

APPENDIX A - Corporate Risk Register key changes in quarterly movement report for July 2017

Report Date: 05/06/2017

Date filtered on: 19/01/2017



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<p>ENV0148 Created Date: 25/04/2017</p> <p><i>Delivering our Vision</i></p> <p>Current Category: Corporate</p> <p>As a result of political changes and escalating costs there is a risk that the Croxley Rail Link scheme is cancelled, which may result in claims to the Council (liability is capped at £3m), difficulties in re-claiming HCC investment sunk into the scheme and reputational loss. This will also have a significant impact on future growth in the area.</p>	<p>Rob Smith</p> <p>Deputy Director Environment</p>	<p>This risk has been raised as a result of London Underground having informed HCC that it now cannot: -</p> <p>a) deliver the scheme for the agreed funding package</p> <p>b) LUL will not honour their commitment to cover any cost overruns</p> <p>c) that the scheme cannot open by the agreed target date of December 2020</p> <p>Reviewed On :25/04/2017</p>	<p>25/04/2017</p> <p>Severe</p> <p>32</p> <p>Probability Likely 4</p> <p>Impact High 8</p>	<p>↔</p>	<p>Severe</p> <p>32</p> <p>Probability Likely 4</p> <p>Impact High 8</p>	<p>Significant</p> <p>16</p> <p>Probability Unlikely 2</p> <p>Impact High 8</p>
Controls:	Ref	Control Description	Status	Owner		
	<u>ENV0148/001</u>	<u>Briefing senior local and national politicians</u>	<u>In Progress / Taking Effect</u>	<u>Rob Smith</u>		
	<u>ENV0148/002</u>	<u>Lobbying the London Mayor and Government</u>	<u>In Progress / Taking Effect</u>	<u>Rob Smith</u>		
	<u>ENV0148/003</u>	<u>Develop Communications strategy should the scheme be abandoned</u>	<u>In Progress / Taking Effect</u>	<u>Rob Smith</u>		

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<p>HCS0016 Created Date: 23/03/2017</p> <p><i>Opportunity to be Healthy and Safe</i></p> <p>Current Category: Corporate</p> <p>In the event of: - - Increased demand on health and social care services - Financial pressures in the health and social care sector</p> <p>There is a risk of: - Financial uncertainty leading to insufficient budget to meet the future demand for services; That the Better Care Fund (BCF) pooled budget may not be sufficient to meet future demand for services; the likelihood of budget overspend. [supersedes risks HCS0011 & HCS0012]</p>	<p>Iain MacBeath</p> <p>Director Adult Care Services</p>	<p>Since the Integrated Plan was set, HCS has received confirmation of the CCG's funding intentions and has been notified of additional Better Care fund monies from the Chancellor's £2bn funding announcement for social care. Whilst the financial outlook for the department is very challenging, these announcements have given certainty about the budget position for 17/18.</p> <p>Government guidance on the Better Care Fund arrangements for 2017-19 has been received and officers are working to assess the implications of this and develop proposals with the CCGs. Reviewed On :03/05/2017</p>	<p>03/05/2017</p> <p>Severe 32</p> <p>Probability Likely 4</p> <p>Impact Very High 16</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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	<u>HCS0016/001</u>	<u>The approach Hertfordshire have taken in constituting the BCF ensures the stability of finance for many BCF funded services</u>		<u>In Place / Embedded</u>	<u>Keir Mann</u>	
	<u>HCS0016/002</u>	<u>Regular monitoring of metrics through joint governance structures to identify lack of progress and areas for improvement</u>		<u>In Progress / Taking Effect</u>	<u>Keir Mann</u>	
	<u>HCS0016/003</u>	<u>Annual review and agreement of risk sharing and contingency plans with NHS partners</u>		<u>In Progress / Taking Effect</u>	<u>Keir Mann</u>	
	<u>HCS0016/005</u>	<u>Changes to the allocations from the BCF budget from CCG's will mean new agreements will be in place and monitored</u>		<u>In Progress / Taking Effect</u>	<u>Keir Mann</u>	
	<u>HCS0016/006</u>	<u>Reducing spend on acute admissions and other services as a result of BCF projects and other health and social care system change</u>		<u>In Progress / Taking Effect</u>	<u>Keir Mann</u>	
	<u>HCS0016/007</u>	<u>Undertake actions - Better Care fund plan agreed by HWB</u>		<u>In Progress / Taking Effect</u>	<u>Keir Mann</u>	
	<u>HCS0016/009</u>	<u>Section 75 arrangements in place between NHS and HCC</u>		<u>In Progress / Taking Effect</u>	<u>Iain MacBeath</u>	
	<u>HCS0016/010</u>	<u>Review and monitor governance arrangements between CCGs and HCS</u>		<u>In Place / Embedded</u>	<u>Iain MacBeath</u>	
	<u>HCS0016/011</u>	<u>Joint Integrated Planning Process (IPP) with CCGs.</u>		<u>In Progress / Taking Effect</u>	<u>Iain MacBeath</u>	
	<u>HCS0016/013</u>	<u>Agreement that social care will form part of financial bridge incorporated into the Sustainability and Transformation Plan (STP)</u>		<u>In Progress / Taking Effect</u>	<u>Iain MacBeath</u>	
	<u>HCS0016/015</u>	<u>Plans for deploying Hertfordshire's share of the new funding for social care are being monitored</u>		<u>In Progress / Taking Effect</u>	<u>Iain MacBeath</u>	

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<p>HCSOPD0011 Created Date: 23/03/2017</p> <p><i>Opportunity to be Healthy and Safe</i></p> <p>Current Category: Corporate</p> <p>In the event of: -</p> <ul style="list-style-type: none"> - Commercial/contractual failure of care providers - Inability to attract an increased number of care workers <p>There is a risk of being unable to provide sufficient and safe care for clients leading to a person continuing to live in an environment which is inappropriate, delays in discharging from hospital and the authority not fulfilling its statutory responsibility.</p> <p>[supersedes risks HCSOPD0006 & HCSOPD0001]</p>	<p>Iain MacBeath</p> <p>Director Adult Care Services</p>	<p>Risk reviewed by Risk Owner and slightly updated to ensure it is relevant. No other changes.</p> <p>Reviewed On :30/03/2017</p>	<p>23/03/2017</p> <p>Severe 32</p> <p>Probability Likely 4</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>	
	HCSOPD0011/004	<u>New Commissioning Module for all Specialist Care at Home from hospital</u>		<u>Proposed</u>	<u>Iain MacBeath</u>	
	HCSOPD0011/002	<u>Financial authorisation procedures in place and applied constantly</u>		<u>In Place / Embedded</u>	<u>Chris Badger</u>	
	HCSOPD0011/006	<u>Regular contract monitoring of HCS care providers with a risk-based approach</u>		<u>In Place / Embedded</u>	<u>Frances Heathcote</u>	
	HCSOPD0011/007	<u>Use of HCS 'Serious Concerns' procedure to deal with failing care providers</u>		<u>In Place / Embedded</u>	<u>Sue Darker</u>	
	HCSOPD0011/008	<u>Undertake annual credit checks on all care providers as early warning system</u>		<u>In Place / Embedded</u>	<u>Frances Heathcote</u>	
	HCSOPD0011/009	<u>Quarterly performance report to HCS Management Board</u>		<u>In Place / Embedded</u>	<u>Frances Heathcote</u>	
	HCSOPD0011/001	<u>Regular performance monitoring by HCS Management Board and budget managers</u>		<u>In Progress / Taking Effect</u>	<u>Chris Badger</u>	
	HCSOPD0011/003	<u>Intergrated discharge arrangements in place for all major acute hospitals that accept Hertfordshire patients</u>		<u>In Progress / Taking Effect</u>	<u>Iain MacBeath</u>	
	HCSOPD0011/005	<u>Work underway to ensure finance and performance measures are consistent with each other</u>		<u>In Progress / Taking Effect</u>	<u>Iain MacBeath</u>	

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<p>PROP0023 Created Date: 08/05/2017</p> <p><i>Delivering our Vision</i></p> <p>Current Category: Corporate</p> <p>HCC has undertaken a review of how it disposes of its surplus land and property assets to establish how best to optimise capital receipts in a difficult market. As a result of the decision to develop these sites and assets through a new Strategic Joint Venture (SJV) Arrangement, there is a risk that this policy change may slow the delivery of the current £20m per annum receipt value in the current Integrated Plan. (Replaces former risks PROP0020 and PROP0021)</p>	<p>Mark Handford-Jones</p> <p>Assistant Director - Property</p>	<p>This risk has been raised to replace previous risks in respect to market conditions and the proposals regarding a joint venture arrangement and now highlights the agreed strategy to optimise capital receipts in the current market. The effects of Brexit are still unknown and are being monitored. A developer will be appointed through an OJEU procurement by the end of the calendar year to enable the Strategic Joint Venture to be undertaken. Reviewed On :08/05/2017</p>	<p>08/05/2017 Significant 24</p> <p>Probability Possible 3</p> <p>Impact High 8</p>	<p>↔</p>	<p>Significant 24</p> <p>Probability Possible 3</p> <p>Impact High 8</p>	<p>Material 8</p> <p>Probability Unlikely 2</p> <p>Impact Medium 4</p>

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Controls:	<u>Ref</u>	<u>Control Description</u>		<u>Status</u>		<u>Owner</u>
	<u>PROP0023/001</u>	<u>Maintain awareness of market conditions & potential for change for written report and brief Resources & Performance Exec Member</u>		<u>In Place / Embedded</u>		<u>Mark Handford-Jones</u>
	<u>PROP0023/002</u>	<u>Continue to determine the latest market value before taking any asset to sale</u>		<u>In Place / Embedded</u>		<u>Mike Evans</u>
	<u>PROP0023/003</u>	<u>Take advantage of sale opportunities such as unsolicited approaches where possible subject to procurement rules being followed</u>		<u>In Place / Embedded</u>		<u>Mike Evans</u>
	<u>PROP0023/004</u>	<u>Work with Finance & disposal teams to deliver an acceptable capital receipt programme & the receipts from the SJV</u>		<u>In Progress / Taking Effect</u>		<u>Mike Evans</u>
	<u>PROP0023/005</u>	<u>Establish a Property Company to work with a Strategic Joint Venture Partner to ensure agreed delivery pace is being achieved.</u>		<u>In Progress / Taking Effect</u>		<u>Mike Evans</u>
	<u>PROP0023/006</u>	<u>Identify an appropriate developer and establish joint venture arrangements</u>		<u>In Progress / Taking Effect</u>		<u>Mike Evans</u>
	<u>PROP0023/007</u>	<u>Identify pipeline surplus sites/assets and develop these to maximise the potential capital receipt.</u>		<u>In Progress / Taking Effect</u>		<u>Mike Evans</u>

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PROP0018 <i>Opportunity to be Healthy and Safe</i> Current Category: Corporate 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.	Mark Handford-Jones Assistant Director - Property	The Risk Owner has reduced the risk score due to the effectiveness of the processes and controls which are now in place / embedded. In addition the target score has been reviewed and amended. Reviewed On :08/05/2017	08/05/2017 Significant 12 Probability Possible 3 Impact Medium 4		Material 8 Probability Unlikely 2 Impact Medium 4	Material 8 Probability Unlikely 2 Impact Medium 4
Controls:	<u>Ref</u>	<u>Control Description</u>	<u>Status</u>	<u>Owner</u>		
	PROP0018/001	Processes to identify land to which this risk applies have been identified and are in use	In Place / Embedded	Mark Handford-Jones		
	PROP0018/002	Agreement to be reached on what management regimes can be implemented/alternative solutions deployed to resolve potential issues	In Place / Embedded	Mark Handford-Jones		
	PROP0018/003	Follow Out of Use land and property management processes to ensure it is managed appropriately.	In Place / Embedded	Mike Evans		

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Report Selection Criteria

and Status Flag=ACTIVE - Ref in (ENV0148,HCS0016,HCSOPD0011,PROP0023,PROP0018)