

## HCC MANAGEMENT OF KEY RISKS 2003/4

### RISK IDENTIFICATION & ASSESSMENT

### RISK MANAGEMENT

Department	Risk no	Business/Service Objective	Risks to Business/Service objectives. <i>The risk is of that ....which may result in .....</i>	Prioritisation (Red/Amber/Green)	Priority (1,2,3)	Source	What measures are <u>already</u> in place to control this risk?	Effectiveness of existing controls	What measures are planned for next year?	Officer responsible
ACS	1	Effective contract management	Residential care (especially elderly) contract failure (for example, Quantum Care) and overall supply not meeting demand resulting in costs/charges increasing in real terms or the market refusing en mass to accept HCC prices	RED	1	Contractual	Effective contract management and regular contact with contractors	Fully	Review of waiting lists and capacity leading to better market management	Diane Grinstead, Mike Curtis
ACS	2	Maximising income	Loss of income due to registration of group homes and hostels	RED	1	Financial	Seeking to clarify requirements for registration and impact of housing benefit regs. Involvement of Legal and MAU	Too early to say	Potential outsourcing of housing function	Cathy Kerr, Mike Curtis
CI - ICT	13	Corporate Information Systems	Loss of IT systems	RED	1	Technological	Established controls & back-up procedures in operation.	Good-demonstrated by testing	Continuing operation of established controls, and application to e-business processes.	Stuart Campbell
CI - ICT	14	Simply Done - SHARP implementation	System failure post-implementation, with the result that staff / creditors can not be paid.	RED	1	Technological	New project steering / monitoring arrangements in place with effect from September / October 2003.	Good.	As existing.	Andrew Robertson
Corporate Finance	34	To co-ordinate & manage the council's financial and budgeting processes	4. Failure of budgetary control	RED	1	Financial	Assigned Budget manager for each budget, monthly monitoring to members by all services.	Partially	Implementation of new financial system will improve control of commitment. Improved control mechanism. Managers reminded of responsibilities	Chris Sweeney
Corporate Finance	35	To provide specialist financial services to the council (tax, insurance, contracts)	5 Exceeding partial exemption limit	RED	1	Financial	Continual awareness raising with finance and property staff of risk areas. Monitoring of capital scheme proposals by tax team to identify relevant projects.	Partially	Further awareness raising and improvements to capital programme monitoring	Chris Sweeney
County Secs	54	To advise, guide and support members, the Chief Executive and Chief Officers to ensure that the Council acts	That incorrect legal advice could be given to CSF/ACS departments on whether there are grounds to seek legal protection for a vulnerable person.	RED	1	Legal	Informal arrangements for lawyers to check advice given with colleagues.	Not 100% safe	That, in all cases where lawyers are contemplating giving such advice they should always cross-check with the Group Head or Senior	Andrew Laycock
CSF	71	To ensure adequate funding to meet service objectives	ent projections show a potential £25m shortfall in School funding for 2004/05	RED	1	Financial	Lobbying Campaign involving Members, Schools and Parents	Partially	As for this year	Lesley Brockington Assistant Director Resources

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Department	Risk no								
CSF	72	3 Recruit more permanent staff	RED	1	People	Advice and Guidance to CSF Managers. Development and review of procedures. Monitoring by senior CSF Managers	Fully	Further management action in response to monitoring. Implementing the recommendation of the departmental working group reviewing recruitment and retention of staff	Policy and Development Forum CSF
CSF	73	6 Decrease the number of vacancies of teachers and social workers	RED	1	People	Monitoring recruitment difficulties Recruitment and retention team to assist with Recruitment and Retention working group Key worker housing initiatives	Fully	Target action on units and schools with greatest recruitment difficulty - Joint work with Adult Care Services. Focus attention on early years of career	Mick Connah Head of Human Resources
CSF	74	1 Reduce accidents to pupils and staff Reduce bullying and violence to staff and pupils	RED	1	Physical	Advice and guidance to schools Monitoring of activity at school level	Partially	Improved Advice and Guidance to schools	Claire Saunders Health, Safety and Risk Manager
CSF	75	9 Full implementation of Business Continuity Plan	RED	1	Physical	Development and review of procedures. Monitoring by senior CSF managers.	Partially	As for this year	John Procter Senior Planning Manager - Property Planning Division
CSF	76	2 Provide appropriate care/attention to individuals Improve child protection arrangements	RED	1	Professional	Advice and guidance to CSF Managers. Development and review of procedures Monitoring by senior CSF Managers Data Analysis	Fully	Further management action in response to monitoring and data analysis. Implementing the recommendation of the departmental working group reviewing recruitment and retention of staff	Carol Taylor Head of Child Protection
CSF	77	7 Increase in-county provision Reduce costs of placements	RED	1	Professional	Monitoring of data by CSF Senior Managers Implementation of the action plans arising from the Behaviour and Achievement Strategy Investment of resources to expand in-county provision and preventative	Partially	As for this year	Maureen Phillips Head of looked after children services

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CSF	78	4 Reduce incidents of interference / theft of data equipment thereby reducing cost of insurance and staff time lost	E Risk Given the increasing use of technology in delivering and supporting services, there is growing concern about the risks that local authorities may not have adequate arrangements for protecting their systems from	RED	1	Technological	Advice and Guidance to CSF Managers Monitoring by Senior Managers Data Analysis and debriefing after any major incidents	Partially	Improvements to advice and guidance to CSF Managers and protection systems	Malcolm Purvis Head of Application and Information
Environment	82	Double the amount of household waste that is recycled by 2006	We fail to enter into contracts for the recycling of waste at appropriate prices resulting in even greater costs and/or failure to meet recycling targets.	RED	1	Contractual				Richard Brown
Environment	83	Work with the community to protect and enhance our environment	Central Govt. decisions on Airport expansion will have an adverse impact on HCC ability to improve local environment.	RED	1	Environmental	HCC taking full advantage of all consultation opportunities. Also lobbying and campaign activities being undertaken against airport expansion	Too early to say		Anne Fisher
Environment	84	Fight the loss of green fields and green spaces in towns	Large housing and airport developments will impact adversely and increase pressure on local services and infrastructure.	RED	1	Environmental	Full participation in RPG process. Full representation at West of Stevenage call in Inquiry	Too early to say	Carry on representing view of HCC through regional planning process and Inquiries.	Anne Fisher
Environment	85	Cut the number of people killed or seriously injured on our roads	The Safer Routes to School Programme is reduced leading to missing the road safety target.	RED	1	Financial	Continuing with SRTS programme	Too early to say	Seeking alternative funding for School Travel Plan Co-ordinator	Rob Smith / Anne Fisher
Environment	88	Cut the number of people killed or seriously injured on our roads	We are prosecuted for failure to prevent a road death	RED	1	Legal	Working with the police on a protocol for the investigation of road deaths. Tighter control of standards through the new Hertfordshire Highways Contracts	Too early to say	Close working with the police and re-examine priorities for routine maintenance.	Rob Smith
Environment	89	Work with the community to protect and enhance our environment	Injury to the staff and/or users of Aldenham Country Park, Rights of Way or the Countryside Management Service, resulting in prosecution and/or loss of	RED	1	Physical	Regular Health & Safety audits, training for staff to identify potential hazards and detailed procedure manuals.	Fully		Richard Brown
Environment	90	Cut the number of people killed or seriously injured on our roads	We fail to meet the accident reduction targets	RED	1	Professional	Review of sites where accidents happen, joint working with Police and Magistrates Courts on Safety Camera Unit	Too early to say	Greater use of camera enforcement. (NB Early indications are that KSI statistics are down.)	Rob Smith

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Department	no									
HFRS	113	Fire & Rescue Service	Impact of 11 September	RED	1	Professional	Service has uprated its decontamination capability with support from HESMIV mass decontamination vehicle funded by ODPM due Dec 03. Planning and	Partially	ODPM funding Urban Search and Rescue capability (assessed as Improved)	Chief Fire Officer
Corporate Finance	36	To manage the local government pension scheme.	3. Poor investment performance	AMBER	2	Financial	Fund managed to spread and minimise risk. Investment committee have oversight of management of fund. Actuarial reviews undertaken triennially.	Fully		Chris Sweeney
ACS	3	To fight for the interests of elderly and disabled people and their carers	The death or severe abuse of a client in "unusual" circumstances and the impact on staff, procedures, other clients and possible litigation as a consequence	AMBER	2	Professional	Staff supervision, Staff training, Practice Development, Effective management and procedures, Quality Management Framework	Fully	Practice Development Programme completed and mainstreamed	Sarah Pickup, ACSMB, Jean Farrer
ACS	4	To fight for the interests of elderly and disabled people and their carers	Failure to sufficiently meet a clients needs, including as a result of Fairer Access to Care legislation.	AMBER	2	Legal	Staff supervision, Staff training, Practice Development, Effective management and procedures, Quality Management Framework	Fully	Practice Development Programme completed and mainstreamed	Sarah Pickup, ACSMB, Jean Farrer
ACS	5	To fight for the interests of elderly and disabled people and their carers and Budget Management	Lack of progress in implementing the Oracle client management system results in an adverse impact on client care and reduces the effectiveness of SHARP	AMBER	2	Technological	Contract management by corporate officers and involvement of departmental staff. Regular meetings and reports to ACSMB	Partially		Stuart Campbell, Andrew Robertson, Mike Curtis
ACS	6	Employing suitably qualified staff and budget management	Difficulties in recruitment and retention of staff, especially social workers and in-house care staff. Need to use more agency staff with consequent quality and cost concerns	AMBER	2	People	Recruitment and retention strategy, Development of manpower contract, Effective management, procedures and staff supervision, Quality Management Framework	Partially	Further development of Manpower contract, increasing agency staff budgets, continued review of HR function	Mike Curtis
ACS	7	Effective Budget Management	Insufficient resources available to meet new responsibilities and growing demand for services	AMBER	2	Financial	Effective communication of requirements in budget process, Effective management of all new responsibilities	Too early to say	To some extent out of HCC control, but we shall be ready to respond as appropriate	Sarah Pickup, Mike Curtis, ACSMB
ACS	8	Effective Budget Management	Late information on amount and conditions for grants making matching expenditure and grant problematic	AMBER	2	Financial	Financial evaluation of our needs allows quick assessment of allocations made	Too early to say	To some extent out of HCC control, but we shall be ready to respond as appropriate	Mike Curtis

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ACS	9	Work with the NHS to improve health and care services	Control over budgets pooled with the health sector and services being adversely affected by the financial problems of the Hertfordshire health economy	AMBER	2	Financial	Formal and informal meetings with health colleagues, monitoring of pooled budgets, Partnership Agreement	Fully	Further development of partnership arrangements	Diane Grinstead, Mike Curtis
ACS	10	Work with the NHS to improve health and care services	TUPE transfer to HPT leading to a shortage of Approved Social Workers and/or other staff problems	AMBER	2	People	Effective management of the transfer process and only effecting the transfer when problems are resolved, including issues relating to the employment of ASWs	Partially	More effective partnership working and increased senior management involvement	Cathy Kerr, Mike Curtis, John Cooper
ACS	11	Effective contract management	Home care contract failure (for example, Leonard Cheshire) and overall home care supply not meeting demand	AMBER	2	Contractual	Effective contract management and regular contact with contractors	Fully		Diane Grinstead
CI - ICT	15	Corporate Information Systems	Failure of key supplier	AMBER	2	Contractual	Business Continuity Plan and contractual cover.	Good	Building protection into contract for new financial system.	Stuart Campbell
CI - ICT	16	Provision of Customer Service Centre	Failure of key supplier	AMBER	2	Contractual	Financial risk and TUPE provision covered by contract.	Good	As existing.	Paul Jackson
CI - ICT	17	CSFA system	System fails to interface successfully with SHARP system (SAP)	AMBER	2	Technological	SSIS interface to be built providing fallback.	Good	As existing.	Stuart Campbell
CI- Lib/HALS	22	Provision of Library Service	Loss of library buildings.	AMBER	2	Phsical	Established programme of repairs & maintenance. Fire regulations.	Fair	Increased budgetary provision for repairs & maintenance.	Glenda Wood
CI- Lib/HALS	23	Provision of Library Service	Injury to staff / public	AMBER	2	Phsical	Quarterly Health & Safety reports to SMT consider accidents, dangerous occurences and near	Good, evidenced by low incidence of injuries	As existing.	Glenda Wood
CI- Lib/HALS	24	Introduction of single staffing on mobiles & certain static libraries	Disruption to service due to low staff morale. Failure to implement and to achieve savings.	AMBER	2	People	Implementation plan allows for appropriate negotiations to take place.	Fair.	n/a	Glenda Wood
Corperate Personnel	28	Attracting and recruiting people with the skills to meet the business needs.	There is a risk that we will fail to attract and recruit people with the appropriate skills. There are external factors and internal factors which effect the success of recruitment and ability to deliver the service. Without the employees HCC can	AMBER	2	People	Recruitment and Retention Action Plan	Fully	Recruitment and Retention Action Plan	Carole Grimwood
Corperate Personnel	29	Paying our employees correctly through the managed service which IT net provides	There is a risk that through human or technical error a large group of employees are over paid resulting in the authority having to seek consent for the amounts to be retrieved through the payroll	AMBER	2	Technological	There are audit trails and financial procedures to ensure that this does not happen. IT net contract has checks and liabilities to ensure that such an event could not happen.	Fully	Continue with audit trails and checks on payroll	Gill Hibberd

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Corporate Personnel	30	Retaining employees with skills to meet the business needs	There is a risk that employees groups of employees will leave the authority at the same time and / or over a short period of time making it difficult to provide a particular service to our community	AMBER	2	People	Recruitment and Retention Action Plan	Fully	Recruitment and Retention Action Plan	Carole Grimwood
Corporate Personnel	31	Maintaining and nurturing a positive industrial relations culture	There is a risk where managers act without sound advice and adequate training they may weaken the relationship with the unions. There is a risk that disputes can lead to strike action.	AMBER	2	People	There is an industrial relations framework with formalised joint meetings with the unions to ensure grievances are aired at an early stage and disputes are handled through the dispute resolution process.	Fully	Introduction of a HR Driving Licence will ensure that HR Professionals responsible for nurturing the relationship with trade unions will meet a competency standard before practising in the capacity of Industrial Relations	Gill Hibberd
Corporate Personnel	32	Providing outsourced services and benefits through providers	There is a risk should a managed service provider cease to trade or go bankrupt, eg Manpower (recruitment service) or Itnet (Payroll service). A breakdown on these service provisions will have an impact on employee relations, morale and financial implications	AMBER	2	Contractual	We have comprehensive contract arrangements and a detailed management process. All contracts have a business continuity plan and compensation arrangements.	Fully	Continue to review the performance of the managed service against the contract and service level agreement	Carole Grimwood & Gill Hibberd
Corporate Finance	38	To co-ordinate & manage the council's financial and budgeting processes	2. Failure of contractors of managed systems and financial systems.	AMBER	2	Contractual	HCC can continue with current system and staff to maintain services	Partial		Chris Sweeney
Corporate Finance	39	To co-ordinate & manage the council's financial and budgeting processes	3. Loss of staff and inability to replace	AMBER	2	People	Performance management processes active. Occasional review of competitiveness of packages. Arrangements for cross service co-operation through Finance Board members if critical	Partially		Chris Sweeney
Corporate Finance	40	To co-ordinate & manage the council's financial and budgeting processes	5. Insufficient balance/reserves to cover unforeseen circumstances	AMBER	2	Financial	Monthly budget monitoring, regular monitoring of capital receipts programme, careful assessment of financial risks in developing budget.	Fully	Increase the formality of risk assessment / risk monitoring process.	Chris Sweeney
Corporate Finance	41	To co-ordinate & manage the council's financial and budgeting processes	6. Major bank failure	AMBER	2	Financial		Partially		Chris Sweeney
Corporate Finance	42	To co-ordinate & manage the council's financial and budgeting processes	7. Financial system failure: - to pay staff or bills	AMBER	2	Financial	Disaster recovery plans in place with Itnet	Fully		Chris Sweeney

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Department	no									
Corporate Finance	43	To establish and maintain the council's financial standards & frameworks	5. Significant fraud	AMBER	2	Financial	Regulations, divisions of duties arrangements and systems controls including internal audit scrutiny of systems.	Fully		Chris Sweeney
Corporate Finance	44	To provide specialist financial services to the council (tax, insurance, contracts)	3. Inadequacy of insurance cover	AMBER	2	Financial	Regular assessment of cover, some reliance on self-insurance. Factoring in insurance risk to assessment of appropriate level of reserves and balances.Advice from Consultants.	Partially		Chris Sweeney
Corporate Finance	45	To provide specialist financial services to the council (tax, insurance, contracts)	4. Insurance company failure	AMBER	2	Financial				Chris Sweeney
Corporate Finance	46	To manage the local government pension scheme.	1. Failure of pensioner payment system	AMBER	2	Financial	Disaster recovery plan in place with Inet and regular contract monitoring	Fully	New system in place. Three new project mnagers	Chris Sweeney
County Secs	55	To advise, guide and support members, the Chief Executive and Chief Officers to ensure that the Council acts lawfully and properly.	That lawyers may be asked to give advice to departments in areas where the lawyer has little or no experience.	AMBER	2	People	Informal arrangements for lawyers to alert Group Head to possible problems.Possible difficulties picked up during Hot/Warm case reviews.	Not 100% safe	Group Heads to write to all lawyers highlighting the potential problem. Issue to be specifically addressed by Group Head when allocating work. Consider the issue in every Hot/Warm case	Andrew Laycock
County Secs	56	To advise, guide and support members, the Chief Executive and Chief Officers to ensure that the Council acts lawfully and properly.	That members take unlawful decisions due to there being no written process for ensuring that proper legal advice is given.	AMBER	2	Legal	Informal arrangement for County Secretary to check all reports.	Not 100% safe	Written procedures to be included in 'Our Business' folder. Back-up arrangements to be introduced, in case of absence of County	Andrew Laycock
CSCS	57	Provide a comprehensive, timely and viable purchasing, supply and contract management service	Systems failure (loss of business)	AMBER	2	Technological	All systems backed up. Recovery plan in place. Contract in place with NDR to provide hard ware and software to run core systems. Recovery plan tested annually	adequate	the same measures	steve gilbey

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Department	no									
CSCS	58	Ensure Best Practice in Procurement as required of a major public body	Impropriety or corrupt activity(loss of public confidence	AMBER	2	People	Activities scrutinised by auditors, Standards of behaviour and relationships with suppliers published. Responsibilities for tendering process, award of tenders and specification split	adequate	the same measures	steve gilbey
CSCS	59	Provide a comprehensive, timely and viable purchasing , supply and contract management service	Loss of stock/premises thru theft, fire, flood(business failure)	AMBER	2	Phsical	All areas fitted with alarm systems + CCTV, High levels of housekeeping maintained All equipment checked and maintained. Business Continuity Plan in place. Site security improvement plan	adequate	review the effectiveness of present systems and equipment.	steve gilbey
CSCS	60	Ensure the safety and well being of the staff of the unit as required	Accident or injury to staff or third parties(prosecution)	AMBER	2	Phsical	Health and Safety managed by in-house team. All accidents monitored and investigated. Risk assessments carried out, routine audits of workplace and tasks carried out. Training delivered to staff. Contractors vetted.	good	the same measures	steve gilbey
CSCS	61	Provide a comprehensive, timely and viable purchasing , supply and contract management service	Loss of key personnel(business failure)	AMBER	2	People	Training and development plan in place, Formal review of activities, internal communications, IIP	adequate	continue with IIP processes	steve gilbey
CSCS	62	Provide a comprehensive, timely and viable purchasing , supply and contract management service	Trading loss(financial failure)	AMBER	2	Financial	Constant monitoring of trading account by Finance Dept, reporting to management teams, on line reporting and pricing of activities reflects; cost of product, CSCS activities and returns required to centre	adequate	develop activity based costing to improve financial awareness	Darron Cox
CSCS	63	Ensure the delivery of vital support services for the Council through properly constructed contracts	Contract failure various strategic contracts (disruption of Council services)	AMBER	2	Contractual	Contract manager monitors contractor performance and undertakes risk assessment prior to award of contract. Contract award process should prevent failure to deliver service.	adequate	invest in more staff training for contract management	steve gilbey

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CSCS	64	Provide a comprehensive, timely and viable purchasing , supply and contract management service	Failure of supply chain(disruption of Council services)	AMBER	2	Contractual	Most items have more than one supplier and buyers maintain contact details. Key items identified have on average 6 weeks stock in warehouse. CSCS is holding 30 000	good	the same measures	steve gilbey
CSCS - Shire	65	Provide an appetising and nutritious mid day meal for all pupils in schools requiring the service	Poor hygiene standards (risk to public health)	AMBER	2	Phsical	Full staff training programme, regular inspection by Supervisors, Client Teams and EHOs	adequate	continuous training and inspection programme	Ros Aird
CSCS - Shire	66	Ensure the safety and well being of the staff of the unit as required	Health and Safety - injury to staff(prosecution)	AMBER	2	Phsical	Health and Safety managed by in-house team. All accidents monitored and investigated. Risk assessments carried out, routine audits of workplace and tasks carried out. Training delivered to staff. Contractors vetted.	adequate	the same measures	Ros Aird
CSCS - Shire	67	Provide an appetising and nutritious mid day meal for all pupils in schools requiring the service	Inability to recruit sufficient staff(service and business failure)	AMBER	2	People	A range of recruitment initiatives, including incentives. Working with Manpower and other agencies to ensure vacancies are managed	adequate	continue with the IIP process	Ros Aird
CSCS - Shire	68	Ensure the viability of the School Meals Service	Trading loss(financial failure)	AMBER	2	Financial	Constant monitoring of trading account by Finance Dept, reporting to management teams. Close liaison with CSF on trends and financial pressures. Diversification of activities outside School Meals	adequate	improve finacial reporting and controls	Darron Cox
CSF	79	5 Reduce number of schools in special measures / serious weaknesses to zero	Schools Causing Concern. The risk is that monitoring will fail to recognise a school causing concern which, following Ofsted inspection, is assessed as having a "serious weakness" or will be subject to "special measures"	AMBER	2	Professional	Monitoring by link advisers and other CSF Managers Monitoring by Schools Causing Concern groups, Quadrant and county level. Direct intervention by senior CSF Managers. Intensive support programme	Fully	As for this year	Gill Jones Interim Assistant Director Schools Standards and Curriculum
CSF	80	8 Reduce cost of transport for children	Transport There is a potential risk of overspending the transport budget for children given that it is demand led	AMBER	2	Financial	Monitoring of data by CSF Managers. Review of cost effectiveness of current transport arrangements. Investment of resources to expand in-county provision and	Partially	As for this year	Maureen Phillips Head of Looked after Children Services

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CSF	81	11 To improve HR and Finance monitoring and control	The introduction of the SAP and CSFA systems may fail to deliver fully the potential improvements	AMBER	2	Technological	SHARP project team working with CSF Champions and Subject Matter experts. Separate review under way as to business needs linked to CSFA	Partially	Work to continue post implementation to ensure proper training and support for budget managers and other staff	Lesley Brockington Assistant Director Resources
Environment	86	Efficiency risk -Become More Efficient Year on Year -	Calculation of non-cashable saving not accepted by Audit resulting in failure of HCC to achieve overall efficiency target and possible qualification of audit.	AMBER	2	Financial	Provide calculation to Internal Audit ASAP for opinion	Too early to say		Mike Collier
Environment	87	Efficiency risk -Become More Efficient Year on Year	No of Adshel bus shelters provided is less than anticipated resulting in lower saving than planned and failure of HCC to achieve 2% efficiencies	AMBER	2	Financial	Regular monitoring of the number of shelters provided	Too early to say		Rob Smith
Environment	92	Work with the community to protect and enhance our environment	Pollution events could occur on county owned land in the Rural Estate, which could lead to prosecution, fines and bad publicity.	AMBER	2	Environmental	Independently accredited Environmental Management System (ISO 14001)	Fully		Richard Brown
Environment	93	Work with the community to protect and enhance our environment	Conditions on planning applications will not be implemented, resulting in undesirable and/or illegal impacts of developments.	AMBER	2	Legal	Policies and procedures in place. Periodic visits to key sites to ensure conditions are being met and serving enforcement notices where	Partially		Anne Fisher
Environment	94	Fight the loss of green fields and green spaces in towns	The County Council's planning framework is not updated which could result in an increase in appeals and undesirable development	AMBER	2	Professional	Professionally trained staff. Legal advice taken at appropriate stages.	Fully	Implement new planning legislation following Best Value Review.	Anne Fisher
Environment	95	Double the amount of household waste that is recycled by 2005	Lack of engagement / buy-in by public to recycling initiatives results in targets not being met (resulting in large financial penalties).	AMBER	2	Environmental	Joint working with district councils including the Waste Aware campaign.	Partially		Richard Brown
Environment	96	Double the amount of household waste that is recycled by 2007	Waste is not dealt with properly at our Household Waste Recycling Centres resulting in pollution, which in turn could lead to prosecution, fines and bad publicity.	AMBER	2	Environmental	Independently accredited Environmental Management System (ISO 14001)	Fully	Significant works at two Household Waste Recycling Centres planned as part of the Capital Programme with further development opportunities being explored as part of the capital programme bids.	Richard Brown
Environment	97	Improve the condition of our roads	Herts Highways fail to deliver. Roads do not improve and general deterioration	AMBER	2	Contractual	Regular performance monitoring	Improving	Continue & refine monitoring	Rob Smith

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Department	Risk no								
Environment	98	Improve the condition of our roads	AMBER	2	Physical	Survey of highway trees to ascertain current position and remedying urgent defects identified	Too early to say	Possible growth bid in 2004/05	Rob Smith
Herts Property	103	Hertfordshire Property	AMBER	2	Contractual	full 5 stage gateway procurement and project management process for all projects over £100k in place. Includes risk registers for each project.	Too early to say	project reviews linked to KPI performances and learning to feedback in to future schemes	tony comer
Herts Property	104	Hertfordshire Property	AMBER	2	Physical	Plans in place through risk analysis for each service to continue operations. May also be linked to County Hall crisis plan - depends on significance.	Fully	DTZ office rationalisation and review if implemented will change the nature of the risk. This is with the CEO and leadership for decisions.	peter dougherty
Herts Property	105	Hertfordshire Property	AMBER	2	Professional	All receipt forecasts are set, challenged and monitored by the CFO every quarter through major sites meeting. Lambert Smith Hampton and other consultants are contracted to achieve the sales targets. Significant risks are outside of the council's control eg. town planning decisions, market place reactions to the offers for sale, and the general economy i.e. interest rates.	Fully	LSH are picking up more strategic work. Critically more receipts will depend on our ability to allow the consultants to do more review work as well as commercial exploitation on service occupied assets. This is picked up as part of the review of property.	dick bowler tony comer
Herts Property	106	Hertfordshire Property	AMBER	2	Professional	Full 5 stage gateway procurement and project management process for all projects over £100k in place. Includes risk registers for each project. Each consultant and contractor has pain and gain in their longer term contracts to incentivise them to improve together with 5 year targets and rising floors linked to penalty for underperformance. The issue of the effectiveness of the council's long term forward planning performance and the role of council officers is	Partially	review the performance of year one and learn the lessons.	tony comer

## HCC MANAGEMENT OF KEY RISKS 2003/4

### RISK IDENTIFICATION & ASSESSMENT

### RISK MANAGEMENT

Risk no		Business/Service Objective	Risks to Business/Service objectives. <i>The risk is of that ....which may result in .....</i>	Prioritatio n (Red/Amber/ Green)	Priority (1,2,3)	Source	What measures are already in place to control this risk?	Effectiveness of existing controls	What measures are planned for next year?	Officer responsible
Herts Property	107	Hertfordshire Property	Significant fraud	AMBER	2	Financial	there is a technical and financial audit process for all property activities co-ordinated by the head of quality management in hertfordshire property.	Too early to say		keith jennings
Herts Property	108	Hertfordshire Property	Higher annual costs due to new property contract framework	AMBER	2	Contractual	the framework contracts are partnership based and include for pain and gain and incentives for reducing prices. The target is for a minimum 5% real cost reduction over 5 years. And this is built into the consultant and works contracts.	Too early to say	ditto	tony comer
HFRS	114	Fire & Rescue Service	New Fire Cover Formula i.e. shows stations to be in the wrong locations	AMBER	2	Professional	Draft Intergrated Risk management Plan in place and research indicates current and planned satations in appropriate locations	Satisfactory	Future IRMPs will consider need for redistribution of resources	Chief Fire Office
HFRS	115	Fire & Rescue Service	Climatic Change	AMBER	2	Environmental	Capability of service to deal with severe weather under review	Partially	Under review	Chief Fire Office
HFRS	116	Fire & Rescue Service	Risk of injury to Fire-fighters and or general public and possible court action	AMBER	2	Phsical	IOSH/NEBOSH training for all managers. Ongoing management of H&S. training based upon risk analysis /reduction	Partially		Chief Fire Office
HFRS	117	Fire & Rescue Service	Perverse SSA incentive means that if Community Fire Safety is successful in reducing fires and associated deaths then the service will lose funding	AMBER	2	Financial	Diff			Chief Fire Office
SERMU	121	To assist in providing a co-ordinated response to a major (terrorist)emergency in the county	The risk is that HESMIC agencies do not have adequate plans to deal with incidents of terrorism in Hertfordshire with the result that the county's response would not be fully effective	AMBER	2	Professional	Hesmic structure, Execises and training,planning already undertaken for non conventional threats,provide support and guidance to some HESMIC agencies on plan preparation	Proven to be effective for conventional type emergencies	Further work being underatken on non conventional threats. Close co-operation at regional level.	John Boulter
SERMU	122	To ensure that there is adequate and appropriate corporate H&S management arangements in place	The risk is that the HSE , as a result of an incident, undertake an investigation and decide to take enforcement action	AMBER	2	Phsical	Corporate guidance supplemented by departmental policies and procedures.Training is provided as appropriate On going monitoring of policy/procedures effectiveness. Close liaison takes place with all H&S officers on regular basis	Adequate - although this needs to be regularly reviewed	Implementing Best Value measures	Paul Dudley

## HCC MANAGEMENT OF KEY RISKS 2003/4

### RISK IDENTIFICATION & ASSESSMENT

### RISK MANAGEMENT

Department	Risk no	Business/Service Objective	Risks to Business/Service objectives. <i>The risk is of that ....which may result in .....</i>	Prioritatio n (Red/Amber/ Green)	Priority (1,2,3)	Source	What measures are <u>already</u> in place to control this risk?	Effectiveness of existing controls	What measures are planned for next year?	Officer responsible
ACS	12	Budget Management	Demand led budgets being exceeded because of unavoidable placements in care, either through numbers for older people or cost of packages for LD and PD	GREEN	3	Financial				
CI - ICT	18	Corporate Information Systems	Failure of system back-up.	GREEN	3	Technological	Established controls in operation.	Good-demonstrated by testing	Continuing operation of established controls, and application to e-business processes.	Stuart Campbell
CI - ICT	19	Provision of Customer Service Centre	Loss of Kings Court premises	GREEN	3	Physical	Business Continuity Plan as part of contract provides alternative facilities.	Good-demonstrated by testing	As existing.	Paul Jackson
CI - ICT	20	Provision of service	Loss of key personnel adversely affects ability to provide service	GREEN	3	People	CI acquired Investor In People status in 2002 and is addressing on-going actions identified during the IIP assessment.	Good, evidenced by turnover rates amongst ket staff	As existing.	Ian McLachlan
CI - ICT	21	Provision of service	Failure to meet legislative requirements	GREEN	3	Legal	Support mechanism available at local, regional and national levels.	Fair.	As existing.	Ian McLachlan
CI-Lib/HALS	25	Provision of service	Loss of key personnel adversely affects ability to provide service	GREEN	3	People	CI acquired Investor In People status in 2002 and is addressing on-going actions identified during the IIP assessment.	Good, evidenced by turnover rates amongst ket staff	As existing.	Ian McLachlan
CI-Lib/HALS	26	Provision of service	Failure to meet legislative requirements	GREEN	3	Legal	Support mechanism available at local, regional and national levels.	Fair.	As existing.	Ian McLachlan
Corporate Personnel	33	Providing an employment advice service	There is a risk that inappropriate HR advice is given or advice is not sought, which results in poor decisions which conflict with employment law. This could result in compensation claims against the authority, poor employee relations and poor morale.	GREEN	3	Professional	Our Corporate Employee Relations Team are proactive in the support and up-to-date guidance on employment law and personnel best practise. An on going policy review by the Corporate Personnel Team ensures that employment policies are up-to-date and are now	Fully	Introduction of the HR Driving Licence which will enable the assessment of the HR Professionals against standards which they need to reach in order to practise in the area of employee relations.We will continue to provide a learning vehicle through CPD e	Gill Hibberd
Corporate Finance	47	To co-ordinate and control the council's financial accounting	1. Material misstatement of financial position	GREEN	3	Financial	Financial regulation, delegation of responsibilities, internal and external audit arrangements in place.	Fully		Chris Sweeney

## HCC MANAGEMENT OF KEY RISKS 2003/4

### RISK IDENTIFICATION & ASSESSMENT

### RISK MANAGEMENT

Risk		Business/Service Objective	Risks to Business/Service objectives. <i>The risk is of that ....which may result in .....</i>	Prioritisation (Red/Amber/Green)	Priority (1,2,3)	Source	What measures are <u>already</u> in place to control this risk?	Effectiveness of existing controls	What measures are planned for next year?	Officer responsible
Department	no									
Corporate Finance	48	To establish and maintain the council's financial standards & frameworks	3. Non compliance with statutory guidance on the financial aspects of Executive Decisions	GREEN	3	Financial	Financial regulations in place, including delegated responsibilities of ADRs. Also the key decisions protocol operated by CSCS and County Secretary in place.	Fully		Chris Sweeney
Corporate Finance	49	To establish and maintain the council's financial standards & frameworks	4. Ultra vires expenditure	GREEN	3	Financial	Financial regulations in place, including delegated responsibilities of ADRs.	Fully		Chris Sweeney
Corporate Finance	50	To provide accountancy services to the Corporate Services Department	1. Significant over /understanding unreported	GREEN	3	Financial	Monitoring arrangements in place plus regular meetings with budget holders	Fully	Training and support of new and existing budget managers	Chris Sweeney
Corporate Finance	51	To manage the local government pension scheme.	2. Provision of incorrect advice to potential retirees	GREEN	3	Financial	Contract management activity to ensure quality of info. to members and complaints procedure in place.	Partially		Chris Sweeney
CSCS - Shire	69	Provide an appetising and nutritious mid day meal for all pupils in schools requiring the service	Loss of key staff(service and business failure)	GREEN	3	People	Training and development plan in place, Formal review of activities, internal communications IIP	adequate	the same measures	Ros Aird
CSCS - Shire	70	Provide an appetising and nutritious mid day meal for all pupils in schools requiring the service	Failure of supply(service failure)	GREEN	3	Contractual	Alternative products generally available on demand through wholesal distributor. Alternative distribution arrangements are less easy to deal with but reliance would be on other CBC wholesale suppliers to fill the gaps.	adequate	the same measures	Ros Aird
Environment	99	Efficiency risk	Increase in car park charges at Aldenham Country Park fails to realise net increase in income.	GREEN	3	Financial	Increase in fee to be selective and impact closely monitored	Too early to say		Richard Brown
Environment	100	Efficiency risk	Staffing efficiency not achieved resulting in overspend on budget	GREEN	3	Financial	Close monitoring of payroll budget	Too early to say		Richard Brown
Environment	101	Efficiency risk	The closure of Hunton Bridge is delayed preventing the declared efficiency saving being achieved	GREEN	3	Environmental	Close monitoring of Waterdale contract to ensure new site is available in time.	Too early to say		Richard Brown
Environment	102	Efficiency risk	The planned 2% efficiency saving is not achieved resulting in real terms cut of £512,000 in delivery of service	GREEN	3	Financial	Working with partners to identify possible savings	Too early to say	Develop audit trails to demonstrate efficiencies achieved and link to service improvements/increased demand.	Rob Smith

