

Appendix B Summary Corporate Risk Status report

Risk Ref	Business Unit	Short Description	Current Risk Rating				Target
			06/15	09/15	11/15	02/16	Score
HCS0012	Health and Community Services	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.	n/i	48	64	64	16
HFRS0007	CP - Hertfordshire Fire & Rescue	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.	48	48	48	48	32
CSCE0007	Resources Board	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	32	32	32	32	16
CSCE0023	Resources Board	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.	32	32	32	32	12
CSF0055	Children's Services	In the event of inappropriate care or attention there is a risk that a child or young person could die or become seriously injured.	32	32	32	32	32
CSHF0002	Resources Finance	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	32	32	32	32	32
ENV0104	Environment	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	32	32	32	32	16
HCS0010	Health and Community Services	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.	6	16	16	32	4
HCSCP0001	HCS - Commissioning For People	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	32	32	32	32	32
HCSMH0002	HCS - Mental Health	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	32	32	32	8
CP0004	Community Protection	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.	n/i	n/i	n/i	24	16
CPRES0009	CP - Resilience	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	24	24	24	24	12

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CSCE0017	Resources Board	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.	24	24	24	24	16
CSCE0019	Resources Board	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.	16	16	24	24	8
CSF0070	Children's Services	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	24	24	24	24	8
CSHF0005	Resources Finance	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	8	8	8	24	4
HCS0011	Health and Community Services	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	24	24	24	24	8
HCSOPD0006	HCS - Older People And Physical	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)	24	24	24	24	24
HR0018	Resources HR & Organisational Development	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	n/i	n/i	24	24	16
CPRES0001	CP - Resilience	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)	16	16	16	16	16
CPRES0002	CP - Resilience	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)	16	16	16	16	16
CSCE0002	Resources Board	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.	16	16	16	16	16
CSCE0009	Resources Board	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)	16	16	16	16	16
ENV0030	Environment	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.	16	16	16	16	8

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ENV0033	Environment	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	16	16	16	8	
HFRS0004	CP - Hertfordshire Fire & Rescue	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	16	16	16	16	
HR0017	Resources HR & Organisational Development	In the event of industrial action there is a risk that services cannot be delivered effectively, which could result in harm to residents.	n/i	n/i	16	16	8	
PHD0014	Public Health	In the event of a Health Protection emergency such as a communicable disease epidemic, radiological, chemical or biological agent exposure, or extreme weather conditions, there is a risk that the authority may be unable to meet its statutory duty to adequately assure multi-agency health protection arrangements and as a result there are high rates of morbidity or mortality of Hertfordshire residents	n/i	16	16	16	16	
PROP0020	Resources Property	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)	16	16	16	16	8	
TEC0004	Resources Technology	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	16	16	16	16	16	
AUDIT0001	Resources Audit	There is a risk that the Council experiences significant fraud	12	12	12	12	8	
CSCE0013	Resources Board	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)	12	12	12	12	8	
PROP0016	Resources Property	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)	12	12	12	12	12	
PROP0018	Resources Property	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.	12	12	12	12	4	
TEC0012	Resources Technology	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	8	8	8	8	8	
			35	622	696	760	816	496