Director Finance
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	24	Dave Mansfield Head of Technology
AUDIT0001	<p>As a result of the scale and scope of services delivered by and through the county council, there is a risk of fraud; which may be significant fraud including money laundering, tax evasion or bribery, which could lead to service disruption, financial and reputational loss. The Anti-Money Laundering (AML) Act 2017 seeks to prevent new means of terrorist financing and enforce sanctions, requiring HCC to adopt a more risk-based approach towards AML.</p> <p>This risk includes, but is not limited to, areas specifically recognised by Cipfa:</p> <ul style="list-style-type: none"> - Overstatement of needs through false declaration for personal budgets in adult care services - Misuse of Blue Badge/Concessionary bus passes - Staff falsifying time keeping / expenses and overpayment of pensions - Bribery and collusion in procurement - Exaggerated/false insurance claims 	16	Terry Barnett Head of Assurance
CPRES0001	In the event of a failure of the Local Resilience forum (LRF) 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)	16	Gus Cuthbert Assistant Chief Fire Officer
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	16	Benjamin Jay Interim Assistant Director Finance
ENV0033	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.	16	Steve Johnson Head of Contracts & Network

Risk Ref	Brief Risk Description	Risk Score	Risk Owner
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.	16	Steve Tant Assistant Chief Fire Officer
NGEN0001	The Shared Managed Services (SMS) partnership is set to continue until March 2021 at which point a new operating model must be considered and in place. The Council's Enterprise and Resource Planning (ERP - SAP) system support forms part of the SMS Contract, which will end in March 2021. SAP themselves are not committing to support the current version of SAP beyond 2025. HCC must consider how these services and systems that support back office functions and front line services are delivered and undertake an appropriate procurement process to ensure continuity of service delivery. However, in the event that there is a lack of clarity or lack of information and intelligence in respect to models of delivery, user needs, the market, timelines, buy in and resources required to undertake this work, there is a risk that this once in a generation opportunity to transform services for the 2020s is missed and services cannot be effectively delivered and that the improvements and / or enhancements that services and their users need for the future do not emerge. In addition, the contribution to the organisational savings target may not be achieved.	16	Anna Morrison Assistant Director Improvement & Technology
HR0023	As a result of new legislation establishing an Apprenticeship Levy, there is a risk that should the County Council not take appropriate action to offset the levy and provide apprenticeship opportunities there may be financial and reputational consequences.	12	Sally Hopper Assistant Director, Human Resources
LIBS0007	Cabinet has agreed to adopt an alternative provider for the future delivery of the library services through a procurement process in 2019. It has also agreed to establish a public service mutual in shell form in order to bid for the contract. It is envisaged that the new contract will be awarded in July 2019 and launched in December 2019. In the event that there is a delay in the procurement or the implementation process, or a challenge to the contract award, then there is a risk that the new provider will not be in place by the end of 2019, with the result that some or all of the required savings will not be made in 2019/2020, and the County Council will suffer reputational damage.	12 Escalated from service to Strategic Risk	Andrew Bignell Head of Libraries and Heritage Services
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 encroachment, H&S incident to persons or property or some	12	Mike Evans Head of Estate and Asset Management

Risk Ref	Brief Risk Description	Risk Score	Risk Owner
	financial impact which could give rise to H&SE action and/or a liability claim.		
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.	8	Joel Bonnet Deputy Director of Public Health

Recent movement report - Corporate & Strategic Risk Register for March 2019 Audit Committee

Report Date: 01/03/2019

Date of Previous Risk Score: 16/11/2018



Notes: References highlighted **Purple** have been added since the 16/11/2018.

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

Previous Risk Score shows rating, profile, probability and impact prior to the Current Risk Score

Risk Ref Risk Description Corporate Priority Category	Risk Owner	Progress Update	Previous Risk Score	Movement Direction	Current Risk Score	Target Risk Score
<p>ENV0104 <i>Delivering our Vision</i></p> <p>Current Category: <i>Corporate & Strategic Risk Register</i> <i>Current Type : Strategic</i></p> <p>In the event of the Residual Waste Treatment Programme being impacted by one of the following scenarios:</p> <ul style="list-style-type: none"> - The Energy Recovery Facility (ERF) at Rye House does not proceed or is delayed - Unable to secure suitable, cost effective, alternatives for waste disposal should the contract with Veolia (VES) be terminated. <p>It may result in:</p> <ul style="list-style-type: none"> - Increased costs to HCC 	<p>Simon Aries</p> <p>Assistant Director - Transport, Waste & Environmental Management</p>	<p>Under the contract with Veolia (VES) a planning application for an Energy Recovery Facility (ERF) at Rye House, Hoddesdon was submitted in December 2016. Notification was received on 1st February 2018 that the Secretary of State had called in the planning application. A public inquiry took place in Hoddesdon, concluding with the final closing statements on the 3rd August 2018. On the 5th February 2019 notification was received that a decision will be issued by the Secretary of State on or before 7th May 2019. Due to the lack of transfer provision in the east of the county and the finite availability of disposal facilities capable of accepting direct deliveries (Westmill landfill and Edmonton EfW) the delay to the planning determination for Rye House increases the risk that East Herts Council and the Borough of Broxbourne may have to be directed to Waterdale transfer station, an action that would lead to</p>	<p>Severe 40</p> <p>Probability Almost Certain</p> <p>Impact High 8</p>	<p>↔</p>	<p>Severe 40</p> <p>Probability Almost Certain</p> <p>Impact High 8</p>	<p>Material 8</p> <p>Probability Rare 1</p> <p>Impact High 8</p>

Recent movement report - Corporate & Strategic Risk Register for March 2019 Audit Committee

Report Date: 01/03/2019

Date of Previous Risk Score: 16/11/2018



Notes: References highlighted **Purple** have been added since the 16/11/2018.

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

Previous Risk Score shows rating, profile, probability and impact prior to the Current Risk Score

Risk Ref Risk Description Corporate Priority Category	Risk Owner	Progress Update	Previous Risk Score	Movement Direction	Current Risk Score	Target Risk Score
		increased costs for all three authorities and operational pressure on Waterdale transfer station. The risk score probability is at "Almost Certain" due to the fact that the increased delay will lead to increased costs to the authority. Reviewed On :21/02/2019				
Controls:	Ref	Control Description		Status	Owner	
	ENV0104/001	Scenario planning		In Place / Embedded	Simon Aries	
	ENV0104/002	Legal & financial advice		In Place / Embedded	Simon Aries	
	ENV0104/003	Liaison with contractor		In Place / Embedded	Simon Aries	
	ENV0104/004	Management of Political Processes		In Place / Embedded	Simon Aries	

Recent movement report - Corporate & Strategic Risk Register for March 2019 Audit Committee

Report Date: 01/03/2019

Date of Previous Risk Score: 16/11/2018



Notes: References highlighted **Purple** have been added since the 16/11/2018.

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

Previous Risk Score shows rating, profile, probability and impact prior to the Current Risk Score

Risk Ref Risk Description Corporate Priority Category	Risk Owner	Progress Update	Previous Risk Score	Movement Direction	Current Risk Score	Target Risk Score
ENV0148 <i>Delivering our Vision</i> Current Category: Corporate & Strategic Risk Register <i>Current Type : Strategic</i> As a result of TFL's abandonment of the Metropolitan Line Extension (Croxley Rail Link scheme), there is a risk of claims to the Council (liability is capped at £3m), difficulties in re claiming local investment sunk into the scheme and reputational loss. This will also have a significant impact on future growth in the area.	Mark Kemp Director of Environment and Infrastructure	Repayments are still being sought from TfL, led by DfT. HCC is currently looking at alternative transport routes. The risk owner is satisfied that the risk rating remains 'severe' given the uncertainty to recoup investment - progress has not been made with endeavours to find alternative transport routes. Reviewed On :04/01/2019	<div style="background-color: red; color: white; padding: 5px; text-align: center;">Severe 40</div> Probability Almost Certain Impact High 8	↔	<div style="background-color: red; color: white; padding: 5px; text-align: center;">Severe 40</div> Probability Almost Certain Impact High 8	<div style="background-color: orange; padding: 5px; text-align: center;">Significant 16</div> Probability Unlikely 2 Impact High 8
Controls:	<u>Ref</u>	<u>Control Description</u>	<u>Status</u>	<u>Owner</u>		
	ENV0148/001	Briefing senior local and national politicians	Complete	Mark Kemp		
	ENV0148/002	Lobbying the London Mayor and Government	In Progress / Taking Effect	Mark Kemp		
	ENV0148/004	Monitor Success of the HIF bid to bridge the funding gap	In Progress / Taking Effect	Mark Kemp		
	ENV0148/005	Seek repayment of local funding if scheme fails	In Progress / Taking Effect	Mark Kemp		

Recent movement report - Corporate & Strategic Risk Register for March 2019 Audit Committee

Report Date: 01/03/2019

Date of Previous Risk Score: 16/11/2018



Notes: References highlighted **Purple** have been added since the 16/11/2018.

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

Previous Risk Score shows rating, profile, probability and impact prior to the Current Risk Score

Risk Ref Risk Description Corporate Priority Category	Risk Owner	Progress Update	Previous Risk Score	Movement Direction	Current Risk Score	Target Risk Score
<p>HCS0010 <i>Opportunity to be Healthy and Safe</i></p> <p>Current Category: Corporate & Strategic Risk Register <i>Current Type : Strategic</i></p> <p>If there is a continuing inability to attract the required number of Homecare work force in line with the Adult Care Services Workforce Strategy, there is an increasing risk of non compliance and a reduction in the ability to provide safe and appropriate care in users own homes which may lead to impacts on their health and wellbeing.</p>	<p>Kulbir Lalli</p> <p>Head of Integrated Accommodation Commissioning</p>	<p>Risk reviewed by Risk Owner in January 2019. Risk wording and scores to remain the same. Care Sector Pay and Contractual Review report taken to board in August 2018 and will be taken into account for inflationary uplifts for April 2019. Reviewed On :09/01/2019</p>	<p>Severe 40</p> <p>Probability Almost Certain</p> <p>Impact High 8</p>	<p>↔</p>	<p>Severe 40</p> <p>Probability Almost Certain</p> <p>Impact High 8</p>	<p>Significant 12</p> <p>Probability Possible 3</p> <p>Impact Medium 4</p>

Recent movement report - Corporate & Strategic Risk Register for March 2019 Audit Committee

Report Date: 01/03/2019

Date of Previous Risk Score: 16/11/2018



Notes: References highlighted **Purple** have been added since the 16/11/2018.

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

Previous Risk Score shows rating, profile, probability and impact prior to the Current Risk Score

Risk Ref Risk Description Corporate Priority Category	Risk Owner	Progress Update	Previous Risk Score	Movement Direction	Current Risk Score	Target Risk Score
Controls:	<u>Ref</u>	<u>Control Description</u>		<u>Status</u>		<u>Owner</u>
	HCS0010/001	Workforce Strategy being reviewed for 2018/19, project group in place including Hertfordshire Care Providers Association (HCPA)		In Place / Embedded		Kulbir Lalli
	HCS0010/007	Contingency plan in place for closure of care providers under Prevention of Providers Failure policy [e.g. LATC]		In Place / Embedded		Kulbir Lalli
	HCS0010/008	All Lead Providers of Home Care are now required to have a recruitment and retention strategy		In Place / Embedded		Kulbir Lalli
	HCS0010/009	Ensure sustainable pay rates for care sector providers are within budget parameters and being reviewed on an annual basis		In Place / Embedded		Kulbir Lalli
	HCS0010/010	Evaluating impact of 2018/19 increase in pay to be completed by December 2018		In Place / Embedded		Kulbir Lalli
	HCS0010/011	Pay and Conditions Review being undertaken		Complete		Kulbir Lalli

Recent movement report - Corporate & Strategic Risk Register for March 2019 Audit Committee

Report Date: 01/03/2019

Date of Previous Risk Score: 16/11/2018



Notes: References highlighted **Purple** have been added since the 16/11/2018.

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

Previous Risk Score shows rating, profile, probability and impact prior to the Current Risk Score

Risk Ref Risk Description Corporate Priority Category	Risk Owner	Progress Update	Previous Risk Score	Movement Direction	Current Risk Score	Target Risk Score
<p>CPRES0002 <i>Delivering our Vision</i></p> <p>Current Category: Corporate & Strategic Risk Register <i>Current Type : Corporate</i></p> <p>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)</p>	<p>Gus Cuthbert</p> <p>Assistant Chief Fire Officer</p>	<p>The resilience board continues to work with directorates to ensure Business Continuity Plans (BCP) and response plans remain fit for purpose. Each team/service has their own BCP. All plans are located on Resilience Direct Every year the team exercise an aspect of HCC business continuity arrangements.</p> <p>The Resilience Team leads in ensuring that the County Council is able to respond quickly and effectively to a wide range of incidents and emergencies in partnership with Local Resilience Forum Members to ensure the delivery of critical services. Reviewed On :03/01/2019</p>	<p>Severe 32</p> <p>Probability Unlikely 2</p> <p>Impact Very High 16</p>	<p>↔</p>	<p>Severe 32</p> <p>Probability Unlikely 2</p> <p>Impact Very High 16</p>	<p>Significant 16</p> <p>Probability Rare 1</p> <p>Impact Very High 16</p>
Controls:	Ref	Control Description	Status	Owner		
	CPRES0002/001	Plans in place for all departments / service areas and 4 principle office locations	In Place / Embedded	Darren McLatchey		
	CPRES0002/002	Regular reporting to Resilience Board and SMB on plan reviews, training and exercising	In Place / Embedded	Darren McLatchey		
	CPRES0002/003	Work programme to focus support on key areas where vulnerability is greatest	In Place / Embedded	Darren McLatchey		
	CPRES0002/006	Monitor plant failure risk (PROP0004) for any BCP implications	In Progress / Taking Effect	Ed Butler		

Recent movement report - Corporate & Strategic Risk Register for March 2019 Audit Committee

Report Date: 01/03/2019

Date of Previous Risk Score: 16/11/2018



Notes: References highlighted **Purple** have been added since the 16/11/2018.

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

Previous Risk Score shows rating, profile, probability and impact prior to the Current Risk Score

Risk Ref Risk Description Corporate Priority Category	Risk Owner	Progress Update	Previous Risk Score	Movement Direction	Current Risk Score	Target Risk Score
<p>CSF0055 <i>Opportunity to be Healthy and Safe</i></p> <p>Current Category: Corporate & Strategic Risk Register <i>Current Type : Corporate</i></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. In addition to the death or serious injury of the child, this could lead to formal intervention by Government and/or legal action by families or carers.</p>	<p>Jenny Coles</p> <p>Director of Children's Services</p>	<p>This risk has been reviewed and remains in place. The updates on the control measures detail the work that continues to be in place to manage this risk.</p> <p>Reviewed On :06/01/2019</p>	<p>Severe 32</p> <p>Probability Unlikely 2</p> <p>Impact Very High 16</p>	<p>↔</p>	<p>Severe 32</p> <p>Probability Unlikely 2</p> <p>Impact Very High 16</p>	<p>Severe 32</p> <p>Probability Unlikely 2</p> <p>Impact Very High 16</p>
Controls:	Ref	Control Description	Status	Owner		
	CSF0055/003	Maintain casework practice and implement recommendations of reviews	In Place / Embedded	Matt Ansell		
	CSF0055/004	Continually monitor and review safeguarding practice and services within the council and with partners under the HSCB	In Place / Embedded	Matt Ansell		
	CSF0055/005	Implement peer review and inspection actions	In Place / Embedded	Matt Ansell		

Recent movement report - Corporate & Strategic Risk Register for March 2019 Audit Committee

Report Date: 01/03/2019

Date of Previous Risk Score: 16/11/2018



Notes: References highlighted **Purple** have been added since the 16/11/2018.

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

Previous Risk Score shows rating, profile, probability and impact prior to the Current Risk Score

Risk Ref Risk Description Corporate Priority Category	Risk Owner	Progress Update	Previous Risk Score	Movement Direction	Current Risk Score	Target Risk Score
<p>ENV0149 <i>Opportunity to Prosper</i></p> <p>Current Category: <i>Corporate & Strategic Risk Register</i></p> <p><i>Current Type : Strategic</i></p> <p>As a result of the restrictions introduced in 2015 on the use of S106 for the pooling of developer contributions towards new infrastructure together with the introduction of the Community Infrastructure Levy (CIL), there is a risk that the uptake of CIL, which is the Government's preferred method for pooling contributions, remains slow, and due to the limited influence HCC can bring to bear over the districts on the spending priorities of CIL revenue as a non CIL charging Authority, this may result in there being insufficient money to support infrastructure needs derived from new housing. [Formerly PROP0022 & CSCE0023]</p>	<p>Patsy Dell</p> <p>Assistant Director Strategic Planning, Infrastructure and Economy</p>	<p>Risk reviewed. Hertfordshire has been invited to participate in a pilot project to work at CIL/S.106 implementation and improvement. This will commence in January 2019. Reviewed On :14/01/2019</p>	<p>Severe 32</p> <p>Probability Likely 4</p> <p>Impact High 8</p>	<p>↔</p>	<p>Severe 32</p> <p>Probability Likely 4</p> <p>Impact High 8</p>	<p>Significant 12</p> <p>Probability Possible 3</p> <p>Impact Medium 4</p>

Recent movement report - Corporate & Strategic Risk Register for March 2019 Audit Committee

Report Date: 01/03/2019

Date of Previous Risk Score: 16/11/2018



Notes: References highlighted **Purple** have been added since the 16/11/2018.

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

Previous Risk Score shows rating, profile, probability and impact prior to the Current Risk Score

Risk Ref Risk Description Corporate Priority Category	Risk Owner	Progress Update	Previous Risk Score	Movement Direction	Current Risk Score	Target Risk Score
Controls:	<u>Ref</u>	<u>Control Description</u>		<u>Status</u>		<u>Owner</u>
	ENV0149/002	Engage additional staff resource to drive forward work with Districts on Local Plans		In Progress / Taking Effect		Patsy Dell
	ENV0149/003	To work effectively with District planners to communicate and identify the required infrastructure		In Place / Embedded		Patsy Dell
	ENV0149/004	Provide regular updates to Members/stakeholders working with Districts to secure support for successful implementation of CIL		In Place / Embedded		Patsy Dell
	ENV0149/005	Identification of possible alternative funding sources and interaction with fund bidding processes		In Place / Embedded		Patsy Dell
	ENV0149/006	Develop & maintain dialogue with central government depts as necessary to inform and influence policy and funding decisions		In Place / Embedded		Patsy Dell
	ENV0149/007	Establish working relationships with Parish & Town Councils as necessary to achieve effective use of CIL funding		In Place / Embedded		Patsy Dell
	ENV0149/008	Work with Districts to bring forward their Local Plans CIL charging and support HCC Infrastructure requirements		In Place / Embedded		Patsy Dell

Recent movement report - Corporate & Strategic Risk Register for March 2019 Audit Committee

Report Date: 01/03/2019

Date of Previous Risk Score: 16/11/2018



Notes: References highlighted **Purple** have been added since the 16/11/2018.

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

Previous Risk Score shows rating, profile, probability and impact prior to the Current Risk Score

Risk Ref Risk Description Corporate Priority Category	Risk Owner	Progress Update	Previous Risk Score	Movement Direction	Current Risk Score	Target Risk Score
<p>HCS0016 <i>Opportunity to be Healthy and Safe</i></p> <p>Current Category: Corporate & Strategic Risk Register <i>Current Type : Strategic</i></p> <p>In light of significant demand on health & social services there is a risk of insufficient resources and budget provision. [supersedes risks HCS0011 & HCS0012]</p>	<p>Helen Maneuf</p> <p>Assistant Director, Integrated Planning & Resources</p>	<p>Risk reviewed by Risk Owner in December 2018. Risk wording and scores to remain the same. Better Care Fund assurance procedure approved. Latest information on 2018/19 position has been reviewed which indicates the current risk score remains appropriate. Still awaiting clarity of future of social care funding - Green paper not yet received. Announcement of Winter Care Grant for 2018/19 and 2019/20 providing short term funds largely in relation to support of the NHS. Reviewed On :31/12/2018</p>	<p>Severe 32</p> <p>Probability Likely 4</p> <p>Impact High 8</p>	<p>↔</p>	<p>Severe 32</p> <p>Probability Likely 4</p> <p>Impact High 8</p>	<p>Significant 24</p> <p>Probability Possible 3</p> <p>Impact High 8</p>

Recent movement report - Corporate & Strategic Risk Register for March 2019 Audit Committee

Report Date: 01/03/2019

Date of Previous Risk Score: 16/11/2018



Notes: References highlighted **Purple** have been added since the 16/11/2018.

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

Previous Risk Score shows rating, profile, probability and impact prior to the Current Risk Score

Risk Ref Risk Description Corporate Priority Category	Risk Owner	Progress Update	Previous Risk Score	Movement Direction	Current Risk Score	Target Risk Score
Controls:	<u>Ref</u>	<u>Control Description</u>		<u>Status</u>		<u>Owner</u>
	HCS0016/018	Monthly budget monitor include detail review of financial projections and corrective action where variances occur.		In Place / Embedded		Helen Maneuf
	HCS0016/002	Regular monitoring of metrics through joint governance structures to identify lack of progress and areas for improvement		In Progress / Taking Effect		Helen Maneuf
	HCS0016/009	Section 75 arrangements in place between NHS and HCC		In Progress / Taking Effect		Iain MacBeath
	HCS0016/013	Participation in financial work stream of the Sustainability and Transformation Plan (STP)		In Progress / Taking Effect		Iain MacBeath
	HCS0016/015	Plans for deploying Hertfordshire's share of the new funding for social care are being monitored		In Progress / Taking Effect		Iain MacBeath
	HCS0016/016	Project underway to improve availability to assess and plan for demographic increases		In Progress / Taking Effect		Helen Maneuf
	HCS0016/017	Thorough consideration of processes and financial targets via corporate integrated planning process.		In Progress / Taking Effect		Helen Maneuf
	HCS0016/020	Review of financial arrangements with HVCCG		Complete		Helen Maneuf
	HCS0016/021	Review of likely pressure arising from Sleep-in judgement		Complete		Helen Maneuf

Recent movement report - Corporate & Strategic Risk Register for March 2019 Audit Committee

Report Date: 01/03/2019

Date of Previous Risk Score: 16/11/2018



Notes: References highlighted **Purple** have been added since the 16/11/2018.

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

Previous Risk Score shows rating, profile, probability and impact prior to the Current Risk Score

Risk Ref Risk Description Corporate Priority Category	Risk Owner	Progress Update	Previous Risk Score	Movement Direction	Current Risk Score	Target Risk Score
HCS0018 <i>Opportunity to be Healthy and Safe</i> Current Category: Corporate & Strategic Risk Register <i>Current Type : Corporate</i> In the event of inadequate safeguarding arrangements, a vulnerable person at risk of harm is not identified and protected appropriately. [Formerly HCSLD0005]	Sue Darker Operations Director, Adult Disability Service	Risk reviewed by Risk Owner in October 2018. No changes required to the risk wording or scores. Scrutiny's on Modern Slavery and Hertfordshire Safeguarding Adults Board (HSAB) complete and all went well, recommendations are now being finalised. Reviewed On :07/01/2019	<div style="background-color: red; color: white; padding: 5px; text-align: center;"> Severe 32 </div> Probability Unlikely 2 Impact Very High 16		<div style="background-color: red; color: white; padding: 5px; text-align: center;"> Severe 32 </div> Probability Unlikely 2 Impact Very High 16	<div style="background-color: red; color: white; padding: 5px; text-align: center;"> Severe 32 </div> Probability Unlikely 2 Impact Very High 16

Recent movement report - Corporate & Strategic Risk Register for March 2019 Audit Committee

Report Date: 01/03/2019

Date of Previous Risk Score: 16/11/2018



Notes: References highlighted **Purple** have been added since the 16/11/2018.

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

Previous Risk Score shows rating, profile, probability and impact prior to the Current Risk Score

Risk Ref Risk Description Corporate Priority Category	Risk Owner	Progress Update	Previous Risk Score	Movement Direction	Current Risk Score	Target Risk Score
Controls:	<u>Ref</u>	<u>Control Description</u>		<u>Status</u>		<u>Owner</u>
	HCS0018/001	Hertfordshire Safeguarding Adults Board (HSAB) governance arrangements and oversight of safeguarding procedures		In Place / Embedded		Sue Darker
	HCS0018/003	Improvement action plan of safeguarding cases in all care groups		In Place / Embedded		Sue Darker
	HCS0018/004	Competency based learning and development activity associated with the HSAB (Accredited by Bournemouth University)		In Progress / Taking Effect		Sue Darker
	HCS0018/006	Quarterly performance report to ACS Management Board, Council Leader and Chief Exec.		In Place / Embedded		Sue Darker
	HCS0018/007	Strategic Partners all involved with Safeguarding		In Place / Embedded		Sue Darker
	HCS0018/008	Practice Governance Board overseeing action plan to ensure high standards of safeguarding		In Progress / Taking Effect		Sue Darker
	HCS0018/009	Increase resources of Safeguarding Out of Hours Service		In Progress / Taking Effect		Sue Darker

Recent movement report - Corporate & Strategic Risk Register for March 2019 Audit Committee

Report Date: 01/03/2019

Date of Previous Risk Score: 16/11/2018



Notes: References highlighted **Purple** have been added since the 16/11/2018.

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

Previous Risk Score shows rating, profile, probability and impact prior to the Current Risk Score

Risk Ref Risk Description Corporate Priority Category	Risk Owner	Progress Update	Previous Risk Score	Movement Direction	Current Risk Score	Target Risk Score
HCSCP0001 <i>Opportunity to be Healthy and Safe</i> Current Category: Corporate & Strategic Risk Register <i>Current Type : Corporate</i> In the event of a Hertfordshire Care Provider becoming inadequate or failing, there is a risk that this may result in poor care to clients or a safeguarding issue.	Chris Badger Operations Director, Older People	Risk reviewed by Risk Owner in February 2019, wording to remain the same. Score remains the same. Council's wholly-owned company now more established having has 2 months operating homecare in North Herts. As it matures it will become a stronger and stronger option for taking on failing providers. Reviewed On :22/02/2019	07/01/2019 Severe 48 Probability Possible 3 Impact Very High 16		Severe 32 Probability Unlikely 2 Impact Very High 16	Severe 32 Probability Unlikely 2 Impact Very High 16
Controls:	Ref	Control Description	Status	Owner		
	HCSCP0001/003	Use ACS Contract Monitoring Procedures	In Place / Embedded	Chris Badger		
	HCSCP0001/007	Learning and development of care providers	In Place / Embedded	Mark Gwynne		
	HCSCP0001/008	Market Quality and Resilience Programme Board providing; overview of provider quality; escalate any issues to relevant agency	In Place / Embedded	Chris Badger		
	HCSCP0001/009	Effective use of monitoring tools and resources to identify problems early and prevent failing quality.	In Place / Embedded	Chris Badger		
	HCSCP0001/010	Multi Agency Service Quality Improvement Group, analyse data and evaluate risk monthly and take appropriate action with partners	In Place / Embedded	Chris Badger		
HCSCP0001/011	The development of a Local Authority Traded Company (LATC)	In Progress / Taking Effect	Chris Badger			

Recent movement report - Corporate & Strategic Risk Register for March 2019 Audit Committee

Report Date: 01/03/2019

Date of Previous Risk Score: 16/11/2018



Notes: References highlighted **Purple** have been added since the 16/11/2018.

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

Previous Risk Score shows rating, profile, probability and impact prior to the Current Risk Score

Risk Ref Risk Description Corporate Priority Category	Risk Owner	Progress Update	Previous Risk Score	Movement Direction	Current Risk Score	Target Risk Score
HCSMH0002 <i>Opportunity to be Healthy and Safe</i> Current Category: Corporate & Strategic Risk Register <i>Current Type : Corporate</i> 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, Adult Disability Service	Risk reviewed by Risk Owner in December 2018. No changes required to the risk wording or scores. Waiting for an update on the national picture. Currently some gaps in administrative staffing due to sickness and maternity therefore levels of processing are reduced at present. Reviewed On :07/01/2019	<div style="background-color: red; color: white; padding: 5px; text-align: center;"> Severe 32 </div> Probability Likely 4 Impact High 8		<div style="background-color: red; color: white; padding: 5px; text-align: center;"> Severe 32 </div> Probability Likely 4 Impact High 8	<div style="background-color: yellow; padding: 5px; text-align: center;"> Material 8 </div> Probability Unlikely 2 Impact Medium 4
Controls:	<u>Ref</u>		<u>Control Description</u>		<u>Status</u>	<u>Owner</u>
	HCSMH0002/001	Regular meetings with Lawyers and Operations Director as required.		In Progress / Taking Effect	Sue Darker	
	HCSMH0002/006	Community specific DOLs being reviewed as part of Adult Disability Service (ADS)		In Progress / Taking Effect	Sue Darker	

Recent movement report - Corporate & Strategic Risk Register for March 2019 Audit Committee

Report Date: 01/03/2019

Date of Previous Risk Score: 16/11/2018



Notes: References highlighted **Purple** have been added since the 16/11/2018.

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

Previous Risk Score shows rating, profile, probability and impact prior to the Current Risk Score

Risk Ref Risk Description Corporate Priority Category	Risk Owner	Progress Update	Previous Risk Score	Movement Direction	Current Risk Score	Target Risk Score
<p>HFRS0007 <i>Opportunity to be Healthy and Safe</i></p> <p>Current Category: Corporate & Strategic Risk Register <i>Current Type : Corporate</i></p> <p>During unplanned incidents, such as terrorist activity, civil disturbance, large scale wide area flooding, or periods of industrial action, there is a risk that HFRS may be over reliant on existing regional or national resources which may lead to reduced fire cover.</p>	<p>Gus Cuthbert</p> <p>Assistant Chief Fire Officer</p>	<p>The National Coordination and Advisory Framework (NCAF) electronic support system overseen by the National Resilience Assurance Team (NRAT) and National Resilience Fire Control (NRFC) based in Merseyside Fire and Rescue Service maintains a 24/7 overview of the availability and deployment of National Resilience assets. Before and during an incident, the NRFC and NRAT monitors, manages and co ordinates the mobilisation of national resilience assets in conjunction with NRAT, the National Resilience Duty Officer, and supporting fire and rescue authorities using the Electronic Supporting System (ESS). It will also co ordinate the deployment of the National Strategic Advisory Team (NSAT) who provide advice and support to co ordinating groups, where required.</p> <p>HFRS have: Implement standard procedures for reporting to</p>	<p>Severe 32</p> <p>Probability Unlikely 2</p> <p>Impact Very High 16</p>	<p>↔</p>	<p>Severe 32</p> <p>Probability Unlikely 2</p> <p>Impact Very High 16</p>	<p>Severe 32</p> <p>Probability Unlikely 2</p> <p>Impact Very High 16</p>

Recent movement report - Corporate & Strategic Risk Register for March 2019 Audit Committee

Report Date: 01/03/2019

Date of Previous Risk Score: 16/11/2018



Notes: References highlighted **Purple** have been added since the 16/11/2018.

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

Previous Risk Score shows rating, profile, probability and impact prior to the Current Risk Score

Risk Ref	Risk Description	Corporate Priority	Risk Owner	Progress Update	Previous Risk Score	Movement Direction	Current Risk Score	Target Risk Score
				the NRFC Provide the NRFC with daily electronic updates on the availability of National Resilience assets using the NCAF Electronic Support System (NCAF ESS) Establish and maintain communications with NRFC at all times when required. Reviewed On :03/01/2019				

Recent movement report - Corporate & Strategic Risk Register for March 2019 Audit Committee

Report Date: 01/03/2019

Date of Previous Risk Score: 16/11/2018



Notes: References highlighted **Purple** have been added since the 16/11/2018.

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

Previous Risk Score shows rating, profile, probability and impact prior to the Current Risk Score

Risk Ref Risk Description Corporate Priority Category	Risk Owner	Progress Update	Previous Risk Score	Movement Direction	Current Risk Score	Target Risk Score
Controls:	<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		In Place / Embedded		Gus Cuthbert
	HFRS0007/005	Review whole-time and retained workforce numbers on a monthly basis to identify deficiencies and take appropriate action		In Place / Embedded		Gus Cuthbert
	HFRS0007/006	Crewing office to manage and maintain crewing levels on a daily basis across the organisation and ensure appliance availability		In Place / Embedded		Gus Cuthbert
	HFRS0007/008	Procure and provide specialist vehicles, equipment and teams to meet the current technical rescue risk within the County		In Place / Embedded		Gus Cuthbert
	HFRS0007/009	Regularly review site specific response plans, operational procedures and contingency arrangements		In Place / Embedded		Gus Cuthbert
	HFRS0007/010	Organise and host regular large scale/major incident exercises with local partners on a local, county and regional platform		In Place / Embedded		Gus Cuthbert
	HFRS0007/011	Regularly review and ensure arrangements are in place to request additional resources both locally and nationally		In Place / Embedded		Gus Cuthbert
	HFRS0007/007	Maximise both personnel and appliance availability through the application of procedures and appropriate management		In Progress / Taking Effect		Gus Cuthbert

Recent movement report - Corporate & Strategic Risk Register for March 2019 Audit Committee

Report Date: 01/03/2019

Date of Previous Risk Score: 16/11/2018



Notes: References highlighted **Purple** have been added since the 16/11/2018.

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

Previous Risk Score shows rating, profile, probability and impact prior to the Current Risk Score

Risk Ref Risk Description Corporate Priority Category	Risk Owner	Progress Update	Previous Risk Score	Movement Direction	Current Risk Score	Target Risk Score
<p>PROP0027 <i>Opportunity to be Healthy and Safe</i></p> <p>Current Category: <i>Corporate & Strategic Risk Register</i> <i>Current Type : Corporate</i></p> <p>In the event that Fire Risk Assessments are not undertaken/are delayed or that remedial actions and findings on sites where HCC is the responsible body (including those that are leased out and managed by Housing Associations) are not implemented in a timely way, there is a risk to life for HCC service users, staff and the public or damage to property and assets which may lead to service disruption, financial losses, potential litigation and reputational impacts.</p>	<p>Sass Pledger</p> <p>Assistant Director Property</p>	<p>Risk and control measures have been reviewed. Control measures 001, 003 and 005 are actively being undertaken to reduce and manage this risk. All Aldwyck sites now have Fire Risk Assessments in place and actions required at the Aldwyck sites are being monitored by an external consultant. This contract is being monitored closely and agreement has been reached with Aldwyck and the consultant that all works will be undertaken by 31st March 2019.</p> <p>As a result of the FRA's, it was discovered that loft compartmentation works are needed. These works will be completed in 2019 and a decision will be required about obtaining budget for this work. HCC's Corporate Property Database is being used to set up and manage a Fire Risk Assessment audit process. Fire Risk Assessments have been undertaken locally by services and copies will be uploaded to the database.</p>	<p>Severe 32</p> <p>Probability Unlikely 2</p> <p>Impact Very High 16</p>	<p>↔</p>	<p>Severe 32</p> <p>Probability Unlikely 2</p> <p>Impact Very High 16</p>	<p>Significant 16</p> <p>Probability Rare 1</p> <p>Impact Very High 16</p>

Recent movement report - Corporate & Strategic Risk Register for March 2019 Audit Committee

Report Date: 01/03/2019

Date of Previous Risk Score: 16/11/2018



Notes: References highlighted **Purple** have been added since the 16/11/2018.

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

Previous Risk Score shows rating, profile, probability and impact prior to the Current Risk Score

Risk Ref Risk Description Corporate Priority Category	Risk Owner	Progress Update	Previous Risk Score	Movement Direction	Current Risk Score	Target Risk Score
		The current risk score has been reviewed and agreed that it should remain as from Severe (Probability = unlikely and Impact = very high). Reviewed On :28/02/2019				
Controls:	<u>Ref</u>	<u>Control Description</u>	<u>Status</u>	<u>Owner</u>		
	PROP0027/001	Ensure all Fire Risk Assessments are commissioned and delivered in line with the management regimes in place	In Progress / Taking Effect	Ed Butler		
	PROP0027/002	Ensure any works required as a result of the Fire Risk assessment are carried out in a timely way by HCC or occupier directly	In Progress / Taking Effect	Ed Butler		
	PROP0027/003	For properties leased out, HCC commission Project Manager (keeping Property Managing Agent awareness) to ensure timely works	In Progress / Taking Effect	Ed Butler		
	PROP0027/004	Undertake robust contract management of Carter Jonas Property Management Services Contract	In Progress / Taking Effect	Clare Halliday		
	PROP0027/005	Use intelligence and information from HCC's Health & Safety Manager and ensure periodic audits on statutory compliance.	In Progress / Taking Effect	Ed Butler		
	PROP0027/006	Operational measures are in place at each location such as testing of fire alarms and fire drills	In Progress / Taking Effect	Steven Lee-Foster		
	PROP0027/007	Staff are trained on fire evacuation procedures	In Progress / Taking Effect	Steven Lee-Foster		
	<u>PROP0027/008</u>	<u>Regularly review and revise site specific HFRS response plans, operational procedures and contingency arrangements</u>	<u>In Progress / Taking Effect</u>	<u>Gus Cuthbert</u>		

Recent movement report - Corporate & Strategic Risk Register for March 2019 Audit Committee

Report Date: 01/03/2019

Date of Previous Risk Score: 16/11/2018



Notes: References highlighted **Purple** have been added since the 16/11/2018.

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

Previous Risk Score shows rating, profile, probability and impact prior to the Current Risk Score

Risk Ref Risk Description Corporate Priority Category	Risk Owner	Progress Update	Previous Risk Score	Movement Direction	Current Risk Score	Target Risk Score
CP0004 <i>Opportunity to be Healthy and Safe</i> Current Category: Corporate & Strategic Risk Register <i>Current Type : Corporate</i> 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.	Guy Pratt Deputy Director of Community Protection	The risk owner has reviewed this risk measure and updated appropriately. Reviewed On :03/01/2019	<div style="background-color: #f4a460; padding: 5px; text-align: center;"> Significant 24 </div> Probability Possible 3 Impact High 8		<div style="background-color: #f4a460; padding: 5px; text-align: center;"> Significant 24 </div> Probability Possible 3 Impact High 8	<div style="background-color: #f4a460; padding: 5px; text-align: center;"> Significant 16 </div> Probability Unlikely 2 Impact High 8
Controls:	<u>Ref</u>		<u>Control Description</u>		<u>Status</u>	<u>Owner</u>
	CP0004/002		Prevent Board to develop and regularly review progress of the Prevent action plan		In Progress / Taking Effect	Guy Pratt
	CP0004/004		Herts Channel Panel meet regularly to provide multi agency support for vulnerable people at risk of being drawn into terrorism.		In Place / Embedded	Guy Pratt
	CP0004/005		Development and implementation of appropriate training to meet the requirements of the HCC Prevent action plan.		In Progress / Taking Effect	Guy Pratt
	CP0004/006		Collaboration with partners (incl schools) to coordinate Prevent activities		In Progress / Taking Effect	Guy Pratt
	CP0004/008		An official 56 page Prevent Duty Toolkit for Local Authorities and Partner Agencies has been produced.		In Progress / Taking Effect	Guy Pratt

Recent movement report - Corporate & Strategic Risk Register for March 2019 Audit Committee

Report Date: 01/03/2019

Date of Previous Risk Score: 16/11/2018



Notes: References highlighted **Purple** have been added since the 16/11/2018.

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

Previous Risk Score shows rating, profile, probability and impact prior to the Current Risk Score

Risk Ref Risk Description Corporate Priority Category	Risk Owner	Progress Update	Previous Risk Score	Movement Direction	Current Risk Score	Target Risk Score
<p>CPRES0009 <i>Opportunity to Thrive</i></p> <p>Current Category: <i>Corporate & Strategic Risk Register</i> <i>Current Type : Corporate</i></p> <p>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.</p>	<p>Gus Cuthbert</p> <p>Assistant Chief Fire Officer</p>	<p>Internally HCC have an Incident Response Plan which sets out the strategy for an organisational response to an incident and identifies roles, responsibilities and key actions.</p> <p>Externally HFRS and HCC are key stakeholders in Hertfordshire Resilience, this is a partnership of over 60 organisations including the emergency services, local councils, health services and volunteers.</p> <p>They plan, train and respond to emergencies together. They decide what to plan for using Hertfordshire's Risk Register and the government's national risk register.</p> <p>Hertfordshire Resilience assesses all these situations and their likely impact on a regular basis. They then plan together to ensure that an appropriate response in place.</p> <p>HCC Resilience Board also monitors internal BCPs & BIAs on a regular basis.</p> <p>Reviewed On :03/01/2019</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 24</p> <p>Probability Possible 3</p> <p>Impact High 8</p>

Recent movement report - Corporate & Strategic Risk Register for March 2019 Audit Committee

Report Date: 01/03/2019

Date of Previous Risk Score: 16/11/2018



Notes: References highlighted **Purple** have been added since the 16/11/2018.

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

Previous Risk Score shows rating, profile, probability and impact prior to the Current Risk Score

Risk Ref Risk Description Corporate Priority Category	Risk Owner	Progress Update	Previous Risk Score	Movement Direction	Current Risk Score	Target Risk Score
Controls:	<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		In Place / Embedded	Darren McLatchey	
	CPRES0009/002	Continually developing partnership working with agencies developing risk reduction strategies multi agency warn&inform strategy		In Place / Embedded	Darren McLatchey	
	CPRES0009/003	Each service holds a service level risk which is monitored and reviewed on a regular basis by the resilience team		In Place / Embedded	Darren McLatchey	

Recent movement report - Corporate & Strategic Risk Register for March 2019 Audit Committee

Report Date: 01/03/2019

Date of Previous Risk Score: 16/11/2018



Notes: References highlighted **Purple** have been added since the 16/11/2018.

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

Previous Risk Score shows rating, profile, probability and impact prior to the Current Risk Score

Risk Ref Risk Description Corporate Priority Category	Risk Owner	Progress Update	Previous Risk Score	Movement Direction	Current Risk Score	Target Risk Score
<p>CPRES0010 <i>Opportunity to Prosper</i></p> <p>Current Category: Corporate & Strategic Risk Register <i>Current Type : Strategic</i></p> <p>There is continued and significant uncertainty in respect to the nature of an agreement and transitional arrangements for the U.K.'s withdrawal from the European Union. There is a risk that we cannot adequately plan and prepare for the possible and potentially significant consequences on public services under a number of scenarios, including possible regulatory, legal, workforce, supply chain and financial impacts, as well as on the local communities and economy of Hertfordshire.</p>	<p>Guy Pratt</p> <p>Deputy Director of Community Protection</p>	<p>There is growing concern around the potential of leaving the European Union in March without a formalised exit deal. Each directorate has identified risks to their critical service delivery and reported these to the resilience board. Central government has continued to release technical bulletins identifying areas across the community that could be affected and some guidance of risk mitigation. These are being monitored and assessed by affected directorates. A Strategic Co-ordinating Group has been established by the Local resilience Forum which HCC and HFRS are representatives of. Weekly Incident Management Team (IMT) meetings are being held and all services are taking an active role. The IMT and the resilience team coordinate all correspondence from Government re: Brexit and actions needed are tasked and monitored through IMT. Reviewed On :25/02/2019</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>

Recent movement report - Corporate & Strategic Risk Register for March 2019 Audit Committee

Report Date: 01/03/2019

Date of Previous Risk Score: 16/11/2018



Notes: References highlighted **Purple** have been added since the 16/11/2018.

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

Previous Risk Score shows rating, profile, probability and impact prior to the Current Risk Score

Risk Ref Risk Description Corporate Priority Category	Risk Owner	Progress Update	Previous Risk Score	Movement Direction	Current Risk Score	Target Risk Score
Controls:	Ref	Control Description		Status		Owner
	CPRES0010/001	Regular reporting to Resilience Board and SMB on latest information and planning		In Progress / Taking Effect		Gus Cuthbert
	CPRES0010/002	Actively work with the Local Resilience Forum to update inter-agency plans		In Place / Embedded		Darren McLatchey
	CPRES0010/003	Monitor information coming from Govt, to consider, analyse, inform senior officers and take action on relevant technical notes		In Progress / Taking Effect		Alex James
	CPRES0010/004	Ensure officers use all information and data, including workforce data, to provide intelligence for different scenarios		In Progress / Taking Effect		Gus Cuthbert
	CPRES0010/005	Ensure Business Continuity Plans are reviewed and updated where appropriate		In Place / Embedded		Darren McLatchey
	CPRES0010/006	Ensure Business Impact Assessments are carried out where appropriate		In Progress / Taking Effect		Gus Cuthbert
CSF0070 <i>Opportunity to Thrive</i> Current Category: Corporate & Strategic Risk Register <i>Current Type : Strategic</i> 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 Operations Director, Education	This risk has been reviewed by Simon Newland and remains in place. Reviewed On :03/01/2019	Significant 24 Probability Possible 3 Impact High 8	↔	Significant 24 Probability Possible 3 Impact High 8	Significant 16 Probability Unlikely 2 Impact High 8

Recent movement report - Corporate & Strategic Risk Register for March 2019 Audit Committee

Report Date: 01/03/2019

Date of Previous Risk Score: 16/11/2018



Notes: References highlighted **Purple** have been added since the 16/11/2018.

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

Previous Risk Score shows rating, profile, probability and impact prior to the Current Risk Score

Risk Ref Risk Description Corporate Priority Category	Risk Owner	Progress Update	Previous Risk Score	Movement Direction	Current Risk Score	Target Risk Score
Controls:	<u>Ref</u>	<u>Control Description</u>		<u>Status</u>		<u>Owner</u>
	CSF0070/005	Minimise the number of expansions undertaken and continually review information management requirements		In Progress / Taking Effect		Simon Newland
	CSF0070/006	Ensure value for money		In Progress / Taking Effect		Simon Newland
	CSF0070/007	Secure access to additional funding from DfE		In Progress / Taking Effect		Simon Newland
CSF0082 <i>Opportunity to be Healthy and Safe</i> Current Category: <i>Corporate & Strategic Risk Register</i> <i>Current Type : Corporate</i> As a result of national and local efficiencies, there is a risk that partnership funding may be withdrawn or withheld.	Jenny Coles Director of Children's Services	This risk was reviewed and remains in place. Reviewed On :07/01/2019	Significant 24 Probability Possible 3 Impact High 8	↔	Significant 24 Probability Possible 3 Impact High 8	Significant 12 Probability Possible 3 Impact Medium 4
Controls:	<u>Ref</u>	<u>Control Description</u>		<u>Status</u>		<u>Owner</u>
	CSF0082/001	Maintain effective joint working relationships and joint planning		In Progress / Taking Effect		Jenny Coles

Recent movement report - Corporate & Strategic Risk Register for March 2019 Audit Committee

Report Date: 01/03/2019

Date of Previous Risk Score: 16/11/2018



Notes: References highlighted **Purple** have been added since the 16/11/2018.

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

Previous Risk Score shows rating, profile, probability and impact prior to the Current Risk Score

Risk Ref Risk Description Corporate Priority Category	Risk Owner	Progress Update	Previous Risk Score	Movement Direction	Current Risk Score	Target Risk Score
CSF0083 <i>Opportunity to Thrive</i> Current Category: Corporate & Strategic Risk Register <i>Current Type : Corporate</i> As a result of the new welfare, reform and immigration arrangements, there is a risk of an increase in families becoming homeless and/or requiring support from Children's Services (and other services).	Matt Ansell Operations Director, Children and Families	This risk has been reviewed by Core Board and also considered at the December 2018 Audit Committee. It remains in place, and some additional control measures have been added Reviewed On :19/12/2018	<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
Controls:	<u>Ref</u>	<u>Control Description</u>	<u>Status</u>	<u>Owner</u>		
	CSF0083/001	Maintaining and deepening joint working relationships with 10 housing authorities and their partner registered housing providers	In Progress / Taking Effect	Matt Ansell		
	CSF0083/002	<u>Update the Hertfordshire Joint Housing Protocol</u>	<u>In Progress / Taking Effect</u>	<u>Matt Ansell</u>		
	CSF0083/003	<u>The development of a specialist Early Help housing approach</u>	<u>In Progress / Taking Effect</u>	<u>Matt Ansell</u>		
	CSF0083/004	<u>To develop a robust approach to families who have been deemed Intentionally Homeless</u>	<u>In Progress / Taking Effect</u>	<u>Matt Ansell</u>		
	CSF0083/005	<u>Ensure the No Recourse to Public Funds (NRPF) Protocol agreed with housing is fully utilised</u>	<u>In Progress / Taking Effect</u>	<u>Matt Ansell</u>		

Recent movement report - Corporate & Strategic Risk Register for March 2019 Audit Committee

Report Date: 01/03/2019

Date of Previous Risk Score: 16/11/2018



Notes: References highlighted **Purple** have been added since the 16/11/2018.

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

Previous Risk Score shows rating, profile, probability and impact prior to the Current Risk Score

Risk Ref Risk Description Corporate Priority Category	Risk Owner	Progress Update	Previous Risk Score	Movement Direction	Current Risk Score	Target Risk Score
<p>CSHF0016 <i>Delivering our Vision</i></p> <p>Current Category: <i>Corporate & Strategic Risk Register</i> <i>Current Type : Corporate</i></p> <p>In the event that the Authority does not develop sufficient and timely proposals to deal with the ongoing or further reductions in funding/resources, there is a risk that the need to close the funding gap may result in identifying measures for unplanned reductions in service spend leading to deterioration or interruption of front line service delivery. [Formerly CSHF0005 and CSHF0015]</p>	<p>Benjamin Jay</p> <p>Interim Assistant Director (Finance)</p>	<p>Budget setting for 2019/20 has identified and mitigated key financial risks and a balanced budget has now been set. Following the funding announcement and final settlement on the 29th January 2019, the County's balanced budget was agreed at full council on the 19th February 2019.</p> <p>Consideration continues to be given to changes in funding, including those arising from the Budget and future funding arrangements.</p> <p>These factors are regularly discussed with the director, assistant director and also with the Exec Member for Resources & the leader of the Council. As well as the budget, the maximum possible increase of 2.99% for council tax was also agreed at full council along with the Integrated Plan (IP) for 2019-23.</p> <p>Reviewed On :28/02/2019</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>

Recent movement report - Corporate & Strategic Risk Register for March 2019 Audit Committee

Report Date: 01/03/2019

Date of Previous Risk Score: 16/11/2018



Notes: References highlighted **Purple** have been added since the 16/11/2018.

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

Previous Risk Score shows rating, profile, probability and impact prior to the Current Risk Score

Risk Ref Risk Description Corporate Priority Category	Risk Owner	Progress Update	Previous Risk Score	Movement Direction	Current Risk Score	Target Risk Score
Controls:	<u>Ref</u>	<u>Control Description</u>		<u>Status</u>		<u>Owner</u>
	CSHF0016/001	Timely reporting to senior managers highlighting risks relating to available resources to enable mitigations to be made.		In Place / Embedded		Benjamin Jay
	CSHF0016/002	Work with districts to monitor changes to business rates related to loss of businesses/impact revaluations/improve collection.		In Progress / Taking Effect		Benjamin Jay
	CSHF0016/003	Ongoing discussions with NHS CCGs on funding with CCGs. Quarterly meetings with CCGs Chief Financial Officers to discuss.		In Progress / Taking Effect		Helen Maneuf
	CSHF0016/004	Monitor the impact of proposed changes to Education Funding to enable senior officers/members to make timely/informed decisions.		In Progress / Taking Effect		Abioye Asimolowo
	CSHF0016/005	Manage SMART Journey programme to support the organisation to deliver the necessary efficiencies including work with partners		In Progress / Taking Effect		Kate Findlay
	CSHF0016/006	Take account and anticipate changes through analysis of Government papers/announcement so management can make informed decisions		In Progress / Taking Effect		Benjamin Jay
	CSHF0016/007	Continue to carry out Service-led budget reviews		In Place / Embedded		Benjamin Jay
	CSHF0016/008	Horizon scanning/policy Network		In Place / Embedded		Alex James

Recent movement report - Corporate & Strategic Risk Register for March 2019 Audit Committee

Report Date: 01/03/2019

Date of Previous Risk Score: 16/11/2018



Notes: References highlighted **Purple** have been added since the 16/11/2018.

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

Previous Risk Score shows rating, profile, probability and impact prior to the Current Risk Score

Risk Ref Risk Description Corporate Priority Category	Risk Owner	Progress Update	Previous Risk Score	Movement Direction	Current Risk Score	Target Risk Score
<p>ENV0142 <i>Opportunity to be Healthy and Safe</i></p> <p>Current Category: Corporate & Strategic Risk Register <i>Current Type : Corporate</i></p> <p>Hertfordshire is facing an increasing threat from tree pests and diseases, including ash dieback and Oak Processionary Moth. In this context, there is a risk that current systems and resources for tree management will not be fit for purpose. Failure to manage tree risk may result in significant unplanned costs (including liability claims), danger to the public and or/service users, and impact on landscape and ecosystem services.</p>	<p>Simon Aries</p> <p>Assistant Director - Transport, Waste & Environmental Management</p>	<p>According to survey data for 2018 from the Forestry Commission, there are records for new OPM nest sites in Hertfordshire and a significant increase in number and distribution of male moths across the county. OPM pheromone traps have been deployed on Highway and HCC land. Work is in progress to analyse data and provide findings to HCC Tree Health Network by end of February 2019. Reviewed On :04/01/2019</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>

Recent movement report - Corporate & Strategic Risk Register for March 2019 Audit Committee

Report Date: 01/03/2019

Date of Previous Risk Score: 16/11/2018



Notes: References highlighted **Purple** have been added since the 16/11/2018.

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

Previous Risk Score shows rating, profile, probability and impact prior to the Current Risk Score

Risk Ref Risk Description Corporate Priority Category	Risk Owner	Progress Update	Previous Risk Score	Movement Direction	Current Risk Score	Target Risk Score
Controls:	<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 / Taking Effect		Tony Bradford
	ENV0142/002	Establishing extent and potential liability of ash tree population on Highways HCC is responsible to manage		In Progress / Taking Effect		Peter Simpson
	ENV0142/003	Monitoring of the national and local tree health situation and specialist advice to feed into plans and actions		In Progress / Taking Effect		Tony Bradford
	ENV0142/004	Monitoring/Reviewing the framework for sharing best practice including the county council's internal Tree Health Network		In Progress / Taking Effect		Tony Bradford
	ENV0142/005	Lobbying the government for support and assistance in responding to the tree health issue in the county		In Progress / Taking Effect		Simon Aries
	ENV0142/007	Assess extent and potential liability of tree population on non-Highway HCC land incl Property HCC is responsible to manage		In Progress / Taking Effect		Michelle Abraham
	ENV0142/008	Facilitate a coordinated approach across Hertfordshire to deliver a cost effective, proportionate, efficient response		In Progress / Taking Effect		Simon Aries
	ENV0142/009	Appropriate tree inspection regimes on highway land; summer inspections; staff trained to identify symptoms of relevant diseases		In Progress / Taking Effect		Peter Simpson
	ENV0142/010	Appropriate tree inspection regimes - HCC land; staff trained to identify disease		In Progress / Taking Effect		Michelle Abraham
	ENV0142/011	Raise awareness and share best practice amongst public, staff, schools (Schools Grid), incl employ a 2 year Tree Health Officer		In Progress / Taking Effect		Tony Bradford

Recent movement report - Corporate & Strategic Risk Register for March 2019 Audit Committee



Report Date: 01/03/2019

Date of Previous Risk Score: 16/11/2018

Notes: References highlighted **Purple** have been added since the 16/11/2018.

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

Previous Risk Score shows rating, profile, probability and impact prior to the Current Risk Score

Risk Ref Risk Description Corporate Priority Category	Risk Owner	Progress Update	Previous Risk Score	Movement Direction	Current Risk Score	Target Risk Score
	ENV0142/012	Ensure all relevant departments in the county council have appropriate tree risk policies and procedures in place		In Progress / Taking Effect		Simon Aries
	ENV0142/013	Development of a plant procurement protocol for HCC		In Progress / Taking Effect		Glenn Facey
	ENV0142/014	Work with partners to plan for restoration of the post-ash dieback landscape		In Progress / Taking Effect		Tony Bradford
	ENV0142/006	Monitor the financial pressures and secure resources through the Integrated Planning Process where appropriate		Complete		Simon Aries
HR0018 <i>Delivering our Vision</i> Current Category: Corporate & Strategic Risk Register <i>Current Type : Corporate</i> If the Council fails to educate, train and provide tools and processes for employees to effectively fulfil their roles (Including compliance with data protection, health and safety, safe staffing legislation, and role specific training) there is a risk that staff are not fully competent or productive. This could lead to service failures such as serious injury or harm, particularly to vulnerable service users (and the public) fines and/or prosecutions, and inefficiency in how work is delivered.	Sally Hopper Assistant Director, Human Resources	First phase of revised Core Offer launched, management areas now commencing. Mandatory modules on iLearn+ live. Responsibility for Service specific training sits with Children's Services, Adult Care Services, Fire and Rescue Learning & Development (L&D) Teams. L&D Managers group meet quarterly. Shared Prevent course with SBC and HCL. Reviewed On :19/12/2018	<div style="background-color: #f4a460; padding: 5px; text-align: center;">Significant 24</div> Probability Possible 3 Impact High 8		<div style="background-color: #f4a460; padding: 5px; text-align: center;">Significant 24</div> Probability Possible 3 Impact High 8	<div style="background-color: #f4a460; padding: 5px; text-align: center;">Significant 16</div> Probability Unlikely 2 Impact High 8

Recent movement report - Corporate & Strategic Risk Register for March 2019 Audit Committee

Report Date: 01/03/2019

Date of Previous Risk Score: 16/11/2018



Notes: References highlighted **Purple** have been added since the 16/11/2018.

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

Previous Risk Score shows rating, profile, probability and impact prior to the Current Risk Score

Risk Ref Risk Description Corporate Priority Category	Risk Owner	Progress Update	Previous Risk Score	Movement Direction	Current Risk Score	Target Risk Score
Controls:	<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 Place / Embedded		Sally Hopper
	HR0018/003	Incorporate HCC values & leadership qualities into new training provisions for managers		In Place / Embedded		Sally Hopper
	HR0018/004	Regular monitoring, workforce planning and forecasting - e.g. incl talent management and succession planning		In Place / Embedded		Sally Hopper
	HR0018/005	Maintain and support PMDS scheme, appropriate career schemes and associated training, coaching / mentoring		In Progress / Taking Effect		Sally Hopper
	HR0018/006	Deliver appropriate training to meet requirements of HCC Prevent action plan.		In Place / Embedded		Sally Hopper

Recent movement report - Corporate & Strategic Risk Register for March 2019 Audit Committee

Report Date: 01/03/2019

Date of Previous Risk Score: 16/11/2018



Notes: References highlighted **Purple** have been added since the 16/11/2018.

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

Previous Risk Score shows rating, profile, probability and impact prior to the Current Risk Score

Risk Ref Risk Description Corporate Priority Category	Risk Owner	Progress Update	Previous Risk Score	Movement Direction	Current Risk Score	Target Risk Score
<p>HR0021 <i>Delivering our Vision</i></p> <p>Current Category: Corporate & Strategic Risk Register <i>Current Type : Corporate</i></p> <p>If we fail to retain, attract and recruit the right people (managers, officers and volunteers) and right skills and maintain 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>Vol. Turnover for council depts. has increased by 0.3% to 13.4% (Nov 2018) since the last quarter, though this may be impacted by improvements in private sector jobs market. Continued difficulties recruiting and retaining some key groups (Social Workers, Occupational Therapists, Planners & Legal). Continuing to monitor turnover and retention and ensure recruitment is targeted to relevant audiences. Careers portal continues to attract healthy website traffic to the recruitment pages. Reviewed On :19/12/2018</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>

Recent movement report - Corporate & Strategic Risk Register for March 2019 Audit Committee

Report Date: 01/03/2019

Date of Previous Risk Score: 16/11/2018



Notes: References highlighted **Purple** have been added since the 16/11/2018.

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

Previous Risk Score shows rating, profile, probability and impact prior to the Current Risk Score

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

Recent movement report - Corporate & Strategic Risk Register for March 2019 Audit Committee

Report Date: 01/03/2019

Date of Previous Risk Score: 16/11/2018



Notes: References highlighted **Purple** have been added since the 16/11/2018.

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

Previous Risk Score shows rating, profile, probability and impact prior to the Current Risk Score

Risk Ref	Risk Description	Corporate Priority	Risk Owner	Progress Update	Previous Risk Score	Movement Direction	Current Risk Score	Target Risk Score
			HR0021/017	Talent & succession plans in place to support future organisation as part of workforce planning		In Progress / Taking Effect		Sally Hopper
IMP0001	<i>Delivering our Vision</i>		Simon Banks Assistant Chief Legal Officer	Work continues to ensure the Council's compliance with Data Protection Law including continuous review of identified breaches, identifying lessons learnt, reviewing and making recommendations for improved data control and security and best practice. Reviewed On :04/01/2019	Significant 24 Probability Possible 3 Impact High 8	↔	Significant 24 Probability Possible 3 Impact High 8	Significant 16 Probability Unlikely 2 Impact High 8
	Current Category: <i>Corporate & Strategic Risk Register</i> <i>Current Type : Corporate</i>							
	Risk: <ul style="list-style-type: none"> loss/inappropriate acquisition/disclosure of sensitive personal or commercial data; and / or breach of data subjects rights; contrary to the requirements of the Data Protection Act 2018 and the General Data Protection Regulation Potential consequences: <ul style="list-style-type: none"> harm to clients, impact on Council reputation, regulatory enforcement and other legal action severe financial consequences. [Formerly CSCE0013]							

Recent movement report - Corporate & Strategic Risk Register for March 2019 Audit Committee

Report Date: 01/03/2019

Date of Previous Risk Score: 16/11/2018



Notes: References highlighted **Purple** have been added since the 16/11/2018.

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

Previous Risk Score shows rating, profile, probability and impact prior to the Current Risk Score

Risk Ref Risk Description Corporate Priority Category	Risk Owner	Progress Update	Previous Risk Score	Movement Direction	Current Risk Score	Target Risk Score
Controls:	<u>Ref</u>	<u>Control Description</u>		<u>Status</u>		<u>Owner</u>
	IMP0001/001	Policy framework is regularly reviewed and staff made aware of responsibilities		In Place / Embedded		Simon Banks
	IMP0001/003	Mandatory data protection training in place for all staff at induction and monitored.		In Place / Embedded		Elaine Dunncliffe
	IMP0001/004	Ensure HCC is linked into the Government's secure network to enable secure data exchange with central government services		In Place / Embedded		David Mansfield
	IMP0001/021	A common data sharing framework is in place and respective agreements reviewed and updated on a regular basis		In Place / Embedded		Elaine Dunncliffe
	IMP0001/005	Research and implement additional security features to protect HCC's electronic data		In Progress / Taking Effect		David Mansfield
	IMP0001/016	Regular additional targeted training delivered to members and staff groups that handle sensitive personal data		In Progress / Taking Effect		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 / Taking Effect		Elaine Dunncliffe
	IMP0001/028	Embed good practice and compliance with the General Data Protection Regulation following implementation of the HCC Action Plan		In Progress / Taking Effect		Elaine Dunncliffe

Recent movement report - Corporate & Strategic Risk Register for March 2019 Audit Committee

Report Date: 01/03/2019

Date of Previous Risk Score: 16/11/2018



Notes: References highlighted **Purple** have been added since the 16/11/2018.

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

Previous Risk Score shows rating, profile, probability and impact prior to the Current Risk Score

Risk Ref Risk Description Corporate Priority Category	Risk Owner	Progress Update	Previous Risk Score	Movement Direction	Current Risk Score	Target Risk Score
<p>PROP0023 <i>Delivering our Vision</i></p> <p>Current Category: <i>Corporate & Strategic Risk Register</i></p> <p><i>Current Type : Strategic</i></p> <p>HCC has established Herts Living Limited which is collaborating with a Joint Venture partner to maximise returns on its land and assets. In the event of delays, changes to standards or other unexpected developments, there is a risk that these arrangements do not perform as anticipated, which could result in a reduction of projected financial returns, slow the pace of development and returns and also reduce other benefits from the arrangements. This could also lead to reputational impacts for HCC. (Replaces PROP0020 and PROP0021).</p>	<p>Mike Evans (Herts Living Limited)</p> <p>Head of Estates & Director of Herts Living Limited</p>	<p>Risk and control measures have been reviewed and updated. No changes to current and target risk scores. Controls to reduce and manage this risk are in place and being actively undertaken. External consultants are used before recommending the disposal direction to Cabinet. and to validate any unsolicited approaches to purchase HCC land or assets. There are discussions at board meetings around the programme and pace of delivery but Stage 1 feasibility reports need to be regularly produced by Chalkdene to assist in declaring HCC assets as surplus. A disposal strategy is still being developed and may be included in the Property Management Services (PMS) contract at a future date for those assets that are not being developed by Herts Living Ltd. Reviewed On :04/01/2019</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>

Recent movement report - Corporate & Strategic Risk Register for March 2019 Audit Committee

Report Date: 01/03/2019

Date of Previous Risk Score: 16/11/2018



Notes: References highlighted **Purple** have been added since the 16/11/2018.

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

Previous Risk Score shows rating, profile, probability and impact prior to the Current Risk Score

Risk Ref Risk Description Corporate Priority Category	Risk Owner	Progress Update	Previous Risk Score	Movement Direction	Current Risk Score	Target Risk Score
Controls:	<u>Ref</u>	<u>Control Description</u>		<u>Status</u>		<u>Owner</u>
	PROP0023/001	Herts Living Ltd Board of Directors to ensure governance through member advisory group and shareholder representative group.		In Progress / Taking Effect		Mike Evans (Herts Living Limited)
	PROP0023/002	Continue to determine the latest market value before taking any asset to sale or allocate to Herts Living Ltd		In Place / Embedded		Mike Evans (Herts Living Limited)
	PROP0023/003	Take advantage of sale opportunities such as unsolicited approaches where possible subject to procurement rules being followed		In Place / Embedded		Mike Evans (Herts Living Limited)
	PROP0023/004	Work with Finance & disposal teams to deliver an acceptable capital receipt programme & the receipts from the SJV		In Progress / Taking Effect		Mike Evans (Herts Living Limited)
	PROP0023/005	Ensure Herts Living Ltd works with a Strategic Joint Venture Partner to ensure agreed delivery pace is being achieved.		Complete		Mike Evans (Herts Living Limited)
	PROP0023/006	Establish joint venture arrangements		Complete		Mike Evans (Herts Living Limited)
	PROP0023/007	Continue to identify pipeline surplus sites/assets and develop these to maximise the potential capital receipt.		In Progress / Taking Effect		Mike Evans (Herts Living Limited)
	PROP0023/008	Gain social value from arrangements. Provide social benefits that will impact on economic & social well-being of the community		In Progress / Taking Effect		Mike Evans (Herts Living Limited)
	PROP0023/009	Maintain awareness of market conditions & potential for change		In Place / Embedded		Mike Evans (Herts Living Limited)

Recent movement report - Corporate & Strategic Risk Register for March 2019 Audit Committee

Report Date: 01/03/2019

Date of Previous Risk Score: 16/11/2018



Notes: References highlighted **Purple** have been added since the 16/11/2018.

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

Previous Risk Score shows rating, profile, probability and impact prior to the Current Risk Score

Risk Ref Risk Description Corporate Priority Category	Risk Owner	Progress Update	Previous Risk Score	Movement Direction	Current Risk Score	Target Risk Score
<p>SP0005 <i>Delivering our Vision</i></p> <p>Current Category: <i>Corporate & Strategic Risk Register</i> <i>Current Type : 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 IMP0002/CSCE0019]</p>	<p>Benjamin Jay</p> <p>Interim Assistant Director (Finance)</p>	<p>The risk owner has reviewed the risk and controls and there is no change. A SIAS audit of supplier monitoring and business continuity will take place in early 2019. Reviewed On :07/01/2019</p>	<div style="background-color: #f4a460; padding: 5px; text-align: center;"> Significant 24 </div> <p>Probability Possible 3</p> <p>Impact High 8</p>		<div style="background-color: #f4a460; padding: 5px; text-align: center;"> Significant 24 </div> <p>Probability Possible 3</p> <p>Impact High 8</p>	<div style="background-color: #f4a460; padding: 5px; text-align: center;"> Significant 16 </div> <p>Probability Unlikely 2</p> <p>Impact High 8</p>

Recent movement report - Corporate & Strategic Risk Register for March 2019 Audit Committee

Report Date: 01/03/2019

Date of Previous Risk Score: 16/11/2018



Notes: References highlighted **Purple** have been added since the 16/11/2018.

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

Previous Risk Score shows rating, profile, probability and impact prior to the Current Risk Score

Risk Ref Risk Description Corporate Priority Category	Risk Owner	Progress Update	Previous Risk Score	Movement Direction	Current Risk Score	Target Risk Score
Controls:	<u>Ref</u>	<u>Control Description</u>		<u>Status</u>		<u>Owner</u>
	SP0005/002	Effective use of The Procurement Cycle (the 'Do, Buy, Share' model of procurement)		In Place / Embedded		Paul Drake
	SP0005/005	Deliver specialist procurement training programme		In Progress / Taking Effect		Paul Drake
	SP0005/006	Regular newsletter and Contracting Best Practice meeting which takes place bi monthly		In Place / Embedded		Paul Drake
	SP0005/008	SPG team specialist support to key business areas		In Place / Embedded		Paul Drake
	SP0005/009	Commercial skills assessment undertaken through SMART Commercial programme		In Progress / Taking Effect		Paul Drake
	SP0005/010	Effective service and contractual checks are made by contracting managers pre contract placement and on an ongoing basis		In Place / Embedded		Paul Drake
	SP0005/011	HCC's Technology team provide support to contracting managers to assess ICT implications and security.		In Place / Embedded		David Mansfield

Recent movement report - Corporate & Strategic Risk Register for March 2019 Audit Committee

Report Date: 01/03/2019

Date of Previous Risk Score: 16/11/2018



Notes: References highlighted **Purple** have been added since the 16/11/2018.

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

Previous Risk Score shows rating, profile, probability and impact prior to the Current Risk Score

Risk Ref Risk Description Corporate Priority Category	Risk Owner	Progress Update	Previous Risk Score	Movement Direction	Current Risk Score	Target Risk Score
<p>TEC0004 <i>Delivering our Vision</i></p> <p>Current Category: Corporate & Strategic Risk Register <i>Current Type : Strategic</i></p> <p>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 successful cyber-attack (virus, penetration or malicious internal action) on HCC's ICT environments causing significant service disruption and possible data loss</p>	<p>David Mansfield</p> <p>Head of Technology</p>	<p>The risk owner, in conjunction with the Assistant Director for Improvement and Technology continues to review this risk. A program of works has been undertaken to improve physical security. We are awaiting formal notification of our recent re-audit. Reviewed On :20/12/2018</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>

Recent movement report - Corporate & Strategic Risk Register for March 2019 Audit Committee

Report Date: 01/03/2019

Date of Previous Risk Score: 16/11/2018



Notes: References highlighted **Purple** have been added since the 16/11/2018.

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

Previous Risk Score shows rating, profile, probability and impact prior to the Current Risk Score

Risk Ref Risk Description Corporate Priority Category	Risk Owner	Progress Update	Previous Risk Score	Movement Direction	Current Risk Score	Target Risk Score
Controls:	<u>Ref</u>	<u>Control Description</u>		<u>Status</u>		<u>Owner</u>
	TEC0004/001	Industry approved security measures (firewalls, desktop AV, email filtering software etc) implemented, monitored and maintained		In Progress / Taking Effect		David Mansfield
	TEC0004/002	Before implementing new/updated systems/apps they must conform to agreed security requirements incl successful network pen tests		In Progress / Taking Effect		David Mansfield
	TEC0004/004	Work to continuously develop & deliver ICT policy/security educ/awareness training for staff, managers and members		In Place / Embedded		David Mansfield
	TEC0004/006	Rolling program of testing existing network infrastructure including penetration testing for HCC and key 3rd party providers on		In Place / Embedded		David Mansfield
	TEC0004/007	Ensure ICT Service Providers adhere to security & tech standards in providing/implementing/updating systems; ICT infrastructure		In Place / Embedded		David Mansfield

Recent movement report - Corporate & Strategic Risk Register for March 2019 Audit Committee

Report Date: 01/03/2019

Date of Previous Risk Score: 16/11/2018



Notes: References highlighted **Purple** have been added since the 16/11/2018.

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

Previous Risk Score shows rating, profile, probability and impact prior to the Current Risk Score

Risk Ref Risk Description Corporate Priority Category	Risk Owner	Progress Update	Previous Risk Score	Movement Direction	Current Risk Score	Target Risk Score
<p>AUDIT0001 <i>Delivering our Vision</i></p> <p>Current Category: Corporate & Strategic Risk Register <i>Current Type : Corporate</i></p> <p>As a result of the scale and scope of services delivered by and through the county council, there is a risk of fraud; which may be significant fraud including money laundering, tax evasion or bribery, which could lead to service disruption, financial and reputational loss. The Anti-Money Laundering (AML) Act 2017 seeks to prevent new means of terrorist financing and enforce sanctions, requiring HCC to adopt a more risk-based approach towards AML. This risk includes, but is not limited to, areas specifically recognised by Cipfa:</p> <ul style="list-style-type: none"> - Overstatement of needs through false declaration for personal budgets in adult care services - Misuse of Blue Badge/Concessionary bus passes - Staff falsifying time keeping / expenses and overpayment of pensions - Bribery and collusion in procurement - Exaggerated/false insurance claims 	<p>Terry Barnett</p> <p>Head of Assurance</p>	<p>This risk and its controls have been reviewed by the risk owner. All control measures have been reviewed for this risk and these all remain embedded within the service. The SAFS programme of work and action plan is continually evolving to tackle the ever increasing new and diverse methods used to commit fraud.</p> <p>Reviewed On :24/12/2018</p>	<p>Significant 16</p> <p>Probability Likely 4</p> <p>Impact Medium 4</p>	<p>↔</p>	<p>Significant 16</p> <p>Probability Likely 4</p> <p>Impact Medium 4</p>	<p>Significant 16</p> <p>Probability Likely 4</p> <p>Impact Medium 4</p>

Recent movement report - Corporate & Strategic Risk Register for March 2019 Audit Committee

Report Date: 01/03/2019

Date of Previous Risk Score: 16/11/2018



Notes: References highlighted **Purple** have been added since the 16/11/2018.

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

Previous Risk Score shows rating, profile, probability and impact prior to the Current Risk Score

Risk Ref Risk Description Corporate Priority Category	Risk Owner	Progress Update	Previous Risk Score	Movement Direction	Current Risk Score	Target Risk Score
Controls:	<u>Ref</u>	<u>Control Description</u>		<u>Status</u>		<u>Owner</u>
	AUDIT0001/001	Risk based programme of work by both SIAS and SAFS focussing on areas that are susceptible to fraud		In Place / Embedded		Terry Barnett
	AUDIT0001/006	Responding to reports received from the fraud reporting facilities.		In Place / Embedded		Terry Barnett
	AUDIT0001/007	Oversight of fraud risk at at resources board and audit committee through regular reporting by SAFS		In Place / Embedded		Terry Barnett
	AUDIT0001/011	Robust responses to fraudulent activity e.g. prosecutions; disciplinarys; and loss recovery act as deterrent.		In Place / Embedded		Terry Barnett
	AUDIT0001/012	Removal of out of date blue badges/concessionary bus passes to prevent inappropriate use		In Place / Embedded		Terry Barnett
	AUDIT0001/013	Compliance with National Fraud Initiative & use of NFI 'Fraud Hub' to enhance data-matching		In Place / Embedded		Terry Barnett
	AUDIT0001/014	Regularly reviewed Anti-Fraud Strategy and annual anti-fraud plan (compliant with Cipfa guidance)		In Place / Embedded		Terry Barnett
	AUDIT0001/015	Communications plan to encourage reporting of fraud internally and externally (includes an annual publicity campaign)		In Place / Embedded		Terry Barnett
	AUDIT0001/016	Campaigns to promote staff awareness to encourage reporting and training via a compulsory I-Learn module		In Place / Embedded		Terry Barnett
AUDIT0001/017	Resource dedicated for development and maintenance of fraud reporting tools		In Place / Embedded		Terry Barnett	

Recent movement report - Corporate & Strategic Risk Register for March 2019 Audit Committee

Report Date: 01/03/2019

Date of Previous Risk Score: 16/11/2018



Notes: References highlighted **Purple** have been added since the 16/11/2018.

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

Previous Risk Score shows rating, profile, probability and impact prior to the Current Risk Score

Risk Ref Risk Description Corporate Priority Category	Risk Owner	Progress Update	Previous Risk Score	Movement Direction	Current Risk Score	Target Risk Score
<p>CPRES0001 <i>Delivering our Vision</i></p> <p>Current Category: Corporate & Strategic Risk Register <i>Current Type : Corporate</i></p> <p>In the event of a failure of the Local Resilience forum (LRF) 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)</p>	<p>Gus Cuthbert</p> <p>Assistant Chief Fire Officer</p>	<p>Hertfordshire Resilience is our LRF, which is required by the Civil Contingencies Act 2004 (CCA). This is a partnership of over 60 organisations including the emergency services, local councils, health services and volunteers. The LRF is not a legal entity, nor does a Forum have powers to direct its members. Nevertheless, the CCA and the Regulations provide that responders, through the Forum, have a collective responsibility to plan, prepare and communicate in a multi agency environment. The effectiveness of the Hertfordshire LRF in Planning and responding to Incidents affecting the communities of Hertfordshire will be the subject of HCC Members scrutiny panel in January 2019. Reviewed On :09/01/2019</p>	<p>Significant 16</p> <p>Probability Rare 1</p> <p>Impact Very High 16</p>	<p>↔</p>	<p>Significant 16</p> <p>Probability Rare 1</p> <p>Impact Very High 16</p>	<p>Significant 16</p> <p>Probability Rare 1</p> <p>Impact Very High 16</p>

Recent movement report - Corporate & Strategic Risk Register for March 2019 Audit Committee

Report Date: 01/03/2019

Date of Previous Risk Score: 16/11/2018



Notes: References highlighted **Purple** have been added since the 16/11/2018.

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

Previous Risk Score shows rating, profile, probability and impact prior to the Current Risk Score

Risk Ref Risk Description Corporate Priority Category	Risk Owner	Progress Update	Previous Risk Score	Movement Direction	Current Risk Score	Target Risk Score
Controls:	Ref	Control Description		Status		Owner
	CPRES0001/001	Continually review LRF business plan/objectives to ensure suitable measures are in place to meet key priorities/areas of concern		In Place / Embedded		Darren McLatchey
	CPRES0001/002	HCC an active participant in LRF activity		In Place / Embedded		Darren McLatchey
	CPRES0001/003	Agreed programme of training/exercising, including development plan for LRF members & internal incident response managers		In Place / Embedded		Darren McLatchey
	CPRES0001/006	Regular Review and update of the Community Risk Register checking for potential risks that are relevant.		In Place / Embedded		Darren McLatchey
	CPRES0001/007	Agreed annual programme of reviewing inter-agency plans undertaken		In Place / Embedded		Darren McLatchey
CSHF0002 <i>Delivering our Vision</i> Current Category: Corporate & Strategic Risk Register <i>Current Type : Corporate</i> 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	Benjamin Jay Interim 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 97% as at 30 June 2017. The risk and controls have been reviewed in the context of the triennial re evaluation of the fund. Reviewed On :15/01/2019	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

Recent movement report - Corporate & Strategic Risk Register for March 2019 Audit Committee

Report Date: 01/03/2019

Date of Previous Risk Score: 16/11/2018



Notes: References highlighted **Purple** have been added since the 16/11/2018.

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

Previous Risk Score shows rating, profile, probability and impact prior to the Current Risk Score

Risk Ref Risk Description Corporate Priority Category	Risk Owner	Progress Update	Previous Risk Score	Movement Direction	Current Risk Score	Target Risk Score
Controls:	Ref	Control Description	Status		Owner	
	CSHF0002/002	Monitor ongoing market conditions and fund performance.	In Place / Embedded		Patrick Towey	
	CSHF0002/003	Ensure investment decisions are made in line with the strategy and are adequately diversified	In Place / Embedded		Patrick Towey	
	CSHF0002/004	Ensure that bond guarantee arrangements are in place for guaranteed admitted bodies which are subject to ongoing monitoring	In Place / Embedded		Patrick Towey	
ENV0033 <i>Opportunity to be Healthy and Safe</i> Current Category: Corporate & Strategic Risk Register <i>Current Type : Corporate</i> In the event of under investment there is a risk that road maintenance levels (including footways and cycle-ways) cannot be maintained and general deterioration occurs, which may lead to increased number of accidents, loss of reputation and customer dissatisfaction.	Steve Johnson Business Manager - Contracts and Networks	Additional HCC funding made available for the upkeep of U-roads over a 4 year period. There is also DfT funding of £7.9m for pothole maintenance in 2018/19 targeted at improving asset condition. Reviewed On :03/01/2019	<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 Rare 1 Impact High 8

Recent movement report - Corporate & Strategic Risk Register for March 2019 Audit Committee

Report Date: 01/03/2019

Date of Previous Risk Score: 16/11/2018



Notes: References highlighted **Purple** have been added since the 16/11/2018.

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

Previous Risk Score shows rating, profile, probability and impact prior to the Current Risk Score

Risk Ref Risk Description Corporate Priority Category	Risk Owner	Progress Update	Previous Risk Score	Movement Direction	Current Risk Score	Target Risk Score
Controls:	<u>Ref</u>	<u>Control Description</u>		<u>Status</u>		<u>Owner</u>
	ENV0033/001	Regular performance monitoring		In Place / Embedded		Steve Johnson
	ENV0033/002	Efficient Asset management principles		In Place / Embedded		Steve Johnson
	ENV0033/003	Claims information reported on request to Environment and Infrastructure by the Insurance team		In Place / Embedded		Fiona Timms
	ENV0033/004	Review of Maintenance Strategy		In Progress / Taking Effect		Steve Johnson
	ENV0033/005	Review and monitor Highways triage system		In Place / Embedded		Steve Johnson
	ENV0033/006	Member decision for targeted extra investment in enhanced maintenance project		In Place / Embedded		Steve Johnson
	ENV0033/007	End to end delivery review of scheme works to ensure effective and efficient delivery (value for money)		In Progress / Taking Effect		Steve Johnson
	ENV0033/008	Continue to work with the administration on setting funding needs		In Place / Embedded		Steve Johnson
	ENV0033/009	Review of maintenance data, insurance data, customer enquiries, fault reports and weather patterns		In Progress / Taking Effect		Steve Johnson

Recent movement report - Corporate & Strategic Risk Register for March 2019 Audit Committee

Report Date: 01/03/2019

Date of Previous Risk Score: 16/11/2018



Notes: References highlighted **Purple** have been added since the 16/11/2018.

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

Previous Risk Score shows rating, profile, probability and impact prior to the Current Risk Score

Risk Ref Risk Description Corporate Priority Category	Risk Owner	Progress Update	Previous Risk Score	Movement Direction	Current Risk Score	Target Risk Score
<p>HFRS0004 <i>Delivering our Vision</i></p> <p>Current Category: <i>Corporate & Strategic Risk Register</i> <i>Current Type : Corporate</i></p> <p>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.</p>	<p>Steve Tant</p> <p>Assistant Chief Fire Officer</p>	<p>The CPD Strategic Operations and Training Board (SOTB) meet in November 2018 to sign off the 2018 Station Audit process and agree the 2019 Annual Training Plan that will again focus on risk critical issues of Incident Command and Breathing Apparatus training. In addition the Group reviewed and noted the current Performance data for course completion and firefighter competence, which stands at:</p> <ul style="list-style-type: none"> - 100% of relevant personnel have successfully completed an appropriate Incident Command course. - 98% of personnel have successfully completed an appropriate Breathing Apparatus Refresher course. <p>Which demonstrates the continual improvement made over recent years in these particular areas. Reviewed On :03/01/2019</p>	<p>Significant 16</p> <p>Probability Unlikely 2</p> <p>Impact High 8</p>	<p>↔</p>	<p>Significant 16</p> <p>Probability Unlikely 2</p> <p>Impact High 8</p>	<p>Significant 16</p> <p>Probability Unlikely 2</p> <p>Impact High 8</p>

Recent movement report - Corporate & Strategic Risk Register for March 2019 Audit Committee

Report Date: 01/03/2019

Date of Previous Risk Score: 16/11/2018



Notes: References highlighted **Purple** have been added since the 16/11/2018.

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

Previous Risk Score shows rating, profile, probability and impact prior to the Current Risk Score

Risk Ref Risk Description Corporate Priority Category	Risk Owner	Progress Update	Previous Risk Score	Movement Direction	Current Risk Score	Target Risk Score
Controls:	<u>Ref</u>	<u>Control Description</u>		<u>Status</u>		<u>Owner</u>
	HFRS0004/001	Review and monitor the Integrated Personal Development System to ensure National training requirements are being met.		In Progress / Taking Effect		Steve Tant
	HFRS0004/002	Station Audit Process		In Place / Embedded		Steve Tant
	HFRS0004/004	Feedback from standard meetings informs improvements in equipment, technique and performance to drive the Service forward		In Place / Embedded		Steve Tant
	HFRS0004/005	CPD`s Strategic Operations and Training Board (SOTB) have signed off the Services 2019 Annual Training Plan.		In Place / Embedded		Steve Tant

Recent movement report - Corporate & Strategic Risk Register for March 2019 Audit Committee

Report Date: 01/03/2019

Date of Previous Risk Score: 16/11/2018



Notes: References highlighted **Purple** have been added since the 16/11/2018.

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

Previous Risk Score shows rating, profile, probability and impact prior to the Current Risk Score

Risk Ref Risk Description Corporate Priority Category	Risk Owner	Progress Update	Previous Risk Score	Movement Direction	Current Risk Score	Target Risk Score
<p>NGEN0001 <i>Delivering our Vision</i></p> <p>Current Category: <i>Corporate & Strategic Risk Register</i> <i>Current Type : Strategic</i></p> <p>The Shared Managed Services (SMS) partnership is set to continue until March 2021 at which point a new operating model must be considered and in place. The Council's Enterprise and Resource Planning (ERP - SAP) system support forms part of the SMS Contract, which will end in March 2021. SAP themselves are not committing to support the current version of SAP beyond 2025. HCC must consider how these services and systems that support back office functions and front line services are delivered and undertake an appropriate procurement process to ensure continuity of service delivery. However, in the event that there is a lack of clarity or lack of information and intelligence in respect to models of delivery, user needs, the market, timelines, buy in and resources required to undertake this work, there is a risk that this once in a generation opportunity to transform services for the 2020s is missed and services cannot be effectively delivered and that the improvements and / or enhancements that</p>	<p>Anna Morrison</p> <p>Assistant Director - Improvement & Technology</p>	<p>The Prior Intention Notice yielded a reasonable number of expressions of interest from the market. As part of the Pre-Procurement Market Engagement activity the Programme held over 50 supplier engagement sessions. A wide range of different suppliers were met in order to better understand what innovative solutions are available in the market. Services are now currently using these findings to inform the process of designing options for the Outline Business Case. A number of Programme milestones are in place for the remainder of Phase 3 and progress is being closely monitored against these. The intention is to have a final draft of the Outline Business Case prepared by the week commencing 27th May. Reviewed On :28/02/2019</p>	<p>Significant 16</p> <p>Probability Unlikely 2</p> <p>Impact High 8</p>	<p>↔</p>	<p>Significant 16</p> <p>Probability Unlikely 2</p> <p>Impact High 8</p>	<p>Significant 16</p> <p>Probability Unlikely 2</p> <p>Impact High 8</p>

Recent movement report - Corporate & Strategic Risk Register for March 2019 Audit Committee

Report Date: 01/03/2019

Date of Previous Risk Score: 16/11/2018



Notes: References highlighted **Purple** have been added since the 16/11/2018.

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

Previous Risk Score shows rating, profile, probability and impact prior to the Current Risk Score

Risk Ref Risk Description Corporate Priority Category	Risk Owner	Progress Update	Previous Risk Score	Movement Direction	Current Risk Score	Target Risk Score
services and their users need for the future do not emerge. In addition, the contribution to the organisational savings target may not be achieved.						
Controls:	<u>Ref</u>	<u>Control Description</u>	<u>Status</u>	<u>Owner</u>		
	NGEN0001/001	Ensure that the programme and each phase has clear objectives and expected outcomes	In Progress / Taking Effect	Seema Aggarwal		
	NGEN0001/002	Run the programme with a robust Programme Office and Delivery Team including procurement and risk management expertise.	In Progress / Taking Effect	Seema Aggarwal		
	NGEN0001/003	Engage with users throughout the life of the programme to understand current and future need.	In Progress / Taking Effect	Seema Aggarwal		
	NGEN0001/004	Liaise with the incumbent provider to ensure information and intelligence is available and accurate	In Progress / Taking Effect	Seema Aggarwal		
	NGEN0001/005	Undertake rigorous market engagement.	In Progress / Taking Effect	Seema Aggarwal		
	NGEN0001/006	Work with other LA's and organisations to understand best practice, alternative solutions and innovations.	In Progress / Taking Effect	Seema Aggarwal		
	NGEN0001/007	Determine contingency arrangements and develop as appropriate	In Progress / Taking Effect	Seema Aggarwal		
	NGEN0001/008	Facilitate workshops with senior management in Support Services for clarity on activities in scope, develop detailed scope maps	Complete	Fiona Clark		
	NGEN0001/009	Seek advice of Subject Matter Experts (SME) in key areas eg IT, CSC, Finance, ACS to understand the best options to implement	Complete	Tobias Barker		

Recent movement report - Corporate & Strategic Risk Register for March 2019 Audit Committee

Report Date: 01/03/2019

Date of Previous Risk Score: 16/11/2018



Notes: References highlighted **Purple** have been added since the 16/11/2018.

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

Previous Risk Score shows rating, profile, probability and impact prior to the Current Risk Score

Risk Ref Risk Description Corporate Priority Category	Risk Owner	Progress Update	Previous Risk Score	Movement Direction	Current Risk Score	Target Risk Score
HR0023 <i>Delivering our Vision</i> Current Category: Corporate & Strategic Risk Register <i>Current Type : Corporate</i> As a result of new legislation establishing an Apprenticeship Levy, there is a risk that should the County Council not take appropriate action to offset the levy and provide apprenticeship opportunities there may be financial and reputational consequences.	Sally Hopper Assistant Director, Human Resources	Work being undertaken with Boards to enroll existing staff onto standards and embed into workforce planning i.e. vacancies being considered as Apprentice first and other options second. Reviewed On :19/12/2018	<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: yellow; padding: 5px; text-align: center;">Material 8</div> Probability Unlikely 2 Impact Medium 4
Controls:	<u>Ref</u>	<u>Control Description</u>	<u>Status</u>	<u>Owner</u>		
	HR0023/002	Identification of departmental Apprenticeship opportunities through strategic workforce planning	In Place / Embedded	Sally Hopper		
	HR0023/003	Procure training funded through the Apprenticeship Levy	In Place / Embedded	Sally Hopper		
	HR0023/004	Work in partnership to develop and maintain the Hertfordshire Apprenticeship Alliance (HAA)	In Place / Embedded	Sally Hopper		
	HR0023/005	Develop effective processes to reclaim this tax through the digital account	In Place / Embedded	Sally Hopper		

Recent movement report - Corporate & Strategic Risk Register for March 2019 Audit Committee

Report Date: 01/03/2019

Date of Previous Risk Score: 16/11/2018



Notes: References highlighted **Purple** have been added since the 16/11/2018.

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

Previous Risk Score shows rating, profile, probability and impact prior to the Current Risk Score

Risk Ref Risk Description Corporate Priority Category	Risk Owner	Progress Update	Previous Risk Score	Movement Direction	Current Risk Score	Target Risk Score
<p>LIBS0007 <i>Delivering our Vision</i> Old Category: Service Current Category: <i>Corporate & Strategic Risk Register</i> Current Type : <i>Strategic</i></p> <p>Cabinet has agreed to adopt an alternative provider for the future delivery of the library services through a procurement process in 2019. It has also agreed to establish a public service mutual in shell form in order to bid for the contract. It is envisaged that the new contract will be awarded in July 2019 and launched in December 2019.</p> <p>In the event that there is a delay in the procurement or the implementation process, or a challenge to the contract award, then there is a risk that the new provider will not be in place by the end of 2019, with the result that some or all of the required savings will not be made in 2019/2020, and the County Council will suffer reputational damage.</p>	<p>Andrew Bignell</p> <p>Head of Libraries and Heritage Services</p>	<p>Following the Cabinet decisions on 22nd October 2018, this risk has been escalated to a strategic risk, re worded, and the score amended to align with the new focus. A working group, chaired by Alex James, has been established to draw up the tender documentation. The pre-qualification questionnaire was published on 8 February, with expressions of interest required by 5 March. The full ITT is due to be published in April with a return date early in May. This work is supported by Legal Services, the Improvement Team, Procurement, Finance and HR. A separate working group, chaired by Andrew Bignell, has been established to set up the Public Service Mutual.. Guidelines have been drawn up by legal services to ensure the separation of functions required to comply with procurement law. Reviewed On :26/02/2019</p>	<p>24/12/2018 Significant 16</p> <p>Probability Likely 4</p> <p>Impact Medium 4</p>	<p>↓</p>	<p>Significant 12</p> <p>Probability Possible 3</p> <p>Impact Medium 4</p>	<p>Material 8</p> <p>Probability Unlikely 2</p> <p>Impact Medium 4</p>

Recent movement report - Corporate & Strategic Risk Register for March 2019 Audit Committee



Report Date: 01/03/2019

Date of Previous Risk Score: 16/11/2018

Notes: References highlighted **Purple** have been added since the 16/11/2018.

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

Previous Risk Score shows rating, profile, probability and impact prior to the Current Risk Score

Risk Ref Risk Description Corporate Priority Category	Risk Owner	Progress Update	Previous Risk Score	Movement Direction	Current Risk Score	Target Risk Score
Controls:	Ref	Control Description	Status		Owner	
	LIBS0007/001	Project team setup and established including mitigation of the project level risks.	In Progress / Taking Effect		Andrew Bignell	
	LIBS0007/002	Independent Support and advice secured through the DCMS Mutuals Support Programme.	In Progress / Taking Effect		Andrew Bignell	
PROP0018 <i>Opportunity to be Healthy and Safe</i> Current Category: Corporate & Strategic Risk Register <i>Current Type : Corporate</i> 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 encroachment, H&S incident to persons or property or some financial impact which could give rise to H&SE action and/or a liability claim.	Mike Evans Head of Estate & Asset Management	Risk and control measures have been reviewed and updated. No changes to current and target risk scores. The controls are being actively undertaken to reduce and manage the risk, these actions include; Management regimes are in place for at risk assets and these are reviewed at monthly case management meetings with HCC's Property Management Services (PMS) consultant. There is continued review of management regimes at monthly PMS meetings. Currently HCC are considering the use of CCTV at specific sites. Reviewed On :04/01/2019	Significant 12 Probability Possible 3 Impact Medium 4		Significant 12 Probability Possible 3 Impact Medium 4	Material 8 Probability Unlikely 2 Impact Medium 4

Recent movement report - Corporate & Strategic Risk Register for March 2019 Audit Committee

Report Date: 01/03/2019

Date of Previous Risk Score: 16/11/2018



Notes: References highlighted **Purple** have been added since the 16/11/2018.

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

Previous Risk Score shows rating, profile, probability and impact prior to the Current Risk Score

Risk Ref Risk Description Corporate Priority Category	Risk Owner	Progress Update	Previous Risk Score	Movement Direction	Current Risk Score	Target Risk Score
Controls:	<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		In Place / Embedded		Mike Evans
	PROP0018/002	Agreement to be reached on what management regimes can be implemented/alternative solutions deployed to resolve potential issues		In Place / Embedded		Mike Evans
	PROP0018/003	Follow Out of Use land and property management processes to ensure it is managed appropriately.		In Progress / Taking Effect		Mike Evans
PHD0014 <i>Opportunity to be Healthy and Safe</i> Current Category: Corporate & Strategic Risk Register <i>Current Type : Corporate</i> 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.	Joel Bonnet Deputy Director of Public Health	Risk remains current. Score has been reviewed and remains the same. Reviewed On :31/12/2018	Material 8 Probability Rare 1 Impact High 8		Material 8 Probability Rare 1 Impact High 8	Material 8 Probability Rare 1 Impact High 8

Recent movement report - Corporate & Strategic Risk Register for March 2019 Audit Committee

Report Date: 01/03/2019

Date of Previous Risk Score: 16/11/2018



Notes: References highlighted **Purple** have been added since the 16/11/2018.

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

Previous Risk Score shows rating, profile, probability and impact prior to the Current Risk Score

Risk Ref Risk Description Corporate Priority Category	Risk Owner	Progress Update	Previous Risk Score	Movement Direction	Current Risk Score	Target Risk Score
Controls:	<u>Ref</u>	<u>Control Description</u>		<u>Status</u>		<u>Owner</u>
	PHD0014/002	The Local Health Resilience Partnership (LHRP) meets quarterly		In Place / Embedded		Jim McManus
	PHD0014/003	Hertfordshire Resilience Major Incident Framework Version 1.3 Dec 2017 – describes Herts approach to emergency situations		In Place / Embedded		Darren McLatchey
	PHD0014/004	Structures processes and people in place - allow communication between key partners for review and monitoring of the		In Place / Embedded		Jim McManus
	PHD0014/005	Hertfordshire follows the national guidance on management of infectious outbreaks and pandemic flu		In Place / Embedded		Jim McManus
	PHD0014/006	Qrtly update to LHRP on progress with detailed arrangements for health protection incidents as identified in 2017 national audit		In Place / Embedded		Gill Goodlad

Recent movement report - Corporate & Strategic Risk Register for March 2019 Audit Committee

Report Date: 01/03/2019

Date of Previous Risk Score: 16/11/2018



Notes: References highlighted **Purple** have been added since the 16/11/2018.

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

Previous Risk Score shows rating, profile, probability and impact prior to the Current Risk Score

Risk Ref Risk Description Corporate Priority Category	Risk Owner	Progress Update	Previous Risk Score	Movement Direction	Current Risk Score	Target Risk Score

[Report Selection Criteria](#)