

Audit Committee  
23 September 2016

Appendix A  
Movement Report showing  
Corporate Risks with Amendments

# Recent movement report (incl JT) Corporate Risks with Significant Changes for September 2016 Audit

Report Date: 10/08/2016

Date filtered on: 27/05/2016



Notes: References highlighted **Purple** have been added since the 27/05/2016.

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 Risk Description Corporate Priority Category	Risk Owner	Progress Update	Previous Risk Score	Movement Direction	Current Risk Score	Target Risk Score
<b>HCSOPD0006</b> <i>Opportunity to be Healthy and Safe</i> <b>Current Category: Corporate</b> In the event of commercial or contractual failure of private or independent care providers, this may lead to disruption to care provision and impact on service users and carers. (Previously ACSC0001)	Frances Heathcote  Assistant Director Health and Community Commissioning	Reviewed by Risk Owner in July 2016. Probability to remain the same, Impact increased to very high due to some impact of the EU Referendum felt with the EU Workforce, this has made recruiting care workforce harder. Reviewed On :21/07/2016	21/07/2016 Significant 24  Probability Possible 3  Impact High 8	➔	Severe 48  Probability Possible 3  Impact Very High 16	Significant 24  Probability Possible 3  Impact High 8
<b>Controls:</b>	<b>Ref</b>	<b>Control Description</b>			<b>Status</b>	<b>Owner</b>
	HCSOPD0006/001	Regular contract monitoring of HCS care providers with a risk-based approach			Existing	Frances
	HCSOPD0006/002	HCS 'Serious Concerns' procedure to deal with failing care providers			Existing	Sue Darker
	HCSOPD0006/003	Instigation of annual credit checks on all care providers as early warning system			In Progress	Frances
	HCSOPD0006/005	Quarterly performance report to HCS Management Board			Existing	Frances

# Recent movement report (incl JT) Corporate Risks with Significant Changes for September 2016 Audit

Report Date: 10/08/2016

Date filtered on: 27/05/2016



Notes: References highlighted **Purple** have been added since the 27/05/2016.

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 Risk Description Corporate Priority Category	Risk Owner	Progress Update	Previous Risk Score	Movement Direction	Current Risk Score	Target Risk Score
<p><b>ENV0104</b> <i>Delivering our Vision</i></p> <p><b>Current Category:</b> <i>Corporate</i></p> <p>In the event of the Residual Waste Treatment Programme being impacted by one or more of the following scenarios:</p> <ul style="list-style-type: none"> <li>- 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 17th 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 7th 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 Cabinet on 14th March 2016</p>	<p>01/08/2016 Significant 24</p> <p>Probability Possible 3</p> <p>Impact Very High 16</p>		<p><b>Severe</b> 32</p> <p>Probability Likely 4</p> <p>Impact High 8</p>	<p>Material 8</p> <p>Probability Rare 1</p> <p>Impact High 8</p>

# Recent movement report (incl JT) Corporate Risks with Significant Changes for September 2016 Audit

Report Date: 10/08/2016

Date filtered on: 27/05/2016



Notes: References highlighted **Purple** have been added since the 27/05/2016.

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</b> <b>Risk Description</b> <b>Corporate Priority</b> <b>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>
		<p>where a decision was made to accept the RPP in Principle. VES has commenced work on a planning application for the site.</p> <p>Following the acceptance of the Revised Project Plan (RPP) Veolia are working on a planning application for the Energy Recovery facility at the Hoddesdon site. A comprehensive review of the risks has been carried out, the risk score has been amended from Amber (24 ) to Red (32) to reflect the complexity of delivering a large project of this nature. This change involved a probability increase from "Possible" to "Likely".</p> <p>Reviewed On :02/08/2016</p>				

# Recent movement report (incl JT) Corporate Risks with Significant Changes for September 2016 Audit

Report Date: 10/08/2016

Date filtered on: 27/05/2016



Notes: References highlighted **Purple** have been added since the 27/05/2016.

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 Risk Description Corporate Priority 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>
	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

<b>AUDIT0001</b> <i>Delivering our Vision</i> <b>Current Category: Corporate</b> There is a risk that the Council experiences significant fraud	Terry Barnett  Head of Assurance	We have reviewed the current risk score and amended the scoring because recent reports suggest the risk of fraud in local government is higher than previously thought. Reviewed On :21/06/2016	30/06/2016 Significant 12  Probability Possible 3  Impact Medium 4		Significant 16  Probability Likely 4  Impact Medium 4	Material 8  Probability Unlikely 2  Impact Medium 4
--	--	--	--	--	--	--

## Recent movement report (incl JT) Corporate Risks with Significant Changes for September 2016 Audit

Report Date: 10/08/2016

Date filtered on: 27/05/2016



Notes: References highlighted **Purple** have been added since the 27/05/2016.

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 Risk Description Corporate Priority 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>	
	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	Managing the content from the Fraud reporting facility available on Herts Direct and Compass		In Progress	Terry Barnett	
	AUDIT0001/007	Oversight of fraud risk at audit committee		In Progress	Terry Barnett	