

**Audit Committee**  
**23 March 2016**  
**Appendix A**  
**Corporate Risk Movement Report**

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

Report Date: 26/02/2016

Date filtered on: 03/11/2015



Notes: References highlighted **Purple** have been added since the 03/11/2015.

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Risk Ref Risk Description Corporate Priority Category	Risk Owner	Progress Update	Previous Risk Score	Movement Direction	Current Risk Score	Target Risk Score
<b>HCS0012</b> <i>Opportunity to be Healthy and Safe</i> <b>Current Category: Corporate</b> Due to national NHS commissioning changes from May 2015 there may be structural changes to NHS commissioning, leading to financial uncertainty for jointly commissioned projects including the Better Care Fund within Hertfordshire County Council.	Iain MacBeath  Director of Health and Community Services	Risk reviewed by Risk Owner in January 2016. NHS confirmed that £10 million provided to protect Adult Social Care will be honoured in 2016/17. The spending review announcement in December 2015 was worse than expected, Director has written to NHS asking for indication of their intentions to protect Adult Social Care further in 2016/17. Reviewed On :07/01/2016	<div style="background-color: red; color: white; text-align: center; padding: 5px;"><b>Severe</b> <b>64</b></div> Probability Likely 4 Impact Very High 16	↔	<div style="background-color: red; color: white; text-align: center; padding: 5px;"><b>Severe</b> <b>64</b></div> Probability Likely 4 Impact Very High 16	<div style="background-color: orange; text-align: center; padding: 5px;"><b>Significant</b> <b>16</b></div> Probability Unlikely 2 Impact High 8
<b>Controls:</b>	<u>Ref</u>	<u>Control Description</u>	<u>Status</u>	<u>Owner</u>		
	HCS0012/001	Section 75 arrangements in place between NHS and HCC	In Progress	Iain MacBeath		
	HCS0012/002	Agreed governance arrangements between CCGs and HCS	In Progress	Iain MacBeath		
	HCS0012/003	Joint Integrated Planning Process (IPP) planning with CCGs.	In Progress	Iain MacBeath		
	HCS0012/004	Transformation through Better Care Fund.	In Progress	Iain MacBeath		

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<p><b>HFRS0007</b> <i>Opportunity to be Healthy and Safe</i> <b>Current Category: Corporate</b></p> <p>During unplanned incidents, such as terrorist activity, civil disturbance or large scale wide area flooding, or periods of industrial action, there is a risk that HFRS have insufficient resources to cope which may result in an over-reliance on regional or national resources or significantly reduced fire cover.</p>	<p>Ian Parkhouse</p> <p>Assistant Chief Fire Officer - Response and Resilience</p>	<p>This risk has been reviewed and controls added and updated to clarify the activity being undertaken to mitigate the risk. The implementation and issue of new contracts (April 2016) will provide a greater flexibility in personnel and appliance availability, in addition the introduction of Retained Duty System software (GARTAN) will facilitate an improved process for personnel to indicate their availability whilst also improving the management and performance auditing process. HFRS has recently procured a new specialist Rescue Support Unit (RSU) and supporting operational equipment with appropriate training being provided to applicable staff. Reviewed On :04/02/2016</p>	<p><b>Severe</b> 48</p> <p><b>Probability</b> Possible 3</p> <p><b>Impact</b> Very High 16</p>	<p>↔</p>	<p><b>Severe</b> 48</p> <p><b>Probability</b> Possible 3</p> <p><b>Impact</b> Very High 16</p>	<p><b>Severe</b> 32</p> <p><b>Probability</b> Unlikely 2</p> <p><b>Impact</b> Very High 16</p>

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<b>Controls:</b>				<u>Ref</u>	<u>Control Description</u>		<u>Status</u>	<u>Owner</u>	
				HFRS0007/003	Constant review, updating and testing of National, Regional and local initiatives and plans.		In Progress		Ian Parkhouse
				<u>HFRS0007/004</u>	<u>Review Integrated Risk Management Plan (IRMP) regularly to assess community risk against resources</u>		Existing		<u>Ian Parkhouse</u>
				<u>HFRS0007/005</u>	<u>Review whole-time and retained workforce numbers on a monthly basis to identify deficiencies and take appropriate action</u>		Existing		<u>Ian Parkhouse</u>
				<u>HFRS0007/006</u>	<u>Crewing office to manage and maintain crewing levels on a daily basis across the organisation and ensure appliance availability</u>		Existing		<u>Ian Parkhouse</u>
				<u>HFRS0007/007</u>	<u>Maximise both personnel and appliance availability through the application of procedures and appropriate management</u>		In Progress		<u>Ian Parkhouse</u>
				<u>HFRS0007/008</u>	<u>Procure and provide specialist vehicles, equipment and teams to meet the current technical rescue risk within the County</u>		In Progress		<u>Ian Parkhouse</u>
				<u>HFRS0007/009</u>	<u>Regularly review site specific response plans, operational procedures and contingency arrangements</u>		Existing		<u>Ian Parkhouse</u>
				<u>HFRS0007/010</u>	<u>Organise and host regular large scale/major incident exercises with local partners on a local, county and regional platform</u>		Existing		<u>Ian Parkhouse</u>
				<u>HFRS0007/011</u>	<u>Regularly review and ensure arrangements are in place to request additional resources both locally and nationally</u>		Existing		<u>Ian Parkhouse</u>

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<p><b>CSCE0007</b> <i>Delivering our Vision</i></p> <p><b>Current Category:</b> <i>Corporate</i></p> <p>If we fail to retain, attract and recruit the right people and right skills and maintain staff engagement at all levels, there may be a significant impact on service delivery and major cost implications</p>	<p>Karen Grave</p> <p>Interim Head of HR and Organisational Development</p>	<p>Turnover has increased slightly compared to September (now at 12.1%) impacted by improvements in private sector jobs market and potential impact of proposed 1% pay cap over next 4 years. We are likely to see a further slight increase in turnover in January as this is a peak period in the job market . Continued difficulties recruiting and retaining some key groups. Continuing to monitor turnover and retention and ensure recruitment advertising and branding is strong. Careers portal continues to attract healthy website traffic to the recruitment pages with 46,100 hits in November 2015. Reviewed On :23/12/2015</p>	<p><b>Severe</b> 32</p> <p><b>Probability</b> Likely 4</p> <p><b>Impact</b> High 8</p>	<p>↔</p>	<p><b>Severe</b> 32</p> <p><b>Probability</b> Likely 4</p> <p><b>Impact</b> High 8</p>	<p>Significant 16</p> <p><b>Probability</b> Unlikely 2</p> <p><b>Impact</b> High 8</p>

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

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				<u>CSCE0007/017</u>	<u>Talent &amp; succession plans in place to support future organisation</u>		<u>In Progress</u>		<u>Karen Grave</u>

<p><b>CSCE0023</b></p> <p><i>Opportunity to Prosper</i></p> <p><b>Current Category: Corporate</b></p> <p>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.</p>	<p>Angela Bucksey</p> <p>Assistant Director - Property</p>	<p>Target risk score reviewed and raised to 12. New control added.</p> <p>Reviewed On :30/12/2015</p>	<p><b>Severe</b> 32</p> <p>Probability Likely 4</p> <p>Impact High 8</p>	<p>↔</p>	<p><b>Severe</b> 32</p> <p>Probability Likely 4</p> <p>Impact High 8</p>	<p><b>Significant</b> 12</p> <p>Probability Possible 3</p> <p>Impact Medium 4</p>
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<b>Controls:</b>	<u>Ref</u>	<u>Control Description</u>			<u>Status</u>	<u>Owner</u>
	CSCE0023/002	Engage additional staff resource to drive forward work with Districts on Local Plans			Existing	Jacqueline Nixon
	CSCE0023/003	To work effectively with District planners to communicate and identify the required infrastructure			Existing	Jacqueline Nixon
	CSCE0023/004	Provide regular updates to Members/stakeholders working with Districts to secure support for successful implementation of CIL			Existing	Angela Bucksey
	CSCE0023/005	Identification of possible alternative funding sources and interaction with fund bidding processes			Existing	Angela Bucksey
	CSCE0023/006	Develop & maintain dialogue with central government depts as necessary to inform and influence policy and funding decisions			Existing	Angela Bucksey
	CSCE0023/007	Establish working relationships with Parish & Town Councils as necessary to achieve effective use of CIL funding			Existing	Angela Bucksey
	CSCE0023/008	Work with Districts to bring forward their Local Plans CIL charging and support HCC Infrastructure requirements			Existing	Jacqueline Nixon
	<u>CSCE0023/009</u>	<u>Work with districts regarding CIL bidding process to seek to maximise understanding and acceptance of HCC need.</u>			<u>Proposed</u>	<u>Jacqueline Nixon</u>



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<b>CSF0055</b> <i>Opportunity to be Healthy and Safe</i> <b>Current Category: Corporate</b> 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  Director of Children's Services	This risk has been reviewed and remains in place as it is. Reviewed On :06/01/2016	<div style="background-color: red; color: white; padding: 5px; text-align: center;"> <b>Severe</b>  <b>32</b> </div> Probability Unlikely 2  Impact Very High 16		<div style="background-color: red; color: white; padding: 5px; text-align: center;"> <b>Severe</b>  <b>32</b> </div> Probability Unlikely 2  Impact Very High 16	<div style="background-color: red; color: white; padding: 5px; text-align: center;"> <b>Severe</b>  <b>32</b> </div> Probability Unlikely 2  Impact Very High 16
<b>Controls:</b>	<u>Ref</u>	<u>Control Description</u>	<u>Status</u>	<u>Owner</u>		
	CSF0055/003	Maintain casework practice and implement recommendations of reviews	In Progress	Sue Williams		
	CSF0055/004	Continually monitor and review safeguarding practice and services within the council and with partners under the HSCB	In Progress	Sue Williams		
	CSF0055/005	Implement peer review and inspection actions	In Progress	Sue Williams		

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<b>CSHF0002</b> <i>Delivering our Vision</i> <b>Current Category: Corporate</b> There is a risk that HCC's pension fund level may not improve sufficiently to cover accrued pension costs because of economic conditions, poor investment or ineffective governance	Claire Cook  Assistant Director Finance	The performance of the fund continues to be monitored. Quarterly Actuarial Navigator reports are shared with the pensions committee. Latest position shows the funding level to be around 86% Reviewed On :05/01/2016	<div style="background-color: red; color: white; padding: 5px; text-align: center;"> <b>Severe</b>                          32                     </div> Probability Unlikely 2  Impact Very High 16		<div style="background-color: red; color: white; padding: 5px; text-align: center;"> <b>Severe</b>                          32                     </div> Probability Unlikely 2  Impact Very High 16	<div style="background-color: red; color: white; padding: 5px; text-align: center;"> <b>Severe</b>                          32                     </div> Probability Unlikely 2  Impact Very High 16
<b>Controls:</b>	<u>Ref</u>	<u>Control Description</u>			<u>Status</u>	<u>Owner</u>
	CSHF0002/002	Monitor ongoing market conditions and fund performance			Existing	Patrick Towey
	CSHF0002/003	Ensure investment decisions are made in line with the strategy and are adequately diversified			In Progress	Patrick Towey
	CSHF0002/004	Ensure that bond guarantee arrangements are in place for guaranteed admitted bodies which are subject to ongoing monitoring			In Progress	Patrick Towey
	CSHF0002/005	Ensure that new LGPS and other pension arrangements are implemented effectively			In Progress	Karen Grave

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<p><b>ENV0104</b> <i>Delivering our Vision</i></p> <p><b>Current Category:</b> <i>Corporate</i></p> <p>In the event of the Residual Waste Treatment Programme being impacted by one or more of the following scenarios:</p> <ul style="list-style-type: none"> <li>- Delay in the implementation of the Revised Project Plan (RPP)</li> <li>- Unsuitable Revised Project Plan received resulting in the termination of the contract with VES.</li> <li>- Unable to secure suitable alternatives for waste disposal should the contract with VES be terminated.</li> <li>- Implementation of suitable alternatives delayed.</li> </ul> <p>It may result in:</p> <ul style="list-style-type: none"> <li>- Increased costs to HCC</li> </ul>	<p>Simon Aries</p> <p>Assistant Director - Transport, Waste &amp; Environmental Management</p>	<p>Following the Public Inquiry into the planning application for the construction and operation of a Recycling and Energy Recovery Facility on land at New Barnfield Hatfield by Veolia Environmental Services Ltd (VES), the County Council received notification on the 8 July 2014 that the Secretary of State for Communities and Local Government had refused the planning application. VES lodged an independent legal challenge against the Secretary of State's decision; the application was referred back to the Secretary of State for re-determination. On 17 July 2015 the County Council received notification that the application for New Barnfield had been reconsidered by the Secretary of State and that planning permission has been refused. The re-determination decision has</p>	<p><b>Severe</b> 32</p> <p><b>Probability</b> Likely 4</p> <p><b>Impact</b> High 8</p>	<p>↔</p>	<p><b>Severe</b> 32</p> <p><b>Probability</b> Likely 4</p> <p><b>Impact</b> High 8</p>	<p><b>Significant</b> 16</p> <p><b>Probability</b> Unlikely 2</p> <p><b>Impact</b> High 8</p>

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		<p>not been challenged.</p> <p>Following the Highways and Waste Management Cabinet Panel and Cabinet meetings in November, it was agreed to request a Revised Project Plan (RPP) from VES. VES submitted the draft RPP on 7 July 2015 in accordance with the contract.</p> <p>Evaluation of the RPP is currently ongoing and a paper is being taken to the Community Safety and Waste Management Panel on 4th March 2016 where a recommendation is expected on whether to accept or reject the RPP (which results in the termination of the contract with VES).</p> <p>The overall risk score remains at 32 based on the control measures in place including the interim disposal arrangements and capped termination provisions in the contract (however the risk remains 'red' due to its high profile nature and value).</p> <p>Reviewed On :14/01/2016</p>				

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	ENV0104/001	Scenario planning			In Progress	Simon Aries
	ENV0104/002	Legal & financial advice			In Progress	Simon Aries
	ENV0104/003	Liaison with contractor			Existing	Simon Aries
	ENV0104/004	Management of Political Processes			Existing	Simon Aries
	ENV0104/006	Technical advice			Existing	Simon Aries
	ENV0104/007	Engagement with the Market			In Progress	Simon Aries

<p><b>HCS0010</b> <i>Opportunity to be Healthy and Safe</i></p> <p><b>Current Category: Corporate</b></p> <p>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.</p>	<p>Iain MacBeath</p> <p>Director of Health and Community Services</p>	<p>Risk Reviewed by Risk Owner in January 2016. Risk confirmed as same probability and impact increased to high. Care sector in Hertfordshire has experienced recruitment and retention difficulties during 2015/16, which have led to underperformance against delayed discharge from hospital and waiting lists for Homecare. New Workforce Strategy agreed. Reviewed On :07/01/2016</p>	<p>07/01/2016 Significant 16</p> <p><b>Probability</b> Likely 4</p> <p><b>Impact</b> Medium 4</p>		<p><b>Severe</b> 32</p> <p><b>Probability</b> Likely 4</p> <p><b>Impact</b> High 8</p>	<p><b>Manageable</b> 4</p> <p><b>Probability</b> Unlikely 2</p> <p><b>Impact</b> Low 2</p>
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	HCS0010/001	Regular reporting on workforce strategy to HCSMB			Existing	Frances
	HCS0010/002	Monitoring of new staffing requirements for whole sector in place within commissioning.			In Progress	Frances
	HCS0010/003	Learning and Development Team Engagement			Complete	Denise Mc
	HCS0010/007	Contingency planning around key areas of risk			Existing	Frances

<p><b>HCSCP0001</b> <i>Opportunity to be Healthy and Safe</i></p> <p><b>Current Category: Corporate</b></p> <p>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</p>	<p>Frances Heathcote</p> <p>Assistant Director Health and Community Commissioning</p>	<p>Reviewed by Risk Owner in January 2016. Risk confirmed as the same probability and impact. Risk wording to remain the same. Review the Prevention of Provider Failure policy to be refreshed in April 2016.</p> <p>Reviewed On :08/01/2016</p>	<p><b>Severe 32</b></p> <p><b>Probability</b> Unlikely 2</p> <p><b>Impact</b> Very High 16</p>	<p>↔</p>	<p><b>Severe 32</b></p> <p><b>Probability</b> Unlikely 2</p> <p><b>Impact</b> Very High 16</p>	<p><b>Severe 32</b></p> <p><b>Probability</b> Unlikely 2</p> <p><b>Impact</b> Very High 16</p>
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	HCSCP0001/00 1	Assessment and care management procedures in Health & Community Services			Existing	Earl Dutton
	HCSCP0001/00 2	Hertfordshire's multi-agency safeguarding adults policy and procedures			Existing	Sue Darker
	HCSCP0001/00 3	HCS Contract Monitoring Procedures			Existing	Frances
	HCSCP0001/00 4	Complaints and representations procedure			Existing	Sue Fox
	HCSCP0001/00 5	Appropriate and effective supervision of operational staff			Existing	Sue Darker
	HCSCP0001/00 6	MAPPA strategic board collaboration to protect vulnerable adults			Existing	Sue Darker
	HCSCP0001/00 7	Learning and development of care providers			Existing	Denise Mc

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<b>HCSMH0002</b> <i>Opportunity to be Healthy and Safe</i> <b>Current Category: Corporate</b> As a result of the 2014 Supreme Court ruling around Deprivation of Liberty Safeguards (DOLS) there is a risk that an inability to conduct best interest assessments within legal timeframes could lead to unlawful detention of people and potential legal and compensation challenges to HCC.	Sue Darker  Operations Director, Learning Disabilities and Mental Health	Reviewed by Risk Owner in October 2015. Risk to remain the same. Current risk score confirmed as same probability and impact, with overall risk score remaining the same. Report to Board and Hertfordshire Safeguarding Adults Board. Reviewed On :08/01/2016	<div style="background-color: red; color: white; padding: 5px; text-align: center;"><b>Severe</b> 32</div> Probability Likely 4 Impact High 8	↔	<div style="background-color: red; color: white; padding: 5px; text-align: center;"><b>Severe</b> 32</div> Probability Likely 4 Impact High 8	<div style="background-color: yellow; padding: 5px; text-align: center;"><b>Material</b> 8</div> Probability Unlikely 2 Impact Medium 4
<b>Controls:</b>	<u>Ref</u>	<u>Control Description</u>			<u>Status</u>	<u>Owner</u>
	HCSMH0002/001	Monthly meetings with Lawyers and Operations Director.			In Progress	Sue Darker
	HCSMH0002/003	Projection for next years workload - Forward Planning			In Progress	Sue Darker



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Risk Ref Risk Description Corporate Priority Category	Risk Owner	Progress Update	Previous Risk Score	Movement Direction	Current Risk Score	Target Risk Score
<p><b>CP0004</b> Created Date: 11/01/2016</p> <p><i>Opportunity to be Healthy and Safe</i></p> <p><b>Current Category: Corporate</b></p> <p>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.</p>	Darryl Keen  Deputy Chief Fire Officer	This new risk has been developed as a result of the Prevent duty placed on local authorities through the Counter Terrorism and Security Act 2015. A number of measures to reduce the risk are already being undertaken. Reviewed On :18/01/2016	<p>11/01/2016 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>	<p>Significant 16</p> <p>Probability Unlikely 2</p> <p>Impact High 8</p>
<b>Controls:</b>	<b>Ref</b>	<b>Control Description</b>	<b>Status</b>	<b>Owner</b>		
	CP0004/001	Formation of a Prevent Board	In Progress	Darryl Keen		
	CP0004/002	Development and regular review of progress of a Prevent action plan	In Progress	Darryl Keen		
	CP0004/004	Hertfordshire Channel Panel established as required by the Counter Terrorism and Security Act 2015	Existing	Darryl Keen		
	CP0004/005	Development of appropriate training to meet requirements of HCC Prevent action plan	In Progress	Darryl Keen		
	CP0004/006	Collaboration with partners (incl schools) to coordinate Prevent activities	Proposed	Darryl Keen		

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<b>CPRES0009</b> <i>Opportunity to Thrive</i> <b>Current Category: Corporate</b> If there is insufficient preparation for increased frequency of extreme weather events resulting from climate change, then there might be negative impacts on service delivery or user access to service provision	Ian Parkhouse  Assistant Chief Fire Officer - Response and Resilience	The Risk Owner has reviewed this risk and confirmed that there are no changes. Reviewed On :07/01/2016	Significant 24  Probability Possible 3  Impact High 8		Significant 24  Probability Possible 3  Impact High 8	Significant 12  Probability Possible 3  Impact Medium 4
<b>Controls:</b>	<b>Ref</b>	<b>Control Description</b>			<b>Status</b>	<b>Owner</b>
	CPRES0009/001	Appropriate business continuity arrangements in place and regular annual reviews carried out			Existing	Rad Bristow
	CPRES0009/002	Continually developing partnership working with agencies developing risk reduction strategies multi agency warn&inform strategy			In Progress	Rad Bristow
	CPRES0009/003	Each service holds a service level risk which is monitored and reviewed on a regular basis by the resilience team			Existing	Rad Bristow

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<b>CSCE0017</b> <i>Opportunity to Thrive</i> <b>Current Category: Corporate</b> There is a risk that the Authority does not develop sufficient timely proposals to deal with the ongoing reductions in funding/resources which may lead to unplanned reduction of services or the need to draw on reserves.	Claire Cook  Assistant Director Finance	Risk and control measures reviewed and updated accordingly. Reviewed On :06/01/2016	Significant 24  Probability Possible 3  Impact High 8		Significant 24  Probability Possible 3  Impact High 8	Significant 16  Probability Unlikely 2  Impact High 8
<b>Controls:</b>	<b>Ref</b>	<b>Control Description</b>			<b>Status</b>	<b>Owner</b>
	CSCE0017/004	Horizon scanning/policy Network			In Progress	Alex James
	CSCE0017/001	Partnership working to improve service delivery whilst reducing cost without significant impact on service level or council tax			In Progress	Claire Cook
	CSCE0017/002	Take account and anticipate changes through analysis of Government papers/announcement so management can make informed decisions			In Progress	Lindsey McLeod
	CSCE0017/003	Continue to carry out Service-led budget reviews			In Progress	Lindsey McLeod

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<p><b>CSCE0019</b> <i>Delivering our Vision</i></p> <p><b>Current Category:</b> <i>Corporate</i></p> <p>A significant proportion of the Council's expenditure is accounted for by externally commissioned services. In the event of insufficient skills in commissioning / contract management and competencies along with a lack of application of effective monitoring, governance and contract management rigour, there is a risk of poor value, inadequate data security and/or failure of externally delivered services, which could lead to disruption of service delivery.</p>	<p>Stuart Bannerman Campbell</p> <p>Assistant Director - Impr ovement and Technology</p>	<p>Review Summary (as at 16/11/2015): A new control to undertake a review of the procurement / commissioning approach across the county in autumn 2015 has been added. Following discussion at R&amp;P Board 21 Oct 2015, the risk owner has raised the current probability to 'possible' increasing the overall current score to amber 24 (significant). Following further discussion at Policy &amp; Resources Officer Group 29 Oct 2015, the risk owner has reduced the target likelihood. Review Summary (as at 05/01/2016): The wording of this risk has been updated to clarify the risk and reflect the concern relating to the ICT security risk which is introduced by significant amounts of our services being provided by third parties (i.e.non-ICT specific) to HCC. Two new controls have been added as a result. Reviewed On :06/01/2016</p>	<p>Significant 24</p> <p><b>Probability</b> Possible 3</p> <p><b>Impact</b> High 8</p>	<p>↔</p>	<p>Significant 24</p> <p><b>Probability</b> Possible 3</p> <p><b>Impact</b> High 8</p>	<p>Material 8</p> <p><b>Probability</b> Rare 1</p> <p><b>Impact</b> High 8</p>

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<b>Controls:</b>	<u>Ref</u>	<u>Control Description</u>		<u>Status</u>	<u>Owner</u>	
	CSCE0019/002	Effective use of The `Do, Buy, Share' model of procurement		In Progress	Paul Drake	
	CSCE0019/005	Specialist procurement training programme commences Jan 2014		In Progress	Paul Drake	
	CSCE0019/006	Regular newsletter and Contracting Best Practice meeting which takes place bi monthly		In Progress	Paul Drake	
	CSCE0019/008	SPG team specialist support to key business areas		In Progress	Paul Drake	
	CSCE0019/009	Undertake a review of the procurement / commissioning approach across the county in Autumn 2015 and investigate any skills needs		In Progress	Paul Drake	
	<u>CSCE0019/010</u>	<u>Effective service and contractual checks are made by contracting managers pre contract placement and on an ongoing basis</u>		<u>Proposed</u>	<u>Paul Drake</u>	
	<u>CSCE0019/011</u>	<u>HCC's Technology team provide support to contracting managers to assess ICT implications and security.</u>		<u>Proposed</u>	<u>David Mansfield</u>	

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<b>CSF0070</b> <i>Opportunity to Thrive</i> <b>Current Category: Corporate</b> In the event of inadequate capital being made available from a number of funding streams, part of the costs of delivering the primary and secondary expansion programme may need to be met from the council's own resources having exhausted all other eventualities	Simon Newland  Assistant Director (Education Provision & Access)	This risk is reviewed and remains in place Reviewed On :06/01/2016	Significant 24  Probability Possible 3  Impact High 8		Significant 24  Probability Possible 3  Impact High 8	Material 8  Probability Unlikely 2  Impact Medium 4
<b>Controls:</b>	<b>Ref</b>		<b>Control Description</b>		<b>Status</b>	<b>Owner</b>
	CSF0070/005		Minimise the number of expansions undertaken including by ensuring information management is fit for purpose		In Progress	Simon Newland
	CSF0070/006		Ensure value for money		In Progress	Simon Newland
	CSF0070/007		Secure access to additional funding from DfE		In Progress	Simon Newland

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<p><b>CSHF0005</b> <i>Delivering our Vision</i></p> <p><b>Current Category:</b> <i>Corporate</i></p> <p>In the event of a reduction in government and external funding there is a risk of a funding gap which may result in the need to identify measures to further reduce service spend leading to deterioration or interruption of front line service delivery</p>	<p>Claire Cook</p> <p>Assistant Director Finance</p>	<p>That final Revenue Support Grant settlement announced on 10 February means the Government grant has been cut by a third. The authority has plans in place to deliver a balanced budget for 2016/17; this includes the transitional funding that the government have made available for 2016/17 and 2017/18 as well as a number of other measures that are capable of immediate implementation. However, the outlook for future years remains challenging. Given this, SMB are working with members to bring forward a set of savings proposals early in 2016/17 in order to address the budget gap in 2017/18 and future years. As a result the risk score has been changed to Amber.</p> <p>Reviewed On :17/02/2016</p>	<p>06/01/2016 Material 8</p> <p><b>Probability</b> Unlikely 2</p> <p><b>Impact</b> Medium 4</p>		<p>Significant 24</p> <p><b>Probability</b> Possible 3</p> <p><b>Impact</b> High 8</p>	<p>Manageable 4</p> <p><b>Probability</b> Rare 1</p> <p><b>Impact</b> Medium 4</p>

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<b>Controls:</b>	<b>Ref</b>	<b>Control Description</b>			<b>Status</b>	<b>Owner</b>
	CSHF0005/005	Timely reporting to senior managers highlighting risks relating to available resources to enable mitigations to be made			In Progress	Lindsey McLeod
	CSHF0005/007	Work with districts to monitor changes to business rates related to loss of businesses/impact revaluations/improve collection			In Progress	Claire Cook
	CSHF0005/008	Close working with Health Service to agree the priorities for use of the Better Care Fund			In Progress	Iain MacBeath
	CSHF0005/009	Monitor the impact of proposed changes to Education Funding to enable senior officers/members to make timely/informed decisions			In Progress	Abioye

<p><b>HCS0011</b> <i>Opportunity to be Healthy and Safe</i> <b>Current Category: Corporate</b></p> <p>In the event of significant, increasing demand on health and social care services, there is a risk that the Better Care Fund pooled budget may not be sufficient to meet future demand for services</p>	<p>Jamie Sutterby</p> <p>Assistant Director, Health Integration (E&amp;NH)</p>	<p>Reviewed by Risk Owner in January 2016. No change made to the risk. Risk confirmed as same probability and impact. Reviewed On :14/01/2016</p>	<p>Significant 24</p> <p>Probability Possible 3</p> <p>Impact High 8</p>	<p>↔</p>	<p>Significant 24</p> <p>Probability Possible 3</p> <p>Impact High 8</p>	<p>Material 8</p> <p>Probability Unlikely 2</p> <p>Impact Medium 4</p>
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<b>Controls:</b>	<u>Ref</u>	<u>Control Description</u>			<u>Status</u>	<u>Owner</u>
	HCS0011/001	The approach Hertfordshire have taken in constituting the BCF ensures the stability of finance for many of the BCF schemes			In Progress	Keir Mann
	HCS0011/002	Regular monitoring of metrics through joint governance structures to identify lack of progress and areas for improvement			In Progress	Keir Mann
	HCS0011/003	Agreement of risk sharing and contingency plans with NHS partners			In Progress	Keir Mann
	HCS0011/004	Pay for performance funding used to fund projects across providers, risk shared, rather than concentrated in single provider.			In Progress	Keir Mann
	HCS0011/005	2015/16: Pay for Performance agreement with CCGs not to withhold money from the BCF if emergency admission targets are not met			Complete	Keir Mann
	HCS0011/006	2015/16: - Non-recurrent £10m added to BCF budget from CCGs			Existing	Keir Mann
	HCS0011/007	Reducing spend on acute admissions and other services as a result of BCF projects and other health and social care system change			In Progress	Keir Mann
	<u>HCS0011/008</u>	<u>Awaiting guidance on National Better Care Fund reporting requirements.</u>			<u>In Progress</u>	<u>Keir Mann</u>

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<b>HCSOPD0006</b> <i>Opportunity to be Healthy and Safe</i> <b>Current Category: Corporate</b> In the event of commercial or contractual failure of private or independent care providers, this may lead to disruption to care provision and impact on service users and carers. (Previously ACSC0001)	Frances Heathcote  Assistant Director Health and Community Commissioning	Reviewed by Risk Owner in January 2016, risk to remain the same. Probability and Impact to remain the same. The second phase to go live in April 2016 for new contracts. Reviewed On :08/01/2016	Significant 24  Probability Possible 3 Impact High 8	↔	Significant 24  Probability Possible 3 Impact High 8	Significant 24  Probability Possible 3 Impact High 8
<b>Controls:</b>	<b>Ref</b>	<b>Control Description</b>			<b>Status</b>	<b>Owner</b>
	HCSOPD0006/01	Regular contract monitoring of HCS care providers with a risk-based approach			Existing	Frances
	HCSOPD0006/02	HCS 'Serious Concerns' procedure to deal with failing care providers			Existing	Sue Darker
	HCSOPD0006/03	Instigation of annual credit checks on all care providers as early warning system			In Progress	Frances
	HCSOPD0006/05	Quarterly performance report to HCS Management Board			Existing	Frances

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<p><b>HR0018</b> <i>Delivering our Vision</i></p> <p><b>Current Category:</b> <i>Corporate</i></p> <p>In the event of a failure to train employees to required standards, there is a risk that staff are not fully competent in their roles, which could lead to the death, serious injury or harm to service users, members of the public or staff themselves e.g. front facing staff like QSWs and staff with access to vulnerable adults and children</p>	<p>Karen Grave</p> <p>Interim Head of HR and Organisational Development</p>	<p>As part of the HR and L&amp;D Reviews, we are currently developing a Hub and Spoke model of L&amp;D provision across the council. We will be, as part of this activity, assuring that all mandatory and other statutory training is up to date. Reviewed On :23/12/2015</p>	<p>Significant 24</p> <p>Probability Possible 3</p> <p>Impact High 8</p>	<p>↔</p>	<p>Significant 24</p> <p>Probability Possible 3</p> <p>Impact High 8</p>	<p>Significant 16</p> <p>Probability Unlikely 2</p> <p>Impact High 8</p>



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Risk Ref Risk Description Corporate Priority Category	Risk Owner	Progress Update	Previous Risk Score	Movement Direction	Current Risk Score	Target Risk Score
<b>CPRES0001</b> <i>Delivering our Vision</i> <b>Current Category: Corporate</b> In the event of a failure of the Local Resilience forum to provide adequate inter-agency plans which correctly identify the capabilities required to deal with a major emergency in Hertfordshire there is a risk that Hertfordshire's multi- agency response may not be fully effective (formerly SERMU0001)	Ian Parkhouse  Assistant Chief Fire Officer - Response and Resilience	The Risk Owner has reviewed this risk and confirmed that there are no changes. Reviewed On :07/01/2016	Significant 16  Probability Rare 1  Impact Very High 16		Significant 16  Probability Rare 1  Impact Very High 16	Significant 16  Probability Rare 1  Impact Very High 16
<b>Controls:</b>	<b>Ref</b>	<b>Control Description</b>		<b>Status</b>	<b>Owner</b>	
	CPRES0001/001	LRF business plan to address areas of concern / key priorities		Existing	Rad Bristow	
	CPRES0001/002	HCC an active participant in LRF activity		Existing	Rad Bristow	
	CPRES0001/003	Agreed programme of training/exercising, including development plan for LRF members & internal incident response managers		Existing	Rad Bristow	
	CPRES0001/006	Review of community risk register		In Progress	Rad Bristow	
	CPRES0001/007	Agreed programme of reviewing inter-agency plans		In Progress	Rad Bristow	

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<b>CPRES0002</b> <i>Delivering our Vision</i> <b>Current Category: Corporate</b> In the event of a failure to prepare adequate Corporate and departmental generic BCP plans, there is a risk that, should a major incident take place (to building, technology & people), there may be insufficient back up arrangements in place, which could result in a higher level of disruption than anticipated causing increased disruption to key resources. (Formerly SERMU0002)	Ian Parkhouse  Assistant Chief Fire Officer - Response and Resilience	The Risk Owner has reviewed this risk and confirmed that there are no changes. Reviewed On :07/01/2016	Significant 16  Probability Rare 1  Impact Very High 16		Significant 16  Probability Rare 1  Impact Very High 16	Significant 16  Probability Rare 1  Impact Very High 16
<b>Controls:</b>	<b>Ref</b>	<b>Control Description</b>			<b>Status</b>	<b>Owner</b>
	CPRES0002/001	Robust plans in place for all departments / service areas and 4 principle office locations			Existing	Rad Bristow
	CPRES0002/002	Regular reporting to Resilience Board and SMB on plan reviews, training and exercising			Existing	Rad Bristow
	CPRES0002/003	Work programme to focus support on key areas where vulnerability is greatest			Existing	Rad Bristow

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<b>CSCE0002</b> <i>Delivering our Vision</i> <b>Current Category: Corporate</b> 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  Chief Legal Officer	Following discussion at Resources & Performance Board in January 2016, the risk owner is undertaking a further review of the risk and controls. Reviewed On :03/02/2016	Significant 16  Probability Unlikely 2  Impact High 8		Significant 16  Probability Unlikely 2  Impact High 8	Significant 16  Probability Unlikely 2  Impact High 8
<b>Controls:</b>	<b>Ref</b>		<b>Control Description</b>		<b>Status</b>	<b>Owner</b>
	CSCE0002/001		Use of Equality Impact assessments (EQIA'S) throughout HCC		In Progress	Martha Goodhill
	CSCE0002/008		Best practice training and advice to HCC staff involved in procurement processes		Existing	Paul Drake
CSCE0002/010		Early engagement with legal services in projects/services by all chief officers		In Progress	Kathryn Pettitt	

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<b>CSCE0009</b> <i>Delivering our Vision</i> <b>Current Category: Corporate</b> If we fail to comply with safe staffing legislation and agreed HCC policy and practice there is a risk this could lead to a lack of protection for HCC service users (e.g. children and vulnerable adults)	Karen Grave  Interim Head of HR and Organisational Development	Implemented changes to re-checks. Communications issued to affected workers. Key processes are being reviewed and enhanced as part of our HR & OD review project. New processes will be implemented from April 1st 2016, but where possible quick wins will be implemented earlier. Reviewed On :23/12/2015	Significant 16  Probability Unlikely 2  Impact High 8		Significant 16  Probability Unlikely 2  Impact High 8	Significant 16  Probability Unlikely 2  Impact High 8
<b>Controls:</b>	<b>Ref</b>		<b>Control Description</b>		<b>Status</b>	<b>Owner</b>
	CSCE0009/001	Robust policy and practice agreed and regularly reviewed by Head of Human Resources & Organisational Development		Existing	Karen Grave	
	CSCE0009/003	Use learning from regular audits and QA inspections to improve policy, process and practice.		Existing	Karen Grave	
	CSCE0009/005	Address cultural issues and technical understanding of line managers via training and organisational development intervention		In Progress	Karen Grave	



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<b>ENV0030</b> <i>Opportunity to be Healthy and Safe</i> <b>Current Category: Corporate</b> In the event of a failure in road inspection and / or fault reporting procedures, there is a risk that the condition of our roads falls below expected standards, which results in injury to citizens and / or successful claims against HCC.	Rob Smith  Deputy Director Environment	Risk reviewed - No change to report this quarter. There are robust back up measures in place should the on-line reporting systems fail. Reviewed On :19/01/2016	Significant 16  Probability Unlikely 2  Impact High 8		Significant 16  Probability Unlikely 2  Impact High 8	Material 8  Probability Rare 1  Impact High 8
<b>Controls:</b>	<b>Ref</b>	<b>Control Description</b>		<b>Status</b>	<b>Owner</b>	
	ENV0030/001	Protocol for the investigation of road deaths agreed with police.		Existing	Rob Smith	
	ENV0030/002	Annual programmes of accident remedial engineering schemes, and structural and routine maintenance in place		Existing	Rob Smith	
	ENV0030/003	Broad and accessible fault reporting procedure available to members of the public		Existing	Rob Smith	
	ENV0030/004	Quarterly reports from Insurance Team on High Court Cases		Existing	Rob Smith	
	ENV0030/005	Audit of inspections & inspection programme		Existing	Rob Smith	
	ENV0030/006	Protocol for Serious injury accidents which may result in significant insurance claims		In Progress	Rob Smith	

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<b>ENV0033</b> <i>Opportunity to be Healthy and Safe</i> <b>Current Category: Corporate</b> In the event of under investment there is a risk that road maintenance levels can not be maintained and general deterioration occurs, which may lead to increased number of accidents, loss of reputation and customer dissatisfaction.	Rob Smith  Deputy Director Environment	The Annual Road Maintenance Programme for 2015/16 has been agreed and is being delivered. There is no change to this risk or its score at this time. Reviewed On :19/01/2016	Significant 16  Probability Unlikely 2  Impact High 8		Significant 16  Probability Unlikely 2  Impact High 8	Material 8  Probability Rare 1  Impact High 8
<b>Controls:</b>	<b>Ref</b>		<b>Control Description</b>		<b>Status</b>	<b>Owner</b>
	ENV0033/001		Regular performance monitoring		Existing	Rob Smith
	ENV0033/002		Efficient Asset management principles		Existing	Rob Smith
	ENV0033/003		Claims information reported quarterly to Environment by the Insurance team		In Progress	Patrick Towey
	ENV0033/004		Review of Maintenance Strategy		In Progress	Rob Smith

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<b>HFRS0004</b> <i>Delivering our Vision</i> <b>Current Category: Corporate</b> In the event of a failure to meet national training requirements, poor operational performance from personnel who are not fully trained and competent in their role could lead to the death or serious injury of a firefighter.	Chris Bigland  Fire and Rescue Assistant Chief Officer - Service Support	The Risk Owner has reviewed this risk and confirmed that there are no changes. Reviewed On :07/01/2016	Significant 16  Probability Unlikely 2  Impact High 8		Significant 16  Probability Unlikely 2  Impact High 8	Significant 16  Probability Unlikely 2  Impact High 8
<b>Controls:</b>	<b>Ref</b>	<b>Control Description</b>			<b>Status</b>	<b>Owner</b>
	HFRS0004/001	Integrated Personal Development System			Existing	Chris Bigland
	HFRS0004/002	Station Audit Process			Existing	Chris Bigland
	HFRS0004/004	Feedback from standard meetings informs improvements in equipment, technique and performance to drive the Service forward			Existing	Chris Bigland

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<b>HR0017</b> <i>Delivering our Vision</i> <b>Current Category: Corporate</b> In the event of industrial action there is a risk that services cannot be delivered effectively, which could result in harm to residents.	Karen Grave  Interim Head of HR and Organisational Development	Currently no live local disputes at present and the risk is being managed and mitigated. Reviewed On :23/12/2015	Significant 16  Probability Unlikely 2  Impact High 8		Significant 16  Probability Unlikely 2  Impact High 8	Material 8  Probability Unlikely 2  Impact Medium 4
<b>Controls:</b>	<b>Ref</b>		<b>Control Description</b>		<b>Status</b>	<b>Owner</b>
	HR0017/001		Engagement with recognised trade unions and robust co-ordination of response to industrial action		In Progress	Karen Grave
	HR0017/002		Workforce engagement, change management and adherence to statutory requirements for consultation		Existing	Karen Grave
	HR0017/003		BCP plans are in place to maintain a level of service throughout HCC during a period of industrial action		In Progress	Rad Bristow

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<p><b>PHD0014</b> <i>Opportunity to be Healthy and Safe</i> <b>Current Category: Corporate</b></p> <p>In the event of a Health Protection emergency such as a communicable disease epidemic, radiological, chemical or biological agent exposure, or extreme weather conditions, there is a risk that the authority may be unable to meet its statutory duty to adequately assure multi-agency health protection arrangements and as a result there are high rates of morbidity or mortality of Hertfordshire residents</p>	<p>Joel Bonnet</p> <p>Deputy Director of Public Health</p>	<p>Risk and control measures reviewed and updated accordingly Reviewed On :24/12/2015</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>

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<b>Controls:</b>	<u>Ref</u>	<u>Control Description</u>			<u>Status</u>	<u>Owner</u>
	PHD0014/001	The Health Protection Committee meets quarterly to discuss issues of health protection and plan health protection arrangements			In Progress	Gill Goodlad
	PHD0014/002	The Local Health Resilience Partnership (LHRP) meets quarterly			In Progress	Jim McManus
	PHD0014/003	HCC Multi Agency Emergency Response Plan (Version 3.3 November 2013) – describes Hertfordshire approach to emergency situations			Existing	Rad Bristow
	PHD0014/004	Structures processes and people in place - allow communication between key partners for review and monitoring of the			In Progress	Jim McManus
	PHD0014/005	A current pandemic flu plan embedded within the plan for management of infectious outbreaks in accordance with national policy			In Progress	Jim McManus

<b>PROP0020</b> <i>Opportunity to Prosper</i> <b>Current Category: Corporate</b> As a result of changes in the UK and Local economic climate, which dictates the sale value of assets for disposal, there is a risk that the sale of assets may not provide the level of capital receipts to meet the target. (Formerly PROP0002)	Angela Bucksey  Assistant Director - Property	The portfolio continues to be reviewed on a regular basis to identify opportunities for Capital Receipts. Market Information of Herts Land and Building values are annually reviewed to inform each disposal. Reviewed On :01/02/2016	Significant 16	↔	Significant 16	Material 8
			<b>Probability</b> Unlikely 2  <b>Impact</b> High 8		<b>Probability</b> Unlikely 2  <b>Impact</b> High 8	<b>Probability</b> Unlikely 2  <b>Impact</b> Medium 4

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<b>Controls:</b>	<u>Ref</u>	<u>Control Description</u>			<u>Status</u>	<u>Owner</u>
	PROP0020/002	Maintain awareness of market conditions & potential for change for written report and brief Resources & Performance Exec Member			Existing	Angela Bucksey
	PROP0020/003	Continue to determine the latest market value before taking any asset to sale			Existing	Mike Evans
	PROP0020/004	Take advantage of sale opportunities such as unsolicited approaches where possible subject to procurement rules being followed			Existing	Mike Evans
<b>TEC0004</b> <i>Delivering our Vision</i> <b>Current Category: Corporate</b>  In the event of failing to maintain and ensure the use of our security systems, technical protocols and change management processes, there is a risk of a cyber attack (virus, penetration or malicious internal action) on HCC's ICT environments causing significant service disruption and possible data loss	David Mansfield  Head of Technology	Control Measure 007 description updated to reflect the relationship to Service Providers of ICT specific services. Risk CSCE0019 being updated to reflect ICT security concerns in relation to the external provision of other services where delivery involves the service providers' ICT arrangements Reviewed On :04/01/2016	<b>Significant</b> 16  <b>Probability</b> Unlikely 2  <b>Impact</b> High 8	↔	<b>Significant</b> 16  <b>Probability</b> Unlikely 2  <b>Impact</b> High 8	<b>Significant</b> 16  <b>Probability</b> Unlikely 2  <b>Impact</b> High 8

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<b>Controls:</b>	<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			Existing	David Mansfield
	TEC0004/002	New/updated systems/apps conform to agreed security requirements inc successful network pen testing, before implementation			Existing	David Mansfield
	TEC0004/004	Tech with Info Gov & HR continuously dev & deliver ICT policy/security educ/awareness training for staff, managers, mems			Existing	David Mansfield
	TEC0004/006	Rolling program of testing HCC network infrastructure including penetration testing			Existing	David Mansfield
	TEC0004/007	ICT Service Providers must adhere to our sec & tech stds in providing/implementing/updating systems & ICT infrastructure			Existing	David Mansfield

<b>AUDIT0001</b> <i>Delivering our Vision</i> <b>Current Category: Corporate</b> There is a risk that the Council experiences significant fraud	Terry Barnett	Internal and external campaigns have been delivered successfully and the data sharing agreement is awaiting sign off. The team are now receiving and investigating allegations of fraud and all activity been recorded on Case management system. Reviewed On :16/12/2015	<div style="background-color: orange; color: white; padding: 5px; text-align: center;">                         Significant 12                     </div> Probability Possible 3 Impact Medium 4		<div style="background-color: orange; color: white; padding: 5px; text-align: center;">                         Significant 12                     </div> Probability Possible 3 Impact Medium 4	<div style="background-color: yellow; color: black; padding: 5px; text-align: center;">                         Material 8                     </div> Probability Unlikely 2 Impact Medium 4
	Group Auditor					



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<b>Controls:</b>	<u>Ref</u>	<u>Control Description</u>		<u>Status</u>	<u>Owner</u>	
	AUDIT0001/001	Risk based programme of internal audit focussing on areas susceptible to fraud		In Progress	Terry Barnett	
	AUDIT0001/006	Fraud reporting facility on Herts Direct and Compass		Complete	Terry Barnett	
	AUDIT0001/007	Oversight of fraud risk at audit committee		Existing	Terry Barnett	
	AUDIT0001/009	Development of business plan for Shared Anti Fraud Service		Complete	Terry Barnett	
	AUDIT0001/010	Planning a public awareness raising campaign in October		Complete	Terry Barnett	

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<p><b>CSCE0013</b> <i>Delivering our Vision</i></p> <p><b>Current Category:</b> <i>Corporate</i></p> <p>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)</p>	<p>Stuart Bannerman Campbell</p> <p>Assistant Director - Impr ovement and Technology</p>	<p>Risks and controls reviewed, no changes required. Reviewed On :06/01/2016</p>	<p>Significant 12</p> <p><b>Probability</b> Possible 3</p> <p><b>Impact</b> Medium 4</p>	<p>↔</p>	<p>Significant 12</p> <p><b>Probability</b> Possible 3</p> <p><b>Impact</b> Medium 4</p>	<p>Material 8</p> <p><b>Probability</b> Unlikely 2</p> <p><b>Impact</b> Medium 4</p>

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<b>Controls:</b>	<u>Ref</u>	<u>Control Description</u>		<u>Status</u>	<u>Owner</u>	
	CSCE0013/001	Policy framework is regularly reviewed and staff made aware of responsibilities		Existing	Martin Aust	
	CSCE0013/003	Mandatory data protection training in place for all staff at induction and repeated annually and monitored for all other staff		In Progress	Elaine Dunncliffe	
	CSCE0013/004	HCC is linked into the Government's secure network to enable secure data exchange with central government services		In Progress	David Mansfield	
	CSCE0013/005	Research and implement additional security features to protect HCC's electronic data		In Progress	David Mansfield	
	CSCE0013/016	Regular additional targeted training delivered to staff groups that handle sensitive personal data		In Progress	Elaine Dunncliffe	
	CSCE0013/021	A common data sharing framework is in place and respective agreements reviewed and updated on a regular basis		In Progress	Elaine Dunncliffe	
	CSCE0013/023	Programme in place to address issues where poor data quality/info handling has been identified as the cause of data breaches		In Progress	Elaine Dunncliffe	
CSCE0013/027	Implement a new and improved network printing service across the organisation		In Progress	Roger Barrett		

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<b>PROP0016</b> <i>Opportunity to be Healthy and Safe</i> <b>Current Category: Corporate</b> 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  Head of Building Management	Project management and statutory maintenance guidelines have been refreshed and published on the Schools Grid. Communication with schools forums are supporting this publication. Training is available for schools to communicate risks and to aid the procurement of works. Reviewed On :22/12/2015	Significant 12  Probability Possible 3  Impact Medium 4	↔	Significant 12  Probability Possible 3  Impact Medium 4	Significant 12  Probability Possible 3  Impact Medium 4
<b>Controls:</b>	<b>Ref</b>		<b>Control Description</b>		<b>Status</b>	<b>Owner</b>
	PROP0016/001		Property frameworks are available to schools - HCC checks & performance manages Contractors and Consultants on		Existing	Chris Hinge
	PROP0016/002		Advice is available to schools on use of contractors/consultant and how to procure works/services.		Existing	Chris Hinge
	PROP0016/003		Raise awareness of risks with schools including working with HfL to do so		Existing	Chris Hinge
	PROP0016/004		Where academies seek to build, we will use landlord's permission to discuss & educate on contracting risks		Existing	Chris Hinge
	PROP0016/005		Revised guidance is to be published in 2015 on the employment of contractors and consultants		In Progress	Chris Hinge

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<b>PROP0018</b> <i>Opportunity to be Healthy and Safe</i> <b>Current Category: Corporate</b> There is a risk that land owned by the Council and no longer required for the purpose for which it was bought may not have an active management regime in place. As a result there is a risk of an H&S incident to persons or property which could give rise to H&SE action and a liability claim.	Angela Bucksey  Assistant Director - Property	Risk reviewed- no change Reviewed On :21/12/2015	Significant 12  Probability Possible 3  Impact Medium 4		Significant 12  Probability Possible 3  Impact Medium 4	Manageable 4  Probability Unlikely 2  Impact Low 2
<b>Controls:</b>	<b>Ref</b>	<b>Control Description</b>			<b>Status</b>	<b>Owner</b>
	PROP0018/001	Processes to identify land to which this risk applies have been identified and are in use			Existing	Angela Bucksey
	PROP0018/002	Agreement to be reached on what management regimes can be implemented/alternative solutions deployed to resolve potential issues			Existing	Angela Bucksey
	PROP0018/003	Out of use land and property management processes to ensure it is managed appropriately.			Existing	Mike Evans

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<b>TEC0012</b> <i>Delivering our Vision</i> <b>Current Category:</b> <i>Corporate</i> 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  Head of Technology	Preparatory work underway and will take account of Government's Cyber Essentials Plus assurance framework Reviewed On :30/12/2015	Material 8  Probability Unlikely 2  Impact Medium 4		Material 8  Probability Unlikely 2  Impact Medium 4	Material 8  Probability Unlikely 2  Impact Medium 4
<b>Controls:</b>	<u>Ref</u>	<u>Control Description</u>	<u>Status</u>	<u>Owner</u>		
	TEC0012/004	Re-accreditation preparatory work undertaken (e.g. process reviews) to ensure any weaknesses/issues are identified and addressed	In Progress	David Mansfield		