

**Audit Committee**  
**21 June 2016**  
**Appendix A**  
**Corporate Risk Movement Report**

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

Report Date: 26/05/2016

Date filtered on: 26/02/2016



Notes: References highlighted **Purple** have been added since the 26/02/2016.

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<br>Risk Description<br>Corporate Priority<br>Category  | Risk Owner   | Progress Update   | Previous Risk Score  | Movement Direction | Current Risk Score   | Target Risk Score  |
|---|--|---|--|--------------------|--|--|
| <p><b>HFRS0007</b><br/><i>Opportunity to be Healthy and Safe</i><br/><b>Current Category:</b> <i>Corporate</i></p> <p>During unplanned incidents, such as terrorist activity, civil disturbance or large scale wide area flooding, or periods of industrial action, there is a risk that HFRS have insufficient resources to cope which may result in an over-reliance on regional or national resources or significantly reduced fire cover.</p> | <p>Ian Parkhouse</p> <p>Assistant Chief Fire Officer - Response and Resilience</p> | <p>The risk owner has reviewed the risk and control measures and confirmed that there is no change.<br/>Reviewed On :06/04/2016</p> | <p><b>Severe</b><br/>48</p> <p><b>Probability</b><br/>Possible<br/>3</p> <p><b>Impact</b><br/>Very High<br/>16</p> | <p>↔</p>           | <p><b>Severe</b><br/>48</p> <p><b>Probability</b><br/>Possible<br/>3</p> <p><b>Impact</b><br/>Very High<br/>16</p> | <p><b>Severe</b><br/>32</p> <p><b>Probability</b><br/>Unlikely<br/>2</p> <p><b>Impact</b><br/>Very High<br/>16</p> |

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

Report Date: 26/05/2016

Date filtered on: 26/02/2016



Notes: References highlighted **Purple** have been added since the 26/02/2016.

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

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

Report Date: 26/05/2016

Date filtered on: 26/02/2016



Notes: References highlighted **Purple** have been added since the 26/02/2016.

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<br>Risk Description<br>Corporate Priority<br>Category   | Risk Owner   | Progress Update   | Previous Risk Score  | Movement Direction | Current Risk Score   | Target Risk Score  |
|--|--|---|--|--------------------|--|--|
| <p><b>ENV0142</b> Created Date: 01/04/2016</p> <p><i>Opportunity to be Healthy and Safe</i></p> <p><b>Current Category: Corporate</b></p> <p>Due to the threat of an increasing number of tree pests and diseases, in particular the imminent threat from Ash Dieback, there is a risk of a significant number of trees being affected which may result in significant unplanned costs, potential dangers to the public and/or service users, impacts on the landscape and loss of biodiversity.</p> | <p>Simon Aries</p> <p>Assistant Director - Transport, Waste &amp; Environmental Management</p> | <p>A report to Resources &amp; Performance Cabinet Panel (July 2015) introduced tree health issues and the potential implications to HCC. Members of the panel approved a set of recommendations for officers to undertake to help mitigate the threats identified. The Performance and Resources Officer Group (PROG) in October 2015 determined that the imminent threat of Ash Dieback has the potential to impact on the future of trees and woodlands in the County with significant cost implications for individuals, landowners and local authorities and so a Corporate risk needed to be developed.</p> <p>The Assistant Director Transport, Waste and Environmental Management, has taken ownership of this risk and the Countryside</p> | <p>01/04/2016</p> <p><b>Severe</b><br/>40</p> <p><b>Probability</b><br/>Almost Certain</p> <p><b>Impact</b><br/>High<br/>8</p> | <p>↔</p>           | <p><b>Severe</b><br/>40</p> <p><b>Probability</b><br/>Almost Certain</p> <p><b>Impact</b><br/>High<br/>8</p> | <p>Significant<br/>20</p> <p><b>Probability</b><br/>Almost Certain<br/>5</p> <p><b>Impact</b><br/>Medium<br/>4</p> |

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

Report Date: 26/05/2016

Date filtered on: 26/02/2016



Notes: References highlighted **Purple** have been added since the 26/02/2016.

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<br>Risk Description<br>Corporate Priority<br>Category | Risk Owner | Progress Update   | Previous Risk Score | Movement Direction | Current Risk Score | Target Risk Score |
|--|------------|---|---------------------|--------------------|--------------------|-------------------|
|  |            | <p>Management Service (CMS) has been working with the Risk Management team, Highways and Property to develop the risk and key controls. There is currently no way to effectively stop the spread or treat/cure Ash Dieback, and it is already present in the county, so the likelihood is almost certain. However, a number of controls have been identified and some of these, including advice and guidance to partners, schools and landowners are starting to be put in place to reduce the impact of this risk, which is currently seen as high. The current score is therefore red 40 (severe).<br/>Reviewed On :15/04/2016</p> |                     |                    |                    |                   |
|  |            |   |                     |                    |                    |                   |

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

Report Date: 26/05/2016

Date filtered on: 26/02/2016



Notes: References highlighted **Purple** have been added since the 26/02/2016.

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

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

Report Date: 26/05/2016

Date filtered on: 26/02/2016



Notes: References highlighted **Purple** have been added since the 26/02/2016.

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

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

Report Date: 26/05/2016

Date filtered on: 26/02/2016



Notes: References highlighted **Purple** have been added since the 26/02/2016.

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<br>Risk Description<br>Corporate Priority<br>Category   | Risk Owner  | Progress Update   | Previous Risk Score  | Movement Direction | Current Risk Score   | Target Risk Score  |
|--|---|---|--|--------------------|--|--|
| <p><b>CSCE0007</b><br/><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>Paul Chamberlain</p> <p>Head of Human Resources Consulting</p> | <p>Turnover has increased compared to December (now at 13.0%) impacted by improvements in private sector jobs market and potential impact of proposed 1% pay cap over next 4 years. We are likely to see a further slight increase in turnover continuing in 2016. Continued difficulties recruiting and retaining some key groups. Continuing to monitor turnover and retention and ensure recruitment advertising and branding is strong. Careers portal continues to attract healthy website traffic to the recruitment pages with 52,000 users in March 2016. Reviewed On :04/04/2016</p> | <p><b>Severe</b><br/>32</p> <p><b>Probability</b><br/>Likely<br/>4</p> <p><b>Impact</b><br/>High<br/>8</p> | <p>↔</p>           | <p><b>Severe</b><br/>32</p> <p><b>Probability</b><br/>Likely<br/>4</p> <p><b>Impact</b><br/>High<br/>8</p> | <p>Significant<br/>16</p> <p><b>Probability</b><br/>Unlikely<br/>2</p> <p><b>Impact</b><br/>High<br/>8</p> |



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

Report Date: 26/05/2016

Date filtered on: 26/02/2016



Notes: References highlighted **Purple** have been added since the 26/02/2016.

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

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

Report Date: 26/05/2016

Date filtered on: 26/02/2016



Notes: References highlighted **Purple** have been added since the 26/02/2016.

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<br>Risk Description<br>Corporate Priority<br>Category | Risk Owner   | Progress Update   | Previous Risk Score | Movement Direction | Current Risk Score | Target Risk Score |
|--|--------------|---|---------------------|--------------------|--------------------|-------------------|
|  | CSCE0007/017 | Talent & succession plans in place to support future organisation |                     | In Progress        |                    | Paul              |

|   |  |   |  |          |  |   |
|---|--|---|--|----------|--|---|
| <p><b>CSCE0023</b><br/><i>Opportunity to Prosper</i></p> <p><b>Current Category:</b> <i>Corporate</i></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>Control measures reviewed.<br/>Reviewed On :24/03/2016</p> | <p><b>Severe</b><br/>32</p> <p><b>Probability</b><br/>Likely<br/>4</p> <p><b>Impact</b><br/>High<br/>8</p> | <p>↔</p> | <p><b>Severe</b><br/>32</p> <p><b>Probability</b><br/>Likely<br/>4</p> <p><b>Impact</b><br/>High<br/>8</p> | <p><b>Significant</b><br/>12</p> <p><b>Probability</b><br/>Possible<br/>3</p> <p><b>Impact</b><br/>Medium<br/>4</p> |
|---|--|---|--|----------|--|---|

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

Report Date: 26/05/2016

Date filtered on: 26/02/2016



Notes: References highlighted **Purple** have been added since the 26/02/2016.

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<br>Risk Description<br>Corporate Priority<br>Category | Risk Owner   | Progress Update   | Previous Risk Score | Movement Direction | Current Risk Score | Target Risk Score |
|--|--------------|---|---------------------|--------------------|--------------------|-------------------|
| <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  |
|  | CSCE0023/009 | Work with districts regarding CIL bidding process to seek to maximise understanding and acceptance of HCC need.               |                     |                    | Proposed           | Jacqueline Nixon  |

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

Report Date: 26/05/2016

Date filtered on: 26/02/2016



Notes: References highlighted **Purple** have been added since the 26/02/2016.

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<br>Risk Description<br>Corporate Priority<br>Category   | Risk Owner   | Progress Update   | Previous Risk Score  | Movement Direction | Current Risk Score   | Target Risk Score  |
|--|--|---|--|--------------------|--|--|
| <b>CSF0055</b><br><i>Opportunity to be Healthy and Safe</i><br><b>Current Category: Corporate</b><br>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<br><br>Director of Children's Services | Risk reviewed and remains in place<br>Reviewed On :09/03/2016   | <div style="background-color: red; color: white; padding: 5px; text-align: center;"> <b>Severe</b><br/> <b>32</b> </div> Probability<br>Unlikely<br>2<br><br>Impact<br>Very High<br>16 |                    | <div style="background-color: red; color: white; padding: 5px; text-align: center;"> <b>Severe</b><br/> <b>32</b> </div> Probability<br>Unlikely<br>2<br><br>Impact<br>Very High<br>16 | <div style="background-color: red; color: white; padding: 5px; text-align: center;"> <b>Severe</b><br/> <b>32</b> </div> Probability<br>Unlikely<br>2<br><br>Impact<br>Very High<br>16 |
| <b>Controls:</b>   | <b>Ref</b>   | <b>Control Description</b>  | <b>Status</b>  | <b>Owner</b>       |  |  |
|  | 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       |  |  |

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

Report Date: 26/05/2016

Date filtered on: 26/02/2016



Notes: References highlighted **Purple** have been added since the 26/02/2016.

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<br>Risk Description<br>Corporate Priority<br>Category   | Risk Owner                                    | Progress Update  | Previous Risk Score  | Movement Direction | Current Risk Score   | Target Risk Score  |
|--|---|--|--|--------------------|--|--|
| <b>CSHF0002</b><br><i>Delivering our Vision</i><br><b>Current Category: Corporate</b><br>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<br><br>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%<br>Reviewed On :30/03/2016 | <div style="background-color: red; color: white; padding: 5px; text-align: center;"> <b>Severe</b><br/> <b>32</b> </div> Probability<br>Unlikely<br>2<br><br>Impact<br>Very High<br>16 |                    | <div style="background-color: red; color: white; padding: 5px; text-align: center;"> <b>Severe</b><br/> <b>32</b> </div> Probability<br>Unlikely<br>2<br><br>Impact<br>Very High<br>16 | <div style="background-color: red; color: white; padding: 5px; text-align: center;"> <b>Severe</b><br/> <b>32</b> </div> Probability<br>Unlikely<br>2<br><br>Impact<br>Very High<br>16 |
| <b>Controls:</b>   | <b>Ref</b>                                    | <b>Control Description</b>   |  |                    | <b>Status</b>  | <b>Owner</b>   |
|  | 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  | Paul Chamberlain   |

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

Report Date: 26/05/2016

Date filtered on: 26/02/2016



Notes: References highlighted **Purple** have been added since the 26/02/2016.

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<br>Risk Description<br>Corporate Priority<br>Category   | Risk Owner   | Progress Update   | Previous Risk Score  | Movement Direction | Current Risk Score   | Target Risk Score  |
|--|--|---|--|--------------------|--|--|
| <b>HCS0010</b><br><i>Opportunity to be Healthy and Safe</i><br><b>Current Category: Corporate</b><br>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<br><br>Director of Health and Community Services | Risk Reviewed by Risk Owner in April 2016. Risk confirmed as same probability and impact. Delays and waiting lists still in place in Herts despite actions taken in New Workforce Strategy. 6% payrise for all frontline careworkers agreed by HCC from April 2016. Reviewed On :12/04/2016 | <div style="background-color: red; color: white; padding: 5px; text-align: center;"><b>Severe</b><br/>32</div> Probability<br>Likely<br>4<br><br>Impact<br>High<br>8 | ↔                  | <div style="background-color: red; color: white; padding: 5px; text-align: center;"><b>Severe</b><br/>32</div> Probability<br>Likely<br>4<br><br>Impact<br>High<br>8 | <div style="background-color: green; color: white; padding: 5px; text-align: center;"><b>Manageable</b><br/>4</div> Probability<br>Unlikely<br>2<br><br>Impact<br>Low<br>2 |
| <b>Controls:</b>   | <u>Ref</u>   |   | <u>Control Description</u>   |                    | <u>Status</u>  | <u>Owner</u>   |
|  | HCS0010/001  |   | Regular reporting on workforce strategy to HCSMB   |                    | Existing   | Frances Heathcote  |
|  | HCS0010/002  |   | Monitoring of new staffing requirements for whole sector in place within commissioning.  |                    | In Progress  | Frances Heathcote  |
|  | HCS0010/007  |   | Contingency planning around key areas of risk  |                    | Existing   | Frances Heathcote  |

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

Report Date: 26/05/2016

Date filtered on: 26/02/2016



Notes: References highlighted **Purple** have been added since the 26/02/2016.

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<br>Risk Description<br>Corporate Priority<br>Category  | Risk Owner   | Progress Update  | Previous Risk Score  | Movement Direction | Current Risk Score   | Target Risk Score  |
|---|--|--|--|--------------------|--|--|
| <b>HCS0012</b><br><i>Opportunity to be Healthy and Safe</i><br><b>Current Category: Corporate</b><br>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<br><br>Director of Health and Community Services | Risk reviewed by Risk Owner in April 2016. NHS confirmed that £10 million provided to protect Adult Social Care will be honoured in 2016/17. CCGs have now confirmed in writing their intention to protect Adult Social Care by a further £8.5 million in 2016/17, the impact score has therefore been reduced to High.<br>Reviewed On :12/04/2016 | 12/04/2016<br><b>Severe</b><br>64<br><br>Probability Likely 4<br>Impact Very High 16 |                    | <b>Severe</b><br>32<br><br>Probability Likely 4<br>Impact High 8 | Significant<br>16<br><br>Probability Unlikely 2<br>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  |

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

Report Date: 26/05/2016

Date filtered on: 26/02/2016



Notes: References highlighted **Purple** have been added since the 26/02/2016.

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<br>Risk Description<br>Corporate Priority<br>Category  | Risk Owner   | Progress Update   | Previous Risk Score  | Movement Direction | Current Risk Score   | Target Risk Score  |
|---|--|---|--|--------------------|--|--|
| <b>HCSCP0001</b><br><i>Opportunity to be Healthy and Safe</i><br><b>Current Category: Corporate</b><br>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<br><br>Assistant Director Health and Community Commissioning | Reviewed by Risk Owner in April 2016. Risk confirmed as the same probability and impact. Risk wording to remain the same. The Prevention of Provider Failure policy to be reviewed and refreshed in April 2016. Reviewed On :20/04/2016 | <div style="background-color: red; color: white; padding: 5px; text-align: center;"><b>Severe 32</b></div> Probability Unlikely 2<br>Impact Very High 16 | ↔                  | <div style="background-color: red; color: white; padding: 5px; text-align: center;"><b>Severe 32</b></div> Probability Unlikely 2<br>Impact Very High 16 | <div style="background-color: red; color: white; padding: 5px; text-align: center;"><b>Severe 32</b></div> Probability Unlikely 2<br>Impact Very High 16 |
| <b>Controls:</b>  | <b>Ref</b>   | <b>Control Description</b>  | <b>Status</b>  | <b>Owner</b>       |  |  |
|   | HCSCP0001/001  | Assessment and care management procedures in Health & Community Services  | Existing   | Earl Dutton        |  |  |
|   | HCSCP0001/002  | Hertfordshire's multi-agency safeguarding adults policy and procedures  | Existing   | Sue Darker         |  |  |
|   | HCSCP0001/003  | HCS Contract Monitoring Procedures  | Existing   | Frances Heathcote  |  |  |
|   | HCSCP0001/004  | Complaints and representations procedure  | Existing   | Sue Fox            |  |  |
|   | HCSCP0001/005  | Appropriate and effective supervision of operational staff  | Existing   | Sue Darker         |  |  |
|   | HCSCP0001/006  | MAPPA strategic board collaboration to protect vulnerable adults  | Existing   | Sue Darker         |  |  |
|   | HCSCP0001/007  | Learning and development of care providers  | Existing   | Denise Mc Murray   |  |  |



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

Report Date: 26/05/2016

Date filtered on: 26/02/2016



Notes: References highlighted **Purple** have been added since the 26/02/2016.

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<br>Risk Description<br>Corporate Priority<br>Category  | Risk Owner  | Progress Update  | Previous Risk Score  | Movement Direction | Current Risk Score   | Target Risk Score  |
|---|---|--|--|--------------------|--|--|
| <b>HCSMH0002</b><br><i>Opportunity to be Healthy and Safe</i><br><b>Current Category: Corporate</b><br>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<br><br>Operations Director,<br>Learning Disabilities and Mental Health | Reviewed by Risk Owner in April 2016. 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 :12/04/2016 | <div style="background-color: red; color: white; padding: 5px; text-align: center;"><b>Severe</b><br/>32</div> Probability Likely 4<br>Impact High 8 | ↔                  | <div style="background-color: red; color: white; padding: 5px; text-align: center;"><b>Severe</b><br/>32</div> Probability Likely 4<br>Impact High 8 | <div style="background-color: yellow; padding: 5px; text-align: center;"><b>Material</b><br/>8</div> Probability Unlikely 2<br>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         |  |  |

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

Report Date: 26/05/2016

Date filtered on: 26/02/2016



Notes: References highlighted **Purple** have been added since the 26/02/2016.

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<br>Risk Description<br>Corporate Priority<br>Category  | Risk Owner  | Progress Update   | Previous Risk Score  | Movement Direction | Current Risk Score  | Target Risk Score  |
|---|---|---|--|--------------------|---|--|
| <b>HCSOPD0001</b><br><i>Opportunity to be Healthy and Safe</i><br>Old Category: <a href="#">Service</a><br>Current Category: <i>Corporate</i><br><br>Due to increased demands from the NHS for assistance discharging patients from hospital, (this includes new groups of patients not previously referred to social care and admission avoidance), there is a risk of delays in discharging some patients requiring HCC input, which may result in financial and reputational consequences. | Iain MacBeath<br><br>Director of Health and Community Services  | Reviewed by Risk Owner in January 2016. Risk to remain the same. Performance of NHS acute trust and shortage of care in Hertfordshire is leading to higher numbers of discharges across the county requiring HCC input. Due to the high public profile of delayed discharges (also known as bed blocking) the probability has been increased to likely and the risk has been escalated to Corporate.<br>Reviewed On :12/04/2016 | 12/04/2016<br>Significant<br>24<br><br>Probability<br>Possible<br>3<br><br>Impact<br>High<br>8 |                    | Severe<br>32<br><br>Probability<br>Likely<br>4<br><br>Impact<br>High<br>8 | Significant<br>16<br><br>Probability<br>Unlikely<br>2<br><br>Impact<br>High<br>8 |
| <b>Controls:</b>  | <u>Ref</u>  | <u>Control Description</u>  |  | <u>Status</u>      | <u>Owner</u>  |  |
|   | HCSOPD0001/001  | Regular performance monitoring by HCS Management Board and budget managers  |  | Existing           | Chris Badger  |  |
|   | HCSOPD0001/002  | Reviewing Operational Structures which interface with NHS.  |  | Existing           | Chris Badger  |  |
|   | HCSOPD0001/003  | Financial authorisation procedures in place and applied constantly  |  | Existing           | Chris Badger  |  |
|   | HCSOPD0001/004  | Maximising external funding sources   |  | Existing           | Chris Badger  |  |
| HCSOPD0001/008  | Intergrated discharge arrangements planned for all major acute hospitals that accept Hertfordshire patients |   | In Progress  | Iain MacBeath      |   |  |

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

Report Date: 26/05/2016

Date filtered on: 26/02/2016



Notes: References highlighted **Purple** have been added since the 26/02/2016.

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<br>Risk Description<br>Corporate Priority<br>Category   | Risk Owner                                   | Progress Update   | Previous Risk Score   | Movement Direction | Current Risk Score  | Target Risk Score   |
|--|--|---|---|--------------------|---|---|
| <b>CP0004</b><br><i>Opportunity to be Healthy and Safe</i><br><b>Current Category: Corporate</b><br>As a result of disruptive factors influencing the lives of people in Hertfordshire, there is a risk that residents or staff become radicalised or drawn into terrorism, which could cause harm to themselves or the wider public and reduce community / social cohesion. | Darryl Keen<br><br>Deputy Chief Fire Officer | The risk owner has reviewed the risk and control measures and confirmed that there are no changes to the risk.<br>Reviewed On :06/04/2016 | <div style="background-color: orange; padding: 5px; text-align: center;">                         Significant<br/>24                     </div> Probability<br>Possible<br>3<br><br>Impact<br>High<br>8 |                    | <div style="background-color: orange; padding: 5px; text-align: center;">                         Significant<br/>24                     </div> Probability<br>Possible<br>3<br><br>Impact<br>High<br>8 | <div style="background-color: orange; padding: 5px; text-align: center;">                         Significant<br/>16                     </div> Probability<br>Unlikely<br>2<br><br>Impact<br>High<br>8 |
| <b>Controls:</b>   | <b>Ref</b>                                   | <b>Control Description</b>  | <b>Status</b>   | <b>Owner</b>       |   |   |
|  | CP0004/001                                   | Formation of a Prevent Board  | Complete  | Darryl Keen        |   |   |
|  | CP0004/002                                   | Prevent Board to develop and regularly review progress of the Prevent action plan   | In Progress   | Darryl Keen        |   |   |
|  | CP0004/004                                   | Hertfordshire Channel Panel established as required by the Counter Terrorism and Security Act 2015  | Existing  | Darryl Keen        |   |   |
|  | CP0004/005                                   | Development of appropriate training to meet requirements of HCC Prevent action plan   | In Progress   | Darryl Keen        |   |   |
|  | CP0004/006                                   | Collaboration with partners (incl schools) to coordinate Prevent activities   | Proposed  | Darryl Keen        |   |   |

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

Report Date: 26/05/2016

Date filtered on: 26/02/2016



Notes: References highlighted **Purple** have been added since the 26/02/2016.

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<br>Risk Description<br>Corporate Priority<br>Category   | Risk Owner  | Progress Update   | Previous Risk Score   | Movement Direction | Current Risk Score  | Target Risk Score   |
|--|---|---|---|--------------------|---|---|
| <b>CPRES0009</b><br><i>Opportunity to Thrive</i><br><b>Current Category: Corporate</b><br>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<br><br>Assistant Chief Fire Officer - Response and Resilience | The Risk Owner has reviewed this risk and its controls and confirmed that there are no changes.<br>Reviewed On :08/04/2016      | <div style="background-color: orange; padding: 5px; text-align: center;">                         Significant<br/>24                     </div> Probability<br>Possible<br>3<br><br>Impact<br>High<br>8 |                    | <div style="background-color: orange; padding: 5px; text-align: center;">                         Significant<br/>24                     </div> Probability<br>Possible<br>3<br><br>Impact<br>High<br>8 | <div style="background-color: orange; padding: 5px; text-align: center;">                         Significant<br/>12                     </div> Probability<br>Possible<br>3<br><br>Impact<br>Medium<br>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        |   |   |

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

Report Date: 26/05/2016

Date filtered on: 26/02/2016



Notes: References highlighted **Purple** have been added since the 26/02/2016.

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<br>Risk Description<br>Corporate Priority<br>Category   | Risk Owner                                    | Progress Update  | Previous Risk Score  | Movement Direction | Current Risk Score   | Target Risk Score  |
|--|---|--|--|--------------------|--|--|
| <b>CSCE0017</b><br><i>Opportunity to Thrive</i><br><b>Current Category: Corporate</b><br>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<br><br>Assistant Director Finance | Risk and control measures reviewed and updated accordingly.<br>Reviewed On :30/03/2016   | Significant<br>24<br><br>Probability<br>Possible<br>3<br><br>Impact<br>High<br>8 |                    | Significant<br>24<br><br>Probability<br>Possible<br>3<br><br>Impact<br>High<br>8 | Significant<br>16<br><br>Probability<br>Unlikely<br>2<br><br>Impact<br>High<br>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   |

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

Report Date: 26/05/2016

Date filtered on: 26/02/2016



Notes: References highlighted **Purple** have been added since the 26/02/2016.

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<br>Risk Description<br>Corporate Priority<br>Category  | Risk Owner   | Progress Update  | Previous Risk Score  | Movement Direction | Current Risk Score   | Target Risk Score  |
|---|--|--|--|--------------------|--|--|
| <p><b>CSCE0019</b><br/><i>Delivering our Vision</i></p> <p><b>Current Category:</b> <i>Corporate</i></p> <p>A significant proportion of the Council's expenditure is accounted for by externally commissioned services. In the event of insufficient skills in commissioning / contract management and competencies along with a lack of application of effective monitoring, governance and contract management rigour, there is a risk of poor value, inadequate service provision and data security and/or failure of externally delivered services, which could lead to disruption of service delivery.</p> | <p>Stuart<br/>Bannerman<br/>Campbell</p> <p>Assistant<br/>Director - Impr<br/>ovement and<br/>Technology</p> | <p>A minor change to the wording of the risk has been made. The risk and controls have been reviewed and no further changes are required. The organisation wide review of the procurement and commissioning model is currently underway and will consider aspects of training provided<br/>Reviewed On :01/04/2016</p> | <p>Significant<br/>24</p> <p><b>Probability</b><br/>Possible<br/>3</p> <p><b>Impact</b><br/>High<br/>8</p> | <p>↔</p>           | <p>Significant<br/>24</p> <p><b>Probability</b><br/>Possible<br/>3</p> <p><b>Impact</b><br/>High<br/>8</p> | <p>Material<br/>8</p> <p><b>Probability</b><br/>Rare<br/>1</p> <p><b>Impact</b><br/>High<br/>8</p> |
|   |  |  |  |                    |  |  |

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

Report Date: 26/05/2016

Date filtered on: 26/02/2016



Notes: References highlighted **Purple** have been added since the 26/02/2016.

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<br>Risk Description<br>Corporate Priority<br>Category | Risk Owner   | Progress Update  | Previous Risk Score | Movement Direction | Current Risk Score | Target Risk Score |
|--|--------------|--|---------------------|--------------------|--------------------|-------------------|
| <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         |                   |
|  | CSCE0019/010 | Effective service and contractual checks are made by contracting managers pre contract placement and on an ongoing basis         |                     | In Progress        | Paul Drake         |                   |
|  | CSCE0019/011 | HCC's Technology team provide support to contracting managers to assess ICT implications and security.                           |                     | In Progress        | David Mansfield    |                   |

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

Report Date: 26/05/2016

Date filtered on: 26/02/2016



Notes: References highlighted **Purple** have been added since the 26/02/2016.

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<br>Risk Description<br>Corporate Priority<br>Category   | Risk Owner  | Progress Update   | Previous Risk Score  | Movement Direction | Current Risk Score   | Target Risk Score  |
|--|---|---|--|--------------------|--|--|
| <b>CSF0070</b><br><i>Opportunity to Thrive</i><br><b>Current Category: Corporate</b><br>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<br><br>Assistant Director<br>(Education Provision & Access) | Risk reviewed and updated to reflect the potential pressure of new housing developments.<br>Reviewed On :09/03/2016 | Significant<br>24<br><br>Probability<br>Possible<br>3<br><br>Impact<br>High<br>8                             |                    | Significant<br>24<br><br>Probability<br>Possible<br>3<br><br>Impact<br>High<br>8 | Material<br>8<br><br>Probability<br>Unlikely<br>2<br><br>Impact<br>Medium<br>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  |  |



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

Report Date: 26/05/2016

Date filtered on: 26/02/2016



Notes: References highlighted **Purple** have been added since the 26/02/2016.

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<br>Risk Description<br>Corporate Priority<br>Category  | Risk Owner   | Progress Update   | Previous Risk Score  | Movement Direction | Current Risk Score   | Target Risk Score  |
|---|--|---|--|--------------------|--|--|
| <p><b>CSHF0005</b><br/><i>Delivering our Vision</i></p> <p><b>Current Category:</b> <i>Corporate</i></p> <p>In the event of a reduction in government and external funding there is a risk of a funding gap which may result in the need to identify measures to further reduce service spend leading to deterioration or interruption of front line service delivery</p> | <p>Claire Cook</p> <p>Assistant Director Finance</p> | <p>That final Revenue Support Grant settlement announced on 10 February means the Government grant has been cut by a third. The authority has plans in place to deliver a balanced budget for 2016/17; this includes the transitional funding that the government have made available for 2016/17 and 2017/18 as well as a number of other measures that are capable of immediate implementation. However, the outlook for future years remains challenging. Given this, SMB are working with members to bring forward a set of savings proposals early in 2016/17 in order to address the budget gap in 2017/18 and future years. There is also a risk to Educational Services Grant (ESG) which will impact Hertfordshire County Council greatly. Proposed changes to business rates will affect funding, detail not yet known. Reviewed On :30/03/2016</p> | <p>Significant<br/>24</p> <p>Probability<br/>Possible<br/>3</p> <p>Impact<br/>High<br/>8</p> | <p>↔</p>           | <p>Significant<br/>24</p> <p>Probability<br/>Possible<br/>3</p> <p>Impact<br/>High<br/>8</p> | <p>Manageable<br/>4</p> <p>Probability<br/>Rare<br/>1</p> <p>Impact<br/>Medium<br/>4</p> |

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

Report Date: 26/05/2016

Date filtered on: 26/02/2016



Notes: References highlighted **Purple** have been added since the 26/02/2016.

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<br>Risk Description<br>Corporate Priority<br>Category | Risk Owner   | Progress Update   | Previous Risk Score | Movement Direction | Current Risk Score | Target Risk Score |
|--|--------------|---|---------------------|--------------------|--------------------|-------------------|
| <b>Controls:</b>   | <u>Ref</u>   | <u>Control Description</u>  |                     | <u>Status</u>      | <u>Owner</u>       |                   |
|  | CSHF0005/005 | Timely reporting to senior managers highlighting risks relating to available resources to enable mitigations to be made         |                     | In Progress        | Lindsey McLeod     |                   |
|  | CSHF0005/007 | Work with districts to monitor changes to business rates related to loss of businesses/impact revaluations/improve collection   |                     | In Progress        | Claire Cook        |                   |
|  | CSHF0005/008 | 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 Asimolowo   |                   |

|  |  |  |  |  |  |  |
|--|--|--|--|--|--|--|
|  |  |  |  |  |  |  |
|--|--|--|--|--|--|--|

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

Report Date: 26/05/2016

Date filtered on: 26/02/2016



Notes: References highlighted **Purple** have been added since the 26/02/2016.

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<br>Risk Description<br>Corporate Priority<br>Category   | Risk Owner   | Progress Update  | Previous Risk Score   | Movement Direction | Current Risk Score   | Target Risk Score  |
|--|--|--|---|--------------------|--|--|
| <p><b>ENV0104</b><br/><i>Delivering our Vision</i></p> <p><b>Current Category:</b> <i>Corporate</i></p> <p>In the event of the Residual Waste Treatment Programme being impacted by one or more of the following scenarios:</p> <ul style="list-style-type: none"> <li>- Revised Project Plan does not proceed or is delayed</li> <li>- Unable to secure suitable alternatives for waste disposal should the contract with VES be terminated.</li> </ul> <p>It may result in:</p> <ul style="list-style-type: none"> <li>- Increased costs to HCC</li> </ul> | <p>Simon Aries</p> <p>Assistant Director - Transport, Waste &amp; Environmental Management</p> | <p>On 17 July 2015 the County Council received notification that the application for the Recycling and Energy Recovery facility at New Barnfield had been reconsidered by the Secretary of State following an independent legal challenge by Veolia Environmental Services Ltd (VES) and that planning permission has been refused. Following the Highways and Waste Management Cabinet Panel and Cabinet meetings in November, it was agreed to request a Revised Project Plan (RPP) from VES. VES submitted the draft RPP on 7 July 2015 in accordance with the contract. Following evaluation of the RPP a report detailing VES' proposal for an energy recovery facility at Rye House, Hoddesdon, was taken to the Community Safety and Waste Management Cabinet Panel on 4th March 2016 and</p> | <p>07/04/2016<br/><b>Severe</b><br/>32</p> <p><b>Probability</b><br/>Likely<br/>4</p> <p><b>Impact</b><br/>High<br/>8</p> |                    | <p>Significant<br/>24</p> <p><b>Probability</b><br/>Possible<br/>3</p> <p><b>Impact</b><br/>High<br/>8</p> | <p>Significant<br/>16</p> <p><b>Probability</b><br/>Unlikely<br/>2</p> <p><b>Impact</b><br/>High<br/>8</p> |

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

Report Date: 26/05/2016

Date filtered on: 26/02/2016



Notes: References highlighted **Purple** have been added since the 26/02/2016.

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<br>Risk Description<br>Corporate Priority<br>Category | Risk Owner  | Progress Update  | Previous Risk Score | Movement Direction | Current Risk Score | Target Risk Score |
|--|-------------|--|---------------------|--------------------|--------------------|-------------------|
|  |             | <p>Cabinet on the 14th March 2016 where a decision was made to accept the RPP in principle. Veolia will now begin work on a planning application for the site.</p> <p>The overall risk score has been reduced to 24 with the probability being reduced to "possible" following RPP acceptance. The impact score remains "high" due to the project's high profile nature and value.<br/>Reviewed On :07/04/2016</p> |                     |                    |                    |                   |
| <b>Controls:</b>   | <b>Ref</b>  | <b>Control Description</b>   |                     |                    | <b>Status</b>      | <b>Owner</b>      |
|  | 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   |                     |                    | Complete           | Simon Aries       |

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

Report Date: 26/05/2016

Date filtered on: 26/02/2016



Notes: References highlighted **Purple** have been added since the 26/02/2016.

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<br>Risk Description<br>Corporate Priority<br>Category  | Risk Owner  | Progress Update   | Previous Risk Score  | Movement Direction | Current Risk Score   | Target Risk Score  |
|---|---|---|--|--------------------|--|--|
| <b>HCS0011</b><br><i>Opportunity to be Healthy and Safe</i><br><b>Current Category:</b> <i>Corporate</i><br>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<br><br>Assistant Director, Health Integration (E&NH) | Reviewed by Risk Owner in April 2016. No change made to the risk. Risk confirmed as same probability and impact.<br>Reviewed On :12/04/2016 | <div style="background-color: #f4a460; padding: 5px; text-align: center;">                         Significant<br/>24                     </div> Probability<br>Possible<br>3<br><br>Impact<br>High<br>8 |                    | <div style="background-color: #f4a460; padding: 5px; text-align: center;">                         Significant<br/>24                     </div> Probability<br>Possible<br>3<br><br>Impact<br>High<br>8 | <div style="background-color: #ffff00; padding: 5px; text-align: center;">                         Material<br/>8                     </div> Probability<br>Unlikely<br>2<br><br>Impact<br>Medium<br>4 |

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

Report Date: 26/05/2016

Date filtered on: 26/02/2016



Notes: References highlighted **Purple** have been added since the 26/02/2016.

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<br>Risk Description<br>Corporate Priority<br>Category | Risk Owner  | Progress Update  | Previous Risk Score | Movement Direction | Current Risk Score | Target Risk Score |
|--|-------------|--|---------------------|--------------------|--------------------|-------------------|
| <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          |                   |
|  | HCS0011/008 | Awaiting guidance on National Better Care Fund reporting requirements for 2016/17.   |                     | In Progress        | Keir Mann          |                   |

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

Report Date: 26/05/2016

Date filtered on: 26/02/2016



Notes: References highlighted **Purple** have been added since the 26/02/2016.

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<br>Risk Description<br>Corporate Priority<br>Category  | Risk Owner  | Progress Update   | Previous Risk Score   | Movement Direction | Current Risk Score  | Target Risk Score   |
|---|---|---|---|--------------------|---|---|
| <p><b>HCSOPD0006</b><br/><i>Opportunity to be Healthy and Safe</i><br/><b>Current Category:</b> <i>Corporate</i></p> <p>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.<br/>(Previously ACSC0001)</p> | <p>Frances Heathcote</p> <p>Assistant Director Health and Community Commissioning</p> | <p>Reviewed by Risk Owner in April 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.<br/>Reviewed On :20/04/2016</p> | <div style="background-color: #f4a460; padding: 5px; text-align: center;">Significant<br/>24</div> <p><b>Probability</b><br/>Possible<br/>3</p> <p><b>Impact</b><br/>High<br/>8</p> |                    | <div style="background-color: #f4a460; padding: 5px; text-align: center;">Significant<br/>24</div> <p><b>Probability</b><br/>Possible<br/>3</p> <p><b>Impact</b><br/>High<br/>8</p> | <div style="background-color: #f4a460; padding: 5px; text-align: center;">Significant<br/>24</div> <p><b>Probability</b><br/>Possible<br/>3</p> <p><b>Impact</b><br/>High<br/>8</p> |
| <b>Controls:</b>  | <u>Ref</u>  | <u>Control Description</u>  |   |                    | <u>Status</u>   | <u>Owner</u>  |
|   | HCSOPD0006/01   | Regular contract monitoring of HCS care providers with a risk-based approach  |   |                    | Existing  | Frances Heathcote   |
|   | 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 Heathcote   |
|   | HCSOPD0006/05   | Quarterly performance report to HCS Management Board  |   |                    | Existing  | Frances Heathcote   |

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

Report Date: 26/05/2016

Date filtered on: 26/02/2016



Notes: References highlighted **Purple** have been added since the 26/02/2016.

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<br>Risk Description<br>Corporate Priority<br>Category   | Risk Owner  | Progress Update   | Previous Risk Score  | Movement Direction | Current Risk Score   | Target Risk Score  |
|--|---|---|--|--------------------|--|--|
| <p><b>HR0018</b><br/><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>Paul Chamberlain</p> <p>Head of Human Resources Consulting</p> | <p>Discussions continue with Children Services and HCS on how best to progress a Hub and Spoke model of L&amp;D provision across the council and the necessary SLA's that need to be in place.</p> <p>Reviewed On :04/04/2016</p> | <p>Significant<br/>24</p> <p>Probability<br/>Possible<br/>3</p> <p>Impact<br/>High<br/>8</p> | <p>↔</p>           | <p>Significant<br/>24</p> <p>Probability<br/>Possible<br/>3</p> <p>Impact<br/>High<br/>8</p> | <p>Significant<br/>16</p> <p>Probability<br/>Unlikely<br/>2</p> <p>Impact<br/>High<br/>8</p> |



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

Report Date: 26/05/2016

Date filtered on: 26/02/2016



Notes: References highlighted **Purple** have been added since the 26/02/2016.

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<br>Risk Description<br>Corporate Priority<br>Category | Risk Owner        | Progress Update   | Previous Risk Score | Movement Direction | Current Risk Score      | Target Risk Score |
|--|-------------------|---|---------------------|--------------------|-------------------------|-------------------|
| <b>Controls:</b>   | <u>Ref</u>        | <u>Control Description</u>  |                     | <u>Status</u>      | <u>Owner</u>            |                   |
|  | HR0018/001        | Enable review and monitoring of training provision; through People Strategy, Strategic Workforce Planning, Employee Lifecycle |                     | In Progress        | Paul Chamberlain        |                   |
|  | HR0018/002        | Through the Competency Framework deliver more mentoring/coaching opportunities for managers to develop in house talent        |                     | In Progress        | Paul Chamberlain        |                   |
|  | HR0018/003        | Incorporate HCC values & leadership qualities into new training provisions for managers                                       |                     | In Progress        | Paul Chamberlain        |                   |
|  | HR0018/004        | Regular monitoring, workforce planning and forecasting - e.g. incl talent management and succession planning                  |                     | Existing           | Paul Chamberlain        |                   |
|  | HR0018/005        | Maintain and support PMDS scheme, appropriate career schemes and associated training, coaching / mentoring                    |                     | In Progress        | Paul Chamberlain        |                   |
|  | <u>HR0018/006</u> | <u>Deliver appropriate training to meet requirements of HCC Prevent action plan.</u>  |                     | <u>In Progress</u> | <u>Paul Chamberlain</u> |                   |

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

Report Date: 26/05/2016

Date filtered on: 26/02/2016



Notes: References highlighted **Purple** have been added since the 26/02/2016.

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<br>Risk Description<br>Corporate Priority<br>Category  | Risk Owner  | Progress Update  | Previous Risk Score  | Movement Direction | Current Risk Score   | Target Risk Score  |
|---|---|--|--|--------------------|--|--|
| <b>CPRES0001</b><br><i>Delivering our Vision</i><br><b>Current Category: Corporate</b><br>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<br><br>Assistant Chief Fire Officer - Response and Resilience | The Risk Owner has reviewed this risk and its controls and confirmed that there are no changes.<br>Reviewed On :08/04/2016 | Significant<br>16<br><br>Probability<br>Rare<br>1<br><br>Impact<br>Very High<br>16 | ↔                  | Significant<br>16<br><br>Probability<br>Rare<br>1<br><br>Impact<br>Very High<br>16 | Significant<br>16<br><br>Probability<br>Rare<br>1<br><br>Impact<br>Very High<br>16 |
| <b>Controls:</b>  | <b>Ref</b>  | <b>Control Description</b>   | <b>Status</b>  | <b>Owner</b>       |  |  |
|   | CPRES0001/001   | LRF business plan to address areas of concern / key priorities   | Existing   | Rad Bristow        |  |  |
|   | CPRES0001/002   | HCC an active participant in LRF activity  | Existing   | Rad Bristow        |  |  |
|   | CPRES0001/003   | Agreed programme of training/exercising, including development plan for LRF members & internal incident response managers  | Existing   | Rad Bristow        |  |  |
|   | CPRES0001/006   | Regular Review and update of the Community Risk Register checking for potential risks that are relevant.                   | In Progress  | Rad Bristow        |  |  |
|   | CPRES0001/007   | Agreed annual programme of reviewing inter-agency plans undertaken   | In Progress  | Rad Bristow        |  |  |

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

Report Date: 26/05/2016

Date filtered on: 26/02/2016



Notes: References highlighted **Purple** have been added since the 26/02/2016.

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<br>Risk Description<br>Corporate Priority<br>Category  | Risk Owner  | Progress Update  | Previous Risk Score  | Movement Direction | Current Risk Score   | Target Risk Score  |
|---|---|--|--|--------------------|--|--|
| <b>CPRES0002</b><br><i>Delivering our Vision</i><br><b>Current Category: Corporate</b><br>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<br><br>Assistant Chief Fire Officer - Response and Resilience | The Risk Owner has reviewed this risk and its control measures and confirmed that there are no changes.<br>Reviewed On :08/04/2016 | Significant<br>16<br><br>Probability<br>Rare<br>1<br><br>Impact<br>Very High<br>16 |                    | Significant<br>16<br><br>Probability<br>Rare<br>1<br><br>Impact<br>Very High<br>16 | Significant<br>16<br><br>Probability<br>Rare<br>1<br><br>Impact<br>Very High<br>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  |

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

Report Date: 26/05/2016

Date filtered on: 26/02/2016



Notes: References highlighted **Purple** have been added since the 26/02/2016.

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<br>Risk Description<br>Corporate Priority<br>Category  | Risk Owner                                 | Progress Update  | Previous Risk Score  | Movement Direction | Current Risk Score   | Target Risk Score  |
|---|--|--|--|--------------------|--|--|
| <b>CSCE0002</b><br><i>Delivering our Vision</i><br><b>Current Category: Corporate</b><br>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<br><br>Chief Legal Officer | The risk and controls have been reviewed and there are no changes at this time. The risk owner continues to monitor and manage this risk and to consider if any changes are appropriate. Reviewed On :23/03/2016 | Significant<br>16<br><br>Probability<br>Unlikely<br>2<br><br>Impact<br>High<br>8 |                    | Significant<br>16<br><br>Probability<br>Unlikely<br>2<br><br>Impact<br>High<br>8 | Significant<br>16<br><br>Probability<br>Unlikely<br>2<br><br>Impact<br>High<br>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  |  |

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

Report Date: 26/05/2016

Date filtered on: 26/02/2016



Notes: References highlighted **Purple** have been added since the 26/02/2016.

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<br>Risk Description<br>Corporate Priority<br>Category  | Risk Owner   | Progress Update  | Previous Risk Score   | Movement Direction      | Current Risk Score  | Target Risk Score   |
|---|--|--|---|-------------------------|---|---|
| <b>CSCE0009</b><br><i>Delivering our Vision</i><br><b>Current Category: Corporate</b><br>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) | Paul Chamberlain<br><br>Head of Human Resources Consulting | We have commenced random sampling of employees DBS statements for groups of employees who were taken out of the re-check regime. Reviewed On :04/04/2016 | <div style="background-color: orange; padding: 5px; text-align: center;">                         Significant<br/>16                     </div> Probability<br>Unlikely<br>2<br><br>Impact<br>High<br>8 |                         | <div style="background-color: orange; padding: 5px; text-align: center;">                         Significant<br/>16                     </div> Probability<br>Unlikely<br>2<br><br>Impact<br>High<br>8 | <div style="background-color: orange; padding: 5px; text-align: center;">                         Significant<br/>16                     </div> Probability<br>Unlikely<br>2<br><br>Impact<br>High<br>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  | Paul Chamberlain        |   |   |
|   | CSCE0009/003   | Use learning from regular audits and QA inspections to improve policy, process and practice.   | Existing  | Paul Chamberlain        |   |   |
|   | CSCE0009/005   | Address cultural issues and technical understanding of line managers via training and organisational development intervention                            | In Progress   | Paul Chamberlain        |   |   |
|   | <u>CSCE0009/006</u>  | <u>Deliver appropriate training to meet requirements of HCC Prevent action plan.</u>   | <u>In Progress</u>  | <u>Paul Chamberlain</u> |   |   |

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

Report Date: 26/05/2016

Date filtered on: 26/02/2016



Notes: References highlighted **Purple** have been added since the 26/02/2016.

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<br>Risk Description<br>Corporate Priority<br>Category   | Risk Owner                                   | Progress Update  | Previous Risk Score  | Movement Direction | Current Risk Score   | Target Risk Score  |
|--|--|--|--|--------------------|--|--|
| <b>ENV0030</b><br><i>Opportunity to be Healthy and Safe</i><br><b>Current Category: Corporate</b><br>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<br><br>Deputy Director Environment | No change to the report this quarter. There are robust back up measures in place should the on-line reporting systems fail.<br>Reviewed On :05/04/2016 | Significant<br>16<br><br>Probability<br>Unlikely<br>2<br><br>Impact<br>High<br>8 |                    | Significant<br>16<br><br>Probability<br>Unlikely<br>2<br><br>Impact<br>High<br>8 | Material<br>8<br><br>Probability<br>Rare<br>1<br><br>Impact<br>High<br>8 |
| <b>Controls:</b>   | <u>Ref</u>                                   | <u>Control Description</u>   | <u>Status</u>  | <u>Owner</u>       |  |  |
|  | ENV0030/001                                  | Protocol for the investigation of road deaths agreed with police.  | Existing   | Rob Smith          |  |  |
|  | ENV0030/002                                  | Annual programmes of accident remedial engineering schemes, and structural and routine maintenance in place  | Existing   | Rob Smith          |  |  |
|  | ENV0030/003                                  | Broad and accessible fault reporting procedure available to members of the public  | Existing   | Rob Smith          |  |  |
|  | ENV0030/004                                  | Quarterly reports from Insurance Team on High Court Cases  | Existing   | Rob Smith          |  |  |
|  | ENV0030/005                                  | Audit of inspections & inspection programme  | Existing   | Rob Smith          |  |  |
|  | ENV0030/006                                  | Protocol for Serious injury accidents which may result in significant insurance claims   | In Progress  | Rob Smith          |  |  |

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

Report Date: 26/05/2016

Date filtered on: 26/02/2016



Notes: References highlighted **Purple** have been added since the 26/02/2016.

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<br>Risk Description<br>Corporate Priority<br>Category   | Risk Owner                                      | Progress Update   | Previous Risk Score   | Movement Direction | Current Risk Score  | Target Risk Score   |
|--|---|---|---|--------------------|---|---|
| <b>ENV0033</b><br><i>Opportunity to be Healthy and Safe</i><br><b>Current Category: Corporate</b><br>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<br><br>Deputy Director<br>Environment | The Annual Road Maintenance Programme for 2015/16 has been delivered. The Annual Road Maintenance Programme for 2016/17 has been agreed and is being delivered. There is no change to this risk or its score at this time.<br>Reviewed On :05/04/2016 | <div style="background-color: orange; padding: 5px; text-align: center;">                         Significant<br/>16                     </div> Probability<br>Unlikely<br>2<br><br>Impact<br>High<br>8 |                    | <div style="background-color: orange; padding: 5px; text-align: center;">                         Significant<br/>16                     </div> Probability<br>Unlikely<br>2<br><br>Impact<br>High<br>8 | <div style="background-color: yellow; padding: 5px; text-align: center;">                         Material<br/>8                     </div> Probability<br>Rare<br>1<br><br>Impact<br>High<br>8 |
| <b>Controls:</b>   | <u>Ref</u>                                      | <u>Control Description</u>  | <u>Status</u>   | <u>Owner</u>       |   |   |
|  | 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   | Fiona Timms        |   |   |
|  | ENV0033/004                                     | Review of Maintenance Strategy  | In Progress   | Rob Smith          |   |   |

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

Report Date: 26/05/2016

Date filtered on: 26/02/2016



Notes: References highlighted **Purple** have been added since the 26/02/2016.

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<br>Risk Description<br>Corporate Priority<br>Category   | Risk Owner   | Progress Update  | Previous Risk Score  | Movement Direction | Current Risk Score   | Target Risk Score  |
|--|--|--|--|--------------------|--|--|
| <b>HFRS0004</b><br><i>Delivering our Vision</i><br><b>Current Category: Corporate</b><br>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<br><br>Fire and Rescue Assistant Chief Officer - Service Support | The Risk Owner has reviewed this risk and its control measures and confirmed that there are no changes.<br>Reviewed On :08/04/2016 | Significant<br>16<br><br>Probability<br>Unlikely<br>2<br><br>Impact<br>High<br>8 |                    | Significant<br>16<br><br>Probability<br>Unlikely<br>2<br><br>Impact<br>High<br>8 | Significant<br>16<br><br>Probability<br>Unlikely<br>2<br><br>Impact<br>High<br>8 |
| <b>Controls:</b>   | <u>Ref</u>   | <u>Control Description</u>   |  |                    | <u>Status</u>  | <u>Owner</u>   |
|  | HFRS0004/001   | Integrated Personal Development System   |  |                    | Existing   | Chris Bigland  |
|  | HFRS0004/002   | Station Audit Process  |  |                    | Existing   | Chris Bigland  |
|  | HFRS0004/004   | Feedback from standard meetings informs improvements in equipment, technique and performance to drive the Service forward          |  |                    | Existing   | Chris Bigland  |



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

Report Date: 26/05/2016

Date filtered on: 26/02/2016



Notes: References highlighted **Purple** have been added since the 26/02/2016.

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<br>Risk Description<br>Corporate Priority<br>Category   | Risk Owner   | Progress Update   | Previous Risk Score   | Movement Direction | Current Risk Score  | Target Risk Score   |
|--|--|---|---|--------------------|---|---|
| <b>HR0017</b><br><i>Delivering our Vision</i><br><b>Current Category: Corporate</b><br>In the event of industrial action there is a risk that services cannot be delivered effectively, which could result in harm to residents. | Paul Chamberlain<br><br>Head of Human Resources Consulting | Currently no live local disputes at present and the risk is being managed and mitigated.<br>Reviewed On :04/04/2016 | <div style="background-color: orange; padding: 5px; text-align: center;">                         Significant<br/>16                     </div> Probability<br>Unlikely<br>2<br><br>Impact<br>High<br>8 |                    | <div style="background-color: orange; padding: 5px; text-align: center;">                         Significant<br/>16                     </div> Probability<br>Unlikely<br>2<br><br>Impact<br>High<br>8 | <div style="background-color: yellow; padding: 5px; text-align: center;">                         Material<br/>8                     </div> Probability<br>Unlikely<br>2<br><br>Impact<br>Medium<br>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   | Paul Chamberlain   |   |   |
|  | HR0017/002   | Workforce engagement, change management and adherence to statutory requirements for consultation                    | Existing  | Paul Chamberlain   |   |   |
|  | 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        |   |   |

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

Report Date: 26/05/2016

Date filtered on: 26/02/2016



Notes: References highlighted **Purple** have been added since the 26/02/2016.

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<br>Risk Description<br>Corporate Priority<br>Category  | Risk Owner   | Progress Update  | Previous Risk Score  | Movement Direction | Current Risk Score   | Target Risk Score  |
|---|--|--|--|--------------------|--|--|
| <p><b>PHD0014</b><br/><i>Opportunity to be Healthy and Safe</i><br/><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<br/>Director of<br/>Public Health</p> | <p>The risk has been reviewed and remains current. The control measures have also been reviewed and remain in place.<br/>Reviewed On :22/03/2016</p> | <p>Significant<br/>16</p> <p><b>Probability</b><br/>Rare<br/>1</p> <p><b>Impact</b><br/>Very High<br/>16</p> | <p>↔</p>           | <p>Significant<br/>16</p> <p><b>Probability</b><br/>Rare<br/>1</p> <p><b>Impact</b><br/>Very High<br/>16</p> | <p>Significant<br/>16</p> <p><b>Probability</b><br/>Rare<br/>1</p> <p><b>Impact</b><br/>Very High<br/>16</p> |
|   |  |  |  |                    |  |  |

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

Report Date: 26/05/2016

Date filtered on: 26/02/2016



Notes: References highlighted **Purple** have been added since the 26/02/2016.

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<br>Risk Description<br>Corporate Priority<br>Category | Risk Owner  | Progress Update   | Previous Risk Score | Movement Direction | Current Risk Score | Target Risk Score |
|--|-------------|---|---------------------|--------------------|--------------------|-------------------|
| <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 | Hertfordshire follows the national guidance on management of infectious outbreaks and pandemic flu                              |                     | In Progress        | Jim McManus        |                   |

|  |  |  |  |  |  |  |
|--|--|--|--|--|--|--|
|  |  |  |  |  |  |  |
|--|--|--|--|--|--|--|

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

Report Date: 26/05/2016

Date filtered on: 26/02/2016



Notes: References highlighted **Purple** have been added since the 26/02/2016.

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<br>Risk Description<br>Corporate Priority<br>Category   | Risk Owner  | Progress Update   | Previous Risk Score   | Movement Direction | Current Risk Score  | Target Risk Score   |
|--|---|---|---|--------------------|---|---|
| <b>PROP0020</b><br><i>Opportunity to Prosper</i><br><b>Current Category: Corporate</b><br>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<br><br>Assistant Director - Property | All controls have been reviewed.<br><br>The portfolio continues to be reviewed on a regular basis to identify opportunities for Capital Receipts.<br><br>Market information of Hertfordshire Land and Building values are annually reviewed to inform each disposal.<br>Reviewed On :24/03/2016 | <div style="background-color: orange; padding: 5px; text-align: center;">Significant<br/>16</div> Probability<br>Unlikely<br>2<br><br>Impact<br>High<br>8 | ↔                  | <div style="background-color: orange; padding: 5px; text-align: center;">Significant<br/>16</div> Probability<br>Unlikely<br>2<br><br>Impact<br>High<br>8 | <div style="background-color: yellow; padding: 5px; text-align: center;">Material<br/>8</div> Probability<br>Unlikely<br>2<br><br>Impact<br>Medium<br>4 |
| <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         |   |   |

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

Report Date: 26/05/2016

Date filtered on: 26/02/2016



Notes: References highlighted **Purple** have been added since the 26/02/2016.

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<br>Risk Description<br>Corporate Priority<br>Category  | Risk Owner                                       | Progress Update  | Previous Risk Score  | Movement Direction | Current Risk Score   | Target Risk Score  |
|---|--|--|--|--------------------|--|--|
| <p><b>TEC0004</b><br/><i>Delivering our Vision</i></p> <p><b>Current Category:</b> <i>Corporate</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 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>Control measures continue to provide effective mitigation<br/>Reviewed On :30/03/2016</p> | <p>Significant<br/>16</p> <p>Probability<br/>Unlikely<br/>2</p> <p>Impact<br/>High<br/>8</p> | <p>↔</p>           | <p>Significant<br/>16</p> <p>Probability<br/>Unlikely<br/>2</p> <p>Impact<br/>High<br/>8</p> | <p>Significant<br/>16</p> <p>Probability<br/>Unlikely<br/>2</p> <p>Impact<br/>High<br/>8</p> |
|   |  |  |  |                    |  |  |

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

Report Date: 26/05/2016

Date filtered on: 26/02/2016



Notes: References highlighted **Purple** have been added since the 26/02/2016.

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<br>Risk Description<br>Corporate Priority<br>Category   | Risk Owner                             | Progress Update   | Previous Risk Score   | Movement Direction | Current Risk Score  | Target Risk Score   |
|--|--|---|---|--------------------|---|---|
| <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><br><i>Delivering our Vision</i><br><b>Current Category: Corporate</b><br>There is a risk that the Council experiences significant fraud | Terry Barnett<br><br>Head of Assurance | This risk has been reviewed and the scoring remains the same<br>Reviewed On :21/03/2016   | <b>Significant</b><br>12<br><br>Probability<br>Possible<br>3<br><br>Impact<br>Medium<br>4 | ↔                  | <b>Significant</b><br>12<br><br>Probability<br>Possible<br>3<br><br>Impact<br>Medium<br>4 | <b>Material</b><br>8<br><br>Probability<br>Unlikely<br>2<br><br>Impact<br>Medium<br>4 |

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

Report Date: 26/05/2016

Date filtered on: 26/02/2016



Notes: References highlighted **Purple** have been added since the 26/02/2016.

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

| <b>Risk Ref<br/>Risk Description<br/>Corporate Priority<br/>Category</b> | <b>Risk Owner</b> | <b>Progress Update</b>  | <b>Previous Risk Score</b> | <b>Movement Direction</b> | <b>Current Risk Score</b> | <b>Target Risk Score</b> |
|--|-------------------|---|----------------------------|---------------------------|---------------------------|--------------------------|
| <b>Controls:</b>   | <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 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  |                            | In Progress               | 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             |                          |
|  |                   |   |                            |                           |                           |                          |

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

Report Date: 26/05/2016

Date filtered on: 26/02/2016



Notes: References highlighted **Purple** have been added since the 26/02/2016.

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<br>Risk Description<br>Corporate Priority<br>Category   | Risk Owner   | Progress Update   | Previous Risk Score  | Movement Direction | Current Risk Score   | Target Risk Score  |
|--|--|---|--|--------------------|--|--|
| <p><b>CSCE0013</b><br/><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<br/>Bannerman<br/>Campbell</p> <p>Assistant<br/>Director - Impr<br/>ovement and<br/>Technology</p> | <p>Risk and controls reviewed and no changes required. The Audit Committee of 23 March 2016 received a presentation on Data Protection Risk Management from the Head of Intelligence which outlined the organisation's approach to data protection, the policy framework, technical features, training being delivered and other significant processes in place to mitigate the risk. In addition, the Audit Committee was made aware of the potential changes needed to meet EU General Data Protection Regulation requirements.<br/>Reviewed On :01/04/2016</p> | <p>Significant<br/>12</p> <p>Probability<br/>Possible<br/>3</p> <p>Impact<br/>Medium<br/>4</p> | <p>↔</p>           | <p>Significant<br/>12</p> <p>Probability<br/>Possible<br/>3</p> <p>Impact<br/>Medium<br/>4</p> | <p>Material<br/>8</p> <p>Probability<br/>Unlikely<br/>2</p> <p>Impact<br/>Medium<br/>4</p> |
|  |  |   |  |                    |  |  |



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

Report Date: 26/05/2016

Date filtered on: 26/02/2016



Notes: References highlighted **Purple** have been added since the 26/02/2016.

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<br>Risk Description<br>Corporate Priority<br>Category | Risk Owner   | Progress Update  | Previous Risk Score | Movement Direction | Current Risk Score | Target Risk Score |
|--|--------------|--|---------------------|--------------------|--------------------|-------------------|
| <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      |                   |

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

Report Date: 26/05/2016

Date filtered on: 26/02/2016



Notes: References highlighted **Purple** have been added since the 26/02/2016.

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<br>Risk Description<br>Corporate Priority<br>Category   | Risk Owner  | Progress Update  | Previous Risk Score  | Movement Direction  | Current Risk Score   | Target Risk Score  |              |  |          |             |              |  |          |             |              |   |          |             |              |  |          |             |              |  |             |             |  |  |  |
|--|---|--|--|---------------------|--|--|--------------|--|----------|-------------|--------------|--|----------|-------------|--------------|---|----------|-------------|--------------|--|----------|-------------|--------------|--|-------------|-------------|--|--|--|
| <b>PROP0016</b><br><i>Opportunity to be Healthy and Safe</i><br><b>Current Category: Corporate</b><br>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) | Trevor Mose<br><br>Interim Head of Building Management  | All Control measures have been revised.<br>Reviewed On :24/03/2016 | Significant<br>12<br><br>Probability<br>Possible<br>3<br><br>Impact<br>Medium<br>4 | ↔                   | Significant<br>12<br><br>Probability<br>Possible<br>3<br><br>Impact<br>Medium<br>4 | Significant<br>12<br><br>Probability<br>Possible<br>3<br><br>Impact<br>Medium<br>4 |              |  |          |             |              |  |          |             |              |   |          |             |              |  |          |             |              |  |             |             |  |  |  |
| <b>Controls:</b>   | <table border="1"> <thead> <tr> <th>Ref</th> <th>Control Description</th> <th>Status</th> <th>Owner</th> </tr> </thead> <tbody> <tr> <td>PROP0016/001</td> <td>Property frameworks are available to schools - HCC checks &amp; performance manages Contractors and Consultants on</td> <td>Existing</td> <td>Trevor Mose</td> </tr> <tr> <td>PROP0016/002</td> <td>Advice is available to schools on use of contractors/consultant and how to procure works/services.</td> <td>Existing</td> <td>Trevor Mose</td> </tr> <tr> <td>PROP0016/003</td> <td>Raise awareness of risks with schools including working with HfL to do so</td> <td>Existing</td> <td>Trevor Mose</td> </tr> <tr> <td>PROP0016/004</td> <td>Where academies seek to build, we will use landlord's permission to discuss &amp; educate on contracting risks</td> <td>Existing</td> <td>Trevor Mose</td> </tr> <tr> <td>PROP0016/005</td> <td>Revised guidance is to be published in 2015 on the employment of contractors and consultants</td> <td>In Progress</td> <td>Trevor Mose</td> </tr> </tbody> </table> |  | Ref  | Control Description | Status   | Owner  | PROP0016/001 | Property frameworks are available to schools - HCC checks & performance manages Contractors and Consultants on | Existing | Trevor Mose | PROP0016/002 | Advice is available to schools on use of contractors/consultant and how to procure works/services. | Existing | Trevor Mose | PROP0016/003 | Raise awareness of risks with schools including working with HfL to do so | Existing | Trevor Mose | PROP0016/004 | Where academies seek to build, we will use landlord's permission to discuss & educate on contracting risks | Existing | Trevor Mose | PROP0016/005 | Revised guidance is to be published in 2015 on the employment of contractors and consultants | In Progress | Trevor Mose |  |  |  |
| Ref  | Control Description   | Status   | Owner  |                     |  |  |              |  |          |             |              |  |          |             |              |   |          |             |              |  |          |             |              |  |             |             |  |  |  |
| PROP0016/001   | Property frameworks are available to schools - HCC checks & performance manages Contractors and Consultants on  | Existing   | Trevor Mose  |                     |  |  |              |  |          |             |              |  |          |             |              |   |          |             |              |  |          |             |              |  |             |             |  |  |  |
| PROP0016/002   | Advice is available to schools on use of contractors/consultant and how to procure works/services.  | Existing   | Trevor Mose  |                     |  |  |              |  |          |             |              |  |          |             |              |   |          |             |              |  |          |             |              |  |             |             |  |  |  |
| PROP0016/003   | Raise awareness of risks with schools including working with HfL to do so   | Existing   | Trevor Mose  |                     |  |  |              |  |          |             |              |  |          |             |              |   |          |             |              |  |          |             |              |  |             |             |  |  |  |
| PROP0016/004   | Where academies seek to build, we will use landlord's permission to discuss & educate on contracting risks  | Existing   | Trevor Mose  |                     |  |  |              |  |          |             |              |  |          |             |              |   |          |             |              |  |          |             |              |  |             |             |  |  |  |
| PROP0016/005   | Revised guidance is to be published in 2015 on the employment of contractors and consultants  | In Progress  | Trevor Mose  |                     |  |  |              |  |          |             |              |  |          |             |              |   |          |             |              |  |          |             |              |  |             |             |  |  |  |

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

Report Date: 26/05/2016

Date filtered on: 26/02/2016



Notes: References highlighted **Purple** have been added since the 26/02/2016.

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<br>Risk Description<br>Corporate Priority<br>Category   | Risk Owner  | Progress Update  | Previous Risk Score   | Movement Direction | Current Risk Score  | Target Risk Score   |
|--|---|--|---|--------------------|---|---|
| <b>PROP0018</b><br><i>Opportunity to be Healthy and Safe</i><br><b>Current Category:</b> Corporate<br>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<br><br>Assistant Director - Property | Control measures reviewed and all are ongoing.<br>Reviewed On :24/03/2016  | <div style="background-color: orange; padding: 5px; text-align: center;">                         Significant<br/>12                     </div> Probability Possible 3<br>Impact Medium 4 |                    | <div style="background-color: orange; padding: 5px; text-align: center;">                         Significant<br/>12                     </div> Probability Possible 3<br>Impact Medium 4 | <div style="background-color: green; padding: 5px; text-align: center;">                         Manageable<br/>4                     </div> Probability Unlikely 2<br>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         |   |   |