





## Corporate Risk Register for March 2018 Audit Committee

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NOTE – An arrow, and its direction, denotes any change to the risk score since the previous report and the colour of any arrow shows the previous risk category, i.e. red, amber, yellow or green. Withdrawn or de-escalated risks are no longer shown.

Risk Ref	Brief Risk Description	Risk Score	Risk Owner
<a href="#">HFRS0007</a>	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	Ian Parkhouse Assistant Chief Fire Officer - Response and Resilience
<a href="#">ENV0104</a>	<p>In the event of the Residual Waste Treatment Programme being impacted by one of the following scenarios:</p> <ul style="list-style-type: none"> <li>- The ERF at Rye House does not proceed or is delayed</li> <li>- Unable to secure suitable, cost effective, alternatives for waste disposal should the contract with VES be terminated.</li> </ul> <p>It may result in:</p> <ul style="list-style-type: none"> <li>- Increased costs to HCC</li> </ul>	 40 ↑	Simon Aries Assistant Director - Transport, Waste & Environmental Management
<a href="#">ENV0148</a>	As a result of political changes and escalating costs there is a risk that the Croxley Rail Link scheme is cancelled, which may result in claims to the Council (liability is capped at £3m), difficulties in re-claiming HCC investment sunk into the scheme and reputational loss. This will also have a significant impact on future growth in the area.	 40 ↑	Rob Smith Deputy Director Environment
<a href="#">HCS0010</a>	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	Frances Heathcote Assistant Director, Adult Care Commissioning

Risk Ref	Brief Risk Description	Risk Score	Risk Owner
CP0005	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.	32	John Wood Chief Executive & Director of Environment
CSF0055	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	Jenny Coles Director of Children's Services
HCS0016	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	Helen Maneuf ACS Assistant Director, Planning & Resources
HCSCP0001	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	Frances Heathcote Assistant Director, Adult Care Commissioning
HCSLD0005	In the event of inadequate safeguarding arrangements, a vulnerable person at risk of harm is not identified and protected appropriately.	32	Sue Darker Operations Director, Adult Disability & Mental Health
HCSMH0002	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	Sue Darker Operations Director, Adult Disability & Mental Health

Risk Ref	Brief Risk Description	Risk Score	Risk Owner
HR0021	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	Sally Hopper Assistant Director, Human Resources
PROP0022	As a result of the restrictions introduced in 2015 on the use of S106 for the pooling of developer contributions towards new infrastructure together with the introduction of the Community Infrastructure Levy (CIL), there is a risk that the uptake of CIL, which is the Government's preferred method for pooling contributions, remains slow, and due to the limited influence HCC can bring to bear over the districts on the spending priorities of CIL revenue as a non CIL charging Authority, this may result in there being insufficient money to support infrastructure needs derived from new housing. [Formerly CSCE0023]	32	Trevor Mose Interim Assistant Director - Property
TEC0004	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	Dave Mansfield Head of Technology
CP0004	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	Guy Pratt Deputy Director of Community Protection
CPRES0009	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	Ian Parkhouse Assistant Chief Fire Officer - Response and Resilience
CSF0070	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	Simon Newland Assistant Director (Education Provision & Access)

Risk Ref	Brief Risk Description	Risk Score	Risk Owner
CSF0082	As a result of national and local efficiencies, there is a risk that partnership funding may be withdrawn or withheld.	<div style="background-color: #FFD700; padding: 5px; display: inline-block;">24</div> New	<b>Jenny Coles</b> Director of Children's Services
CSF0083	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).	<div style="background-color: #FFD700; padding: 5px; display: inline-block;">24</div> New	<b>Sue Williams</b> Director of Family Safeguarding
CSHF0016	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]	<div style="background-color: #FFD700; padding: 5px; display: inline-block;">24</div>	<b>Steven Pilsworth</b> Assistant Director Finance
ENV0142	Due to the threat of an increasing number of tree pests and diseases, in particular the imminent threat from Ash Dieback, there is a risk of a significant number of trees being affected which may result in significant unplanned costs, potential dangers to the public and/or service users, impacts on the landscape and loss of biodiversity.	<div style="background-color: #FFD700; padding: 5px; display: inline-block;">24</div> 	<b>Simon Aries</b> Assistant Director - Transport, Waste & Environmental Management
HR0018	In the event of a failure to train employees to required standards, there is a risk that staff are not fully competent in their roles, which could lead to the death, serious injury or harm to service users, members of the public or staff themselves e.g. front facing staff like QSWs and staff with access to vulnerable adults and children	<div style="background-color: #FFD700; padding: 5px; display: inline-block;">24</div>	<b>Sally Hopper</b> Assistant Director, Human Resources
IMP0001	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]	<div style="background-color: #FFD700; padding: 5px; display: inline-block;">24</div>	<b>Stuart Bannerman Campbell</b> Assistant Director - Improvement and Technology

Risk Ref	Brief Risk Description	Risk Score	Risk Owner
PROP0023	HCC has undertaken a review of how it disposes of its surplus land and property assets to establish how best to optimise capital receipts in a difficult market. As a result of the decision to develop these sites and assets through a new Strategic Joint Venture (SJV) Arrangement, there is a risk that this policy change may slow the delivery of the current £20m per annum receipt value in the current Integrated Plan. (Replaces former risks PROP0020 and PROP0021)	24	Mike Evans Director – Herts Living Limited
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]	24	Steven Pilsworth Assistant Director Finance
AUDIT0001	There is a risk that the Council experiences significant fraud.	16	Terry Barnett Head of Assurance
CPRES0001	In the event of a failure of the Local Resilience forum 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	Ian Parkhouse Assistant Chief Fire Officer - Response and Resilience
CPRES0002	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	Ian Parkhouse Assistant Chief Fire Officer - Response and Resilience
CSHF0002	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	16	Steven Pilsworth Assistant Director Finance

Risk Ref	Brief Risk Description	Risk Score	Risk Owner
	governance.		
ENV0033	In the event of under investment there is a risk that road maintenance levels cannot be maintained and general deterioration occurs, which may lead to increased number of accidents, loss of reputation and customer dissatisfaction.	16	Rob Smith Deputy Director Environment
HFRS0004	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	Steve Tant Assistant Chief Fire Officer
PHD0014	In the event of a Health Protection emergency such as a communicable disease epidemic, radiological, chemical or biological agent exposure, or extreme weather conditions, there is a risk that the authority may be unable to meet its statutory duty to adequately assure multi-agency health protection arrangements and as a result there are high rates of morbidity or mortality of Hertfordshire residents.	16	Joel Bonnet Deputy Director of Public Health
HR0023	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	Sally Hopper Assistant Director, Human Resources
PROP0018	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	Mike Evans Head of Estate and Asset Management
ENV0030	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	Rob Smith Deputy Director Environment

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<p><b>HFRS0007</b> <i>Opportunity to be Healthy and Safe</i> <b>Current Category:</b> <i>Corporate</i></p> <p>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.</p>	<p>Ian Parkhouse  Assistant Chief Fire Officer, Response and Resilience</p>	<p>The risk owner has reviewed this risk measure and confirmed that there are no changes at the present time. Reviewed On :09/01/2018</p>	<p><b>Severe</b> <b>48</b></p> <p><b>Probability</b> Possible 3</p> <p><b>Impact</b> Very High 16</p>	<p>↔</p>	<p><b>Severe</b> <b>48</b></p> <p><b>Probability</b> Possible 3</p> <p><b>Impact</b> Very High 16</p>	<p><b>Severe</b> <b>32</b></p> <p><b>Probability</b> Unlikely 2</p> <p><b>Impact</b> Very High 16</p>



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<b>Controls:</b>	<u>Ref</u>	<u>Control Description</u>		<u>Status</u>	<u>Owner</u>	
	HFRS0007/004	Review Integrated Risk Management Plan (IRMP) regularly to assess community risk against resources		In Place / Embedded	Ian Parkhouse	
	HFRS0007/005	Review whole-time and retained workforce numbers on a monthly basis to identify deficiencies and take appropriate action		In Place / Embedded	Ian Parkhouse	
	HFRS0007/006	Crewing office to manage and maintain crewing levels on a daily basis across the organisation and ensure appliance availability		In Place / Embedded	Ian Parkhouse	
	HFRS0007/009	Regularly review site specific response plans, operational procedures and contingency arrangements		In Place / Embedded	Ian Parkhouse	
	HFRS0007/010	Organise and host regular large scale/major incident exercises with local partners on a local, county and regional platform		In Place / Embedded	Ian Parkhouse	
	HFRS0007/011	Regularly review and ensure arrangements are in place to request additional resources both locally and nationally		In Place / Embedded	Ian Parkhouse	
	HFRS0007/007	Maximise both personnel and appliance availability through the application of procedures and appropriate management		In Progress / Taking Effect	Ian Parkhouse	
	HFRS0007/008	Procure and provide specialist vehicles, equipment and teams to meet the current technical rescue risk within the County		In Progress / Taking Effect	Ian Parkhouse	
	HFRS0007/012	Counter Terrorism exercise (Heron) to be completed during October and deliver further ongoing training to applicable staff.		Complete	Ian Parkhouse	



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<p><b>ENV0104</b> <i>Delivering our Vision</i> Old Category: <i>Corporate</i> Current Category: <i>Strategic</i></p> <p>In the event of the Residual Waste Treatment Programme being impacted by one of the following scenarios:</p> <ul style="list-style-type: none"> <li>- The Energy Recovery Facility (ERF) at Rye House does not proceed or is delayed</li> <li>- Unable to secure suitable, cost effective, alternatives for waste disposal should the contract with Veolia (VES) be terminated.</li> </ul> <p>It may result in:</p> <ul style="list-style-type: none"> <li>- Increased costs to HCC</li> </ul>	<p>Simon Aries</p> <p>Assistant Director, Transport, Waste &amp; Environmental Management</p>	<p>Following the unsuccessful planning application for the Recycling and Energy Recovery facility at New Barnfield, the County Council requested a Revised Project Plan (RPP) in accordance with the contract. The RPP submitted by VES was for an Energy Recovery Facility (ERF) at Rye House Hoddesdon; following the acceptance of the RPP at Cabinet on 14th March 2016 and conclusion of the necessary legal drafting, Veolia submitted a planning application for the ERF to the waste planning authority in late December 2016. A letter was received from DCLG on the 12th December 2017 restricting the granting of planning permission whilst the Secretary of State decides whether the application should be called in. The Development Control Committee, on 20th December 2017, resolved that they were minded to grant planning permission. A</p>	<p>08/02/2018 <b>Severe</b> <b>32</b></p> <p><b>Probability</b> Likely 4</p> <p><b>Impact</b> High 8</p>	<p>↗</p>	<p><b>Severe</b> <b>40</b></p> <p><b>Probability</b> Almost Certain</p> <p><b>Impact</b> High 8</p>	<p><b>Material</b> <b>8</b></p> <p><b>Probability</b> Rare 1</p> <p><b>Impact</b> High 8</p>

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		letter was received on the 1st February 2018 informing the Waste Planning Authority that the Secretary of State had called in the planning application. A date for the public inquiry has not yet been set, VES are currently considering their options. The risk score probability has now increased to "Almost Certain". Reviewed On :08/02/2018				
<b>Controls:</b>	<u>Ref</u>	<u>Control Description</u>			<u>Status</u>	<u>Owner</u>
	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

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<b>ENV0148</b> <i>Delivering our Vision</i> Old Category: <i>Corporate</i> Current Category: <i>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	It seems likely that, as a result of no agreement between DfT and TfL on a funding package, the scheme will be cancelled. As a result the probability has been raised to almost certain which raises the risk score to 40. Reviewed On :23/02/2018	23/02/2018 <b>Severe</b> <b>32</b>  Probability Likely 4  Impact High 8		<b>Severe</b> <b>40</b>  Probability Almost Certain  Impact High 8	Significant 16  Probability Unlikely 2  Impact High 8
<b>Controls:</b>	<b>Ref</b>		<b>Control Description</b>		<b>Status</b>	<b>Owner</b>
	ENV0148/005		Seek repayment of local funding if scheme fails		Proposed	Rob Smith
	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

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<b>HCS0010</b> <i>Opportunity to be Healthy and Safe</i> Old Category: <i>Corporate</i> Current Category: <i>Strategic</i>  If there is a continuing inability to attract the required number of Homecare work force in line with the Adult Care Services Workforce Strategy, there is an increasing risk of non compliance and a reduction in the ability to provide safe and appropriate care in users own homes which may lead to impacts on their health and wellbeing.	Frances Heathcote  Assistant Director, Adult Care Commissioning	Risk reviewed by Risk Owner in January 2018. Risk wording and scores to remain the same. Risk Focus paper was presented to Audit Committee in December 2017, feedback from this was that Audit Committee would like visits set up to Homecare Providers in Hertfordshire - Risk Owner to arrange this. Reviewed On :08/01/2018	<div style="background-color: red; color: white; text-align: center; padding: 5px;"><b>Severe</b> 40</div> Probability Almost Certain  Impact High 8	↔	<div style="background-color: red; color: white; text-align: center; padding: 5px;"><b>Severe</b> 40</div> Probability Almost Certain  Impact High 8	<div style="background-color: yellow; text-align: center; padding: 5px;"><b>Material</b> 8</div> Probability Unlikely 2  Impact Medium 4
<b>Controls:</b>	<b>Ref</b>	<b>Control Description</b>	<b>Status</b>	<b>Owner</b>		
	HCS0010/007	Contingency plan in place for closure of care providers under Prevention of Providers Failure policy	In Place / Embedded	Frances Heathcote		
	HCS0010/008	All Lead Providers of Home Care are now required to have a recruitment and retention strategy	In Place / Embedded	Frances Heathcote		
	HCS0010/009	Ensure sustainable pay rates for care sector providers are within budget parameters and being reviewed on an annual basis	In Place / Embedded	Frances Heathcote		
	HCS0010/001	Workforce Strategy being reviewed for 2018/19, project group in place including Hertfordshire Care Providers Association (HCPA)	In Progress / Taking Effect	Frances Heathcote		
	HCS0010/010	Evaluating impact of 2018/19 increase in pay to be completed by December 2017	In Progress / Taking Effect	Frances Heathcote		

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<p><b>CP0005</b> <i>Opportunity to be Healthy and Safe</i> Old Category: <i>Corporate</i> Current Category: <i>Strategic</i></p> <p>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 &amp; 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.</p>	<p>John Wood</p> <p>Chief Executive and Director of Environment</p>	<p>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. A decision is expected by the Home Secretary sometime in March 2018, after the Parliamentary</p>	<p><b>Severe</b> 32</p> <p>Probability Likely 4</p> <p>Impact High 8</p>	<p>↔</p>	<p><b>Severe</b> 32</p> <p>Probability Likely 4</p> <p>Impact High 8</p>	<p>Significant 24</p> <p>Probability Possible 3</p> <p>Impact High 8</p>

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		February recess Reviewed On :14/02/2018				
<b>Controls:</b>	<u>Ref</u>	<u>Control Description</u>			<u>Status</u>	<u>Owner</u>
	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
<b>CSF0055</b> <i>Opportunity to be Healthy and Safe</i> <b>Current Category: Corporate</b>  In the event of inappropriate care or attention there is a risk that a child or young person could die or become seriously injured.	Jenny Coles  Director of Children's Services	This risk remains in place. It has been discussed at both CS Core Board and at the CS Executive Member briefing. Reviewed On :08/01/2018	<b>Severe</b> 32  Probability Unlikely 2  Impact Very High 16	↔	<b>Severe</b> 32  Probability Unlikely 2  Impact Very High 16	<b>Severe</b> 32  Probability Unlikely 2  Impact Very High 16
<b>Controls:</b>	<u>Ref</u>	<u>Control Description</u>			<u>Status</u>	<u>Owner</u>
	CSF0055/003	Maintain casework practice and implement recommendations of reviews			In Place / Embedded	Sue Williams
	CSF0055/004	Continually monitor and review safeguarding practice and services within the council and with partners under the HSCB			In Place / Embedded	Sue Williams
	CSF0055/005	Implement peer review and inspection actions			In Place / Embedded	Sue Williams

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<p><b>HCS0016</b> <i>Opportunity to be Healthy and Safe</i> Old Category: <b>Corporate</b> Current Category: <b>Strategic</b></p> <p>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 &amp; HCS0012]</p>	<p>Helen Maneuf</p> <p>Assistant Director, Integrated Planning &amp; Resources</p>	<p>Risk reviewed by Risk Owner in January 2018. Risk wording and scores to remain the same. Better Care Fund assurance procedure now approved. In 2017/18 currently managing a balanced position, the department has challenging financial targets for 2018/19. Reviewed On :08/01/2018</p>	<p><b>Severe</b> <b>32</b></p> <p><b>Probability</b> Likely 4</p> <p><b>Impact</b> High 8</p>	<p>↔</p>	<p><b>Severe</b> <b>32</b></p> <p><b>Probability</b> Likely 4</p> <p><b>Impact</b> High 8</p>	<p><b>Significant</b> 16</p> <p><b>Probability</b> Unlikely 2</p> <p><b>Impact</b> High 8</p>



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Risk Ref Risk Description Corporate Priority Category	Risk Owner	Progress Update	Previous Risk Score	Movement Direction	Current Risk Score	Target Risk Score
<b>Controls:</b>	<u>Ref</u>	<u>Control Description</u>		<u>Status</u>	<u>Owner</u>	
	HCS0016/018	Monthly budget monitor include detail review of financial projections and corrective action where variances occur.		In Place / Embedded	Helen Maneuf	
	HCS0016/002	Regular monitoring of metrics through joint governance structures to identify lack of progress and areas for improvement		In Progress / Taking Effect	Frances Heathcote	
	HCS0016/009	Section 75 arrangements in place between NHS and HCC		In Progress / Taking Effect	Iain MacBeath	
	HCS0016/013	Participation in financial work stream of the Sustainability and Transformation Plan (STP)		In Progress / Taking Effect	Iain MacBeath	
	HCS0016/015	Plans for deploying Hertfordshire's share of the new funding for social care are being monitored		In Progress / Taking Effect	Iain MacBeath	
	HCS0016/016	Project underway to improve availability to assess and plan for demographic increases		In Progress / Taking Effect	Helen Maneuf	
	HCS0016/017	Thorough consideration of processes and financial targets via corporate integrated planning process.		In Progress / Taking Effect	Helen Maneuf	
	HCS0016/020	Review of financial arrangements with HVCCG		In Progress / Taking Effect	Helen Maneuf	
HCS0016/021	Review of likely pressure arising from Sleep-in judgement		In Progress / Taking Effect	Helen Maneuf		

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<b>HCSCP0001</b> <i>Opportunity to be Healthy and Safe</i> <b>Current Category: Corporate</b> 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	Risk reviewed by Risk Owner in January 2018. Risk wording to remain the same, no new issues with Providers. Multi Agency Service Quality Improvement Group remains in place and working well. Benchmarking against other regional authorities, Hertfordshire was ranked 3rd out of 11 for quality. Reviewed On :08/01/2018	<div style="background-color: red; color: white; text-align: center; padding: 5px;"><b>Severe 32</b></div> Probability Unlikely 2 Impact Very High 16	↔	<div style="background-color: red; color: white; text-align: center; padding: 5px;"><b>Severe 32</b></div> Probability Unlikely 2 Impact Very High 16	<div style="background-color: red; color: white; text-align: center; padding: 5px;"><b>Severe 32</b></div> Probability Unlikely 2 Impact Very High 16
<b>Controls:</b>	<u>Ref</u>	<u>Control Description</u>	<u>Status</u>	<u>Owner</u>		
	HCSCP0001/003	Use ACS Contract Monitoring Procedures	In Place / Embedded	Frances Heathcote		
	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		

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<b>HCSLD0005</b> <i>Opportunity to be Healthy and Safe</i> <b>Current Category: Corporate</b> In the event of inadequate safeguarding arrangements, a vulnerable person at risk of harm is not identified and protected appropriately.	Sue Darker  Operations Director, Adult Disability Service	Risk reviewed by Risk Owner in January 2018. All wording of risk and scores to remain the same. All working well and no current issues. Reviewed On :10/01/2018	<div style="background-color: red; color: white; text-align: center; padding: 5px;"><b>Severe 32</b></div> Probability Unlikely 2 Impact Very High 16	↔	<div style="background-color: red; color: white; text-align: center; padding: 5px;"><b>Severe 32</b></div> Probability Unlikely 2 Impact Very High 16	<div style="background-color: red; color: white; text-align: center; padding: 5px;"><b>Severe 32</b></div> Probability Unlikely 2 Impact Very High 16
<b>Controls:</b>	<b>Ref</b>	<b>Control Description</b>	<b>Status</b>	<b>Owner</b>		
	HCSLD0005/001	Hertfordshire Safeguarding Adults Board (HSAB) governance arrangements	In Place / Embedded	Sue Darker		
	HCSLD0005/003	Independent file audits of safeguarding cases in all care groups	In Place / Embedded	Sue Darker		
	HCSLD0005/005	Management oversight of safeguarding procedures	In Place / Embedded	Sue Darker		
	HCSLD0005/006	Quarterly performance report to ACS Management Board	In Place / Embedded	Frances Heathcote		
	HCSLD0005/007	Strategic Partners all involved with Safeguarding	In Place / Embedded	Sue Darker		
	HCSLD0005/004	Competency based learning and development activity associated with the HASB (Accredited by Bournemouth University)	In Progress / Taking Effect	Sue Darker		
	HCSLD0005/008	Practice Governance Board overseeing action plan to ensure high standards of safeguarding	In Progress / Taking Effect	Sue Darker		

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<b>HCSMH0002</b> <i>Opportunity to be Healthy and Safe</i> <b>Current Category: Corporate</b> 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.	Sue Darker  Operations Director, Adult Disability Service	Risk reviewed by Risk Owner in January 2018. All scores and wording to remain the same, still waiting for update from National consultation - was due December 2017 and DOLs Manager post has now recently become vacant. Reviewed On :09/01/2018	<div style="background-color: red; color: white; padding: 5px; text-align: center;"><b>Severe</b> <b>32</b></div> Probability Likely 4  Impact High 8	↔	<div style="background-color: red; color: white; padding: 5px; text-align: center;"><b>Severe</b> <b>32</b></div> Probability Likely 4  Impact High 8	<div style="background-color: yellow; padding: 5px; text-align: center;"><b>Material</b> <b>8</b></div> Probability Unlikely 2  Impact Medium 4
<b>Controls:</b>	<b>Ref</b>	<b>Control Description</b>			<b>Status</b>	<b>Owner</b>
	HCSMH0002/001	Regular meetings with Lawyers and Operations Director as required.			In Progress / Taking Effect	Sue Darker
	HCSMH0002/003	Projection for future workload - Forward Planning			In Progress / Taking Effect	Sue Darker
	HCSMH0002/006	Community specific DOLs being reviewed as part of Adult Disability Service (ADS)			In Progress / Taking Effect	Sue Darker

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<p><b>HR0021</b> <i>Delivering our Vision</i></p> <p><b>Current Category:</b> <i>Corporate</i></p> <p>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]</p>	<p>Sally Hopper</p> <p>Assistant Director, Human Resources</p>	<p>Vol. Turnover for council depts. has decreased slightly by 0.1% (13.1% Oct 17) since the last quarter, though this may further 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 &amp; 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. Reviewed On :02/01/2018</p>	<p><b>Severe</b> <b>32</b></p> <p><b>Probability</b> Likely 4</p> <p><b>Impact</b> High 8</p>	<p>↔</p>	<p><b>Severe</b> <b>32</b></p> <p><b>Probability</b> Likely 4</p> <p><b>Impact</b> High 8</p>	<p>Significant 16</p> <p><b>Probability</b> Unlikely 2</p> <p><b>Impact</b> High 8</p>

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<b>Controls:</b>	<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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	HR0021/017	Talent & succession plans in place to support future organisation as part of workforce planning		In Progress / Taking Effect		Sally Hopper
<b>PROP0022</b> <i>Opportunity to Prosper</i> Old Category: <b>Corporate</b> Current Category: <b>Strategic</b>  As a result of the restrictions introduced in 2015 on the use of S106 for the pooling of developer contributions towards new infrastructure together with the introduction of the Community Infrastructure Levy (CIL), there is a risk that the uptake of CIL, which is the Government's preferred method for pooling contributions, remains slow, and due to the limited influence HCC can bring to bear over the districts on the spending priorities of CIL revenue as a non CIL charging Authority, this may result in there being insufficient money to support infrastructure needs derived from new housing. [Formerly CSCE0023]	Trevor Mose  Interim Assistant Director – Property	Risk and control measures have been reviewed. Within the Development Services Team a new Senior Planning Officer has been recruited plus a new Senior Planning Officer (Infrastructure) is due to start in January 2018. No changes to current and target risk scores. Reviewed On :18/12/2017	<div style="background-color: red; color: white; padding: 5px; text-align: center;"><b>Severe</b> <b>32</b></div> Probability Likely 4  Impact High 8	↔	<div style="background-color: red; color: white; padding: 5px; text-align: center;"><b>Severe</b> <b>32</b></div> Probability Likely 4  Impact High 8	<div style="background-color: orange; padding: 5px; text-align: center;"><b>Significant</b> <b>12</b></div> Probability Possible 3  Impact Medium 4



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<b>Controls:</b>	<u>Ref</u>	<u>Control Description</u>		<u>Status</u>	<u>Owner</u>	
	PROP0022/003	To work effectively with District planners to communicate and identify the required infrastructure		In Place / Embedded	Andrea Gilmour	
	PROP0022/004	Provide regular updates to Members/stakeholders working with Districts to secure support for successful implementation of CIL		In Place / Embedded	Andrea Gilmour	
	PROP0022/005	Identification of possible alternative funding sources and interaction with fund bidding processes		In Place / Embedded	Mike Evans	
	PROP0022/006	Develop & maintain dialogue with central government depts as necessary to inform and influence policy and funding decisions		In Place / Embedded	Andrea Gilmour	
	PROP0022/007	Establish working relationships with Parish & Town Councils as necessary to achieve effective use of CIL funding		In Place / Embedded	Andrea Gilmour	
	PROP0022/008	Work with Districts to bring forward their Local Plans CIL charging and support HCC Infrastructure requirements		In Place / Embedded	Andrea Gilmour	
	PROP0022/002	Engage additional staff resource to drive forward work with Districts on Local Plans		In Progress / Taking Effect	Andrea Gilmour	

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<p><b>TEC0004</b> <i>Delivering our Vision</i> Old Category: <i>Corporate</i> Current Category: <i>Strategic</i></p> <p>In the event of failing to maintain and ensure the use of our security systems, technical protocols and change management processes, there is a risk of a cyber attack (virus, penetration or malicious internal action) on HCC's ICT environments causing significant service disruption and possible data loss</p>	<p>David Mansfield</p> <p>Head of Technology</p>	<p>We are continuing to assess and implement products, process improvements and user awareness to enhance our ability to identify and address emerging threats. Reviewed On :05/01/2018</p>	<p><b>Severe</b> <b>32</b></p> <p><b>Probability</b> Likely 4</p> <p><b>Impact</b> High 8</p>	<p>↔</p>	<p><b>Severe</b> <b>32</b></p> <p><b>Probability</b> Likely 4</p> <p><b>Impact</b> High 8</p>	<p><b>Significant</b> <b>16</b></p> <p><b>Probability</b> Unlikely 2</p> <p><b>Impact</b> High 8</p>

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<b>Controls:</b>	<u>Ref</u>	<u>Control Description</u>			<u>Status</u>	<u>Owner</u>
	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
	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
<b>CP0004</b> <i>Opportunity to be Healthy and Safe</i> <b>Current Category: Corporate</b>  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.	Guy Pratt  Deputy Director of Community Protection	The Risk owner has reviewed this risk measure and confirmed that there are no changes at the present time. Reviewed On :09/01/2018	<b>Significant</b> 24  Probability Possible 3  Impact High 8	↔	<b>Significant</b> 24  Probability Possible 3  Impact High 8	<b>Significant</b> 16  Probability Unlikely 2  Impact High 8

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<b>Controls:</b>	<u>Ref</u>	<u>Control Description</u>			<u>Status</u>	<u>Owner</u>
	CP0004/004	Herts Channel Panel meet regularly to provide multi agency support for vulnerable people at risk of being drawn into terrorism.			In Place / Embedded	Guy Pratt
	CP0004/002	Prevent Board to develop and regularly review progress of the Prevent action plan			In Progress / Taking Effect	Guy Pratt
	CP0004/005	Development and implementation of appropriate training to meet the requirements of the HCC Prevent action plan.			In Progress / Taking Effect	Guy Pratt
	CP0004/006	Collaboration with partners (incl schools) to coordinate Prevent activities			In Progress / Taking Effect	Guy Pratt
<b>CPRES0009</b> <i>Opportunity to Thrive</i> <b>Current Category: Corporate</b> 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.	Ian Parkhouse  Assistant Chief Fire Officer - Response and Resilience	The risk owner has reviewed this risk measure and confirmed that there are no changes at the present time. Reviewed On :09/01/2018	<b>Significant</b> 24  <b>Probability</b> Possible 3  <b>Impact</b> High 8	↔	<b>Significant</b> 24  <b>Probability</b> Possible 3  <b>Impact</b> High 8	<b>Significant</b> 12  <b>Probability</b> Possible 3  <b>Impact</b> Medium 4

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<b>Controls:</b>	<u>Ref</u>	<u>Control Description</u>			<u>Status</u>	<u>Owner</u>
	CPRES0009/001	Appropriate business continuity arrangements in place and regular annual reviews carried out			In Place / Embedded	Darren McLatchey
	CPRES0009/003	Each service holds a service level risk which is monitored and reviewed on a regular basis by the resilience team			In Place / Embedded	Darren McLatchey
	CPRES0009/002	Continually developing partnership working with agencies developing risk reduction strategies multi agency warn&inform strategy			In Progress / Taking Effect	Darren McLatchey

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<p><b>CSF0070</b> <i>Opportunity to Thrive</i> Old Category: <i>Corporate</i> Current Category: <i>Strategic</i></p> <p>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.</p>	<p>Simon Newland</p> <p>Assistant Director (Education Provision &amp; Access)</p>	<p>The authority will now plan only to meet demand, and with no margin for surplus capacity. This reduces the total scale of provision required, but the inevitable consequence is an increase in the number of localised problems if and when rolls are slightly at variance with our projections. An earlier Scrutiny of school place planning recommended operation with a 5% level of surplus, in part for this reason however such a policy position is no longer affordable. Where new schools are required, the Authority's strategy is to seek to secure as many sites as possible, and to seek to facilitate and support prospective promoters to develop and secure agreement and funding for Free Schools where we most need them and to acceptable standards. Value for money will be achieved by continuing so far as possible to fund or build new schools to minimum compliant standard,</p>	<p>Significant 24</p> <p>Probability Possible 3</p> <p>Impact High 8</p>	<p>↔</p>	<p>Significant 24</p> <p>Probability Possible 3</p> <p>Impact High 8</p>	<p>Significant 16</p> <p>Probability Unlikely 2</p> <p>Impact High 8</p>

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		subject to the challenges of successfully negotiating expansions with Academies. Reviewed On :15/01/2018				
<b>Controls:</b>	<b>Ref</b>	<b>Control Description</b>	<b>Status</b>		<b>Owner</b>	
	CSF0070/005	Minimise the number of expansions undertaken and continually review information management requirements	In Progress / Taking Effect		Simon Newland	
	CSF0070/006	Ensure value for money	In Progress / Taking Effect		Simon Newland	
	CSF0070/007	Secure access to additional funding from DfE	In Progress / Taking Effect		Simon Newland	
<b>CSF0082</b> <i>Opportunity to be Healthy and Safe</i> <b>Current Category: Corporate</b> As a result of national and local efficiencies, there is a risk that partnership funding may be withdrawn or withheld.	Jenny Coles  Director of Children's Services	Working with both CCGs to align children's commissioning more effectively. The Assistant Director for East and North Hertfordshire Clinical Commissioning Group on secondment to children's commissioning team; De-delegation of DSG (Dedicated Schools Grant) agreed by schools forum for 2018/19 Reviewed On :06/03/2018	22/12/2017 Significant 24  Probability Possible 3  Impact High 8	↔	Significant 24  Probability Possible 3  Impact High 8	Significant 12  Probability Possible 3  Impact Medium 4
<b>Controls:</b>	<b>Ref</b>	<b>Control Description</b>	<b>Status</b>		<b>Owner</b>	
	CSF0082/001	Maintain effective joint working relationships and joint planning	In Progress / Taking Effect		Jenny Coles	



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<p><b>CSF0083</b> Created Date: 22/12/2017</p> <p><i>Opportunity to Thrive</i></p> <p><b>Current Category: Corporate</b></p> <p>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).</p>	<p>Sue Williams</p> <p>Director of Family Safeguarding</p>	<p>Expected increase in LA costs has been realised. There has been a good working relationship set up with district councils and we are developing proposals for a joint targeted team to prevent homelessness and move families as quickly as possible to affordable accommodation where prevention is not achievable</p> <p>Reviewed On :06/03/2018</p>	<p>22/12/2017 Significant 24</p> <p>Probability Possible 3</p> <p>Impact High 8</p>	<p>↔</p>	<p>Significant 24</p> <p>Probability Possible 3</p> <p>Impact High 8</p>	<p>Significant 12</p> <p>Probability Possible 3</p> <p>Impact Medium 4</p>
<b>Controls:</b>	<b>Ref</b>	<b>Control Description</b>	<b>Status</b>	<b>Owner</b>		
	CSF0083/001	Maintain close working relationships with district councils and Registered Social Landlords	In Progress / Taking Effect	Sue Williams		

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<p><b>CSHF0016</b> <i>Delivering our Vision</i></p> <p><b>Current Category:</b> <i>Corporate</i></p> <p>In the event that the Authority does not develop sufficient and timely proposals to deal with the ongoing or further reductions in funding/resources, there is a risk that the need to close the funding gap may result in identifying measures for unplanned reductions in service spend leading to deterioration or interruption of front line service delivery. [Formerly CSHF0005 and CSHF0015]</p>	<p>Steven Pilsworth</p> <p>Assistant Director Finance</p>	<p>The Authority has reviewed all pressures for 2017/18 to deliver the budget. It continues to actively review the monitor position and is providing greater analysis of key risks within the monitor for 2017/18. Overall budget proposals for 2018/19 will be consulted on and taken through Cabinet and Council in February 2018. Controls have been reviewed and actions are being undertaken through the Integrated Planning Process and the SMART Journey Programme. Reviewed On :02/01/2018</p>	<p>Significant 24</p> <p>Probability Possible 3</p> <p>Impact High 8</p>	<p>↔</p>	<p>Significant 24</p> <p>Probability Possible 3</p> <p>Impact High 8</p>	<p>Significant 16</p> <p>Probability Unlikely 2</p> <p>Impact High 8</p>

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

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<p><b>ENV0142</b> <i>Opportunity to be Healthy and Safe</i> Old Category: <b>Corporate</b> Current Category: <b>Strategic</b></p> <p>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.</p>	<p>Simon Aries</p> <p>Assistant Director, Transport, Waste &amp; Environmental Management</p>	<p>The wording of the Corporate Risk has been amended to emphasis a shift in focus towards reviewing systems for tree inspection and management, incorporating best practice from other Local Authorities and national bodies (where appropriate), to enable an effective (and defendable) response to the increasing tree health threat. As a result, the scoring of the risk has been reviewed and increased from 20 to 24, although remains Significant. Reviewed On :22/12/2017</p>	<p>18/12/2017 Significant 20</p> <p><b>Probability</b> Almost Certain</p> <p><b>Impact</b> Medium 4</p>		<p>Significant 24</p> <p><b>Probability</b> Possible 3</p> <p><b>Impact</b> High 8</p>	<p>Significant 16</p> <p><b>Probability</b> Unlikely 2</p> <p><b>Impact</b> High 8</p>

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<b>Controls:</b>	<u>Ref</u>	<u>Control Description</u>		<u>Status</u>		<u>Owner</u>
	ENV0142/001	Raising awareness of the issues incl Tree Health pages on website; articles in relevant publications; engagement with partners		In Progress / Taking Effect		Tony Bradford
	ENV0142/002	Establishing extent and potential liability of ash tree population on Highways HCC is responsible to manage		In Progress / Taking Effect		Mike Younghusband
	ENV0142/003	Monitoring of the national and local tree health situation and specialist advice to feed into plans and actions		In Progress / Taking Effect		Tony Bradford
	ENV0142/004	Developing a framework for sharing best practice including the county council's internal Tree Health Network		In Progress / Taking Effect		Tony Bradford
	ENV0142/005	Lobbying the government for support and assistance in responding to the tree health issue in the county		In Progress / Taking Effect		Simon Aries
	ENV0142/007	Assess extent and potential liability of tree population on non-Highway HCC land incl Property HCC is responsible to manage		In Progress / Taking Effect		Trevor Mose
	ENV0142/008	Facilitate a coordinated approach across Hertfordshire to deliver a cost effective, proportionate, efficient response		In Progress / Taking Effect		Simon Aries
	ENV0142/009	Appropriate tree inspection regimes on highway land; summer inspections; staff trained to identify symptoms of relevant diseases		In Progress / Taking Effect		Mike Younghusband
	ENV0142/010	Appropriate tree inspection regimes - HCC land; staff trained to identify disease		In Progress / Taking Effect		Trevor Mose



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<p><b>HR0018</b> <i>Delivering our Vision</i></p> <p><b>Current Category: Corporate</b></p> <p>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.</p>	<p>Sally Hopper</p> <p>Assistant Director, Human Resources</p>	<p>The risk has been revised to clearly incorporate the element of safe staffing and the agreed HCC policy and practice in place throughout the organisation. The separate risk covering safe staffing legislation has therefore been withdrawn. Revised Core offer being launched. Responsibility for Service specific training sits with Children's Services, Adult Care Services, Fire and Rescue Learning &amp; Development (L&amp;D) Teams. L&amp;D Managers group meet quarterly. The HR service continues to monitor outcomes of Brexit on legislation for employing non UK nationals. SAP developments underway to ensure recording of nationality is in place. Reviewed On :02/01/2018</p>	<p>Significant 24</p> <p>Probability Possible 3</p> <p>Impact High 8</p>	<p>↔</p>	<p>Significant 24</p> <p>Probability Possible 3</p> <p>Impact High 8</p>	<p>Significant 16</p> <p>Probability Unlikely 2</p> <p>Impact High 8</p>



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<b>Controls:</b>	<u>Ref</u>	<u>Control Description</u>			<u>Status</u>	<u>Owner</u>
	HR0018/001	Enable review and monitoring of training provision; through People Strategy, Strategic Workforce Planning, Employee Lifecycle			In Place / Embedded	Sally Hopper
	HR0018/003	Incorporate HCC values & leadership qualities into new training provisions for managers			In Place / Embedded	Sally Hopper
	HR0018/004	Regular monitoring, workforce planning and forecasting - e.g. incl talent management and succession planning			In Place / Embedded	Sally Hopper
	HR0018/006	Deliver appropriate training to meet requirements of HCC Prevent action plan.			In Place / Embedded	Sally Hopper
	HR0018/005	Maintain and support PMDS scheme, appropriate career schemes and associated training, coaching / mentoring			In Progress / Taking Effect	Sally Hopper

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<p><b>IMP0001</b> <i>Delivering our Vision</i></p> <p><b>Current Category: Corporate</b></p> <p>There is a risk - of the loss/inappropriate acquisition/disclosure of sensitive personal or commercial data contrary to the requirements of the new General Data Protection Regulation (GDPR) which comes into force from 25 May 2018 - that we may breach the rights of data subjects; which could lead to harm to clients, impact on 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]</p>	<p>Stuart Bannerman Campbell</p> <p>Assistant Director, Improvement and Technology</p>	<p>Appropriate actions are taking place to ensure HCC implement measures to comply with the GDPR requirements. The Strategic Management Board considered aspects of this and further action to be taken at their 13th November 2017 meeting. All existing controls continue to be effective. Reviewed On :21/12/2017</p>	<p>Significant 24</p> <p><b>Probability</b> Possible 3</p> <p><b>Impact</b> High 8</p>	<p>↔</p>	<p>Significant 24</p> <p><b>Probability</b> Possible 3</p> <p><b>Impact</b> High 8</p>	<p>Significant 16</p> <p><b>Probability</b> Unlikely 2</p> <p><b>Impact</b> High 8</p>

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<b>Controls:</b>	<u>Ref</u>	<u>Control Description</u>			<u>Status</u>	<u>Owner</u>
	IMP0001/001	Policy framework is regularly reviewed and staff made aware of responsibilities			In Place / Embedded	Martin Aust
	IMP0001/003	Mandatory data protection training in place for all staff at induction and monitored.			In Place / Embedded	Elaine Dunncliffe
	IMP0001/004	Ensure HCC is linked into the Government's secure network to enable secure data exchange with central government services			In Place / Embedded	David Mansfield
	IMP0001/021	A common data sharing framework is in place and respective agreements reviewed and updated on a regular basis			In Place / Embedded	Elaine Dunncliffe
	IMP0001/005	Research and implement additional security features to protect HCC's electronic data			In Progress / Taking Effect	David Mansfield
	IMP0001/016	Regular additional targeted training delivered to members and staff groups that handle sensitive personal data			In Progress / Taking Effect	Elaine Dunncliffe
	IMP0001/023	Programme in place to address issues where poor data quality/info handling has been identified as the cause of data breaches			In Progress / Taking Effect	Elaine Dunncliffe
	IMP0001/028	Implement the HCC General Data Protection Regulation Action Plan			In Progress / Taking Effect	Elaine Dunncliffe

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<p><b>PROP0023</b> <i>Delivering our Vision</i> Old Category: <i>Corporate</i> Current Category: <i>Strategic</i></p> <p>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).</p>	<p>Mike Evans (Herts Living Limited)  Head of Estates &amp; Director of Herts Living Limited</p>	<p>Risk and control measures have been reviewed and the risk description has been amended to reflect the current position. The Property Company "Herts Living Limited" has been established and the recruitment of the Managing Director is complete. The procurement of a Strategic Joint Venture Partner is now at "preferred bidder" stage.</p> <p>Target score adjusted. Reviewed On :22/12/2017</p>	<p>Significant 24</p> <p>Probability Possible 3</p> <p>Impact High 8</p>	<p>↔</p>	<p>Significant 24</p> <p>Probability Possible 3</p> <p>Impact High 8</p>	<p>Significant 16</p> <p>Probability Unlikely 2</p> <p>Impact High 8</p>

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<b>Controls:</b>	<u>Ref</u>	<u>Control Description</u>		<u>Status</u>	<u>Owner</u>	
	PROP0023/002	Continue to determine the latest market value before taking any asset to sale		In Place / Embedded	Mike Evans	
	PROP0023/003	Take advantage of sale opportunities such as unsolicited approaches where possible subject to procurement rules being followed		In Place / Embedded	Mike Evans	
	<u>PROP0023/009</u>	<u>Maintain awareness of market conditions &amp; potential for change</u>		<u>In Place / Embedded</u>	<u>Mike Evans</u>	
	PROP0023/001	Herts Living Ltd Board of Directors to ensure governance, collaborate with the Joint Venture partner and brief Chief Exec Member		In Progress / Taking Effect	Mike Evans	
	PROP0023/004	Work with Finance & disposal teams to deliver an acceptable capital receipt programme & the receipts from the SJV		In Progress / Taking Effect	Mike Evans	
	PROP0023/005	Ensure Herts Living Ltd works with a Strategic Joint Venture Partner to ensure agreed delivery pace is being achieved.		In Progress / Taking Effect	Mike Evans	
	PROP0023/006	Establish joint venture arrangements		In Progress / Taking Effect	Mike Evans	
	PROP0023/007	Continue to identify pipeline surplus sites/assets and develop these to maximise the potential capital receipt.		In Progress / Taking Effect	Mike Evans	
<u>PROP0023/008</u>	<u>Gain social value from arrangements. provide social benefits that will impact on economic &amp; social well-being of the community</u>		<u>In Progress / Taking Effect</u>	<u>Mike Evans</u>		

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<p><b>SP0005</b> <i>Delivering our Vision</i></p> <p><b>Current Category:</b> <i>Corporate</i></p> <p>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]</p>	<p>Steven Pilsworth</p> <p>Assistant Director Finance</p>	<p>The risk owner has reviewed the risk and controls and amended the target score to reflect the short to medium term. Many controls are now embedded, the specialist procurement training programme continues and the SMART Commercial review process will inform any changes and improvements. Reviewed On :21/12/2017</p>	<p>Significant 24</p> <p>Probability Possible 3</p> <p>Impact High 8</p>	<p>↔</p>	<p>Significant 24</p> <p>Probability Possible 3</p> <p>Impact High 8</p>	<p>Significant 16</p> <p>Probability Unlikely 2</p> <p>Impact High 8</p>

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<b>Controls:</b>	<u>Ref</u>	<u>Control Description</u>			<u>Status</u>	<u>Owner</u>
	SP0005/002	Effective use of The Procurement Cycle (the 'Do, Buy, Share' model of procurement)			In Place / Embedded	Paul Drake
	SP0005/006	Regular newsletter and Contracting Best Practice meeting which takes place bi monthly			In Place / Embedded	Paul Drake
	SP0005/008	SPG team specialist support to key business areas			In Place / Embedded	Paul Drake
	SP0005/010	Effective service and contractual checks are made by contracting managers pre contract placement and on an ongoing basis			In Place / Embedded	Paul Drake
	SP0005/011	HCC's Technology team provide support to contracting managers to assess ICT implications and security.			In Place / Embedded	David Mansfield
	SP0005/005	Deliver specialist procurement training programme			In Progress / Taking Effect	Paul Drake
	SP0005/009	Commercial skills assessment undertaken through SMART Commercial programme			In Progress / Taking Effect	Paul Drake

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<b>AUDIT0001</b> <i>Delivering our Vision</i> <b>Current Category: Corporate</b> There is a risk that the Council experiences significant fraud	Terry Barnett  Head of Assurance	The risk and its controls have been reviewed by the risk owner. All Control measures have been reviewed for this risk and these all remain embedded within the service continuing to successfully keep the risk at its current score level. The SAFS programme of work and action plan is continually evolving to tackle the ever increasing new and diverse methods used to commit fraud. Reviewed On :14/12/2017	Significant 16  Probability Likely 4  Impact Medium 4		Significant 16  Probability Likely 4  Impact Medium 4	Significant 16  Probability Likely 4  Impact Medium 4
<b>Controls:</b>	<b>Ref</b>	<b>Control Description</b>			<b>Status</b>	<b>Owner</b>
	AUDIT0001/001	Risk based programme of work by both SIAS and SAFS focussing on areas that are susceptible to fraud			In Place / Embedded	Terry Barnett
	AUDIT0001/006	Managing the content from the Fraud reporting facility available through www.hertfordshire.gov.uk and the new intranet site.			In Place / Embedded	Terry Barnett
	AUDIT0001/007	Oversight of fraud risk at audit committee through regular reporting by SAFS			In Place / Embedded	Terry Barnett



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<p><b>CPRES0001</b> <i>Delivering our Vision</i></p> <p><b>Current Category:</b> <i>Corporate</i></p> <p>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)</p>	<p>Ian Parkhouse</p> <p>Assistant Chief Fire Officer - Response and Resilience</p>	<p>The risk owner has reviewed this risk measure and confirmed that there are no changes at the present time. Reviewed On :09/01/2018</p>	<p>Significant 16</p> <p><b>Probability</b> Rare 1</p> <p><b>Impact</b> Very High 16</p>	<p>↔</p>	<p>Significant 16</p> <p><b>Probability</b> Rare 1</p> <p><b>Impact</b> Very High 16</p>	<p>Significant 16</p> <p><b>Probability</b> Rare 1</p> <p><b>Impact</b> Very High 16</p>

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<b>Controls:</b>	<u>Ref</u>	<u>Control Description</u>			<u>Status</u>	<u>Owner</u>
	CPRES0001/001	Continually review LRF business plan/objectives to ensure suitable measures are in place to meet key priorities/areas of concern			In Place / Embedded	Darren McLatchey
	CPRES0001/002	HCC an active participant in LRF activity			In Place / Embedded	Darren McLatchey
	CPRES0001/003	Agreed programme of training/exercising, including development plan for LRF members & internal incident response managers			In Place / Embedded	Darren McLatchey
	CPRES0001/006	Regular Review and update of the Community Risk Register checking for potential risks that are relevant.			In Place / Embedded	Darren McLatchey
	CPRES0001/007	Agreed annual programme of reviewing inter-agency plans undertaken			In Place / Embedded	Darren McLatchey

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<b>CPRES0002</b> <i>Delivering our Vision</i> <b>Current Category: Corporate</b> 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. Reviewed On :09/01/2018	<div style="background-color: #f4a460; padding: 5px; text-align: center;">Significant 16</div> Probability Rare 1  Impact Very High 16	↔	<div style="background-color: #f4a460; padding: 5px; text-align: center;">Significant 16</div> Probability Rare 1  Impact Very High 16	<div style="background-color: #f4a460; padding: 5px; text-align: center;">Significant 16</div> Probability Rare 1  Impact Very High 16
<b>Controls:</b>	<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		

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<b>CSHF0002</b> <i>Delivering our Vision</i> <b>Current Category: Corporate</b> 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	Steven Pilsworth  Assistant Director Finance	The performance of the fund continues to be monitored. Quarterly Actuarial Navigator reports are shared with the pensions committee. Latest position shows the funding level to be around 97% as at 30 September 2017. The risk and controls have been reviewed in the context of the triennial re-evaluation of the fund. Reviewed On :02/01/2018	Significant 16  Probability Rare 1  Impact Very High 16		Significant 16  Probability Rare 1  Impact Very High 16	Significant 16  Probability Rare 1  Impact Very High 16
<b>Controls:</b>	<b>Ref</b>	<b>Control Description</b>	<b>Status</b>		<b>Owner</b>	
	CSHF0002/002	Monitor ongoing market conditions and fund performance.	In Place / Embedded		Patrick Towey	
	CSHF0002/003	Ensure investment decisions are made in line with the strategy and are adequately diversified	In Place / Embedded		Patrick Towey	
	CSHF0002/004	Ensure that bond guarantee arrangements are in place for guaranteed admitted bodies which are subject to ongoing monitoring	In Place / Embedded		Patrick Towey	

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<b>ENV0033</b> <i>Opportunity to be Healthy and Safe</i> <b>Current Category: Corporate</b> 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.	Rob Smith  Deputy Director Environment	Risk reviewed. No change to report this quarter as it remains pertinent. Reviewed On :19/12/2017	Significant 16  Probability Unlikely 2  Impact High 8		Significant 16  Probability Unlikely 2  Impact High 8	Material 8  Probability Rare 1  Impact High 8
<b>Controls:</b>	<b>Ref</b>	<b>Control Description</b>	<b>Status</b>	<b>Owner</b>		
	ENV0033/001	Regular performance monitoring	In Place / Embedded	Rob Smith		
	ENV0033/002	Efficient Asset management principles	In Place / Embedded	Rob Smith		
	ENV0033/003	Claims information reported on request to Environment by the Insurance team	In Place / Embedded	Fiona Timms		
	ENV0033/005	Review and monitor Highways triage system	In Place / Embedded	Rob Smith		
	ENV0033/006	Member decision for targeted extra investment in enhanced maintenance project	In Place / Embedded	Rob Smith		
	ENV0033/008	Continue to work with the administration on setting funding needs	In Place / Embedded	Rob Smith		
	ENV0033/004	Review of Maintenance Strategy	In Progress / Taking Effect	Rob Smith		
ENV0033/007	End to end delivery review of scheme works to ensure effective and efficient delivery (value for money)	In Progress / Taking Effect	Rob Smith			

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<p><b>HFRS0004</b> <i>Delivering our Vision</i></p> <p><b>Current Category: Corporate</b></p> <p>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.</p>	<p>Steve Tant</p> <p>Assistant Chief Fire Officer</p>	<p>Whilst the Service is working to improve on the statistics detailed within the October 2017 update, the supply of confirmatory data has been effected by the implementation of our new Vision 4 Mobilising system, which should be resolved in the near future. In addition, to alleviate problems regarding the 'inability of some staff being able to record their training', the service is in the process of procuring a new Integrated Personnel Development System system called PDR Pro to replace our existing Sophtlogic system.</p> <p>That said, CPD's Training and Development Centre have confirmed that, in 2017:</p> <ul style="list-style-type: none"> <li>- 97% of relevant personnel to have completed an appropriate Incident Command course.</li> <li>- 98% of personnel have completed an appropriate Breathing Apparatus</li> </ul>	<p>Significant 16</p> <p>Probability Unlikely 2</p> <p>Impact High 8</p>	<p>↔</p>	<p>Significant 16</p> <p>Probability Unlikely 2</p> <p>Impact High 8</p>	<p>Significant 16</p> <p>Probability Unlikely 2</p> <p>Impact High 8</p>

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		Refresher course.  Which demonstrates the continual improvement made over recent years in these particular areas. Reviewed On :09/01/2018				
<b>Controls:</b>	<b>Ref</b>	<b>Control Description</b>			<b>Status</b>	<b>Owner</b>
	HFRS0004/001	Review and monitor the Integrated Personal Development System to ensure National training requirements are being met.			In Place / Embedded	Chris Bigland
	HFRS0004/002	Station Audit Process			In Place / Embedded	Chris Bigland
	HFRS0004/004	Feedback from standard meetings informs improvements in equipment, technique and performance to drive the Service forward			In Place / Embedded	Chris Bigland
	<u>HFRS0004/005</u>	<u>CPD`s Strategic Operations and Training Board (SOTB) have signed off the Services 2018 Annual Training Plan.</u>			<u>In Place / Embedded</u>	<u>Chris Bigland</u>

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<p><b>PHD0014</b> <i>Opportunity to be Healthy and Safe</i></p> <p><b>Current Category: Corporate</b></p> <p>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 so may not be able to escalate and take corrective action which may result in higher rates of morbidity or mortality of Hertfordshire residents.</p>	<p>Joel Bonnet</p> <p>Deputy Director of Public Health</p>	<p>Risk remains in place and score unchanged. Wording has been amended slightly to better reflect the risk. Reviewed On :02/01/2018</p>	<p>Significant 16</p> <p>Probability Rare 1</p> <p>Impact Very High 16</p>	<p>↔</p>	<p>Significant 16</p> <p>Probability Rare 1</p> <p>Impact Very High 16</p>	<p>Significant 16</p> <p>Probability Rare 1</p> <p>Impact Very High 16</p>



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<b>Controls:</b>	<u>Ref</u>	<u>Control Description</u>			<u>Status</u>	<u>Owner</u>
	PHD0014/002	The Local Health Resilience Partnership (LHRP) meets quarterly			In Place / Embedded	Jim McManus
	PHD0014/003	Hertfordshire Resilience Major Incident Framework Version 1.3 Dec 2017 – describes Herts approach to emergency situations			In Place / Embedded	Darren McLatchey
	PHD0014/004	Structures processes and people in place - allow communication between key partners for review and monitoring of the			In Place / Embedded	Jim McManus
	PHD0014/005	Hertfordshire follows the national guidance on management of infectious outbreaks and pandemic flu			In Place / Embedded	Jim McManus
	<u>PHD0014/006</u>	<u>Qrtly update to LHRP on progress with detailed arrangements for health protection incidents as identified in 2017 national audit</u>			<u>In Place / Embedded</u>	<u>Gill Goodlad</u>
<b>HR0023</b> <i>Delivering our Vision</i> <b>Current Category: Corporate</b>  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.	Sally Hopper  Assistant Director, Human Resources	Levy has gone live. Work being undertaken with Boards to enroll existing staff onto standards and embed into workforce planning i.e. vacancies being considered as Apprentice first and other options second. Reviewed On :02/01/2018	<b>Significant</b> 12  Probability Possible 3  Impact Medium 4	↔	<b>Significant</b> 12  Probability Possible 3  Impact Medium 4	<b>Material</b> 8  Probability Unlikely 2  Impact Medium 4

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<b>Controls:</b>	<u>Ref</u>	<u>Control Description</u>			<u>Status</u>	<u>Owner</u>
	HR0023/002	Identification of departmental Apprenticeship opportunities through strategic workforce planning			In Place / Embedded	Sally Hopper
	HR0023/003	Procure training funded through the Apprenticeship Levy			In Place / Embedded	Sally Hopper
	HR0023/004	Work in partnership to develop and maintain the Hertfordshire Apprenticeship Alliance (HAA)			In Place / Embedded	Sally Hopper
	HR0023/005	Develop effective processes to reclaim this tax through the digital account			In Place / Embedded	Sally Hopper
<b>PROP0018</b> <i>Opportunity to be Healthy and Safe</i> <b>Current Category: Corporate</b>  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.	Mike Evans  Head of Estate & Asset Management	Risk and control measures have been reviewed. The re-procurement of the Property Management Services contract is close to conclusion and a new contract will be in place April 2018. Disposal of small parcels of land through the use of auctions is ongoing. No change to current or target risk scores. Reviewed On :20/12/2017	<b>Significant</b> 12  <b>Probability</b> Possible 3  <b>Impact</b> Medium 4	↔	<b>Significant</b> 12  <b>Probability</b> Possible 3  <b>Impact</b> Medium 4	<b>Material</b> 8  <b>Probability</b> Unlikely 2  <b>Impact</b> Medium 4

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<b>Controls:</b>	<b>Ref</b>	<b>Control Description</b>			<b>Status</b>	<b>Owner</b>
	PROP0018/001	Processes to identify land to which this risk applies have been identified and are in use			In Place / Embedded	Mike Evans
	PROP0018/002	Agreement to be reached on what management regimes can be implemented/alternative solutions deployed to resolve potential issues			In Place / Embedded	Mike Evans
	PROP0018/003	Follow Out of Use land and property management processes to ensure it is managed appropriately.			In Progress / Taking Effect	Mike Evans
<b>ENV0030</b> <i>Opportunity to be Healthy and Safe</i> <b>Current Category: Corporate</b>  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.	Rob Smith  Deputy Director Environment	The risk owner has considered data and information in respect to this risk, including insurance claims, and is content with the scoring of the risk. Reviewed On :05/01/2018	<b>Material</b> 8  <b>Probability</b> Rare 1  <b>Impact</b> High 8	↔	<b>Material</b> 8  <b>Probability</b> Rare 1  <b>Impact</b> High 8	<b>Material</b> 8  <b>Probability</b> Rare 1  <b>Impact</b> High 8

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<b>Controls:</b>	<u>Ref</u>	<u>Control Description</u>			<u>Status</u>	<u>Owner</u>
	ENV0030/001	Protocol for the investigation of road deaths agreed with police.			In Place / Embedded	Rob Smith
	ENV0030/002	Annual programmes of accident remedial engineering schemes, and structural and routine maintenance in place			In Place / Embedded	Rob Smith
	ENV0030/003	Broad and accessible fault reporting procedure available to members of the public			In Place / Embedded	Rob Smith
	ENV0030/004	Quarterly reports from Insurance Team on High Court Cases			In Place / Embedded	Rob Smith
	ENV0030/005	Audit of inspections & inspection programme			In Place / Embedded	Rob Smith
	ENV0030/006	Follow protocol for Serious Injury accidents which may result in significant insurance claims			In Place / Embedded	Rob Smith
	ENV0030/007	Back up process for online fault report system available.			In Place / Embedded	Steve Johnson