

Report of the Director of Resources

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1. Purpose of Report

- 1.1. This report is a regular item on Risk Management activity over the last quarter. The Audit Committee's Terms of Reference state it is to "advise the Executive on relevant audit matters, including: (a) the risk management system and risk related issues".

2. Summary

- 2.1. The following items are included in this report:

- A summary of Corporate risk movements
- A summary of new risks
- A heat map of the 32 Corporate Risks. This also displays amendments since the July Audit Committee meeting
- A linked icon to the full Corporate Risk Register.

- 2.2. Corporate risk appendices accompanying this report:

- A risk movement report at Appendix A details those risks with assessments that have changed in the last quarter.
- A risk status report at Appendix B summarises the latest risk scores and those reported at each of the previous 3 Audit Committee meetings.

3. Recommendations

- i. That the Risk Management Update report be noted.
- ii. That the Committee identify a risk (or risks) to be the subject of a risk focus report to be presented at the next meeting of the Committee in December 2017.

4. Corporate Risk Register

- 4.1. The latest review of the Corporate Risk Register took place during July 2017. Please see Section 7 for an icon that links to a copy of the full Corporate Risk Register.

The table below shows the risk movements broken down by risk classification. The movements detailed are those that have occurred since the previous report that was presented to the Committee in July 2017.

	Change in assessment from previous quarter
Red	11 (-1)
Amber	20 (+1)
Yellow	1 (-1)
Green	
Total	32
Difference +/-	-1

- 4.2. There are now 32 Risks on the Corporate Risk Register, one less than previously reported. The variations and changes to risk categories are indications of the continued active management and scrutiny of risks and controls. These movements also include newly identified risks which is a further indication of the continued activity around identifying future areas of risk and uncertainty.

5. Actions from Audit Committee meeting of 7 July 2017

- 5.1. In discussions regarding the new risk R20 (ref. PROP0023) associated with the Strategic Joint Venture (SJV) and the development of PropCo, Members commented that, as work on PropCo developed, there were potential reputational risks associated with the project. Officers agreed that as the project progresses they would bring further information on the risks to the Committee.
- 5.2. During discussion of R15 (Ref PROP0018): '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'; officers commented that the risk had dropped as the collective view was that sufficient control measures were in place. However, in the light of the recent incidents discussed at both this Committee meeting and subsequently at the Policy & Resources Officer Group of 27 July, the risk owner has agreed that the likelihood should be increased back to "possible".
- 5.3. Members reflected that the Corporate Risk Register showed few risks relating to activities in Children's Services where they believed the risk profile would be high and that Adult Services risk issues could be reflected back into Children's Services. Children's Services Board are reviewing their risks (at Corporate and Service levels) in the light of the further changes to the ACS risks and to ensure

that all significant threats have been identified and are being managed appropriately.

6. Heat-map of Corporate Risk Register

This provides an overview and summary of the risk landscape for the organisation currently and an opportunity for Audit Committee to consider risks across the Authority. It also shows the key changes from the position reported to the July 2017 Audit Committee.

Heat Map (Matrix) of Corporate Risks (32 risks) at 7 August 2017

Probability	Almost Certain			E01	AC01 ↑	
	Likely			R08	AC04 AC08 AC09* E02 E05	R01 R02 R12
	Possible			R15 ↑ R18 R19 ↓	CS02 CP02 CP03 R05	R07 R13 ↑ R17 R21
	Unlikely				CP06 E04 R09	AC03 CS01
	Rare				E03	CP04 CP05 PH01
		Negligible	Low	Medium	High	Very High
Impact						

Note - * AC09 has been withdrawn. This risk is covered by the re-worded existing risk AC03.

Each corporate risk has been allocated a simple risk number prefixed by appropriate letters to denote the Department owning the risk.

- AC = Adult Care Services (previously HC - Health and Community Services)
- CS = Children's Services
- CP = Community Protection
- E = Environment
- PH = Public Health
- R = Resources

6.1. Corporate Risk Register – brief risk descriptions

The following are brief descriptions for the risks in the matrix together with dates when risk focus reports were considered, or are to be considered:

No. and Score	Brief Risk Description	Risk Owner	Risk Ref	Date of Risk Focus Report
CP01 48	Unplanned incidents	Ian Parkhouse Assistant Chief Fire Officer - Response and Resilience	HFRS0007	22/11/2012 23/03/2016
AC01 40 ↑	Homecare workforce - Care Act 2014 non- compliance	Frances Heathcote Assistant Director, Adult Care Commissioning	HCS0010	23/09/2016
CS01 32	A child or young person could die	Jenny Coles Director of Children's Services	CSF0055	30/06/2011 27/03/2014
E02 32	Residual Waste Treatment Programme	Simon Aries Assistant Director - Transport, Waste & Environmental Management	ENV0104	
E05 32	Croxley Rail Link cancellation	Rob Smith Deputy Director Environment	ENV0148	
AC08 32	Insufficient budget for adult care, Better Care Fund	Helen Maneuf ACS Assistant Director, Planning & Resources	HCS0016	
AC03 32	Failure of care providers - Inadequate care	Frances Heathcote Assistant Director, Adult Care Commissioning	HCSCP0001	29/09/2011
AC04 32	DOLS - Deprivation of Liberty Safeguards	Sue Darker Operations Director, Learning Disabilities and Mental Health	HCSMH0002	16/09/2014
AC09 32 withdrawn	Failure of care providers (adults), insufficient care workers	Iain MacBeath Director of Health and Community Services	HCSOPD0011	

No. and Score	Brief Risk Description	Risk Owner	Risk Ref	Date of Risk Focus Report
R01 32	Failure to retain, attract and recruit the right people and right skills	Sally Hopper Assistant Director, Human Resources	HR0021	21/11/2013
R02 32	Insufficient money to support infrastructure needs derived from new housing developments etc. (CIL/S106)	Mark Handford-Jones Assistant Director - Property	PROP0022	20/11/2014 01/03/2017
R12 32	Cyber-attack on HCC's ICT	Dave Mansfield Head of Technology	TEC0004	07/07/2017
CP02 24	Radicalisation - Prevent	Guy Pratt Deputy Director of Community Protection	CP0004	11/09/2017
CP03 24	Extreme Weather	Ian Parkhouse Assistant Chief Fire Officer - Response and Resilience	CPRES0009	
CS02 24	School's expansion programme costs	Simon Newland Assistant Director (Education Provision & Access)	CSF0070	25/11/2015
R17 24	Failure to develop sufficient timely proposals to deal with the ongoing reductions in funding/resources and subsequent impact on services/reserves.	Steven Pilsworth Assistant Director Finance	CSHF0016	
R07 24	Failure to train employees to required standards	Sally Hopper Assistant Director, Human Resources	HR0018	
R13 24 ↑	Loss/inappropriate acquisition/disclosure of sensitive personal or commercial data	Stuart Bannerman Campbell Assistant Director - Improvement and Technology	IMP0001	

No. and Score	Brief Risk Description	Risk Owner	Risk Ref	Date of Risk Focus Report
R05 24	Insufficient skills in commissioning / contract management and competencies	Stuart Bannerman Campbell Assistant Director - Improvement and Technology	IMP0002	
R21 24	Capital receipts, asset disposals and strategic joint venture arrangements	Mark Handford-Jones Assistant Director - Property	PROP0023	
E01 20	Tree Health	Simon Aries Assistant Director - Transport, Waste & Environmental Management	ENV0142	30/11/2016
R08 16	The Council experiences significant fraud	Terry Barnett Head of Assurance	AUDIT0001	20/06/2012
CP04 16	Failure of Local Resilience Forum - LRF - inadequate inter agency plans	Ian Parkhouse Assistant Chief Fire Officer - Response and Resilience	CPRES0001	24/11/2011 23/09/2015
CP05 16	HCC business continuity plans - BCP	Ian Parkhouse Assistant Chief Fire Officer - Response and Resilience	CPRES0002	24/11/2011 23/09/2015
R03 16	HCC's pension fund level may not improve sufficiently to cover accrued pension costs	Steven Pilsworth Assistant Director Finance	CSHF0002	
E04 16	Road maintenance investment	Rob Smith Deputy Director Environment	ENV0033	
CP06 16	HFRS meeting national training requirements	Chris Bigland Deputy Chief Fire Officer	HFRS0004	
R09 16	Failure to comply with Safe Staffing legislation	Sally Hopper Assistant Director, Human Resources	HR0022	
PH01 16	Health Protection emergency	Joel Bonnet Deputy Director of Public Health	PHD0014	21/06/2016
R19 12 ↓	Misuse of social media	Andrew Hadfield Head of	COMS0002	

No. and Score	Brief Risk Description	Risk Owner	Risk Ref	Date of Risk Focus Report
		Communications		
R18 12	Risk of not offsetting the Apprenticeship Levy	Sally Hopper Assistant Director, Human Resources	HR0023	
R15 12	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	Mark Handford-Jones Assistant Director - Property	PROP0018	
E03 8	Condition of our roads	Rob Smith Deputy Director Environment	ENV0030	20/09/2013

7. Full Corporate Risk Register – Movement report

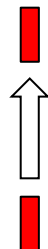
7.1. The full register is embedded here.



Corporate Risk
Register for Septemb

8. Key movements and new risks since July 2017 Audit Committee

8.1. Risk AC01 (Ref. HCS0010, Appendix A, Page 11) – “If there is a continuing inability to attract the required number of Homecare work force in line with the Adult Care Services Workforce Strategy, there is an increasing risk of non compliance and a reduction in the ability to provide safe and appropriate care in users own homes which may lead to impacts on their health and wellbeing.”



The risk has been reviewed at ACS Board and subsequently reviewed and revised by the risk owner, amending the wording to focus on the Homecare workforce. In the light of this focus and the current inability to attract the required workforce, the probability has been raised to ‘almost certain’ and the risk score overall increased.

The current risk score increased from red 32 (severe) to red 40 (severe).

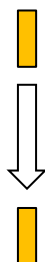
- 8.2. Risk R13 (Ref. IMP0001, Appendix A, Page 13) – “There is a risk
- of the loss/inappropriate acquisition/disclosure of sensitive personal or commercial data contrary to the requirements of the new General Data Protection Regulation (GDPR) which comes into force from 25 May 2018
- that we may breach the rights of data subjects; which could lead to harm to clients, impact on Hertfordshire County Council’s reputation, incur legal action and have severe financial consequences (despite applying best practice there is always the possibility of human error). “



The wording of this risk has been revised to reflect the challenging new requirements of the General Data Protection Regulation (GDPR) which comes into effect from 25 May 2018. It is more extensive in scope and application than the current Data Protection Act (DPA), and the Regulation extends the data rights of individuals particularly where we require their consent, rather than to meet our legal obligations or in the exercise of official authority, and requires organisations to develop open and transparent data processing policies and procedures, as well as adopt appropriate technical and organisational measures to protect personal data. Fines for non-compliance are in ranges to 10 million Euros or 20 million Euros. A number of measures are being put in place to comply with the GDPR requirements and the Strategic Management Board considered aspects of this and further action to be taken at their 30 May meeting.

As a result the current risk score has been increased from amber 12 (significant) to amber 24 (significant).

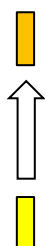
- 8.3. Risk R19 (Ref. COMS0002, Appendix A, Page 15) – “As a result of the increased number of Hertfordshire County Council staff and Members directly communicating with the public through social media, there is a risk that the organisation's reputation could be damaged through an inappropriate communication”



Further work has been undertaken to increase awareness. Positive feedback has been received from internal audit following checks on how well social media protocols are embedded across the Council. As a result of this, the risk owner has decided the risk score can be reduced. Training and awareness-raising continues and the Chief Executive has asked Corporate Communications to now audit all social media accounts.

The current risk score has reduced from amber 24 (significant) to amber 12 (significant).

- 8.4. R15 (Ref. PROP0018, Appendix A, Page 16) – “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 a Health & Safety incident to persons or property which could give rise to a Health & Safety Executive action and a liability claim.”



Following recent incidents reported at Hertfordshire County Council sites discussed at Audit Committee of 7 July and Policy & Resources Officer Group

of 27 July, the risk owner has agreed that the score should now increase back to its previous score of amber 12. Security is in place at sites and a proportionate management approach is taken, however, the recent events demonstrate that Health and Safety incidents are possible.

9. Withdrawn risks since July 2017 Audit Committee

- 9.1. Risk AC09 (Ref. HCSOPD0011) – “In the event of
- Commercial/contractual failure of care providers;
 - Inability to attract an increased number of care workers,
- 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. “

This risk has been withdrawn following the review of all Corporate Risks by ACS Board June/July. The current risk score was red 32 (severe).

The re-worded and refocused risk AC03 / ref. HCSCP0001 now covers failure of care providers.

10. Risks under development

- 10.1. Meetings of the Community Safety and Waste Management Cabinet Panel on 13 July and Cabinet on 18 July considered the Police and Crime Commissioner’s (PCC) business case for, and Hertfordshire County Council analysis and response to, the potential transfer of the Hertfordshire Fire & Rescue Service to the PCC. This matter is now with the Secretary of State and Officers are developing an appropriate corporate risk through revision and escalation of the existing Community Protection service level risk. This will be reported to a future meeting of this Committee.

11. Next Steps

- 11.1. Challenges and recommendations from Audit Committee will be considered by the relevant risk owners/Services. Action taken as a result will update the corporate risk register and be reported to the appropriate cycle of risk review meetings.

Risk Matrix – The following chart shows where, and what category/colour the risk will fall in dependent on the scores. Red being the most severe and green being the least.

The scores within the chart are multiples of the likelihood and impact, e.g. (*Likelihood of*) 4 x (*Impact of*) 8 = (*Risk Score of*) 32

Assessing Impacts

Impact Score	Impact Title	Example description
1	Negligible	Annoyance but does not disrupt service: Minor injury to an individual; Financial loss under £50k; Isolated service user complaints contained within unit/section; Litigation claim or fine less than £50k; Failure to achieve a core team plan objective
2	Low	Minor impact on service; Minor injuries to several people; Financial losses between £50k-100k; Isolated service user complaints contained within department; Litigation claim or fine between £50k -100k; Failure to achieve several team plan objectives including a core objective
4	Medium	Service disruption; Major injury to an individual; Financial losses between £100k-1 Million; Adverse local media coverage. Lots of service user complaints; Litigation claims or fine between £100k - £1Million; Failure to achieve one or more strategic plan objective
8	High	Significant service disruption; major/disabling injury to employee, service user or other stakeholder; financial losses between £1Million-£5Million; adverse national media coverage; litigation claim or fine between £1Million-£5Million; Failure to achieve one or more strategic objective
16	Very High	Total service loss for a significant period; fatality to employee, service user or other stakeholder; financial loss in excess of £5 Million; National publicity more than 3 days. Possible resignation of leading member or chief officer; Multiple civil or criminal suits. Litigation claim or fine above £5 Million; Failure to achieve a major corporate objective in the Corporate Plan

Severe	The Board feels most concerned about carrying this risk. The consequences will have a severe impact on the delivery of a key priority and comprehensive management action is required immediately.
Significant	The Board feels concerned about carrying this risk. The consequences of the risk materialising would be significant, but not severe. Some immediate action is required plus the development of an appropriate action plan.
Material	The Board is uneasy about carrying this risk. Consequences of the risk are not significant and can be managed through contingency plans. Action plans can be developed later to address the risk.
Manageable	The Board is content to carry this risk. Consequences of the risk are considered relatively unimportant. The status of the risk should be reviewed periodically.

Impacts

Assessing Likelihood

Scale	Description	Likelihood of Occurrence
1	Rare	<ul style="list-style-type: none"> Extremely unlikely or virtually impossible Less than 5% chance of happening Unlikely to occur in a 50 year period
2	Unlikely	<ul style="list-style-type: none"> Could occur at some point 6% to 20% chance of happening Unlikely to occur within a 10 year period
3	Possible	<ul style="list-style-type: none"> Fairly likely to occur 21% to 50% chance of happening Likely to occur once within a 10 year period
4	Likely	<ul style="list-style-type: none"> Will probably occur in most circumstances 51% to 80% chance of happening Likely to occur once within a one year period
5	Almost certain	<ul style="list-style-type: none"> Expected to occur in most circumstances More than 80% chance of happening Likely to occur within 3 months

Likelihood

	Negligible (1)	Low (2)	Medium (4)	High (8)	Very High (16)
Almost certain (5)	5	10	20	40	80
Likely (4)	4	8	16	32	64
Possible (3)	3	6	12	24	48
Unlikely (2)	2	4	8	16	32
Rare (1)	1	2	4	8	16

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

Report Date: 07/08/2017

Date filtered on: 06/06/2017

Notes: References highlighted **Purple** have been added since the 06/06/2017.

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
AC01 / HCS0010 <i>Opportunity to be Healthy and Safe</i> Current Category: Corporate If there is a continuing inability to attract the required number of Homecare work force in line with the Adult Care Services Workforce Strategy, there is an increasing risk of non compliance and a reduction in the ability to provide safe and appropriate care in users own homes which may lead to impacts on their health and wellbeing.	Frances Heathcote Assistant Director, Adult Care Commissioning	Risk reviewed at ACS Management Board and subsequently revised by new owner 5th July. The wording has been amended to focus on the Homecare Workforce. In the light of the new focus of the risk and the current inability to attract the required workforce, the risk owner has increased the probability of the risk. The score overall has therefore increased. Reviewed On :11/07/2017	11/07/2017 Severe 32 Probability Likely 4 Impact High 8		Severe 40 Probability Almost Certain Impact High 8	Material 8 Probability Unlikely 2 Impact Medium 4

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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
Controls:	<u>Ref</u>	<u>Control Description</u>		<u>Status</u>	<u>Owner</u>	
	HCS0010/007	Contingency plan in place for closure of care providers under Prevention of Providers Failure policy		In Place / Embedded	Frances Heathcote	
	HCS0010/008	All Lead Providers of Home Care are now required to have a recruitment and retention strategy		In Place / Embedded	Frances Heathcote	
	HCS0010/009	Ensure sustainable pay rates for care sector providers are within budget parameters and being reviewed on an annual basis		In Place / Embedded	Frances Heathcote	
	HCS0010/001	Workforce Strategy being reviewed for 2018/19, project group in place including Hertfordshire Care Providers Association (HCPA)		In Progress / Taking Effect	Frances Heathcote	
	<u>HCS0010/010</u>	<u>Evaluating impact of 2018/19 increase in pay to be completed by September 2017</u>		In Progress / Taking Effect	<u>Frances Heathcote</u>	

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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
R13 / IMP0001 <i>Delivering our Vision</i> Current Category: Corporate <p>There is a risk - of the loss/inappropriate acquisition/disclosure of sensitive personal or commercial data contrary to the requirements of the new General Data Protection Regulation (GDPR) which comes into force from 25 May 2018 - that we may breach the rights of data subjects; which could lead to harm to clients, impact on Hertfordshire County Council's reputation, incur legal action and have severe financial consequences (despite applying best practice there is always the possibility of human error). [Formerly CSCE0013]</p>	<p>Stuart Bannerman Campbell</p> <p>Assistant Director Improvement and Technology</p>	<p>The wording of this risk has been revised to reflect the challenging new requirements of the General Data Protection Regulation (GDPR) which comes into effect from 25 May 2018. It is more extensive in scope and application than the current Data Protection Act (DPA), and the Regulation extends the data rights of individuals particularly where we require their consent, rather than to meet our legal obligations or in the exercise of official authority, and requires organisations to develop open and transparent data processing policies and procedures, as well as adopt appropriate technical and organisational measures to protect personal data. Fines for non-compliance are in ranges to 10 million Euros or 20 million Euros. As a result the current risk score has been increased from Amber 12 to Amber 24. A number of measures are being put in place to comply with the GDPR requirements and the</p>	<p>27/06/2017 Significant 12</p> <p>Probability Possible 3</p> <p>Impact Medium 4</p>		<p>Significant 24</p> <p>Probability Possible 3</p> <p>Impact High 8</p>	<p>Significant 16</p> <p>Probability Unlikely 2</p> <p>Impact High 8</p>

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Risk Ref Risk Description Corporate Priority Category	Risk Owner	Progress Update	Previous Risk Score	Movement Direction	Current Risk Score	Target Risk Score
		Strategic Management Board considered aspects of this and further action to be taken at their 30th May meeting. All existing controls continue to be effective. Reviewed On :27/06/2017				
Controls:	<u>Ref</u>	<u>Control Description</u>		<u>Status</u>	<u>Owner</u>	
	IMP0001/001	Policy framework is regularly reviewed and staff made aware of responsibilities		In Place / Embedded	Martin Aust	
	IMP0001/003	Mandatory data protection training in place for all staff at induction and monitored.		In Place / Embedded	Elaine Dunncliffe	
	IMP0001/004	Ensure HCC is linked into the Government's secure network to enable secure data exchange with central government services		In Place / Embedded	David Mansfield	
	IMP0001/021	A common data sharing framework is in place and respective agreements reviewed and updated on a regular basis		In Place / Embedded	Elaine Dunncliffe	
	IMP0001/005	Research and implement additional security features to protect HCC's electronic data		In Progress / Taking Effect	David Mansfield	
	IMP0001/016	Regular additional targeted training delivered to staff groups that handle sensitive personal data		In Progress / Taking Effect	Elaine Dunncliffe	
	IMP0001/023	Programme in place to address issues where poor data quality/info handling has been identified as the cause of data breaches		In Progress / Taking Effect	Elaine Dunncliffe	
	IMP0001/027	Implement a new and improved network printing service across the organisation		In Progress / Taking Effect	Roger Barrett	
	<u>IMP0001/028</u>	<u>Implement the HCC General Data Protection Regulation Action Plan</u>		<u>In Progress / Taking Effect</u>	<u>Elaine Dunncliffe</u>	

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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
R19 / COMS0002 <i>Delivering our Vision</i> Current Category: Corporate As a result of the increased number of Hertfordshire County Council 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 ENV0096]	Andrew Hadfield Head of Communications	Further work has been undertaken to increase awareness. Positive feedback has been received from internal audit following checks on how well social media protocols are embedded across the Council. As a result of this, the risk owner has decided the risk score can be reduced. Training and awareness raising continues and the Chief Executive has asked Communications to now audit all social media accounts. Reviewed On: 19/06/2017	19/06/2017 Significant 24 Probability Possible 3 Impact High 8		Significant 12 Probability Possible 3 Impact Medium 4	Significant 12 Probability Possible 3 Impact Medium 4
Controls:	Ref		Control Description		Status	Owner
	COMS0002/001	Social Media Policy		In Place / Embedded		Andrew Hadfield
	COMS0002/002	Social media training sessions		In Progress / Taking Effect		Andrew Hadfield
	COMS0002/003	Best practice guidance		In Place / Embedded		Andrew Hadfield

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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
R15 / 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	Following recent incidents reported at HCC sites discussed at Audit Committee of 7 July and Policy & Resources Officer Group of 27 July, the risk owner has agreed that the score should now increase back to amber 12, the score it had been previously. Security is in place at sites and a proportionate management approach is taken, however, these events demonstrate that Health and Safety incidents are possible. Reviewed On: 01/08/2017	01/08/2017 Material 8 Probability Unlikely 2 Impact Medium 4		Significant 12 Probability Possible 3 Impact Medium 4	Material 8 Probability Unlikely 2 Impact Medium 4
Controls:	Ref		Control Description		Status	Owner
	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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Appendix B – Corporate Risk Register summary risk status report

Risk Ref	Business Unit	Details	Current Risk Rating				Target
			11/16	02/17	06/17	08/17	Score
CP01 / HFRS0007	Community Protection Hertfordshire Fire & Rescue	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.	48	48	48	48	32
AC01 / HCS0010	Adult Care Services	If there is a continuing inability to attract the required number of Homecare work force in line with the Adult Care Services Workforce Strategy, there is an increasing risk of non compliance and a reduction in the ability to provide safe and appropriate care in users own homes which may lead to impacts on their health and wellbeing.	32	32	32	40	8
CS01 / CSF0055	Children's Services	In the event of inappropriate care or attention there is a risk that a child or young person could die or become seriously injured.	32	32	32	32	32
E02 / FNV0104	Environment	In the event of the Residual Waste Treatment Programme being impacted by one of the following scenarios: - The ERF at Rye House does not proceed or is delayed - Unable to secure suitable alternatives for waste disposal should the contract with VES be terminated. It may result in: - Increased costs to HCC	32	32	32	32	8
E05 / ENV0148	Environment	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.	n/i	n/i	32	32	16
AC08 / HCS0016	Adult Care Services	In the event of significant unforeseen demand on health and social care services and a risk of budget overspend and ongoing uncertainty about how these will be addressed nationally, there is a risk of insufficient budget to meet future demands of services. [supersedes risks HCS0011 & HCS0012]	n/i	n/i	32	32	16
AC03 / HCSCP0001	Adult Care Services Commissioning For People	In the event of a Hertfordshire Care Provider becoming inadequate or failing, there is a risk that this may result in poor care to clients or a safeguarding issue.	32	32	32	32	32
AC04 / HCSMH0002	Adult Care Services Mental Health	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.	32	32	32	32	8

Risk Ref	Business Unit	Details	Current Risk Rating				Target
			11/16	02/17	06/17	08/17	Score
R01 / HR0021	Resources Human Resources	If we fail to retain, attract and recruit the right people (managers, officers and volunteers) and right skills and maintain engagement at all levels, there may be a significant impact on service delivery and major cost implications. [Formerly CSCE0007]	32	32	32	32	16
R02 / PROP0022	Resources Property	As a result of the restrictions introduced in 2015 on the use of S106 for the pooling of developer contributions towards new infrastructure together with the introduction of the Community Infrastructure Levy (CIL), there is a risk that the uptake of CIL, which is the Government's preferred method for pooling contributions, remains slow, and due to the limited influence HCC can bring to bear over the districts on the spending priorities of CIL revenue as a non CIL charging Authority, this may result in there being insufficient money to support infrastructure needs derived from new housing. [Formerly CSCE0023]	32	32	32	32	12
R12 / TEC0004	Resources Technology	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	16	32	32	32	16
CP02 / CP0004	Community Protection	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.	24	24	24	24	16
CP03 / CPRES0009	Community Protection Resilience	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, user access to service provision and to the reputation of the Council.	24	24	24	24	12
CS02 / CSF0070	Children's Services	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.	24	24	24	24	16
R17 / CSHF0016	Resources Finance	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.	n/i	24	24	24	16
R07 / HR0018	Resources Human Resources	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	24	24	24	24	16

Risk Ref	Business Unit	Details	Current Risk Rating				Target
			11/16	02/17	06/17	08/17	Score
R13 / IMP0001	Resources Improvement And Technology	There is a risk - of the loss/inappropriate acquisition/disclosure of sensitive personal or commercial data contrary to the requirements of the new General Data Protection Regulation (GDPR) which comes into force from 25 May 2018 - that we may breach the rights of data subjects; which could lead to harm to clients, impact on HCC's reputation, incur legal action and have severe financial consequences (despite applying best practice there is always the possibility of human error). [Formerly CSCE0013]	12	12	12	24	16
R05 / IMP0002	Resources Improvement And Technology	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. [Formerly CSCE0019]	24	24	24	24	8
R21 / PROP0023	Resources Property	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)	n/i	n/i	24	24	8
E01 / ENV0142	Environment	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.	40	20	20	20	20
R08 / AUDIT0001	Resources Audit (SIAS)	There is a risk that the Council experiences significant fraud	16	16	16	16	16
CP04 / CPRES0001	Community Protection Resilience	In the event of a failure of the Local Resilience forum (LRF) 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)	16	16	16	16	16
CP05 / CPRES0002	Community Protection Resilience	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)	16	16	16	16	16

Risk Ref	Business Unit	Details	Current Risk Rating				Target
			11/16	02/17	06/17	08/17	Score
R03 / CSHF0002	Resources Finance	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	32	16	16	16	16
E04 / ENV0033	Environment	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.	16	16	16	16	8
CP06 / HFRS0004	Community Protection Hertfordshire Fire & Rescue	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.	16	16	16	16	16
R09 / HR0022	Resources Human Resources	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) [Formerly CSCE0009]	16	16	16	16	16
PH01 / PHD0014	Public Health	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	16	16	16	16	16
R19 / COMS0002	Resources Communications	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 ENV0096]	12	24	24	12	12
R18 / HR0023	Resources Human Resources	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.	n/i	12	12	12	8
R15 / PROP0018	Resources Property	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.	12	12	8	12	8
E03 / ENV0030	Environment	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.	8	8	8	8	8
		32	636	664	748	760	480