

**Audit Committee
01 March 2017**

**Appendix A
Movement Report showing
Corporate Risks with Amendments**

Appendix A - Corporate Risk Register key changes in quarterly movement report for March 2017

Report Date: 24/01/2017

Date filtered on: 09/11/2016



Notes: References highlighted **Purple** have been added since the 09/11/2016.

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Risk Ref Risk Description Corporate Priority Category	Risk Owner	Progress Update	Previous Risk Score	Movement Direction	Current Risk Score	Target Risk Score
HCS0012 <i>Opportunity to be Healthy and Safe</i> Current Category: Corporate Due to national NHS commissioning changes from May 2015 there may be structural changes to NHS commissioning, leading to financial uncertainty for jointly commissioned projects including the Better Care Fund within Hertfordshire County Council.	Iain MacBeath Director of Health and Community Services	Risk reviewed by Risk Owner and current risk score updated on 19th December 2016. HVCCG have stated their intention to withdraw £8.5 million in funding from April 2017. HCC now considering legal actions Reviewed On: 19/12/2016	19/12/2016 Severe 32 Probability Likely 4 Impact High 8		Severe 64 Probability Likely 4 Impact Very High 16	Significant 16 Probability Unlikely 2 Impact High 8
Controls:	Ref	Control Description	Status	Owner		
	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		
	HCS0012/005	Agreement that social care will form part of financial bridge incorporated into the sustainability and transformation plan	In Progress	Iain MacBeath		
	<u>HCS0012/006</u>	<u>HCC to consider legal action as a result of HVCCG stating their intention to withdraw Adult Social care funding</u>	<u>In Progress</u>	<u>Iain MacBeath</u>		

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<p>TEC0004 <i>Delivering our Vision</i></p> <p>Current Category: <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>We are now subject to an increasing level of attacks; we suffered a number of attacks over the Christmas period, and our mitigations were again successful. However, and despite the extensive and thorough measures in place, as the intensity, complexity and number of attacks increase we are going to have to be continually on top of this and updating / improving / modernising our responses. Having reviewed the risk and controls in the light of this, the risk owner has determined that the likelihood associated with the risk should be raised to 'likely'. The overall risk score therefore increases from amber 16 (significant) to red 32 (severe). Reviewed On :05/01/2017</p>	<p>05/01/2017 Significant 16</p> <p>Probability Unlikely 2</p> <p>Impact High 8</p>	<p>↗</p>	<p>Severe 32</p> <p>Probability Likely 4</p> <p>Impact High 8</p>	<p>Significant 16</p> <p>Probability Unlikely 2</p> <p>Impact High 8</p>

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Controls:	<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 penetration tests before implementation			Existing	David Mansfield
	TEC0004/004	Work to continuously develop & deliver ICT policy/security educ/awareness training for staff, managers and members			Existing	David Mansfield
	TEC0004/006	Rolling program of testing network infrastructure inc penetration testing for HCC and key 3rd party providers			Existing	David Mansfield
	TEC0004/007	Ensure ICT Service Providers adhere to security & tech standards in providing/implementing/updating systems; ICT infrastructure			Existing	David Mansfield

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<p>COMS0002 <i>Delivering our Vision</i> Old Category: <i>Service</i> Current Category: <i>Corporate</i></p> <p>As a result of the increased number of HCC staff and members directly communicating with the public through social media, there is a risk that the organisation's reputation could be damaged through an inappropriate communication. [Formerly JCAD Risk Ref. ENV0096]</p>	<p>Andrew Hadfield</p> <p>Interim Head of Communications</p>	<p>Risk and controls reviewed. As a result of the increasing numbers of social media users and the increasing volume of messages via social media this risk has been re-assessed, the score increased to amber 24 (significant) and the risk escalated to the Corporate Risk Register. The Communications Team has just completed a mini-review of existing documentation / guidance and will be updating these through the cross council web management group by the end of January. Further work will also be done to increase awareness of the risks and benefits of social media activity across the council, including as another channel to engage customers and residents. Reviewed On :22/12/2016</p>	<p>22/12/2016 Significant 12</p> <p>Probability Possible 3</p> <p>Impact Medium 4</p>	<p>↗</p>	<p>Significant 24</p> <p>Probability Possible 3</p> <p>Impact High 8</p>	<p>Material 8</p> <p>Probability Unlikely 2</p> <p>Impact Medium 4</p>

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Controls:	<u>Ref</u>	<u>Control Description</u>			<u>Status</u>	<u>Owner</u>
	COMS0002/001	Social Media Policy			Existing	Andrew Hadfield
	COMS0002/002	Social media training sessions			Existing	Andrew Hadfield
	COMS0002/003	Best practice guidance			Existing	Andrew Hadfield

<p>CSHF0016 Created Date: 22/12/2016</p> <p><i>Delivering our Vision</i></p> <p>Current Category: <i>Corporate</i></p> <p>In the event that the Authority does not develop sufficient and timely proposals to deal with the ongoing or further reductions in funding/resources, there is a risk that the need to close the funding gap may result in identifying measures for unplanned reductions in service spend leading to deterioration or interruption of front line service delivery.</p>	<p>Claire Cook</p> <p>Assistant Director Finance</p>	<p>This new risk has been raised to replace risks CSHF0005 and CSHF0015. Controls have been reviewed and actions are being undertaken through the Integrated Planning Process and the SMART Journey Programme. Reviewed On :22/12/2016</p>	<p>22/12/2016 Significant 24</p>	<p>↔</p>	<p>Significant 24</p>	<p>Significant 16</p>
			<p>Probability Possible 3</p> <p>Impact High 8</p>		<p>Probability Possible 3</p> <p>Impact High 8</p>	<p>Probability Unlikely 2</p> <p>Impact High 8</p>

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Controls:	<u>Ref</u>	<u>Control Description</u>		<u>Status</u>	<u>Owner</u>	
	<u>CSHF0016/001</u>	<u>Timely reporting to senior managers highlighting risks relating to available resources to enable mitigations to be made.</u>		<u>In Progress</u>	<u>Lindsey McLeod</u>	
	<u>CSHF0016/002</u>	<u>Work with districts to monitor changes to business rates related to loss of businesses/impact revaluations/improve collection.</u>		<u>In Progress</u>	<u>Claire Cook</u>	
	<u>CSHF0016/003</u>	<u>HCS Board members are engaged in negotiations with the NHS about future protection of social care.</u>		<u>In Progress</u>	<u>Iain MacBeath</u>	
	<u>CSHF0016/004</u>	<u>Monitor the impact of proposed changes to Education Funding to enable senior officers/members to make timely/informed decisions.</u>		<u>In Progress</u>	<u>Abioye Asimolowo</u>	
	<u>CSHF0016/005</u>	<u>A transformation programme that supports the organisation to deliver the necessary efficiencies including work with partners.</u>		<u>In Progress</u>	<u>David Butcher</u>	
	<u>CSHF0016/006</u>	<u>Take account and anticipate changes through analysis of Government papers/announcement so management can make informed decisions</u>		<u>In Progress</u>	<u>Lindsey McLeod</u>	
	<u>CSHF0016/007</u>	<u>Continue to carry out Service-led budget reviews</u>		<u>In Progress</u>	<u>Lindsey McLeod</u>	
	<u>CSHF0016/008</u>	<u>Horizon scanning/policy Network</u>		<u>In Progress</u>	<u>Alex James</u>	

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<p>ENV0142 <i>Opportunity to be Healthy and Safe</i></p> <p>Current Category: <i>Corporate</i></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 & Environmental Management</p>	<p>The Tree Health Corporate Risk was reviewed by the HCC Audit Committee in November 2016 and an update paper presented to E, P&T Panel in December 2016. The risk to Hertfordshire's trees from Chalara and other tree health issues is likely to be long-term. With Controls progressing well and more known about the spread of the disease it is felt that the Impact of the risk in ANY ONE YEAR can be reduced to (4) Medium. The Likelihood of the tree health issues having an impact in the county remains (5) High. As such the current score for the Tree Health Risk in any one year is reduced to 20 (Medium). Reviewed On :03/01/2017</p>	<p>03/01/2017 Severe 40</p> <p>Probability Almost Certain</p> <p>Impact High 8</p>		<p>Significant 20</p> <p>Probability Almost Certain</p> <p>Impact Medium 4</p>	<p>Significant 20</p> <p>Probability Almost Certain 5</p> <p>Impact Medium 4</p>

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

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

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CSHF0002 <i>Delivering our Vision</i> Current Category: Corporate There is a risk that HCC's pension fund level may not improve sufficiently to cover accrued pension costs because of economic conditions, poor investment or ineffective governance	Claire Cook Assistant Director Finance	The performance of the fund continues to be monitored. Quarterly Actuarial Navigator reports are shared with the pensions committee. Latest position shows the funding level to be around 87% as at 30 September 2016. The risk and controls have been reviewed in the context of the triennial re-evaluation of the fund. Given the improvement funding position the risk score has been reduced from red (severe) to amber (significant). Reviewed On :22/12/2016	22/12/2016 Severe 32 Probability Unlikely 2 Impact Very High 16		Significant 16 Probability Rare 1 Impact Very High 16	Significant 16 Probability Rare 1 Impact Very High 16
Controls:	Ref	Control Description			Status	Owner
	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	Sally Hopper

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HR0017 <i>Delivering our Vision</i> Old Category: <i>Corporate</i> Current Category: <i>Service</i> In the event of industrial action there is a risk that services cannot be delivered effectively, which could result in harm to residents.	Sally Hopper Assistant Director, Human Resources	Following the discussion at Resources Board in October the risk owner has determined the risk can be de-escalated to Service level. There are no known disputes and we have recently engaged in initial positive discussions with the unions on the review of the collective agreement due April 2017. Reviewed On :20/12/2016	Significant 16 Probability Unlikely 2 Impact High 8	↔	Significant 16 Probability Unlikely 2 Impact High 8	Material 8 Probability Unlikely 2 Impact Medium 4
Controls:	Ref		Control Description		Status	Owner
	HR0017/001		Engagement with recognised trade unions and robust co-ordination of response to industrial action		In Progress	Sally Hopper
	HR0017/002		Workforce engagement, change management and adherence to statutory requirements for consultation		Existing	Sally Hopper
	HR0017/003		BCP plans are in place to maintain a level of service throughout HCC during a period of industrial action		In Progress	Gareth Bradbury

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<p>HR0023 Created Date: 22/12/2016</p> <p><i>Delivering our Vision</i></p> <p>Current Category: Corporate</p> <p>As a result of new legislation establishing an Apprenticeship Levy, there is a risk that should the County Council not take appropriate action to offset the levy and provide apprenticeship opportunities there may be financial and reputational consequences.</p>	<p>Sally Hopper</p> <p>Assistant Director, Human Resources</p>	<p>Paper to SMB on 21st November 2016 confirmed process for offsetting budgets and development of the Hertfordshire Apprenticeship Programme (HAP) and the Hertfordshire Apprenticeship Alliance (HAA). Apprenticeship Levy Project implementing activity to meet April 2017 launch. Reviewed On :23/12/2016</p>	<p>22/12/2016 Significant 12</p> <p>Probability Possible 3</p> <p>Impact Medium 4</p>	<p>↔</p>	<p>Significant 12</p> <p>Probability Possible 3</p> <p>Impact Medium 4</p>	<p>Material 8</p> <p>Probability Unlikely 2</p> <p>Impact Medium 4</p>
Controls:	Ref	Control Description	Status	Owner		
	<u>HR0023/001</u>	<u>Development of the Hertfordshire Apprenticeship Levy Project</u>	<u>In Progress</u>	<u>Sally Hopper</u>		
	<u>HR0023/002</u>	<u>Liaison with departments to identify training needs through strategic workforce planning</u>	<u>In Progress</u>	<u>Sally Hopper</u>		
	<u>HR0023/003</u>	<u>Procure training funded through the Apprenticeship Levy</u>	<u>Proposed</u>	<u>Sally Hopper</u>		
	<u>HR0023/004</u>	<u>Work in partnership to develop and maintain the Hertfordshire Apprenticeship Alliance (HAA)</u>	<u>In Progress</u>	<u>Sally Hopper</u>		
	<u>HR0023/005</u>	<u>Develop effective processes to reclaim this tax through the digital account</u>	<u>Proposed</u>	<u>Sally Hopper</u>		