

RISK MANAGEMENT QUARTERLY UPDATE

Report of the Head of Assurance

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1. Purpose of Report

- 1.1. This report is a regular item on Risk Management activity since the last meeting. 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:

- The current Corporate Risk Register position
- Details of key risk movements since the last report to Audit Committee
- The latest position on risks considered key due to the proximity of likely events and/or that have been receiving considerable public attention recently.

- 2.2. Corporate risk appendices accompany this report:

- A risk movement report at Appendix A details the risks with changes since the last report to Audit Committee.
- A risk movement report at Appendix B details the most up to date position of those risks considered key at the moment due to the proximity of likely events and the associated media and public interest recently.
- A risk status report at Appendix C summarises the latest risk scores and the risk scores at each of the last 3 Audit Committee meetings.
- The organisational risk matrix is included in Annex A to this paper.

3. Recommendations

- That the changes in the Corporate Risks since the last report to the Committee be noted
- That the Risk Management summary report be noted.
- That the Committee identifies a risk (or risks) to be reviewed at its meeting in September 2018.

4. Corporate Risk Register

- 4.1. The latest review of the Corporate Risk Register took place during April 2018. Please see Section 7 for an icon that links to a copy of the full Corporate Risk Register.
- 4.2. The following table summarises the movement changes in risks since the previous report that was presented to the Committee in March 2018. The table below shows the risk movements broken down by risk classification

| | As at March 2018 Audit Committee | Latest position (June -2018) |
|-------------------|--|---------------------------------|
| Red | 13 | 12 (-1) |
| Amber | 20 | 21 (+1) |
| Yellow | 1 | 1 |
| Green | | |
| Total | 34 | 34 |
| Difference +/- | | |

5. Heat maps (matrices) of corporate and strategic risks

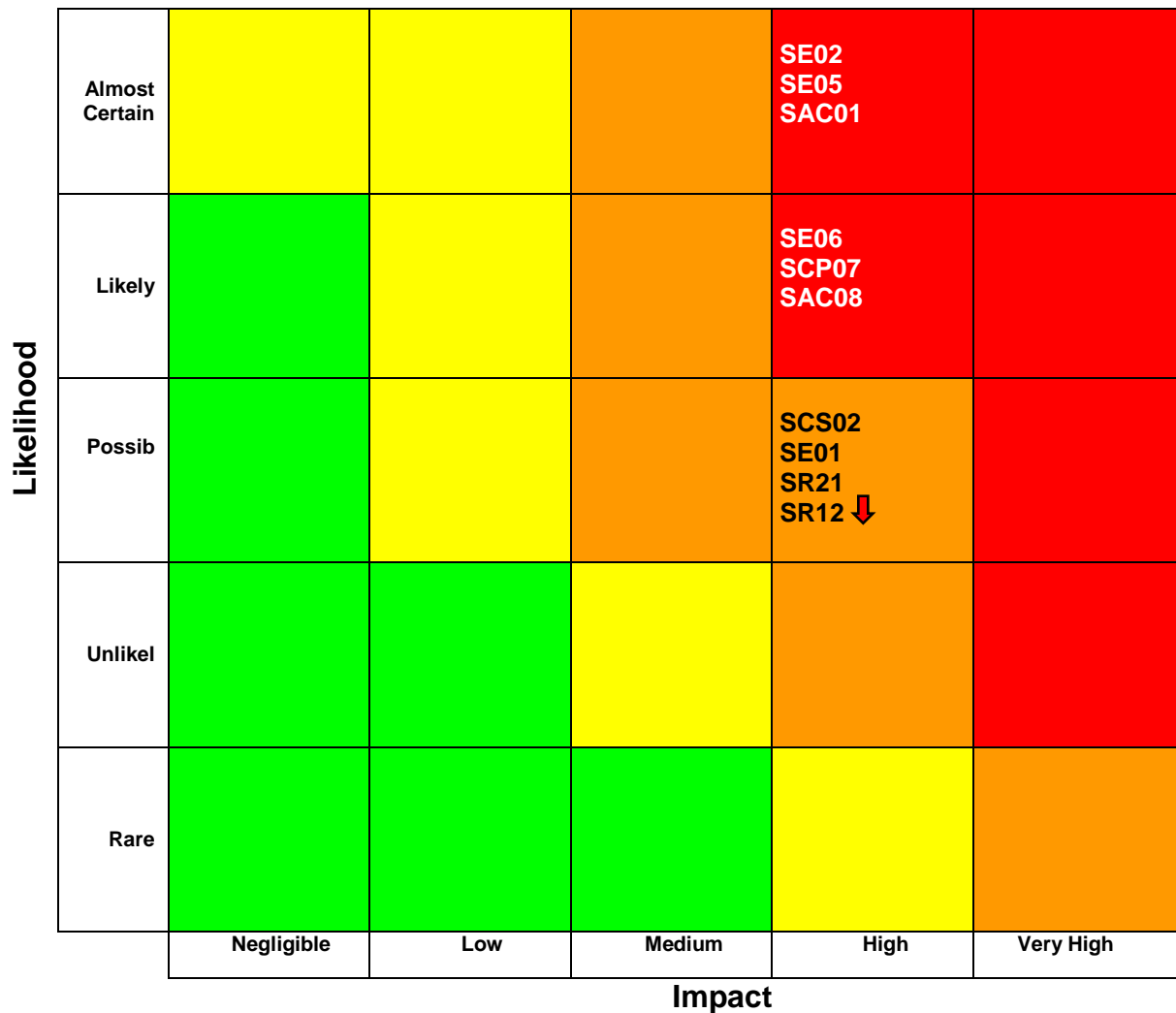
- 5.1. The Corporate Risk Register is comprised of both Strategic and Corporate risks. This categorisation is explained at Annex B to this report. These heat maps provide an overview and summary of the risk landscape for the organisation currently and an opportunity for the Audit Committee to consider risks across Services.

Key changes from the position reported to the March 2018 Audit Committee meeting are shown.

Each corporate risk has been allocated a simple risk number prefixed by appropriate letters to denote the Department owning the risk. In addition a prefix starting with an S denotes a 'Strategic' risk.

| | | | |
|----|------------------------|----|-----------------|
| AC | = Adult Care Services | E | = Environment |
| CS | = Children's Services | PH | = Public Health |
| CP | = Community Protection | R | = Resources |

5.2. Heat map of Strategic Risks (10) – June 2018



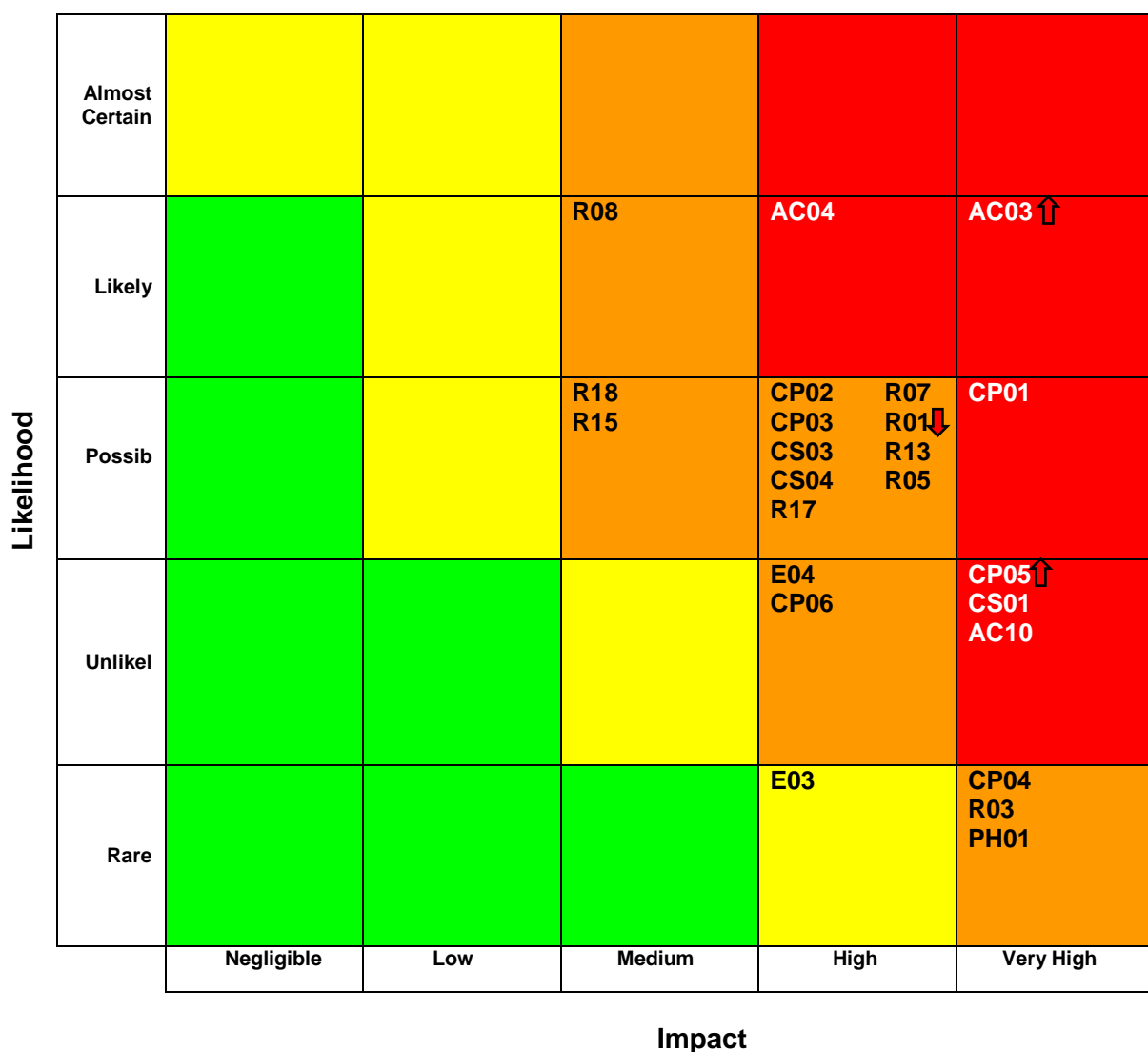
Brief risk descriptions

The following table shows 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 |
|---------------|---|---|-------------------|---------------------------|
| SE02 40 | Residual Waste Treatment Programme | Simon Aries Assistant Director - Transport, Waste & Environmental Management | Strategic ENV0104 | |
| SE05 40 | Croxley Rail Link (MLX) cancellation | Rob Smith Deputy Director Environment | Strategic ENV0148 | |
| SAC01 40 | Homecare workforce - Care Act 2014 non-compliance | Frances Heathcote Assistant Director, Adult Care Commissioning | Strategic HCS0010 | 23/09/2016 01/12/2017 |

| No. and Score | Brief Risk Description | Risk Owner | Risk Ref | Date of Risk Focus Report |
|---------------------------------|--|---|---|---------------------------|
| SCP07 32 | HFRS transfer to PCC | John Wood Chief Executive | Strategic CP0005 | |
| SAC08 32 | Insufficient budget for adult care, Better Care Fund | Helen Maneuf ACS Assistant Director, Planning & Resources | Strategic HCS0016 | |
| SE06 (previously SR02) 32 | Insufficient money to support infrastructure needs derived from new housing developments etc. (CIL/S106) | At April 2018: Trevor Mose Interim Assistant Director – Property As at June 2018, this risk falls under Environment & Infrastructure | Strategic ENV0149 (previously PROP0022) | 20/11/2014 01/03/2017 |
| SCS02 24 | Funding to deliver School's expansion programme and housing demand | Simon Newland Assistant Director (Education Provision & Access) | Strategic CSF0070 | 25/11/2015 |
| SE01 24 | Tree Health | Simon Aries Assistant Director - Transport, Waste & Environmental Management | Strategic ENV0142 | 30/11/2016 |
| SR21 24 | Currently being revised: Establishment of HLL to maximise returns on land and assets | Mike Evans Director – Herts Living Ltd | Strategic PROP0023 | |
| SR12 24 ↓ | Cyber-attack on HCC's ICT | Dave Mansfield Head of Technology | Strategic TEC0004 | 07/07/2017 |












Heat map of Corporate Risks (24) – June 2018




Brief risk descriptions (Corporate risks)

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 |
|---------------|---|---|------------------------|---------------------------|
| AC03 64 ↑ | Failure of care providers - Inadequate care | Frances Heathcote Assistant Director, Adult Care Commissioning | Corporate HCSCP0001 | 29/09/2011 |
| CP01 48 | Unplanned incidents | From June 2018: Gus Cuthbert Assistant Chief Fire Officer | Corporate HFRS0007 | 22/11/2012 23/03/2016 |

| No. and Score | Brief Risk Description | Risk Owner | Risk Ref | Date of Risk Focus Report |
|--|---|---|------------------------|---------------------------|
| CP05 32   | HCC business continuity plans - BCP | From June 2018: Gus Cuthbert Assistant Chief Fire Officer | Corporate CPRES0002 | 24/11/2011 23/09/2015 |
| CS01 32  | Possible death of a child or young person. | Jenny Coles Director of Children's Services | Corporate CSF0055 | 30/06/2011 27/03/2014 |
| AC10 32  | Safeguarding Vulnerable Adults | Sue Darker Operations Director, Learning Disabilities and Mental Health | Corporate HCSLD0005 | |
| AC04 32  | DOLS - Deprivation of Liberty Safeguards | Sue Darker Operations Director, Learning Disabilities and Mental Health | Corporate HCSMH0002 | 16/09/2014 |
| CP02 24  | Radicalisation - Prevent | Guy Pratt Deputy Director of Community Protection | Corporate CP0004 | 11/09/2017 |
| CP03 24  | Extreme Weather | From June 2018: Gus Cuthbert Assistant Chief Fire Officer | Corporate CPRES0009 | |
| CS03 24  | Partnership funding for Children's Services | Jenny Coles Director of Children's Services | Corporate CSF0082 | |
| CS04 24  | Welfare, reform and immigration arrangements | Sue Williams Director of Family Safeguarding | Corporate CSF0083 | |
| 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 | Corporate CSHF0016 | |
| R07 24  | Failure to educate / train employees | Sally Hopper Assistant Director, Human Resources | Corporate HR0018 | |

| No. and Score | Brief Risk Description | Risk Owner | Risk Ref | Date of Risk Focus Report |
|---|--|--|------------------------|---------------------------|
| R01 24  | Failure to retain, attract and recruit the right people and right skills | Sally Hopper Assistant Director, Human Resources | Corporate HR0021 | 21/11/2013 26/03/2018 |
| R13 24 | Loss/inappropriate acquisition/disclosure of sensitive personal or commercial data | Anna Morrison Assistant Director - Improvement and Technology | Corporate IMP0001 | |
| R05 24 | Insufficient skills in commissioning / contract management and competencies | Steven Pilsworth Assistant Director Finance | Corporate SP0005 | 18/07/2018 |
| R08 16 | The Council experiences significant fraud | Terry Barnett Head of Assurance | Corporate AUDIT0001 | 20/06/2012 |
| CP04 16 | Failure of Local Resilience Forum - LRF - inadequate inter agency plans | From June 2018: Gus Cuthbert Assistant Chief Fire Officer | Corporate CPRES0001 | 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 | Corporate CSHF0002 | |
| E04 16 | Road maintenance investment | Rob Smith Deputy Director Environment | Corporate ENV0033 | |
| CP06 16 | HFRS meeting national training requirements | Steve Tant Assistant Chief Fire Officer | Corporate HFRS0004 | |
| PH01 16 | Health Protection emergency | Joel Bonnet Deputy Director of Public Health | Corporate PHD0014 | 21/06/2016 |
| R18 12 | Risk of not offsetting the Apprenticeship Levy | Sally Hopper Assistant Director, Human Resources | Corporate HR0023 | |
| R15 12 | Land owned by the Council and no longer required for the purpose for which it was bought may | Mike Evans Head of Estate and Asset Management | Corporate PROP0018 | |

| No. and Score | Brief Risk Description | Risk Owner | Risk Ref | Date of Risk Focus Report |
|---------------|---|---|----------------------|---------------------------|
| | not have an active management regime in place | | | |
| E03 8 | Failure of road inspection procedures impacting on the condition of our roads | Rob Smith Deputy Director Environment | Corporate ENV0030 | 20/09/2013 |

6. Update on Training for Audit Committee Members May 2018

- 6.1. As requested by Audit Committee in March 2018, officers ran a training session on Risk Scoring in Practice in Hertfordshire County Council directly prior to the Audit Committee meeting of 15 May 2018.
- 6.2. The session was well attended by members of the Audit Committee and the slides used have subsequently been circulated to all members of the Committee.

7. Full Corporate Risk Register – Movement report since March 2018 Audit Committee

The full register is embedded here.



8. Corporate Risk Register changes/Key Updates since the report to March 2018 Audit Committee

- 8.1. **Risks with changed current scores.**
These are included in full in Appendix A. The following summarises these four risks with changes.
 - 8.1.1. AC03 (Ref. HCSCP0001, Appendix A, Page 13) - “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.”
 - 8.1.2. CP05 (Ref. CPRES0002, Appendix A, Page 15) - In the event of a failure to prepare adequate corporate and departmental generic Business Continuity Plans (BCP), 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)
 - 8.1.3. R01 (Ref. HR0021, Appendix A, Page 17)- 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]

- 8.1.4. SR12 (Ref. TEC0004, Appendix A, Page 20)- 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.

8.2. **Latest position on additional risks specifically identified due to the proximity of likely events and public interest.**

The latest update on these risks is presented in full in Appendix B. The following summarises these risks.

- 8.2.1. SE02 (Ref. ENV0104, Appendix B, Page 22) – “In the event of the Residual Waste Treatment Programme being impacted by one of the following scenarios:
- The Energy Recovery Facility (ERF) at Rye House does not proceed or is delayed
- Unable to secure suitable, cost effective, alternatives for waste disposal should the contract with Veolia (VES) be terminated.
It may result in:
- Increased costs to HCC”.
- 8.2.2. SE05 (Ref. ENV0148, Appendix B, Page 23) – “As a result of the likely cancellation of the Metropolitan Line Extension (Croxley Rail Link scheme), there is a risk of claims to the Council (liability is capped at £3m), difficulties in re-claiming Hertfordshire County Council investment sunk into the scheme and reputational loss. This will also have a significant impact on future growth in the area”.
- 8.2.3. SCP07 (Ref. CP0005, Appendix B, Page 25) - [Risk of HFRS transfer to PCC]: “The Policing and Crime Act 2017 places a duty on police, fire and ambulance services to work together and enables police and crime commissioners to take on responsibility for fire and rescue services. In the event that the Secretary of State determines that the governance of the Hertfordshire Fire & Rescue Service (HFRS) is to be transferred to the Hertfordshire Police and Crime Commissioner (PCC) as recommended in their business case, there is a risk that such a transfer may significantly and negatively impact on service delivery, particularly in relation to the support provided to vulnerable people and the County Council's prevention agenda. In addition it may create significant uncertainty, leading to staff unrest; short term damage to key relationships and budgetary impacts.”

8.3. Other Risk Developments

8.3.1. Risk Focus

The following risk is the subject of a risk focus report at this meeting of the Audit Committee, 18 July 2018.

R05 (Ref. SP0005) – “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 IMP0002/CSCE0019]” The risk is currently scored as Amber 24 (significant).

9. Next Steps

- 9.1. Challenges and recommendations from the 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. |

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 |

Impacts

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

The Corporate Risk Register - Corporate and Strategic Risks

The Corporate Risk Register is comprised of both 'Corporate' and 'Strategic' risks.

Both classifications of risk will still be reported in the Corporate Risk Register and so they will be subject to the current criteria for corporate risk register risks. These risks are threats to the overall success of council objectives, the vitality and viability of the organisation and:

- May significantly impact upon the key resources of the Council (e.g. financial resources, human resources and other key assets).
- May result in significant disruption to a number of the critical services provided by the council.
- May be a significant threat of serious harm or death to service users, officers/members and/or members of the public.
- The resources needed to manage the risk and deal with the potential impacts could be beyond the capability of the relevant service.
- May result in significant attention from outside the council (e.g. general public/ Media/ Government agencies etc.) and so maintain the potential to cause considerable damage to the Council's reputation

However, although there will be an element of judgement, the following may be used to differentiate between Strategic and Corporate risks:

Strategic risks

- Represent, particularly, threats to current strategic drivers for the organisation, e.g. Prevention, Housing, Growth/Infrastructure, the SMART programme
- Relate to new / innovative approaches and / or changing environmental factors, e.g. legislation, so that our responses and outcomes are less clear
- Are more time-impacted, relating to a shorter and potentially known timeframe
- Are likely to reflect more volatility in terms of increases and decreases in the risk in a short to medium timeframe
- May therefore relate to key programmes / projects

Corporate risks

- Relate to long term, ongoing service delivery
- Are usually (but do not have to be) at their 'target score' and if so are being accepted or tolerated at that level of risk
- Most controls will be 'in place / embedded'

Are usually (but do not have to be) related to enabling activities and services, i.e. services or activities that enable front-line service activity, and/or the smooth running of the organisation.

Appendix A - Risk Changes

Report Date: 18/06/2018

Date of Previous Risk Score: 02/03/2018

Notes: References highlighted **Purple** have been added since the 02/03/2018.

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 |
|--|--|--|---|--------------------|---|---|
| HCSCP0001 / AC03 <i>Opportunity to be Healthy and Safe</i> Current Category: Corporate Risk Register <i>Current Type : Corporate</i> 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. | Frances Heathcote Assistant Director, Adult Care Commissioning | The risk owner raised the risk score to reflect the increased uncertainty in the care provider market, specifically within the CQC Market Oversight programme. ACS and Resources have developed a cross departmental contingency plan and regular meetings are in place to review and progress this. The specific provider that is at risk of failing has had their Company Voluntary Agreement (CVA) agreed by their creditors, but we remain concerned about their longer term financial viability. The CVA is in place for 8 years and ACS are working with our Strategic Procurement group and legal colleagues to review any additional contractual measures that we can put in place to add further rigour to our contractual monitoring process. Reviewed On :18/06/2018 | 17/04/2018 Severe 32 Probability Unlikely 2 Impact Very High 16 | | Severe 64 Probability Likely 4 Impact Very High 16 | Severe 32 Probability Unlikely 2 Impact Very High 16 |

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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> | | |
| | HCSCP0001/007 | Learning and development of care providers | In Place / Embedded | Mark Gwynne | | |
| | HCSCP0001/008 | Market Quality and Resilience Programme Board providing; overview of provider quality; escalate any issues to relevant agency | In Place / Embedded | Frances Heathcote | | |
| | HCSCP0001/009 | Effective use of monitoring tools and resources to identify problems early and prevent failing quality. | In Place / Embedded | Frances Heathcote | | |
| | HCSCP0001/010 | Multi Agency Service Quality Improvement Group, analyse data and evaluate risk monthly and take appropriate action with partners | In Place / Embedded | Frances Heathcote | | |
| | HCSCP0001/003 | Use ACS Contract Monitoring Procedures | In Place / Embedded | Frances Heathcote | | |

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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 |
|--|---|--|--|--------------------|--|--|
| CPRES0002 / CP05 <i>Delivering our Vision</i> Current Category: <i>Corporate Risk Register</i> <i>Current Type : Corporate</i> 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 Assistant Chief Fire Officer - Response and Resilience | Review of all BCP BIA and Response plans is now complete. The team will be working to implement updates and replacements by April 2018. In April-18, there was a postponement of a timed maintenance program in relation to the power facilities at one of our main sites due to issues with the Herts Fire & Rescue System. As a result the risk of power failure at one of our main sites has increased (covered by risk PROP0004). Due to these current circumstances we have raised the probability of this BCP risk from rare to unlikely. This keeps focus on this area until mitigations are in place. To keep this in focus, a new control measure has been added to this risk to link it to the plant failure risk (PROP0004) Reviewed On :16/04/2018 | 17/04/2018 Significant 16 Probability Rare 1 Impact Very High 16 | | Severe 32 Probability Unlikely 2 Impact Very High 16 | Significant 16 Probability Rare 1 Impact Very High 16 |

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|--|----------------------|--|---------------------|---------------------|--------------------|---------------------|
| Controls: | <u>Ref</u> | <u>Control Description</u> | | <u>Status</u> | | <u>Owner</u> |
| | CPRES0002/001 | Plans in place for all departments / service areas and 4 principle office locations | | In Place / Embedded | | Darren McLatchey |
| | CPRES0002/002 | Regular reporting to Resilience Board and SMB on plan reviews, training and exercising | | In Place / Embedded | | Darren McLatchey |
| | CPRES0002/003 | Work programme to focus support on key areas where vulnerability is greatest | | In Place / Embedded | | Darren McLatchey |
| | <u>CPRES0002/006</u> | <u>Monitor plant failure risk (PROP0004) for any BCP implications</u> | | <u>Proposed</u> | | <u>Steve Harris</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 |
|--|--|--|---|--------------------|--|--|
| HR0021 / R01 <i>Delivering our Vision</i> Current Category: <i>Corporate Risk Register</i> <i>Current Type : Corporate</i> 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] | Sally Hopper Assistant Director, Human Resources | Voluntary turnover for council depts. has stayed the same at 13.1% (Jan 2018) since the last quarter, though this may be impacted by improvements in private sector jobs market and potential impact of proposed 1% pay cap over next 4 years. Continued difficulties recruiting and retaining some key groups (Social Workers, Occupational Therapists, Planners & Legal). Continuing to monitor turnover and retention and ensure recruitment is targeted to relevant audiences. Careers portal continues to attract healthy website traffic to the recruitment pages. As a result of the findings of the risk focus report outlining the effectiveness of the controls to Audit Committee March 2018, this risk is being reduced from red 32 (severe) to amber 24 (significant). Reviewed On :29/03/2018 | 29/03/2018 Severe 32 Probability Likely 4 Impact High 8 | | Significant 24 Probability Possible 3 Impact High 8 | Significant 16 Probability Unlikely 2 Impact High 8 |

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|--|------------|---|---------------------|-----------------------------|--------------------|-------------------|
| Controls: | <u>Ref</u> | <u>Control Description</u> | | <u>Status</u> | | <u>Owner</u> |
| | HR0021/001 | Regular monitoring, workforce planning and forecasting - e.g. incl talent management and succession planning | | In Place / Embedded | | Sally Hopper |
| | HR0021/007 | Ensure the ability to call upon key service providers to meet any short term in-house skills gap | | In Place / Embedded | | Sally Hopper |
| | HR0021/008 | Regular monitoring of the employment 'package' to help ensure HCC remains an Employer of Choice | | In Place / Embedded | | Sally Hopper |
| | HR0021/010 | Maintain and support PMDS scheme, appropriate career schemes and associated training. (replaces controls CSCE0007/003 and 004) | | In Progress / Taking Effect | | Sally Hopper |
| | HR0021/012 | Develop, implement and embed employee comms, engagement and well-being initiatives, incl Herts Manager & Stakeholder Management | | In Progress / Taking Effect | | Sally Hopper |
| | HR0021/013 | Develop a future focused strategy for resourcing, including young people, re deployment & re skilling as part of workforce plan | | In Progress / Taking Effect | | Sally Hopper |
| | HR0021/014 | Proactive approach to managing demand and supply e.g. QSW's in collaboration with other LA's | | In Place / Embedded | | Sally Hopper |
| | HR0021/015 | Target Public Health recruitment at specialist networks, journals and social media sites | | In Place / Embedded | | Alison Hardy |
| | HR0021/016 | Monitor the external recruitment market including senior manager pay to ensure remain competitive | | In Place / Embedded | | Sally Hopper |

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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 |
|--|------------|---|------------------------|-----------------------------|-----------------------|----------------------|
| | HR0021/017 | Talent & succession plans in place to support future organisation as part of workforce planning | | In Progress / Taking Effect | | Sally Hopper |

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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 |
|--|---|---|---|--------------------|--|--|
| TEC0004 / SR12 <i>Delivering our Vision</i> Current Category: Corporate Risk Register <i>Current Type : Strategic</i> 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 | David Mansfield Head of Technology | The risk owner, in conjunction with the new Assistant Director for Improvement & Technology, has reviewed this risk after considering the HCC Cyber Security measures in place. Following the risk focus report to Audit Committee in July 2017, which outlined both the current controls and the programme of work and investment planned to meet the elevated level of risk at that time, an internal audit was undertaken and recommendations were reported in October 2017. In considering the risk now, the actions undertaken, as a result of the programme of work, the audit recommendations and various industry sources to improve our overall security position, have provided assurance that we are in a good position with the controls in place and with the continual improvement. The risk score has been reduced as the likelihood is now considered as 'possible' rather than 'likely'. | 27/03/2018 Severe 32 Probability Likely 4 Impact High 8 | | Significant 24 Probability Possible 3 Impact High 8 | Significant 16 Probability Unlikely 2 Impact High 8 |

Appendix A - Risk Changes

Report Date: 18/06/2018

Date of Previous Risk Score: 02/03/2018

Notes: References highlighted **Purple** have been added since the 02/03/2018.

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 |
|--|-------------|--|-----------------------------|--------------------|--------------------|-------------------|
| | | Reviewed On :18/06/2018 | | | | |
| 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 | In Progress / Taking Effect | David Mansfield | | |
| | TEC0004/002 | Before implementing new/updated systems/apps they must conform to agreed security requirements incl successful network pen tests | In Progress / Taking Effect | David Mansfield | | |
| | TEC0004/004 | Work to continuously develop & deliver ICT policy/security educ/awareness training for staff, managers and members | In Place / Embedded | David Mansfield | | |
| | TEC0004/006 | Rolling program of testing existing network infrastructure including penetration testing for HCC and key 3rd party providers on | In Place / Embedded | David Mansfield | | |
| | TEC0004/007 | Ensure ICT Service Providers adhere to security & tech standards in providing/implementing/updating systems; ICT infrastructure | In Place / Embedded | David Mansfield | | |

Appendix B- Updates on Risks – proximity of events and increased media & public interest

Report Date: 18/06/2018

Date of Previous Risk Score: 02/03/2018

Notes: References highlighted **Purple** have been added since the 02/03/2018.

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 |
|--|---|--|---|--------------------|---|--|
| ENV0104 / SE02 <i>Delivering our Vision</i> Current Category: Corporate Risk Register <i>Current Type : Strategic</i> In the event of the Residual Waste Treatment Programme being impacted by one of the following scenarios: - The Energy Recovery Facility (ERF) at Rye House does not proceed or is delayed - Unable to secure suitable, cost effective, alternatives for waste disposal should the contract with Veolia (VES) be terminated. It may result in: - Increased costs to HCC | Simon Aries Assistant Director – Transport, Waste & Environmental Management | Under the contract with Veolia (VES) a planning application for an Energy Recovery Facility (ERF) at Rye House, Hoddesdon was submitted in December 2016. Notification was received on 1st February 2018 that the Secretary of State had called-in the planning application. A public inquiry is taking place, starting on the 19th June 2018 and scheduled to conclude on the 2nd August 2018. Due to the lack of transfer provision in the east of the county and the finite availability of disposal facilities capable of accepting direct deliveries (Westmill landfill and Edmonton EfW) the delay to the planning determination for Rye House increases the risk that East Herts Council and the Borough of Broxbourne may have to be directed to Waterdale transfer station, an action that would lead to increased costs for all three authorities and operational pressure on Waterdale transfer station. The risk | <div>Severe 40</div> <div>Probability Almost Certain</div> <div>Impact High 8</div> | | <div>Severe 40</div> <div>Probability Almost Certain</div> <div>Impact High 8</div> | <div>Material 8</div> <div>Probability Rare 1</div> <div>Impact High 8</div> |

Appendix B- Updates on Risks – proximity of events and increased media & public interest

Report Date: 18/06/2018

Date of Previous Risk Score: 02/03/2018

Notes: References highlighted **Purple** have been added since the 02/03/2018.

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 |
|--|--|---|---|--------------------|---|--|
| | | score probability is at "Almost Certain" due to the fact that the increased delay will lead to increased costs to the authority. Reviewed On :15/06/2018 | | | | |
| Controls: | Ref | Control Description | Status | | Owner | |
| | ENV0104/001 | Scenario planning | In Place / Embedded | | Simon Aries | |
| | ENV0104/002 | Legal & financial advice | In Place / Embedded | | Simon Aries | |
| | ENV0104/003 | Liaison with contractor | In Place / Embedded | | Simon Aries | |
| | ENV0104/004 | Management of Political Processes | In Place / Embedded | | Simon Aries | |
| ENV0148 / SE05 <i>Delivering our Vision</i> Current Category: Corporate Risk Register <i>Current Type : Strategic</i> As a result of the likely cancellation of the Metropolitan Line Extension (Croxley Rail Link scheme), there is a risk of 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. | Rob Smith Deputy Director Environment | Risk reviewed. There has been no progress on resurrecting the scheme following changes in agreement over the funding. Plans are in hand to develop an alternative scheme and repayments are being sought from TFL. HCC is currently looking at alternative transport uses - two workshops have been held to investigate the options. HCC is also seeking government support for protection of the old track bed for future transport uses. Reviewed On: 18/06/2018 | <div>Severe 40</div> <div>Probability Almost Certain</div> <div>Impact High 8</div> | <div>↔</div> | <div>Severe 40</div> <div>Probability Almost Certain</div> <div>Impact High 8</div> | <div>Significant 16</div> <div>Probability Unlikely 2</div> <div>Impact High 8</div> |

Appendix B- Updates on Risks – proximity of events and increased media & public interest

Report Date: 18/06/2018

Date of Previous Risk Score: 02/03/2018

Notes: References highlighted **Purple** have been added since the 02/03/2018.

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 |
|--|-------------|--|---------------------|-----------------------------|--------------------|-------------------|
| Controls: | <u>Ref</u> | <u>Control Description</u> | | <u>Status</u> | | <u>Owner</u> |
| | ENV0148/001 | Briefing senior local and national politicians | | In Progress / Taking Effect | | Rob Smith |
| | ENV0148/002 | Lobbying the London Mayor and Government | | In Progress / Taking Effect | | Rob Smith |
| | ENV0148/004 | Monitor Success of the HIF bid to bridge the funding gap | | In Progress / Taking Effect | | Rob Smith |
| | ENV0148/005 | Seek repayment of local funding if scheme fails | | Proposed | | Rob Smith |

Appendix B- Updates on Risks – proximity of events and increased media & public interest

Report Date: 18/06/2018

Date of Previous Risk Score: 02/03/2018

Notes: References highlighted **Purple** have been added since the 02/03/2018.

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 |
|--|----------------------------------|--|---|--------------------|---|--|
| CP0005 / SCP07 <i>Opportunity to be Healthy and Safe</i> Current Category: Corporate Risk Register <i>Current Type : Strategic</i> The Policing and Crime Act 2017 places a duty on police, fire and ambulance services to work together and enables police and crime commissioners to take on responsibility for fire and rescue services. In the event that the Secretary of State determines that the governance of the Hertfordshire Fire & Rescue Service (HFRS) is to be transferred to the Hertfordshire Police and Crime Commissioner (PCC) as recommended in their business case, there is a risk that such a transfer may significantly and negatively impact on service delivery, particularly in relation to the support provided to vulnerable people and the County Council's prevention agenda. In addition it may create significant uncertainty, leading to staff unrest; short term damage to key relationships and budgetary impacts. | John Wood Chief Executive | The proposal submitted by the PCC has undergone an independent review by CIPFA, which a number of HCC officers assisted with. HCC officers have sought to ensure that all necessary evidence has been submitted to support a balanced analysis of the PCC's business case with HCC and HFRS officers providing a range of professional advice and opinion. The independent assessment by CIPFA was submitted to the Secretary of State (Home Secretary) at the end of January 2018. There is no requirement to share the assessment with HCC and it was not shared. Regular communications are being maintained with HFRS staff in particular, but across the Directorate to provide appropriate information and to reassure staff. The Police and Fire Minister has written further to the PCC for Hertfordshire's proposal to take on responsibility for governance of Hertfordshire Fire and Rescue Service, stating the expectation that HCC work closely with PCC Lloyd to provide more information in relation to matters such as funding requirements, reserves and precept and impact of the proposed transfer on HCC. | <div>Severe 32</div> <div>Probability Likely 4</div> <div>Impact High 8</div> | <div>↔</div> | <div>Severe 32</div> <div>Probability Likely 4</div> <div>Impact High 8</div> | <div>Significant 24</div> <div>Probability Possible 3</div> <div>Impact High 8</div> |

Appendix B- Updates on Risks - proximity of events and increased media & public interest

Report Date: 18/06/2018

Date of Previous Risk Score: 02/03/2018

Notes: References highlighted **Purple** have been added since the 02/03/2018.

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>The PCC submitted an additional Addendum to the original business case on 8th June for the Home Secretary to consider. HCC Cabinet considered the PCC Addendum submission on 18th June 2018, and agreed that the County Council should not change the previously stated position of the Council in opposing the PCC's Local Business Case; and delegated to the Director of Resources, in consultation with the Leader of the Council and the Executive Member for Community Safety and Waste Management, authority to finalise a submission to the Home Office in response to the addendum. The aforesaid response was submitted to the Home Office on 22nd June 2018. The Home Office have additionally asked CIPFA to review the PCC's addendum, and are seeking their view on the proposal as a whole, and whether or not the new information provided in the</p> | | | | |

Appendix B- Updates on Risks – proximity of events and increased media & public interest

Report Date: 18/06/2018

Date of Previous Risk Score: 02/03/2018

Notes: References highlighted **Purple** have been added since the 02/03/2018.

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 |
|--|------------|--|-----------------------------|--------------------|--------------------|-------------------|
| | | addendum alters the previous independent assessment of the proposal against the statutory test. CIPFA have indicated that they will undertake the work as quickly as possible and anticipate completing the work in July. Reviewed On: 26/06/2018 | | | | |
| Controls: | Ref | Control Description | Status | | Owner | |
| | CP0005/002 | Support Community Protection staff through effective engagement to ensure they are kept informed on any progress in this matter | In Progress / Taking Effect | | Darryl Keen | |
| | CP0005/004 | Provide any support required for an independent review and develop plans for options/scenarios | In Progress / Taking Effect | | Guy Pratt | |

Appendix C – Corporate Risk Register summary risk status report

| Risk Ref | Business Unit | Category Type | Details | Current Risk Rating | | | | Target |
|-----------|--|---|---|---------------------|-------|-------|-------|--------|
| | | | | 08/17 | 10/17 | 02/18 | 06/18 | Score |
| HCSCP0001 | Adult Care Services Commissioning For People | Corporate Risk Register Corporate | 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 | 64 | 32 |
| HFRS0007 | Community Protection Hertfordshire Fire & Rescue | Corporate Risk Register Corporate | During unplanned incidents, such as terrorist activity, civil disturbance, large scale wide area flooding, or periods of industrial action, there is a risk that HFRS may be over reliant on existing regional or national resources which may lead to reduced fire cover. | 48 | 48 | 48 | 48 | 32 |
| ENV0104 | Environment and Infrastructure | Corporate Risk Register Strategic | In the event of the Residual Waste Treatment Programme being impacted by one of the following scenarios: - The Energy Recovery Facility (ERF) at Rye House does not proceed or is delayed - Unable to secure suitable, cost effective, alternatives for waste disposal should the contract with Veolia (VES) be terminated. It may result in: - Increased costs to HCC | 32 | 32 | 40 | 40 | 8 |
| ENV0148 | Environment and Infrastructure | Corporate Risk Register Strategic | As a result of the likely cancellation of the Metropolitan Line Extension (Croxley Rail Link scheme), there is a risk of 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. | 32 | 32 | 32 | 40 | 16 |
| HCS0010 | Adult Care Services | Corporate Risk Register Strategic | 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. | 40 | 40 | 40 | 40 | 12 |
| CP0005 | Community Protection | Corporate Risk Register Strategic | The Policing and Crime Act 2017 places a duty on police, fire and ambulance services to work together and enables police and crime commissioners to take on responsibility for fire and rescue services. In the event that the Secretary of State determines that the governance of the Hertfordshire Fire & Rescue Service (HFRS) is to be transferred to the Hertfordshire Police and Crime Commissioner (PCC) as recommended in their business case, there is a risk that such a transfer may significantly and negatively impact on service delivery, particularly in relation to the support provided to vulnerable people and the County Council's prevention agenda. In addition it may create significant uncertainty, leading to staff unrest; short term damage to key relationships and budgetary impacts. | 24 | 32 | 32 | 32 | 24 |
| | | | | | | | | |

| Risk Ref | Business Unit | Category Type | Details | Current Risk Rating | | | | Target |
|-----------|---|---|--|---------------------|-------|-------|-------|--------|
| | | | | 08/17 | 10/17 | 02/18 | 06/18 | Score |
| CPRES0002 | Community Protection Resilience | Corporate Risk Register Corporate | 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 | 32 | 16 |
| CSF0055 | Childrens Services | Corporate Risk Register Corporate | 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 |
| ENV0149 | Environment and Infrastructure | Corporate Risk Register Strategic | 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 PROP0022 & CSCE0023] | 32 | 32 | 32 | 32 | 12 |
| HCS0016 | Adult Care Services | Corporate Risk Register Strategic | 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] | 32 | 32 | 32 | 32 | 24 |
| HCSLD0005 | Adult Care Services Learning Disabilities | Corporate Risk Register Corporate | In the event of inadequate safeguarding arrangements, a vulnerable person at risk of harm is not identified and protected appropriately. | 16 | 32 | 32 | 32 | 32 |
| HCSMH0002 | Adult Care Services Mental Health | Corporate Risk Register Corporate | 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 |
| CP0004 | Community Protection | Corporate Risk Register Corporate | 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 |
| CPRES0009 | Community Protection Resilience | Corporate Risk Register Corporate | 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 |
| CSF0070 | Childrens Services | Corporate Risk Register Strategic | 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 |

| Risk Ref | Business Unit | Category Type | Details | Current Risk Rating | | | | Target |
|----------|--------------------------------------|---|---|---------------------|-------|-------|-------|--------|
| | | | | 08/17 | 10/17 | 02/18 | 06/18 | Score |
| CSF0082 | Childrens Services | Corporate Risk Register Corporate | As a result of national and local efficiencies, there is a risk that partnership funding may be withdrawn or withheld. | n/i | n/i | 24 | 24 | 12 |
| CSF0083 | Childrens Services | Corporate Risk Register Corporate | As a result of the new welfare, reform and immigration arrangements, there is a risk of an increase in families becoming homeless and/or requiring support from Children's Services (and other services). | n/i | n/i | 24 | 24 | 12 |
| CSHF0016 | Resources Finance | Corporate Risk Register Corporate | 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. [Formerly CSHF0005 and CSHF0015] | 24 | 24 | 24 | 24 | 16 |
| ENV0142 | Environment and Infrastructure | Corporate Risk Register Strategic | Hertfordshire is facing an increasing threat from tree pests and diseases, including ash dieback and Oak Processionary Moth. In this context, there is a risk that current systems and resources for tree management will not be fit for purpose. Failure to manage tree risk may result in significant unplanned costs (including liability claims), danger to the public and or/service users, and impact on landscape and ecosystem services. | 20 | 20 | 24 | 24 | 16 |
| HR0018 | Resources Human Resources | Corporate Risk Register Corporate | If the Council fails to educate, train and provide tools and processes for employees to effectively fulfil their roles (including compliance with data protection, health and safety, safe staffing legislation, and role specific training) there is a risk that staff are not fully competent or productive. This could lead to service failures such as serious injury or harm, particularly to vulnerable service users (and the public) fines and/or prosecutions, and inefficiency in how work is delivered. | 24 | 24 | 24 | 24 | 16 |
| HR0021 | Resources Human Resources | Corporate Risk Register Corporate | 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 | 24 | 16 |
| IMP0001 | Resources Improvement And Technology | Corporate Risk Register Corporate | 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] | 24 | 24 | 24 | 24 | 16 |
| | | | | | | | | |

| Risk Ref | Business Unit | Category Type | Details | Current Risk Rating | | | | Target |
|-----------|---------------------------------------|-----------------------------------|--|---------------------|-------|-------|-------|--------|
| | | | | 08/17 | 10/17 | 02/18 | 06/18 | Score |
| PROP0023 | Resources Property | Corporate Risk Register Strategic | HCC has established Herts Living Limited to collaborate with a Joint Venture partner to maximise returns on its land and assets. If these arrangements do not perform as anticipated, there is a risk that the financial returns do not deliver the £20m per annum receipt value in the current Integrated Plan. In addition, there may be reputational impacts to HCC (Replaces PROP0020 and PROP0021). | 24 | 24 | 24 | 24 | 16 |
| SP0005 | Resources Strategic Procurement Group | Corporate Risk Register Corporate | 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 IMP0002/CSCE0019] | 24 | 24 | 24 | 24 | 16 |
| TEC0004 | Resources Technology | Corporate Risk Register Strategic | 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 | 32 | 32 | 32 | 24 | 16 |
| AUDIT0001 | Resources Audit (SIAS) | Corporate Risk Register Corporate | As a result of the scale and scope of services delivered by and through the county council, there is a risk of fraud, which may be significant fraud, that could lead to service disruption, financial and reputational loss. This risk includes, but is not limited to, areas specifically recognised by Cipfa: - Overstatement of needs through false declaration for personal budgets in adult care services - Misuse of Blue Badge/Concessionary bus passes - Staff falsifying time keeping / expenses and overpayment of pensions - Bribery and collusion in procurement - Exaggerated/false insurance claims | 16 | 16 | 16 | 16 | 16 |
| CPRES0001 | Community Protection Resilience | Corporate Risk Register Corporate | 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 |
| CSHF0002 | Resources Finance | Corporate Risk Register 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 | 16 | 16 | 16 | 16 | 16 |
| ENV0033 | Environment and Infrastructure | Corporate Risk Register Corporate | 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 |

| Risk Ref | Business Unit | Category Type | Details | Current Risk Rating | | | | Target |
|----------|---|---|--|---------------------|-------|-------|-------|--------|
| | | | | 08/17 | 10/17 | 02/18 | 06/18 | Score |
| HFRS0004 | Community Protection Hertfordshire Fire & Rescue | Corporate Risk Register Corporate | 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 |
| PHD0014 | Public Health | Corporate Risk Register Corporate | 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. | 16 | 16 | 16 | 16 | 16 |
| HR0023 | Resources Human Resources | Corporate Risk Register Corporate | 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. | 12 | 12 | 12 | 12 | 8 |
| PROP0018 | Resources Property | Corporate Risk Register 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. | 12 | 12 | 12 | 12 | 8 |
| ENV0030 | Environment and Infrastructure | Corporate Risk Register Corporate | 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 |
| | | | 34 | | | | | |