

APPENDIX C - Risk focus reports considered by Audit Committee

Risk Ref	Current Risk Rating	Short Description	Risk Owner	Date of Risk Focus Report
HCS0012	64	Due to national NHS commissioning changes from May 2015 there may be structural changes to NHS commissioning, leading to financial uncertainty for jointly commissioned projects including the Better Care Fund within Hertfordshire County Council.	Iain MacBeath	
HFRS0007	48	During unplanned incidents, such as terrorist activity, civil disturbance or large scale wide area flooding, or periods of industrial action, there is a risk that HFRS have insufficient resources to cope which may result in an over-reliance on regional or national resources or significantly reduced fire cover.	Ian Parkhouse	22/11/2012 23/03/2016
CSCE0007	32	If we fail to retain, attract and recruit the right people and right skills and maintain staff engagement at all levels, there may be a significant impact on service delivery and major cost implications	Karen Grave	21/11/2013
CSCE0023	32	As a result of changes to the way in which development contributions will be collected from new developments through use of Community Infrastructure Levy (CIL) and Section 106 contributions, and the delay in introduction of the new arrangements across all district authorities there is a risk that there may be insufficient money to support infrastructure needs derived from new housing developments etc.	Angela Bucksey	20/11/2014
CSF0055	32	In the event of inappropriate care or attention there is a risk that a child or young person could die or become seriously injured.	Jenny Coles	30/06/2011 29/03/2014
CSHF0002	32	There is a risk that HCC's pension fund level may not improve sufficiently to cover accrued pension costs because of economic conditions, poor investment or ineffective governance	Claire Cook	
ENV0104	32	In the event of the Residual Waste Treatment Programme being impacted by one or more of the following scenarios: - Delay in the implementation of the Revised Project Plan (RPP) - Unsuitable Revised Project Plan received resulting in the termination of the contract with VES. - Unable to secure suitable alternatives for waste disposal should the contract with VES be terminated. - Implementation of suitable alternatives delayed. It may result in: - Increased costs to HCC	Simon Aries	
HCS0010	32	Inability to attract an increased number of careworkers in line with the Health and Community Services Workforce Strategy leading to non-compliance with the Care Act 2014 duties and customer dissatisfaction.	Iain MacBeath	
HCSCP0001	32	In the event of the quality of care from internal and external HCS care providers becoming inadequate resulting in the death or severe abuse of a client	Frances Heathcote	29/09/2011 28/03/2013
HCSMH0002	32	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	16/06/2014
CP0004	24	in Hertfordshire, there is a risk that residents or staff become radicalised or drawn into terrorism, which could cause harm to themselves or the wider public and reduce community / social cohesion.	Darryl Keen	
CPRES0009	24	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 or user access to service provision	Ian Parkhouse	
CSCE0017	24	There is a risk that the Authority does not develop sufficient timely proposals to deal with the ongoing reductions in funding/resources which may lead to unplanned reduction of services or the need to draw on reserves.	Claire Cook	
CSCE0019	24	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 data security and/or failure of externally delivered services, which could lead to disruption of service delivery.	Stuart Bannerman Campbell	

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CSF0070	24	In the event of inadequate capital being made available from a number of funding streams, part of the costs of delivering the primary and secondary expansion programme may need to be met from the council's own resources having exhausted all other eventualities	Simon Newland	25/11/2015
CSHF0005	24	In the event of a reduction in government and external funding there is a risk of a funding gap which may result in the need to identify measures to further reduce service spend leading to deterioration or interruption of front line service delivery	Claire Cook	
HCS0011	24	In the event of significant, increasing demand on health and social care services, there is a risk that the Better Care Fund pooled budget may not be sufficient to meet future demand for services	Jamie Sutterby	
HCSOPD0006	24	In the event of commercial or contractual failure of private or independent care providers, this may lead to disruption to care provision and impact on service users and carers. (Previously ACSC0001)	Frances Heathcote	28/03/2013 29/09/2011
HR0018	24	In the event of a failure to train employees to required standards, there is a risk that staff are not fully competent in their roles, which could lead to the death, serious injury or harm to service users, members of the public or staff themselves e.g. front facing staff like QSWs and staff with access to vulnerable adults and children	Karen Grave	
CPRES0001	16	In the event of a failure of the Local Resilience forum to provide adequate inter-agency plans which correctly identify the capabilities required to deal with a major emergency in Hertfordshire there is a risk that Hertfordshire's multi-agency response may not be fully effective (formerly SERMU0001)	Ian Parkhouse	24/11/2011 23/09/2015
CPRES0002	16	In the event of a failure to prepare adequate Corporate and departmental generic BCP plans, there is a risk that, should a major incident take place (to building, technology & people), there may be insufficient back up arrangements in place, which could result in a higher level of disruption than anticipated causing increased disruption to key resources. (Formerly SERMU0002)	Ian Parkhouse	24/11/2011 23/09/2015
CSCE0002	16	There is a risk of legal challenge to County Council policies or decisions, the consequences of which could result in legal proceedings against the Council and potentially financial loss by way of damages and/or fine and delay, for example as well as bad publicity and/or reputational damage.	Kathryn Pettitt	
CSCE0009	16	If we fail to comply with safe staffing legislation and agreed HCC policy and practice there is a risk this could lead to a lack of protection for HCC service users (e.g. children and vulnerable adults)	Karen Grave	
ENV0030	16	In the event of a failure in road inspection and / or fault reporting procedures, there is a risk that the condition of our roads falls below expected standards, which results in injury to citizens and / or successful claims against HCC.	Rob Smith	20/09/2013
ENV0033	16	In the event of under investment there is a risk that road maintenance levels can not be maintained and general deterioration occurs, which may lead to increased number of accidents, loss of reputation and customer dissatisfaction.	Rob Smith	
HFRS0004	16	In the event of a failure to meet national training requirements, poor operational performance from personnel who are not fully trained and competent in their role could lead to the death or serious injury of a firefighter.	Chris Bigland	
HR0017	16	In the event of industrial action there is a risk that services cannot be delivered effectively, which could result in harm to residents.	Karen Grave	
PHD0014	16	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	Joel Bonnet	
PROP0020	16	As a result of changes in the UK and Local economic climate, which dictates the sale value of assets for disposal, there is a risk that the sale of assets may not provide the level of capital receipts to meet the target. (Formerly PROP0002)	Angela Bucksey	

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TEC0004	16	In the event of failing to maintain and ensure the use of our security systems, technical protocols and change management processes, there is a risk of a cyber attack (virus, penetration or malicious internal action) on HCC's ICT environments causing significant service disruption and possible data loss	David Mansfield	
AUDIT0001	12	There is a risk that the Council experiences significant fraud	Terry Barnett	20/06/2012
CSCE0013	12	There is a risk of the loss/inappropriate acquisition/disclosure of sensitive personal or commercial data, including (but not limited to) paper records/post, the electronic storage / transfer of personal data by email, fax or other technical means, and publication of data for Open Data purposes, which could lead to harm to clients, impact on HCC's reputation, incur legal action and have financial consequences (despite applying best practice there is always the possibility of human error)	Stuart Bannerman Campbell	
PROP0016	12	With Contractors and Consultants providing works and services (statutory and non-statutory) directly, there is a risk that schools (academy & community) may use a supplier without the relevant background checks (insurance, financial, H&S etc)	Chris Hinge	
PROP0018	12	There is a risk that land owned by the Council and no longer required for the purpose for which it was bought may not have an active management regime in place. As a result there is a risk of an H&S incident to persons or property which could give rise to H&SE action and a liability claim.	Angela Bucksey	
TEC0012	8	In the event of failing to retain our annual Public Sector Network accreditation HCC will be unable to share data with central Government and other partners through IT systems. This would result in an inability to deliver some business functions particularly in the adult and children's services areas	David Mansfield	