

# Recent movement report: - Corporate & Strategic Risk Register for December 2019 Audit Committee

Report Date: 12/11/2019

Date of Previous Risk Score: 16/08/2019



Notes: References highlighted **Purple** have been added since the 16/08/2019.

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| <p><b>CSHF0016</b><br/><i>Delivering our Vision</i></p> <p><b>Current Category:</b> <i>Corporate &amp; Strategic Risk Register</i><br/><i>Current Type : 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.<br/>[Formerly CSHF0005 and CSHF0015]</p> | <p>Steven Pilsworth</p> <p>Assistant Director - Finance</p> | <p>Following the 2019 Spending Review (04/09/2019) a review is taking place on the impact of surprise potential increase in funds. Opposite direction from original risk has occurred- due to early spending review, the Council has sufficient time to plan its proposals for resources and savings. The earlier start is anticipated to enable the necessary additional savings to be identified and appropriate consultation and implementation plans to be drawn up in sufficient time. This will continue to be reviewed by SMB over the coming months/ IP period.<br/>Reviewed On :09/09/2019</p> | <p><b>Severe</b><br/>48</p> <p><b>Probability</b><br/>Possible<br/>3</p> <p><b>Impact</b><br/>Very High<br/>16</p> | <p>↔</p>           | <p><b>Severe</b><br/>48</p> <p><b>Probability</b><br/>Possible<br/>3</p> <p><b>Impact</b><br/>Very High<br/>16</p> | <p><b>Significant</b><br/>24</p> <p><b>Probability</b><br/>Possible<br/>3</p> <p><b>Impact</b><br/>High<br/>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         |                    | Steven Pilsworth  |
|  | 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 | Ongoing discussions with NHS CCGs on funding with CCGs. Quarterly meetings with CCGs Chief Financial Officers to discuss.        |                     | 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 |                    | Phil Herd         |
|  | CSHF0016/006 | Take account and anticipate changes through analysis of Government papers/announcement so management can make informed decisions |                     | In Progress / Taking Effect |                    | Steven Pilsworth  |
|  | CSHF0016/007 | Continue to carry out Service-led budget reviews   |                     | In Place / Embedded         |                    | Steven Pilsworth  |
|  | CSHF0016/008 | Horizon scanning/policy Network  |                     | In Place / Embedded         |                    | Alex James        |
|  | CSHF0016/009 | Manage the Delivering Transformation Programme to support the delivery of innovation and efficiencies                            |                     | In Progress / Taking Effect |                    | Seema Aggarwal    |

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| <p><b>PROP0031</b><br/><i>Delivering our Vision</i></p> <p><b>Current Category:</b> <i>Corporate &amp; Strategic Risk Register</i><br/><i>Current Type : Strategic</i></p> <p>In the event that funding streams for infrastructure delivery and master planning are delayed or limited and/or partner aims are not fully aligned, there is a risk that major developments (e.g. the Brookfield Garden Village, Brookfield Riverside development and Baldock urban extension), using county council assets, may be unable to secure the resources (human and financial) or make the progress required, which may result in a failure to achieve the significant land value uplift and place making opportunities that these developments would bring to the communities of Hertfordshire; impacts including financial and reputational implications.</p> | <p>Sass Pledger</p> <p>Assistant Director<br/>Property</p> | <p>Risk and control measures have been reviewed and no changes to current and target risk scores. HCC are still awaiting the outcome of the HIF bid which will be a catalyst to successful project delivery.<br/>Reviewed On :07/10/2019</p> | <p><b>Severe</b><br/><b>48</b></p> <p><b>Probability</b><br/>Possible<br/>3</p> <p><b>Impact</b><br/>Very High<br/>16</p> | <p>↔</p>           | <p><b>Severe</b><br/><b>48</b></p> <p><b>Probability</b><br/>Possible<br/>3</p> <p><b>Impact</b><br/>Very High<br/>16</p> | <p><b>Severe</b><br/><b>32</b></p> <p><b>Probability</b><br/>Unlikely<br/>2</p> <p><b>Impact</b><br/>Very High<br/>16</p> |

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|  | PROP0031/001 | A governance system including risk management, with both partnership and technical boards                       |                     | In Progress / Taking Effect |                    | Mike Evans        |
|  | PROP0031/002 | Housing Infrastructure bid of £38m and £22m, Brookfield and Baldock respectively                                |                     | In Progress / Taking Effect |                    | Mike Evans        |
|  | PROP0031/003 | Regular member and senior officer collaboration to maintain a joined-up vision                                  |                     | In Progress / Taking Effect |                    | Mike Evans        |
|  | PROP0031/004 | Project focussed multi-disciplinary teams for programme delivery  |                     | Proposed                    |                    | Mike Evans        |
|  | PROP0031/006 | Consultation and close working with parties affected by re-location   |                     | In Progress / Taking Effect |                    | Mike Evans        |
|  | PROP0031/007 | Contingencies if expected funding streams are delayed, not available or inadequate                              |                     | Proposed                    |                    | Mike Evans        |
|  | PROP0031/008 | Develop and maintain relationships with Homes England and other possible funding sources (LEP and OPE)          |                     | In Place / Embedded         |                    | Mike Evans        |
|  | PROP0031/009 | Consider using partners (e.g. Chalkdene & Homes England) to progress large scale projects to limit council debt |                     | Proposed                    |                    | Mike Evans        |

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| <p><b>ACSOP0002</b><br/><i>Opportunity to enjoy healthy and safe lives</i></p> <p><b>Current Category: Corporate &amp; Strategic Risk Register</b><br/><i>Current Type : Corporate</i></p> <p>In the event of a (or more than one) Hertfordshire Care Provider failing or ceasing service, there is a risk that this may result in poor care to service users or safeguarding issues and reputational impacts. [replacing ref: HCSCP0001]</p> | <p>Chris Badger</p> <p>Operations Director, Older People</p> | <p>Risk reviewed by Risk Owner in October 2019. Risk wording and scores to remain the same. Herts at Home continues to grow and mature which is a key element of the Council's mitigation if a provider were to fail. Herts at Home mobilizing to take on further homecare contracts in April 2020.<br/>Reviewed On :08/10/2019</p> | <p><b>Severe</b><br/><b>32</b></p> <p><b>Probability</b><br/>Unlikely<br/>2</p> <p><b>Impact</b><br/>Very High<br/>16</p> | <p>↔</p>           | <p><b>Severe</b><br/><b>32</b></p> <p><b>Probability</b><br/>Unlikely<br/>2</p> <p><b>Impact</b><br/>Very High<br/>16</p> | <p><b>Significant</b><br/>16</p> <p><b>Probability</b><br/>Unlikely<br/>2</p> <p><b>Impact</b><br/>High<br/>8</p> |

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|  | ACSOP0002/001 | Use ACS Contract Monitoring Procedures   |                     | In Place / Embedded         |                    | Chris Badger      |
|  | ACSOP0002/002 | Learning and development of care providers   |                     | In Place / Embedded         |                    | Mark Gwynne       |
|  | ACSOP0002/003 | Market Quality and Resilience Programme Board providing; overview of provider quality; escalate any issues to relevant agency    |                     | In Place / Embedded         |                    | Chris Badger      |
|  | ACSOP0002/005 | Multi Agency Service Quality Improvement Group, analyse data and evaluate risk monthly and take appropriate action with partners |                     | In Place / Embedded         |                    | Chris Badger      |
|  | ACSOP0002/006 | Utilise Herts at Home, set up as provider of last resort, to enable ACS to respond to instances of provider failure              |                     | In Progress / Taking Effect |                    | Chris Badger      |
|  | ACSOP0002/007 | Establish new arrangements of ACH panel to review / scrutinise market intelligence   |                     | In Progress / Taking Effect |                    | Chris Badger      |
|  | ACSOP0002/008 | Consider relevant SIAS audit recommendations and undertake agreed officer actions in respect to ACS practice and monitoring      |                     | In Progress / Taking Effect |                    | Chris Badger      |
|  | ACSOP0002/009 | Agree new workforce strategy to help secure appropriate workforce for social care providers                                      |                     | In Progress / Taking Effect |                    | Tom Hennessey     |
|  | ACSOP0002/010 | Agree sustainable inflationary increase for social care providers in line with key costs, such as National Living Wage           |                     | In Progress / Taking Effect |                    | Helen Maneuf      |

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| <p><b>CS0019</b><br/><i>Delivering our Vision</i></p> <p><b>Current Category:</b> <i>Corporate &amp; Strategic Risk Register</i></p> <p><i>Current Type : Strategic</i></p> <p>As a result of increased uncertainty (including the likelihood of short term Government spending reviews in 2019/20 and 2020/21) regarding future funding streams for the county council, there is a risk that a resource reduction is announced too late for savings to be put in place, leading to emergency action being required.</p> | <p>Scott<br/>Crudgington</p> <p>Director of<br/>Resources</p> | <p>As of 04/09/2019 Spending Review- the early spending review means that the council will not face risk in terms of leaving insufficient time to prepare new savings proposals. Also, instead of the negative expected announcement, a positive announcement was made. A review is taking place on the impact of surprise potential increase in funds announced early. The earlier start is anticipated to enable the necessary additional savings to be identified and appropriate consultation and implementation plans to be drawn up in sufficient time. This will continue to be reviewed by SMB over the coming months/ IP period.<br/>Reviewed On :09/09/2019</p> | <p><b>Severe</b><br/><b>32</b></p> <p><b>Probability</b><br/>Likely<br/>4</p> <p><b>Impact</b><br/>High<br/>8</p> | <p>↔</p>           | <p><b>Severe</b><br/><b>32</b></p> <p><b>Probability</b><br/>Likely<br/>4</p> <p><b>Impact</b><br/>High<br/>8</p> | <p><b>Significant</b><br/><b>24</b></p> <p><b>Probability</b><br/>Possible<br/>3</p> <p><b>Impact</b><br/>High<br/>8</p> |

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|  | CS0019/001 | Detailed review of debates on the nature of future funding arrangements   |                     | In Place / Embedded         |                    | Steven Pilsworth  |
|  | CS0019/002 | Input to lobbying, e.g. through LGA, CCN, SCT   |                     | In Progress / Taking Effect |                    | Steven Pilsworth  |
|  | CS0019/003 | Participation in data gathering exercises (e.g. by MHCLG)   |                     | In Progress / Taking Effect |                    | Steven Pilsworth  |
|  | CS0019/004 | Early consideration of savings options ahead of 'normal' IP timetable beginning   |                     | In Progress / Taking Effect |                    | Steven Pilsworth  |
|  | CS0019/005 | Establish a reserve for use if a significant reduction of funding is announced very late in preparations for budget for 2020/21 |                     | In Progress / Taking Effect |                    | Steven Pilsworth  |
|  | CS0019/006 | Development of a clear set of measures with cabinet to ensure that the council is prepared for savings that may be required     |                     | In Progress / Taking Effect |                    | Steven Pilsworth  |



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| <b>CS0020</b><br><i>Delivering our Vision</i><br><br><b>Current Category: Corporate &amp; Strategic Risk Register</b><br><i>Current Type : Corporate</i><br>As a result of successfully taking over £300m in savings since 2010, remaining efficiencies and initiatives to bring savings are both more complex and riskier to achieve. Therefore, there is an increased risk across the whole Integrated Planning (IP) period that planned savings are delayed or not achieved, leading to an increase in the funding gap, which may lead to unplanned reductions in service delivery and an inability to meet future demands | Scott Crudgington<br><br>Director of Resources | Savings planning for IP20 started early ( January instead of June) and informed by previous delivery. Ongoing chief officer engagement. Reviewed On :09/09/2019 | <div style="background-color: red; color: white; padding: 5px; text-align: center;"><b>Severe</b><br/><b>32</b></div> Probability<br>Likely<br>4<br><br>Impact<br>High<br>8 | ↔                  | <div style="background-color: red; color: white; padding: 5px; text-align: center;"><b>Severe</b><br/><b>32</b></div> Probability<br>Likely<br>4<br><br>Impact<br>High<br>8 | <div style="background-color: orange; padding: 5px; text-align: center;"><b>Significant</b><br/><b>24</b></div> Probability<br>Possible<br>3<br><br>Impact<br>High<br>8 |
| <b>Controls:</b>  | <b>Ref</b>                                     | <b>Control Description</b>  | <b>Status</b>   | <b>Owner</b>       |   |   |
|   | CS0020/001                                     | Assess robustness of savings through the corporate finance team as part of the budget preparation   | In Progress / Taking Effect   | Steven Pilsworth   |   |   |
|   | CS0020/002                                     | Ensure finance monitors to SMB and Cabinet include assessment of likely delivery of savings in year, impact across future years                                 | In Place / Embedded   | Steven Pilsworth   |   |   |
|   | CS0020/003                                     | Ensure overall delivery of savings is also reflected in the forecast outturn position   | In Progress / Taking Effect   | Steven Pilsworth   |   |   |

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| <p><b>CSF0055</b><br/><i>Opportunity to enjoy healthy and safe lives</i></p> <p><b>Current Category: Corporate &amp; Strategic Risk Register</b><br/><i>Current Type : Corporate</i></p> <p>In the event of inappropriate care or attention there is a risk that a child or young person could die or become seriously injured. In addition to the death or serious injury of the child, this could lead to formal intervention by Government and/or legal action by families or carers.</p> | <p>Jenny Coles</p> <p>Director of Children's Services</p> | <p>All of the actions from Serious Case Reviews are now being overseen by our Herts Safeguarding Children Partnership Sub Group on Practice, Procedures and Policy. All actions are being completed or progressed by the partnership.</p> <p>Ongoing audit work continues to be undertaken in the service to ensure that children's plans are appropriate, and the relevant support and challenge is provided to families.<br/>Reviewed On :11/10/2019</p> | <p><b>Severe</b><br/><b>32</b></p> <p><b>Probability</b><br/>Unlikely<br/>2</p> <p><b>Impact</b><br/>Very High<br/>16</p> | <p>↔</p>           | <p><b>Severe</b><br/><b>32</b></p> <p><b>Probability</b><br/>Unlikely<br/>2</p> <p><b>Impact</b><br/>Very High<br/>16</p> | <p><b>Severe</b><br/><b>32</b></p> <p><b>Probability</b><br/>Unlikely<br/>2</p> <p><b>Impact</b><br/>Very High<br/>16</p> |
| <b>Controls:</b>   | <b>Ref</b>  | <b>Control Description</b>   | <b>Status</b>   | <b>Owner</b>       |   |   |
|  | CSF0055/003   | Maintain casework practice and implement recommendations of reviews  | In Progress / Taking Effect   | Matt Ansell        |   |   |
|  | CSF0055/004   | Continually monitor and review safeguarding practice and services within the council and with partners under the HSCB  | In Progress / Taking Effect   | Matt Ansell        |   |   |
|  | CSF0055/005   | Implement peer review and inspection actions   | In Progress / Taking Effect   | Matt Ansell        |   |   |

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| <p><b>ENV0149</b><br/><i>Opportunity to share in Hertfordshire's prosperity</i></p> <p><b>Current Category:</b> <i>Corporate &amp; Strategic Risk Register</i><br/><i>Current Type : Strategic</i></p> <p>As a result of the restrictions introduced in 2015 on the use of S106 for the pooling of developer contributions towards new infrastructure together with the introduction of the Community Infrastructure Levy (CIL), there is a risk that the uptake of CIL, which is the Government's preferred method for pooling contributions, remains slow, and due to the limited influence HCC can bring to bear over the districts on the spending priorities of CIL revenue as a non CIL charging Authority, this may result in there being insufficient money to support infrastructure needs derived from new housing. [Formerly PROP0022 &amp; CSCE0023]</p> | <p>Patsy Dell</p> <p>Assistant Director<br/>Strategic Planning,<br/>Infrastructure and<br/>Economy</p> | <p>The pilot project has now concluded, with a list of recommendations for Hertfordshire authorities which includes (but is not limited to) the exploration of pooling for S106 and CIL. New CIL Regulations came into force from 1st September which now remove restrictions around pooling.</p> <p>However, authorities must be mindful of the need to meet legal tests surrounding S106, so a return to the former system of collecting S106 funds into pots for generic infrastructure needs (to be spent at a later date) is not appropriate either.</p> <p>In order to truly maximise the collection of developer contributions for strategic infrastructure projects brought about through the impact of cumulative development the earliest adoption of a CIL (at appropriate rates) by the Hertfordshire authorities is strongly recommended.<br/>Reviewed On :01/10/2019</p> | <p><b>Severe</b><br/><b>32</b></p> <p><b>Probability</b><br/>Likely<br/>4</p> <p><b>Impact</b><br/>High<br/>8</p> | <p>↔</p>           | <p><b>Severe</b><br/><b>32</b></p> <p><b>Probability</b><br/>Likely<br/>4</p> <p><b>Impact</b><br/>High<br/>8</p> | <p><b>Significant</b><br/><b>12</b></p> <p><b>Probability</b><br/>Possible<br/>3</p> <p><b>Impact</b><br/>Medium<br/>4</p> |

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|  | ENV0149/002 | Engage additional staff resource to drive forward work with Districts on Local Plans  |                     | In Progress / Taking Effect | Patsy Dell         |                   |
|  | ENV0149/003 | To work effectively with District planners to communicate and identify the required infrastructure                            |                     | In Place / Embedded         | Patsy Dell         |                   |
|  | ENV0149/004 | Provide regular updates to Members/stakeholders working with Districts to secure support for successful implementation of CIL |                     | In Place / Embedded         | Patsy Dell         |                   |
|  | ENV0149/005 | Identification of possible alternative funding sources and interaction with fund bidding processes                            |                     | In Place / Embedded         | Patsy Dell         |                   |
|  | ENV0149/006 | Develop & maintain dialogue with central government depts as necessary to inform and influence policy and funding decisions   |                     | In Place / Embedded         | Patsy Dell         |                   |
|  | ENV0149/007 | Establish working relationships with Parish & Town Councils as necessary to achieve effective use of CIL funding              |                     | In Place / Embedded         | Patsy Dell         |                   |
|  | ENV0149/008 | Work with Districts to bring forward their Local Plans CIL charging and support HCC Infrastructure requirements               |                     | In Place / Embedded         | Patsy Dell         |                   |

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| <p><b>HFRS0007</b><br/><i>Opportunity to enjoy healthy and safe lives</i></p> <p><b>Current Category:</b> <i>Corporate &amp; Strategic Risk Register</i><br/><i>Current Type : 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>Gus Cuthbert</p> <p>Assistant Director Protection (OPS)</p> | <p>The National Coordination and Advisory Framework (NCAF) electronic support system overseen by the National Resilience Assurance Team (NRAT) and National Resilience Fire Control (NRFC) based in Merseyside Fire and Rescue Service maintains a 24/7 overview of the availability and deployment of National Resilience assets. Before and during an incident, the NRFC and NRAT monitors, manages and co ordinates the mobilisation of national resilience assets in conjunction with NRAT, the National Resilience Duty Officer, and supporting fire and rescue authorities using the Electronic Supporting System (ESS). It will also co ordinate the deployment of the National Strategic Advisory Team (NSAT) who provide advice and support to co ordinating groups, where required.</p> <p>HFRS have:<br/>Implement standard procedures for reporting to</p> | <p><b>Severe</b><br/><b>32</b></p> <p><b>Probability</b><br/>Unlikely<br/>2</p> <p><b>Impact</b><br/>Very High<br/>16</p> | <p>↔</p>           | <p><b>Severe</b><br/><b>32</b></p> <p><b>Probability</b><br/>Unlikely<br/>2</p> <p><b>Impact</b><br/>Very High<br/>16</p> | <p><b>Severe</b><br/><b>32</b></p> <p><b>Probability</b><br/>Unlikely<br/>2</p> <p><b>Impact</b><br/>Very High<br/>16</p> |

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|--|------------|--|---------------------|--------------------|--------------------|-------------------|
|  |            | the NRFC<br>Provide the NRFC with daily electronic updates on the availability of National Resilience assets using the NCAF Electronic Support System (NCAF ESS)<br>Establish and maintain communications with NRFC at all times when required.<br>Reviewed On :04/10/2019 |                     |                    |                    |                   |

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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         |                    | Gus Cuthbert      |
|  | HFRS0007/005 | Review whole-time and retained workforce numbers on a monthly basis to identify deficiencies and take appropriate action        |                     | In Place / Embedded         |                    | Gus Cuthbert      |
|  | HFRS0007/006 | Crewing office to manage and maintain crewing levels on a daily basis across the organisation and ensure appliance availability |                     | In Place / Embedded         |                    | Gus Cuthbert      |
|  | HFRS0007/007 | Maximise both personnel and appliance availability through the application of procedures and appropriate management             |                     | In Progress / Taking Effect |                    | Gus Cuthbert      |
|  | HFRS0007/008 | Procure and provide specialist vehicles, equipment and teams to meet the current technical rescue risk within the County        |                     | In Place / Embedded         |                    | Gus Cuthbert      |
|  | HFRS0007/009 | Regularly review site specific response plans, operational procedures and contingency arrangements                              |                     | In Place / Embedded         |                    | Gus Cuthbert      |
|  | HFRS0007/010 | Organise and host regular large scale/major incident exercises with local partners on a local, county and regional platform     |                     | In Place / Embedded         |                    | Gus Cuthbert      |
|  | HFRS0007/011 | Regularly review and ensure arrangements are in place to request additional resources both locally and nationally               |                     | In Place / Embedded         |                    | Gus Cuthbert      |

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|---|--|--|---|--------------------|---|--|
| <p><b>PROP0030</b><br/><i>Opportunity to enjoy healthy and safe lives</i></p> <p><b>Current Category: Corporate &amp; Strategic Risk Register</b><br/><i>Current Type : Corporate</i></p> <p>In the event of a failure to comply with property related Health &amp; Safety compliance requirements across the council's property portfolio (e.g. completion and acting upon fire risk assessments, fixed wiring tests, legionella testing, retaining up to date asbestos registers) there is a risk of injury, illness and death to both service users and employees.<br/>The consequences of this risk include service disruption; loss of reputation; fines from the HSE and claims for compensation.</p> | <p>Sass Pledger</p> <p>Assistant Director<br/>Property</p> | <p>Risk and control measures have been reviewed and updated. No changes to current or target risk scores. The compliance matrix is being used to identify responsibilities for compliance depending on the site. Updates for tracking actions is taking place with the Property Managing Agent submitting data on a monthly basis and the HCC FM team updating a master spreadsheet as and when required. Next steps will be to ensure all compliance is captured in one place with updates for all sites.<br/>Reviewed On :08/10/2019</p> | <p><b>Severe</b><br/><b>32</b></p> <p><b>Probability</b><br/>Unlikely<br/>2</p> <p><b>Impact</b><br/>Very High<br/>16</p> | <p>↔</p>           | <p><b>Severe</b><br/><b>32</b></p> <p><b>Probability</b><br/>Unlikely<br/>2</p> <p><b>Impact</b><br/>Very High<br/>16</p> | <p>Significant<br/>16</p> <p><b>Probability</b><br/>Rare<br/>1</p> <p><b>Impact</b><br/>Very High<br/>16</p> |



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| <b>Controls:</b>   | <u>Ref</u>   | <u>Control Description</u>   |                     | <u>Status</u>               |                    | <u>Owner</u>      |
|  | PROP0030/001 | Asbestos register held at each site (where applicable) and contractors instructed to refer to these whilst working with asbestos |                     | In Progress / Taking Effect |                    | Sass Pledger      |
|  | PROP0030/002 | Check compliance as per relevant management regimes; subject to nature of occupation, staffing, contractual/property records     |                     | In Progress / Taking Effect |                    | Sass Pledger      |
|  | PROP0030/003 | Works and/or identified improvements are carried out/implemented within a reasonable time frame                                  |                     | In Progress / Taking Effect |                    | Sass Pledger      |
|  | PROP0030/004 | Operational measures are in place at each location such as testing of fire alarms and fire drills                                |                     | In Progress / Taking Effect |                    | Sass Pledger      |
|  | PROP0030/005 | Staff are trained on fire evacuation procedures  |                     | In Progress / Taking Effect |                    | Sass Pledger      |
|  | PROP0030/006 | Fixed wiring tests completed every 5 years and any requirements are acted upon ASAP (dependent on severity)                      |                     | In Progress / Taking Effect |                    | Sass Pledger      |
|  | PROP0030/007 | Legionella risk assessments are up to date and regular testing is undertaken   |                     | In Progress / Taking Effect |                    | Sass Pledger      |
|  | PROP0030/008 | Full review of ACS assets being undertaken as part of the "supported accommodation" review project                               |                     | In Progress / Taking Effect |                    | Sass Pledger      |
|  | PROP0030/009 | Use intelligence and information from HCC's Health & Safety Manager to ensure periodic audits are carried out as required        |                     | Proposed                    |                    | Sass Pledger      |

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|---|--|---|---|--------------------|---|---|
| <b>SP0007</b><br><i>Delivering our Vision</i><br><b>Current Category: Corporate &amp; Strategic Risk Register</b><br><i>Current Type : Corporate</i><br>A significant proportion of council expenditure goes to delivering key services through contractual arrangements by external bodies. The stability and sustainability of these arrangements are paramount to continued service delivery. In the event that one or more of these [major] suppliers becomes unstable or fails, there is a risk of disruption to service delivery, which could result in service users being put at risk, financial impacts and reputational and legal consequences [replaces withdrawn risk SP0005] | Steven Pilsworth<br><br>Assistant Director - Finance | As a result of the 2019 review of risks within Resources, this risk has been developed which replaces risk SP0005 on the corporate and strategic risk register and more directly highlights the risk of supplier failure and the mitigating actions necessary.<br>Reviewed On :08/10/2019 | <div style="background-color: red; color: white; padding: 5px; text-align: center;"><b>Severe</b><br/><b>32</b></div> Probability<br>Unlikely<br>2<br><br>Impact<br>Very High<br>16 | ↔                  | <div style="background-color: red; color: white; padding: 5px; text-align: center;"><b>Severe</b><br/><b>32</b></div> Probability<br>Unlikely<br>2<br><br>Impact<br>Very High<br>16 | <div style="background-color: orange; padding: 5px; text-align: center;">Significant<br/>16</div> Probability<br>Unlikely<br>2<br><br>Impact<br>High<br>8 |
| <b>Controls:</b>  | <b>Ref</b>   | <b>Control Description</b>  | <b>Status</b>   | <b>Owner</b>       |   |   |
|   | SP0007/001   | Identification of the Council's key/major suppliers, and ongoing maintenance of list  | In Progress / Taking Effect   | Paul Drake         |   |   |
|   | SP0007/002   | Monitoring measures put in place and undertaken for key/major suppliers   | In Place / Embedded   | Paul Drake         |   |   |
|   | SP0007/003   | Contract managers of key/major contracts identified, skills assessed and trained as required  | In Progress / Taking Effect   | Paul Drake         |   |   |
|   | SP0007/004   | Contract managers of key/major contracts kept informed of up to date contract management practices  | In Progress / Taking Effect   | Paul Drake         |   |   |

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|--|--|---|---|--------------------|---|--|
| <p><b>TEC0004</b><br/><i>Delivering our Vision</i></p> <p><b>Current Category:</b> <i>Corporate &amp; Strategic Risk Register</i><br/><i>Current Type : Corporate</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 successful 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<br/><br/>Head of Technology</p> | <p>The risk owner, in conjunction with the Assistant Director for Improvement and Technology continues to review this risk. We are developing a better understanding of the data and the nature of attacks. We are considering the risks associated with a cloud future in which we have a much wider attack profile as we spread our data. A key area of potential weakness is from user behaviour i.e. not following security protocols. User awareness, cyber security training and vigilance are therefore important to maintain. In addition to the continuing work to establish areas most susceptible to a successful attack and so focus our efforts, a formal industry standard approach is being developed (ISO27001) to help our risk management understanding in this area. In considering all the factors at present, the risk level remain unchanged at 'likely'. In response to how the risk will evolve we are working on a proposal for steps we'll need</p> | <p><b>Severe</b><br/><b>32</b></p> <p><b>Probability</b><br/>Likely<br/>4</p> <p><b>Impact</b><br/>High<br/>8</p> | <p>↔</p>           | <p><b>Severe</b><br/><b>32</b></p> <p><b>Probability</b><br/>Likely<br/>4</p> <p><b>Impact</b><br/>High<br/>8</p> | <p><b>Significant</b><br/><b>16</b></p> <p><b>Probability</b><br/>Unlikely<br/>2</p> <p><b>Impact</b><br/>High<br/>8</p> |

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|--|-------------|--|-----------------------------|--------------------|--------------------|-------------------|
|  |             | to take to mitigate this which will include a bid to supplement the Cyber Security team.<br>Reviewed On :02/10/2019              |                             |                    |                    |                   |
| <b>Controls:</b>   | <b>Ref</b>  | <b>Control Description</b>   | <b>Status</b>               | <b>Owner</b>       |                    |                   |
|  | TEC0004/001 | Industry approved security measures (firewalls, desktop AV, email filtering software etc) implemented, monitored and maintained  | In Progress / Taking Effect | David Mansfield    |                    |                   |
|  | TEC0004/002 | Before implementing new/updated systems/apps they must conform to agreed security requirements incl successful network pen tests | In Progress / Taking Effect | David Mansfield    |                    |                   |
|  | TEC0004/004 | Work to continuously develop & deliver ICT policy/security educ/awareness training for staff, managers and members               | In Place / Embedded         | David Mansfield    |                    |                   |
|  | TEC0004/006 | Rolling program of testing existing network infrastructure including penetration testing for HCC and key 3rd party providers on  | In Place / Embedded         | David Mansfield    |                    |                   |
|  | TEC0004/007 | Ensure ICT Service Providers adhere to security & tech standards in providing/implementing/updating systems; ICT infrastructure  | In Place / Embedded         | David Mansfield    |                    |                   |

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|--|---|---|--|--------------------|---|--|
| <p><b>TR0001</b><br/><i>Delivering our Vision</i></p> <p><b>Current Category:</b> <i>Corporate &amp; Strategic Risk Register</i><br/><i>Current Type : Strategic</i></p> <p>The programme to deliver transformation throughout the organization aims to fundamentally change the way the council operates to provide significant savings and improvements in the way we deliver our services. In the event that the council does not change how it runs (*), there is a risk that we will have to find other ways to reduce spending which could result in the council being unable to deliver important services; a lack of resilience to provide business continuity, undertake further change and continue to meet financial constraints and so significantly impact on the people and communities of Hertfordshire. (*through redesigning staff structures, automating and digitising a range of processes to increase flexibility and productivity; modernising council workplaces; streamlining back office and front office processes and ensuring activity (including greater commercial activity) enhances, drives and supports effective service delivery)</p> | <p>Scott<br/>Crudgington</p> <p>Director of<br/>Resources</p> | <p>Following the agreement by SMB on 11th October that the re prioritised programme of transformation be governed by the Transformation Project Management Office (PMO) the risk has been updated with appropriate controls. The benefits and costs to deliver the first round of projects are being re assessed and key activities to mobilise the PMO have been identified and shared with SMB The impacts of the change of operating model has been communicated to the meeting of the Joint Leadership Team (JLT) on 5th November along with interim plans to manage any new transformational requests. Reviewed On :11/11/2019</p> | <p>25/10/2019<br/><b>Severe</b><br/><b>32</b></p> <p><b>Probability</b><br/>Unlikely<br/>2</p> <p><b>Impact</b><br/>Very High<br/>16</p> | <p>↔</p>           | <p><b>Severe</b><br/><b>32</b></p> <p><b>Probability</b><br/>Unlikely<br/>2</p> <p><b>Impact</b><br/>Very High<br/>16</p> | <p>Significant<br/>16</p> <p><b>Probability</b><br/>Unlikely<br/>2</p> <p><b>Impact</b><br/>High<br/>8</p> |

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|--|------------|---|---------------------|-----------------------------|--------------------|-------------------|
| <b>Controls:</b>   | <u>Ref</u> | <u>Control Description</u>  |                     | <u>Status</u>               |                    | <u>Owner</u>      |
|  | TR0001/001 | Develop Programme Management Office, resourced with appropriate expertise to assess, support and integrate projects |                     | In Progress / Taking Effect |                    | Lynne Jennings    |
|  | TR0001/002 | SMB Transformation Board provides oversight and acts as project gateway   |                     | In Progress / Taking Effect |                    | Scott Crudgington |
|  | TR0001/003 | Undertake project health checks   |                     | In Progress / Taking Effect |                    | Lynne Jennings    |
|  | TR0001/004 | Develop, agree and implement Project Management Standard Operating Procedures                                       |                     | In Progress / Taking Effect |                    | Lynne Jennings    |
|  | TR0001/005 | Develop and implement communications plan for staff and stakeholders  |                     | In Progress / Taking Effect |                    | Lynne Jennings    |
|  | TR0001/006 | Mobilise user groups and undertake engagement activities with teams and stakeholders                                |                     | In Progress / Taking Effect |                    | Lynne Jennings    |
|  | TR0001/007 | Support both existing and pipeline projects through change  |                     | In Progress / Taking Effect |                    | Lynne Jennings    |
|  | TR0001/008 | PMO to ensure all transformation programmes and projects governed by them deliver forecast benefits                 |                     | Proposed                    |                    | Lynne Jennings    |
|  | TR0001/009 | Provide appropriate training to ensure rigour and consistency in project teams                                      |                     | In Progress / Taking Effect |                    | Lynne Jennings    |
|  | TR0001/010 | Deliver transformational activities throughout the organisation   |                     | In Progress / Taking Effect |                    | Scott Crudgington |

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|---|---|--|---|--------------------|--|--|
| <b>ACSPR0001</b><br><i>Opportunity to enjoy healthy and safe lives</i><br><b>Current Category: Corporate &amp; Strategic Risk Register</b><br><i>Current Type : Corporate</i><br>As a result of the increased uncertainty regarding Adult Care Service funding streams and the anticipated increase in demand for Adult Care Services, there is a risk that planned budgets may be insufficient / and future levels of funding may be further reduced, which could lead to a reduction in service delivery, overspend or emergency action. [replacing ref: HCS0016] | Helen Maneuf<br><br>Assistant Director,<br>Integrated Planning<br>& Resources | Risk reviewed by Risk Owner in October 2019. Risk score probability lowered due to the Chancellor's announcement (4th September) that the One Off Grants for 2020/21 will continue for another year and additional funding including Social Care pre-set.<br>Reviewed On :07/10/2019 | 07/10/2019<br><b>Severe</b><br><b>32</b><br><br>Probability<br>Likely<br>4<br><br>Impact<br>High<br>8 |                    | Significant<br>24<br><br>Probability<br>Possible<br>3<br><br>Impact<br>High<br>8 | Significant<br>24<br><br>Probability<br>Possible<br>3<br><br>Impact<br>High<br>8 |
| <b>Controls:</b>  | <u>Ref</u>  | <u>Control Description</u>   | <u>Status</u>   | <u>Owner</u>       |  |  |
|   | ACSPR0001/001   | Monthly process of budget monitoring   | In Place / Embedded   | Helen Maneuf       |  |  |
|   | ACSPR0001/002   | Senior management involvement and reporting  | In Place / Embedded   | Helen Maneuf       |  |  |
|   | ACSPR0001/003   | Process of planning for future population growth and inflationary impact   | In Progress / Taking Effect   | Helen Maneuf       |  |  |
|   | ACSPR0001/004   | Work to identify strategies for achieving financial balance for future years feeding into integrated planning  | In Progress / Taking Effect   | Helen Maneuf       |  |  |
|   | ACSPR0001/005   | Regular discussions with Director of Resources, Members and Resources Department at Exec Member Briefing   | In Progress / Taking Effect   | Helen Maneuf       |  |  |



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|---|---|--|--|--------------------|--|--|
| <p><b>CP0004</b><br/><i>Opportunity to enjoy healthy and safe lives</i></p> <p><b>Current Category: Corporate &amp; Strategic Risk Register</b><br/><i>Current Type : Corporate</i></p> <p>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.</p> | <p>Guy Pratt</p> <p>Assistant Director of Strategic Prevention &amp; Reg Services</p> | <p>The target risk score has been increased to 'Significant', as the probability of the risk occurring at present is 'possible' as opposed to 'unlikely.' due to the changing nature radicalisation and people being drawn into terrorism, Increased risks are associated with lone individuals who may be radicalised online making it difficult for agencies to become aware.</p> <p>Hertfordshire is not a Home Office 'Priority area' in terms of Prevent, HCC receives no government funding.to undertake its Prevent duty, and HCC does not have a dedicated post to undertake Prevent activities in Hertfordshire, unlike some other local authorities, Papers are being taken to senior Boards and senior multi-agency partnership groups in the county with a view to securing funding &amp; resource and improving governance and engagement</p> | <p>Significant<br/>24</p> <p>Probability<br/>Possible<br/>3</p> <p>Impact<br/>High<br/>8</p> | <p>↔</p>           | <p>Significant<br/>24</p> <p>Probability<br/>Possible<br/>3</p> <p>Impact<br/>High<br/>8</p> | <p>Significant<br/>24</p> <p>Probability<br/>Possible<br/>3</p> <p>Impact<br/>High<br/>8</p> |



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|--|------------|---|-----------------------------|--------------------|--------------------|-------------------|
|  |            | with the Prevent duty in Hertfordshire by agencies. Improved governance and increased resource is needed in order to be able to provide adequate assurance of Prevent in Hertfordshire. Reviewed On :04/10/2019 |                             |                    |                    |                   |
| <b>Controls:</b>   | <b>Ref</b> | <b>Control Description</b>  | <b>Status</b>               | <b>Owner</b>       |                    |                   |
|  | CP0004/002 | Prevent Board to develop and regularly review progress of the Prevent action plan   | In Progress / Taking Effect | Guy Pratt          |                    |                   |
|  | 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          |                    |                   |
|  | CP0004/005 | 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          |                    |                   |
|  | CP0004/008 | An official 56 page Prevent Duty Toolkit for Local Authorities and Partner Agencies has been produced.  | In Progress / Taking Effect | Guy Pratt          |                    |                   |

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|--|--|--|--|--------------------|--|--|
| <p><b>CPRES0009</b><br/><i>Opportunity to live in thriving communities</i></p> <p><b>Current Category: Corporate &amp; Strategic Risk Register</b><br/><i>Current Type : Corporate</i></p> <p>If there is insufficient preparation for increased frequency of extreme weather events, then there might be negative impacts on service delivery, user access to service provision and to the reputation of the Council.</p> | <p>Gus Cuthbert</p> <p>Assistant Director Protection (OPS)</p> | <p>As a result of the paper presented to Audit Committee on 13/09/19 and member discussion, the risk owner has agreed to amend the wording of this risk to remove the words "resulting from climate change".</p> <p>Internally HCC have an Incident Response Plan which sets out the strategy for an organisational response to an incident and identifies roles, responsibilities and key actions.</p> <p>Externally HFRS and HCC are key stakeholders in Hertfordshire Resilience, this is a partnership of over 60 organisations including the emergency services, local councils, health services and volunteers.</p> <p>They plan, train and respond to emergencies together. They decide what to plan for using Hertfordshire's Risk Register and the government's national risk register.</p> <p>Hertfordshire Resilience assesses all these situations</p> | <p>Significant<br/>24</p> <p>Probability<br/>Possible<br/>3</p> <p>Impact<br/>High<br/>8</p> | <p>↔</p>           | <p>Significant<br/>24</p> <p>Probability<br/>Possible<br/>3</p> <p>Impact<br/>High<br/>8</p> | <p>Significant<br/>24</p> <p>Probability<br/>Possible<br/>3</p> <p>Impact<br/>High<br/>8</p> |

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|--|---------------|--|---------------------|--------------------|--------------------|-------------------|
|  |               | and their likely impact on a regular basis. They then plan together to ensure that an appropriate response in place. HCC Resilience Board also monitors internal BCPs & BIAs on a regular basis. Reviewed On :16/10/2019 |                     |                    |                    |                   |
| <b>Controls:</b>   | <b>Ref</b>    | <b>Control Description</b>   | <b>Status</b>       | <b>Owner</b>       |                    |                   |
|  | CPRES0009/001 | Appropriate business continuity arrangements in place and regular annual reviews carried out   | In Place / Embedded | Darren McLatchey   |                    |                   |
|  | CPRES0009/002 | Continually developing partnership working with agencies developing risk reduction strategies multi agency warn&inform strategy  | 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   |                    |                   |

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|---|---|---|--|--------------------|--|--|
| <p><b>CPRES0010</b><br/><i>Opportunity to share in Hertfordshire's prosperity</i></p> <p><b>Current Category: Corporate &amp; Strategic Risk Register</b><br/><i>Current Type : Strategic</i></p> <p>There is continued and significant uncertainty in respect to the nature of an agreement and transitional arrangements for the U.K.'s withdrawal from the European Union. There is a risk that we cannot adequately plan and prepare for the possible and potentially significant consequences on public services under a number of scenarios, including possible regulatory, legal, workforce, supply chain and financial impacts, as well as on the local communities and economy of Hertfordshire.</p> | <p>Guy Pratt</p> <p>Assistant Director of Strategic Prevention &amp; Reg Services</p> | <p>Internally HCC have an Incident Response Plan which sets out the strategy for an organisational response to an incident and identifies roles, responsibilities and key actions.</p> <p>Externally HFRS and HCC are key stakeholders in Hertfordshire Resilience, this is a partnership of over 60 organisations including the emergency services, local councils, health services and volunteers.</p> <p>They plan, train and respond to emergencies together.</p> <p>They decide what to plan for using Hertfordshire's Risk Register and the government's national risk register.</p> <p>Hertfordshire Resilience assesses all these situations and their likely impact on a regular basis. They then plan together to ensure that an appropriate response in place.</p> <p>HCC Resilience Board also monitors internal BCPs &amp; BIAs on a regular basis.</p> <p>HCC has put in processes to</p> | <p>Significant<br/>24</p> <p>Probability<br/>Possible<br/>3</p> <p>Impact<br/>High<br/>8</p> | <p>↔</p>           | <p>Significant<br/>24</p> <p>Probability<br/>Possible<br/>3</p> <p>Impact<br/>High<br/>8</p> | <p>Significant<br/>16</p> <p>Probability<br/>Unlikely<br/>2</p> <p>Impact<br/>High<br/>8</p> |

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|--|------------|--|---------------------|--------------------|--------------------|-------------------|
|  |            | <p>ensure preparedness for Brexit:</p> <ul style="list-style-type: none"> <li>i. The Council's Resilience Board started work on preparations for a 'No Deal' Brexit during the last quarter of 2018 when the uncertainty around the arrangements for the UK became apparent. This work included establishing a Brexit Working Group who began to pull together the implications of Brexit on HCC.</li> <li>ii. To help highlight and quantify the risks to the organisation a risk was added to the HCC Corporate Risk Register.</li> <li>iii. The Resilience Team have been coordinating the preparations and have been collecting and disseminating external and internal guidance and information in relation to Brexit.</li> <li>iv. A Brexit Incident Management Team (IMT) was implemented in January 2019, and has a meeting</li> </ul> |                     |                    |                    |                   |

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|  |            | <p>schedule to correlate with the arrangements for the Local Resilience Forum (LRF) Strategic Co-ordinating Group (SCG) and enables the HCC IMT to work effectively within the LRF framework.</p> <p>v. Work is being, and has been, carried out across the Council to ensure Business Continuity Plans and Business Impact Assessments are in place.</p> <p>vi. A Brexit Risk Register has been developed and we will be publishing this in early October.</p> <p>vii. As a Category 1 responder, under the Civil Contingencies Act, HCC is responsible for working in collaboration with other Category 1 responders to support the County's response to, and recovery from, potential incidents, which include any disruptions following Brexit. Herts LRF has convened a Brexit Strategic Co-ordinating Group (SCG) to oversee</p> |                     |                    |                    |                   |

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|--|----------------------|--|------------------------------------|-----------------------------|--------------------|-------------------|
|  |                      | multi-agency Brexit preparations and to ensure that a formal multi-agency information sharing mechanism is in place. HCC is represented on this group as is Hertfordshire Fire & Rescue Service (HFRS).<br>Reviewed On :04/10/2019 |                                    |                             |                    |                   |
| <b>Controls:</b>   | <b>Ref</b>           | <b>Control Description</b>   | <b>Status</b>                      | <b>Owner</b>                |                    |                   |
|  | CPRES0010/001        | Regular reporting to Resilience Board and SMB on latest information and planning   | In Progress / Taking Effect        | Gus Cuthbert                |                    |                   |
|  | CPRES0010/002        | Actively work with the Local Resilience Forum to update inter-agency plans   | In Place / Embedded                | Darren McLatchey            |                    |                   |
|  | CPRES0010/003        | Monitor information coming from Govt, to consider, analyse, inform senior officers and take action on relevant technical notes   | In Progress / Taking Effect        | Alex James                  |                    |                   |
|  | CPRES0010/004        | Ensure officers use all information and data, including workforce data, to provide intelligence for different scenarios  | In Progress / Taking Effect        | Gus Cuthbert                |                    |                   |
|  | CPRES0010/005        | Ensure Business Continuity Plans are reviewed and updated where appropriate  | In Place / Embedded                | Darren McLatchey            |                    |                   |
|  | CPRES0010/006        | Ensure Business Impact Assessments are carried out where appropriate   | In Progress / Taking Effect        | Gus Cuthbert                |                    |                   |
|  | <u>CPRES0010/007</u> | <u>Ensure regular internal and external communications of accurate and appropriate information</u>   | <u>In Progress / Taking Effect</u> | <u>Andrew Hadfield-Ames</u> |                    |                   |

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|---|---|---|--|--------------------|--|--|------------|----------------------------|---------------|--------------|-------------|---|-----------------------------|---------------|-------------|---|-----------------------------|---------------|-------------|--|-----------------------------|---------------|
| <b>CSF0070</b><br><i>Opportunity for everyone to achieve their potential</i><br><b>Current Category: Corporate &amp; Strategic Risk Register</b><br><i>Current Type : Strategic</i><br>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. | Simon Newland<br><br>Operations Director, Education   | Key control measures continue to be taken forward, including close oversight of the number and cost of expansions.<br><br>In September 2019 the Treasury announced what appears to be a 10% reduction in DfE Capital budgets. The extent to which this may affect allocations to Hertfordshire remains to be seen.<br>Reviewed On :11/10/2019 | Significant<br>24<br><br>Probability<br>Possible<br>3<br><br>Impact<br>High<br>8 | ↔                  | Significant<br>24<br><br>Probability<br>Possible<br>3<br><br>Impact<br>High<br>8 | Significant<br>16<br><br>Probability<br>Unlikely<br>2<br><br>Impact<br>High<br>8 |            |                            |               |              |             |   |                             |               |             |   |                             |               |             |  |                             |               |
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|   | CSF0070/005   | Minimise the number of expansions undertaken by continually reviewing information management requirements   | In Progress / Taking Effect  | Simon Newland      |  |  |            |                            |               |              |             |   |                             |               |             |   |                             |               |             |  |                             |               |
|   | CSF0070/006   | Ensure value for money in relation to build / project costs   | In Progress / Taking Effect  | Simon Newland      |  |  |            |                            |               |              |             |   |                             |               |             |   |                             |               |             |  |                             |               |
| CSF0070/007   | Secure access to additional funding from DfE  | In Progress / Taking Effect   | Simon Newland  |                    |  |  |            |                            |               |              |             |   |                             |               |             |   |                             |               |             |  |                             |               |



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|---|--|---|--|--------------------|--|--|------------|----------------------------|---------------|--------------|-------------|---|-----------------------------|-------------|
| <b>CSF0082</b><br><i>Opportunity to enjoy healthy and safe lives</i><br><b>Current Category: Corporate &amp; Strategic Risk Register</b><br><i>Current Type : Corporate</i><br>As a result of national and local efficiencies, there is a risk that partnership funding may be withdrawn or withheld. | Jenny Coles<br><br>Director of Children's Services   | Plans and commissioning intentions are regularly discussed at relevant local partnership boards and are discussed at Children's Services Core Board on a regular basis, particularly where there is any risk of partnership funding being withdrawn.<br>Reviewed On :11/10/2019 | Significant<br>24<br><br>Probability<br>Possible<br>3<br><br>Impact<br>High<br>8 |                    | Significant<br>24<br><br>Probability<br>Possible<br>3<br><br>Impact<br>High<br>8 | Significant<br>12<br><br>Probability<br>Possible<br>3<br><br>Impact<br>Medium<br>4 |            |                            |               |              |             |   |                             |             |
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|   | <u>Ref</u>   | <u>Control Description</u>  | <u>Status</u>  | <u>Owner</u>       |  |  |            |                            |               |              |             |   |                             |             |
| CSF0082/001   | Maintain effective joint working relationships and joint planning  | In Progress / Taking Effect   | Jenny Coles  |                    |  |  |            |                            |               |              |             |   |                             |             |
|   |  |   |  |                    |  |  |            |                            |               |              |             |   |                             |             |

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|--|--|---|--|--------------------|--|--|
| <p><b>CSF0083</b><br/><i>Opportunity for everyone to achieve their potential</i><br/><b>Current Category: Corporate &amp; Strategic Risk Register</b><br/><i>Current Type : Corporate</i><br/>As a result of the new welfare, reform and immigration arrangements (including any issues arising in relation to Brexit), there is a risk of an increase in families becoming homeless and/or requiring support from Children's Services (and other services).</p> | <p>Matt Ansell</p> <p>Operations Director, Children and Families</p> | <p>A quarterly Strategic Partnership Accommodation Board continues to be in place, helping to further develop joint working with 10 housing authorities and their partner registered housing providers</p> <p>Updates on the Hertfordshire Joint Housing Protocol (encompassing key work on care leavers, homeless 16 /17-year olds and families who are deemed intentionally homeless) are on course to be completed by the end of 2019.</p> <p>Additional staff are being recruited to support a more proactive approach to meeting the needs of families who are at risk of becoming homeless. The current Section 17 spend in this area has increased, and whilst this is monitored once a family is found intentionally homeless the authority is challenged in how it meets those family's needs and discharges its duties.</p> | <p>Significant<br/>24</p> <p>Probability<br/>Possible<br/>3</p> <p>Impact<br/>High<br/>8</p> | <p>↔</p>           | <p>Significant<br/>24</p> <p>Probability<br/>Possible<br/>3</p> <p>Impact<br/>High<br/>8</p> | <p>Significant<br/>12</p> <p>Probability<br/>Possible<br/>3</p> <p>Impact<br/>Medium<br/>4</p> |

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|--|-------------------|--|-----------------------------|---------------------|--------------------|-------------------|
|  |                   | There is an increased risk of London Boroughs placing families into our locality – upon which time they become the responsibility of us under our section 17 Children Act duties.<br>Reviewed On :11/10/2019 |                             |                     |                    |                   |
| <b>Controls:</b>   | <b><u>Ref</u></b> | <b><u>Control Description</u></b>  | <b><u>Status</u></b>        | <b><u>Owner</u></b> |                    |                   |
|  | CSF0083/001       | Maintaining and deepening joint working relationships with 10 housing authorities and their partner registered housing providers   | In Progress / Taking Effect | Matt Ansell         |                    |                   |
|  | CSF0083/002       | Update the Hertfordshire Joint Housing Protocol  | In Progress / Taking Effect | Matt Ansell         |                    |                   |
|  | CSF0083/003       | The development of a specialist Early Help housing approach  | In Progress / Taking Effect | Matt Ansell         |                    |                   |
|  | CSF0083/004       | To develop a robust approach to families who have been deemed Intentionally Homeless   | In Progress / Taking Effect | Matt Ansell         |                    |                   |
|  | CSF0083/005       | Ensure the No Recourse to Public Funds (NRPF) Protocol agreed with housing is fully utilised   | In Progress / Taking Effect | Matt Ansell         |                    |                   |

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| ENV0142  | <p><i>Opportunity to live in thriving communities</i></p> <p><b>Current Category: Corporate &amp; Strategic Risk Register</b></p> <p><i>Current Type : Corporate</i></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>Tree risk policies are expected to be in place for all relevant departments by the end of 2019. However, difficulties in conducting tree inspection regimes within required timescales have been identified. As a result an assessment of the risk associated with the total tree asset will be delayed and the routine ongoing assessment of that risk will be constrained. HCC continues to engage with local and national partners to raise awareness of / seek guidance on / elicit support for initiatives intended to address tree health.</p> <p>Reviewed On :08/10/2019</p> | <p>Significant<br/>24</p> <p>Probability<br/>Possible<br/>3</p> <p>Impact<br/>High<br/>8</p> | ↔                  | <p>Significant<br/>24</p> <p>Probability<br/>Possible<br/>3</p> <p>Impact<br/>High<br/>8</p> | <p>Significant<br/>16</p> <p>Probability<br/>Unlikely<br/>2</p> <p>Impact<br/>High<br/>8</p> |

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| <b>Controls:</b>   | <u>Ref</u>  | <u>Control Description</u>   |                     | <u>Status</u>               |                    | <u>Owner</u>       |
|  | ENV0142/001 | Develop a communication strategy to raise awareness, share best practice and engage partners through the Tree Health Network.    |                     | 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 Jarrett       |
|  | 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      |
|  | ENV0142/005 | Collaborating with national government to influence policy change and develop best practice guidance relating to tree health.    |                     | In Progress / Taking Effect |                    | Simon Aries        |
|  | ENV0142/006 | Monitor the financial pressures and secure resources through the Integrated Planning Process where appropriate.                  |                     | Complete                    |                    | 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 |                    | Michael Cunningham |
|  | ENV0142/008 | Engage partners to develop a county-wide approach to deliver a proportionate response to tree health threats incl. restoration.  |                     | 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 Jarrett       |
|  | ENV0142/010 | Appropriate tree inspection regimes - HCC land; staff trained to identify disease  |                     | In Progress / Taking Effect |                    | Michael Cunningham |
|  | ENV0142/012 | Ensure all relevant departments in the county council have appropriate tree risk policies and procedures in place                |                     | In Progress / Taking Effect |                    | Simon Aries        |

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|--|--|---|--|-----------------------------|--|--|
|  | ENV0142/013                                      | Development of a plant procurement protocol for HCC   |  | In Progress / Taking Effect |  | Mike Jarrett   |
| <b>IMP0001</b><br><i>Delivering our Vision</i><br><b>Current Category: Corporate &amp; Strategic Risk Register</b><br><i>Current Type : Corporate</i><br>Risk:<br><ul style="list-style-type: none"> <li>loss/inappropriate acquisition/disclosure of sensitive personal or commercial data; and / or breach of data subjects rights; contrary to the requirements of the Data Protection Act 2018 and the General Data Protection Regulation</li> </ul> Potential consequences:<br><ul style="list-style-type: none"> <li>harm to clients,</li> <li>impact on Council reputation,</li> <li>regulatory enforcement and other legal action</li> <li>severe financial consequences.</li> </ul> [Formerly CSCE0013] | Simon Banks<br><br>Assistant Chief Legal Officer | Work continues to ensure the Council's compliance with Data Protection Law, including continuous review of identified breaches, identifying lessons learnt, reviewing and making recommendations for improved data control and security and best practice.<br>Reviewed On :19/09/2019 | Significant<br>24<br><br>Probability<br>Possible<br>3<br><br>Impact<br>High<br>8 |                             | Significant<br>24<br><br>Probability<br>Possible<br>3<br><br>Impact<br>High<br>8 | Significant<br>16<br><br>Probability<br>Unlikely<br>2<br><br>Impact<br>High<br>8 |

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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         |                    | Simon Banks       |
|  | 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   |
|  | IMP0001/005 | 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 |
|  | IMP0001/021 | A common data sharing framework is in place and respective agreements reviewed and updated on a regular basis                  |                     | In Place / Embedded         |                    | Elaine Dunncliffe |
|  | IMP0001/023 | 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 | Embed good practice and compliance with the General Data Protection Regulation following implementation of the HCC Action Plan |                     | In Progress / Taking Effect |                    | Elaine Dunncliffe |

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| <p><b>PROP0023</b><br/><i>Delivering our Vision</i></p> <p><b>Current Category:</b> <i>Corporate &amp; Strategic Risk Register</i></p> <p><i>Current Type : Strategic</i></p> <p>Herts Living Limited is collaborating with Chalkdene to maximise returns on our land and assets. In the event of delays, planning development issues or changes to standards, there is a risk that these arrangements do not perform as anticipated, which could result in a reduction of projected financial returns, slow the pace of development and returns and also reduce other benefits from the arrangements. This could also lead to reputational impacts for HCC. (Replaces PROP0020 and PROP0021).</p> | <p>Mike Evans<br/>(Herts Living Limited)</p> <p>Head of Estates &amp; Director of Herts Living Limited</p> | <p>Risk and control measures have been reviewed and updated. No changes to current and target risk scores. Recruitment of a Senior Estates Officer is completed and the new member of the team will work specifically on disposals which should improve the pace of Cabinet Papers.</p> <p>Reviewed On :07/10/2019</p> | <p>Significant<br/>24</p> <p><b>Probability</b><br/>Possible<br/>3</p> <p><b>Impact</b><br/>High<br/>8</p> | <p>↔</p>           | <p>Significant<br/>24</p> <p><b>Probability</b><br/>Possible<br/>3</p> <p><b>Impact</b><br/>High<br/>8</p> | <p>Significant<br/>16</p> <p><b>Probability</b><br/>Unlikely<br/>2</p> <p><b>Impact</b><br/>High<br/>8</p> |



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| <b>Controls:</b>   | <u>Ref</u>   | <u>Control Description</u>   |                     | <u>Status</u>               |                    | <u>Owner</u>                      |
|  | PROP0023/001 | Herts Living Ltd Board of Directors to ensure governance through member advisory group and shareholder representative group.   |                     | In Progress / Taking Effect |                    | Mike Evans (Herts Living Limited) |
|  | PROP0023/002 | Continue to determine the latest market value before taking any asset to sale or allocate to Herts Living Ltd                  |                     | In Place / Embedded         |                    | Mike Evans (Herts Living Limited) |
|  | PROP0023/003 | Take advantage of sale opportunities such as unsolicited approaches where possible subject to procurement rules being followed |                     | In Place / Embedded         |                    | Mike Evans (Herts Living Limited) |
|  | 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 (Herts Living Limited) |
|  | PROP0023/007 | Continue to identify pipeline surplus sites/assets and develop these to maximise the potential capital receipt.                |                     | In Progress / Taking Effect |                    | Mike Evans (Herts Living Limited) |
|  | PROP0023/008 | Gain social value from arrangements. Provide social benefits that will impact on economic & social well-being of the community |                     | In Progress / Taking Effect |                    | Mike Evans (Herts Living Limited) |
|  | PROP0023/009 | Maintain awareness of market conditions & potential for change   |                     | In Place / Embedded         |                    | Mike Evans (Herts Living Limited) |
|  | PROP0023/010 | Hand over sites to Chalkdene when at the stage of being under formal Option to Purchase to enable planning work to progress    |                     | In Progress / Taking Effect |                    | Mike Evans (Herts Living Limited) |

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| <b>RPHS0001</b><br><i>Opportunity to enjoy healthy and safe lives</i><br>Old Category: <a href="#">Service</a><br>Current Category: <b>Corporate &amp; Strategic Risk Register</b><br><i>Current Type : Corporate</i><br>As a result of H&S management failures, there is a risk of a significant incident resulting in major injury to staff or a member of the public. With resultant enforcement action from the HSE.<br>(formerly SERM0003) | Terry Barnett<br><br>Head of Assurance   | Impact score revised (increased) as potential outcome could be major / disabling injury to staff / service user and in light of increased level of fines resulting to large organisations since the change in Sentencing Guidelines. The risk owner has also escalated this risk to the Corporate level.<br>Reviewed On :08/10/2019 | 04/10/2019<br>Significant<br>12<br><br>Probability<br>Possible<br>3<br><br>Impact<br>Medium<br>4 |                    | Significant<br>24<br><br>Probability<br>Possible<br>3<br><br>Impact<br>High<br>8 | Significant<br>12<br><br>Probability<br>Possible<br>3<br><br>Impact<br>Medium<br>4 |            |                            |               |              |              |  |                     |              |              |  |                     |              |              |   |                     |              |              |  |                     |              |              |  |                     |              |
| <b>Controls:</b>  | <table border="1"> <thead> <tr> <th><u>Ref</u></th> <th><u>Control Description</u></th> <th><u>Status</u></th> <th><u>Owner</u></th> </tr> </thead> <tbody> <tr> <td>RPHS0001/001</td> <td>Annual review of corporate policies and guidance and, where appropriate departmental policies and procedures</td> <td>In Place / Embedded</td> <td>James Ottery</td> </tr> <tr> <td>RPHS0001/002</td> <td>regular monitoring and reporting of performance to Board and SMB</td> <td>In Place / Embedded</td> <td>James Ottery</td> </tr> <tr> <td>RPHS0001/003</td> <td>H&amp;S business plan prioritising work activities and allocating responsibilities for delivery</td> <td>In Place / Embedded</td> <td>James Ottery</td> </tr> <tr> <td>RPHS0001/004</td> <td>Senior/operational management health and safety training courses</td> <td>In Place / Embedded</td> <td>James Ottery</td> </tr> <tr> <td>RPHS0001/005</td> <td>Risk based Health and Safety audit programme</td> <td>In Place / Embedded</td> <td>James Ottery</td> </tr> </tbody> </table> |   |  |                    |  |  | <u>Ref</u> | <u>Control Description</u> | <u>Status</u> | <u>Owner</u> | RPHS0001/001 | Annual review of corporate policies and guidance and, where appropriate departmental policies and procedures | In Place / Embedded | James Ottery | RPHS0001/002 | regular monitoring and reporting of performance to Board and SMB | In Place / Embedded | James Ottery | RPHS0001/003 | H&S business plan prioritising work activities and allocating responsibilities for delivery | In Place / Embedded | James Ottery | RPHS0001/004 | Senior/operational management health and safety training courses | In Place / Embedded | James Ottery | RPHS0001/005 | Risk based Health and Safety audit programme | In Place / Embedded | James Ottery |
|   | <u>Ref</u>   | <u>Control Description</u>  | <u>Status</u>  | <u>Owner</u>       |  |  |            |                            |               |              |              |  |                     |              |              |  |                     |              |              |   |                     |              |              |  |                     |              |              |  |                     |              |
|   | RPHS0001/001   | Annual review of corporate policies and guidance and, where appropriate departmental policies and procedures  | In Place / Embedded  | James Ottery       |  |  |            |                            |               |              |              |  |                     |              |              |  |                     |              |              |   |                     |              |              |  |                     |              |              |  |                     |              |
|   | RPHS0001/002   | regular monitoring and reporting of performance to Board and SMB  | In Place / Embedded  | James Ottery       |  |  |            |                            |               |              |              |  |                     |              |              |  |                     |              |              |   |                     |              |              |  |                     |              |              |  |                     |              |
|   | RPHS0001/003   | H&S business plan prioritising work activities and allocating responsibilities for delivery   | In Place / Embedded  | James Ottery       |  |  |            |                            |               |              |              |  |                     |              |              |  |                     |              |              |   |                     |              |              |  |                     |              |              |  |                     |              |
|   | RPHS0001/004   | Senior/operational management health and safety training courses  | In Place / Embedded  | James Ottery       |  |  |            |                            |               |              |              |  |                     |              |              |  |                     |              |              |   |                     |              |              |  |                     |              |              |  |                     |              |
| RPHS0001/005  | Risk based Health and Safety audit programme   | In Place / Embedded   | James Ottery   |                    |  |  |            |                            |               |              |              |  |                     |              |              |  |                     |              |              |   |                     |              |              |  |                     |              |              |  |                     |              |

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| <b>ACSD0001</b><br><i>Delivering our Vision</i><br><b>Current Category: Corporate &amp; Strategic Risk Register</b><br><i>Current Type : Corporate</i><br>In the event of a failure to meet legal obligations or to respond to changes to new legislation there is a risk that Adult Care Services fail service users and carers leading to business failure and reputational damage. [replacing ref: HCSMH0002 & HCS0010] | Iain MacBeath<br><br>Director, Adult Care Services | Risk reviewed by Risk Owner in October 2019. Risk Wording and Score to remain the same on the basis that implications of new legislation are not yet fully known. Project now underway to ensure we are compliant with new Mental Health legislation coming in October 2020. Reviewed On :07/10/2019 | Significant<br>16<br><br>Probability<br>Unlikely<br>2<br><br>Impact<br>High<br>8 | ↔                  | Significant<br>16<br><br>Probability<br>Unlikely<br>2<br><br>Impact<br>High<br>8 | Material<br>8<br><br>Probability<br>Rare<br>1<br><br>Impact<br>High<br>8 |
| <b>Controls:</b>   | <b>Ref</b>   | <b>Control Description</b>   | <b>Status</b>  | <b>Owner</b>       |  |  |
|  | ACSD0001/001                                       | SLA with Herts Legal to review quality   | In Place / Embedded  | Iain MacBeath      |  |  |
|  | ACSD0001/002                                       | Legal Surgeries to take place quarterly  | In Place / Embedded  | Iain MacBeath      |  |  |
|  | ACSD0001/003                                       | Operational Transformational Group - Bi Monthly  | In Place / Embedded  | Iain MacBeath      |  |  |
|  | ACSD0001/004                                       | Principal Social Worker Appointment - attends board and meetings with Director   | In Place / Embedded  | Iain MacBeath      |  |  |
|  | ACSD0001/005                                       | Scheme of delegated authority  | In Place / Embedded  | Iain MacBeath      |  |  |
|  | ACSD0001/006                                       | Business Improvement and Modernisation Team (BIMT)   | In Place / Embedded  | Iain MacBeath      |  |  |
|  | ACSD0001/007                                       | ACS Board oversight quarterly  | In Place / Embedded  | Iain MacBeath      |  |  |
|  | ACSD0001/008                                       | Practice Audits by Principal Social Worker   | In Place / Embedded  | Iain MacBeath      |  |  |

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| <p><b>ACSDMH0002</b><br/><i>Opportunity to enjoy healthy and safe lives</i></p> <p><b>Current Category: Corporate &amp; Strategic Risk Register</b><br/><i>Current Type : Corporate</i></p> <p>In the event of inadequate or inappropriate safeguarding arrangements, a vulnerable person at risk of harm is not identified or protected appropriately which may result in harm. [replacing ref: HCS0018]</p> | <p>Mark Harvey</p> <p>Operations Director, Adult Disability and Mental Health</p> | <p>Risk reviewed by Risk Owner in October 2019. Risk wording remain the same and impact score has been reduced as this was evaluated as a very high outcome and we believe this is unlikely to happen, however the high impact meets the current level of the risk. The Safeguarding Self-Assessment was returned with minor recommendations, all have been covered in the new action plan.<br/>Reviewed On :08/10/2019</p> | <p>08/10/2019<br/><b>Severe</b><br/><b>32</b></p> <p><b>Probability</b><br/>Unlikely<br/>2</p> <p><b>Impact</b><br/>Very High<br/>16</p> | <p>↓</p>           | <p>Significant<br/>16</p> <p><b>Probability</b><br/>Unlikely<br/>2</p> <p><b>Impact</b><br/>High<br/>8</p> | <p>Significant<br/>16</p> <p><b>Probability</b><br/>Unlikely<br/>2</p> <p><b>Impact</b><br/>High<br/>8</p> |

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| <b>Controls:</b>   | <u>Ref</u>            | <u>Control Description</u>  |                     | <u>Status</u>                      |                    | <u>Owner</u>       |
|  | ACSDMH0002/001        | HSAB governance arrangements and oversight of safeguarding procedures                 |                     | In Place / Embedded                |                    | Mark Harvey        |
|  | ACSDMH0002/002        | Competency based learning and development activity associated with the HSAB           |                     | In Place / Embedded                |                    | Mark Harvey        |
|  | ACSDMH0002/003        | Quarterly performance report to ACS Management Board, Council Leader and Chief Exec.  |                     | In Place / Embedded                |                    | Mark Harvey        |
|  | ACSDMH0002/004        | Practise Governance Board overseeing outcome to ensure high standards of safeguarding |                     | In Place / Embedded                |                    | Mark Harvey        |
|  | ACSDMH0002/005        | Implementation of new safeguarding service  |                     | In Place / Embedded                |                    | Mark Harvey        |
|  | ACSDMH0002/006        | New arrangements for PSW for safeguarding   |                     | In Place / Embedded                |                    | Mark Harvey        |
|  | ACSDMH0002/007        | Peer challenge and review from partners   |                     | In Place / Embedded                |                    | Mark Harvey        |
|  | <u>ACSDMH0002/008</u> | <u>New Learning for Incidents &amp; Independent Management Reviews (IMR)</u>          |                     | <u>In Progress / Taking Effect</u> |                    | <u>Mark Harvey</u> |

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| <p><b>AUDIT0001</b><br/><i>Delivering our Vision</i></p> <p><b>Current Category:</b> <i>Corporate &amp; Strategic Risk Register</i><br/><i>Current Type : Corporate</i></p> <p>As a result of the scale and scope of services delivered by and through the county council, there is a risk of fraud; which may be significant fraud including money laundering, tax evasion or bribery, which could lead to service disruption, financial and reputational loss. The Anti-Money Laundering (AML) Act 2017 seeks to prevent new means of terrorist financing and enforce sanctions, requiring HCC to adopt a more risk-based approach towards AML. This risk includes, but is not limited to, areas specifically recognised by CIPFA:</p> <ul style="list-style-type: none"> <li>- Overstatement of needs through false declaration for personal budgets in adult care services</li> <li>- Misuse of Blue Badge/Concessionary bus passes</li> <li>- Staff falsifying time keeping / expenses and overpayment of pensions</li> <li>- Bribery and collusion in procurement</li> <li>- Exaggerated/false insurance claims</li> </ul> | <p>Terry Barnett</p> <p>Head of Assurance</p> | <p>This risk and its controls have been reviewed by the risk owner. Control measures have been reviewed for this risk and these remain embedded within the service. The SAFS programme of work and action plan is continually evolving to tackle the ever increasing new and diverse methods used to commit fraud. Work continues to prepare for a SAFS Audit scheduled for completion in 2019/2020. This Audit is hoped to provide further assurance to the council that SAFS provides an effective shared service. Awareness/Communications continues with a publicity campaign designed to be launched to raise awareness and timed to coincide with international Fraud Awareness week to maximize its effectiveness. A new control measure has been raised to note the benefit of data and knowledge sharing with the Membership of External bodies. Reviewed On :01/10/2019</p> | <p>Significant<br/>16</p> <p><b>Probability</b><br/>Likely<br/>4</p> <p><b>Impact</b><br/>Medium<br/>4</p> | <p>↔</p>           | <p>Significant<br/>16</p> <p><b>Probability</b><br/>Likely<br/>4</p> <p><b>Impact</b><br/>Medium<br/>4</p> | <p>Significant<br/>16</p> <p><b>Probability</b><br/>Likely<br/>4</p> <p><b>Impact</b><br/>Medium<br/>4</p> |

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| <b>Controls:</b>   | <u>Ref</u>  | <u>Control Description</u>  |                     | <u>Status</u>               |                    | <u>Owner</u>      |
|  | 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   | Responding to reports received from the fraud reporting facilities.   |                     | In Place / Embedded         |                    | Terry Barnett     |
|  | AUDIT0001/007   | Oversight of fraud risk at Resources board, PROG and audit committee through regular reporting by SAFS                |                     | In Place / Embedded         |                    | Terry Barnett     |
|  | AUDIT0001/011   | Robust responses to fraudulent activity e.g. prosecutions; disciplinary; and loss recovery act as deterrent.          |                     | In Place / Embedded         |                    | Terry Barnett     |
|  | AUDIT0001/012   | Removal of out of date blue badges/concessionary bus passes to prevent inappropriate use                              |                     | In Place / Embedded         |                    | Terry Barnett     |
|  | AUDIT0001/013   | Compliance with National Fraud Initiative & use of NFI 'Fraud Hub' to enhance data-matching                           |                     | In Place / Embedded         |                    | Terry Barnett     |
|  | AUDIT0001/014   | Regularly reviewed Anti-Fraud Strategy and annual anti-fraud plan (compliant with CIPFA guidance)                     |                     | In Place / Embedded         |                    | Terry Barnett     |
|  | AUDIT0001/015   | Communications plan to encourage reporting of fraud internally and externally (includes an annual publicity campaign) |                     | In Place / Embedded         |                    | Terry Barnett     |
|  | AUDIT0001/016   | Campaigns to promote staff awareness to encourage reporting and training via a compulsory I-Learn module              |                     | In Place / Embedded         |                    | Terry Barnett     |
| AUDIT0001/017  | Resource dedicated for development and maintenance of fraud reporting tools |   | In Place / Embedded |                             | Terry Barnett      |                   |
| AUDIT0001/018  | Preparation for SAFS Audit to ensure the effective of the service.          |   |                     | In Progress / Taking Effect |                    | Terry Barnett     |



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|   | AUDIT0001/019   | <u>Memberships of External Bodies/Use agreements of data and knowledge sharing practises</u>   |  | In Progress / Taking Effect |  | Terry Barnett  |
| <b>CPRES0001</b><br><i>Delivering our Vision</i><br><b>Current Category: Corporate &amp; Strategic Risk Register</b><br><i>Current Type : Corporate</i><br>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<br>(formerly SERMU0001) | Gus Cuthbert<br><br>Assistant Director Protection (OPS) | Scrutiny Advisory Committee attended on 03/09/19. Work ongoing to meet outstanding actions.<br><br>Hertfordshire Resilience is our LRF, which is required by the Civil Contingencies Act 2004 (CCA). This is a partnership of over 60 organisations including the emergency services, local councils, health services and volunteers. The LRF is not a legal entity, nor does a Forum have powers to direct its members. Nevertheless, the CCA and the Regulations provide that responders, through the Forum, have a collective responsibility to plan, prepare and communicate in a multi-agency environment.<br>Reviewed On :04/10/2019 | Significant<br>16<br><br>Probability<br>Rare<br>1<br><br>Impact<br>Very High<br>16 | ↔                           | Significant<br>16<br><br>Probability<br>Rare<br>1<br><br>Impact<br>Very High<br>16 | Significant<br>16<br><br>Probability<br>Rare<br>1<br><br>Impact<br>Very High<br>16 |



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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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| <p><b>CPRES0002</b><br/><i>Delivering our Vision</i></p> <p><b>Current Category: Corporate &amp; Strategic Risk Register</b><br/><i>Current Type : Corporate</i></p> <p>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 &amp; 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)</p> | <p>Gus Cuthbert</p> <p>Assistant Director Protection (OPS)</p>   | <p>Senior Management support has resulted in an increased level of representation at the Resilience Board which oversees this work. This along with Brexit work has seen good progress being made on Business Continuity Management (BCM) across all directorates. Reviewed On :14/10/2019</p> | <div style="background-color: #ff8c00; padding: 5px; text-align: center;">Significant<br/>16</div> <p><b>Probability</b><br/>Rare<br/>1</p> <p><b>Impact</b><br/>Very High<br/>16</p> |                    | <div style="background-color: #ff8c00; padding: 5px; text-align: center;">Significant<br/>16</div> <p><b>Probability</b><br/>Rare<br/>1</p> <p><b>Impact</b><br/>Very High<br/>16</p> | <div style="background-color: #ff8c00; padding: 5px; text-align: center;">Significant<br/>16</div> <p><b>Probability</b><br/>Rare<br/>1</p> <p><b>Impact</b><br/>Very High<br/>16</p> |            |                            |               |              |               |   |                     |                  |               |  |                     |                  |               |  |                             |                  |               |  |                             |                    |
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| <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 Progress / Taking Effect  | Darren McLatchey  |                    |   |   |            |                            |               |              |               |   |                     |                  |               |  |                     |                  |               |  |                             |                  |               |  |                             |                    |
| CPRES0002/006   | Monitor plant failure risk (PROP0004) for any BCP implications   | In Progress / Taking Effect  | Michael Cunningham  |                    |   |   |            |                            |               |              |               |   |                     |                  |               |  |                     |                  |               |  |                             |                  |               |  |                             |                    |

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| <b>CSHF0002</b><br><i>Delivering our Vision</i><br><b>Current Category: Corporate &amp; Strategic Risk Register</b><br><i>Current Type : Corporate</i><br>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<br><br>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 94% as at 30 June 2019. The risk and controls have been reviewed in the context of the triennial re-evaluation of the fund.<br>Reviewed On :04/09/2019 | Significant<br>16<br><br>Probability<br>Rare<br>1<br><br>Impact<br>Very High<br>16 |                    | Significant<br>16<br><br>Probability<br>Rare<br>1<br><br>Impact<br>Very High<br>16 | Significant<br>16<br><br>Probability<br>Rare<br>1<br><br>Impact<br>Very High<br>16 |            |                            |               |              |              |   |                     |               |              |   |                     |               |              |   |                     |               |
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|   | <u>Ref</u>  | <u>Control Description</u>   | <u>Status</u>  | <u>Owner</u>       |  |  |            |                            |               |              |              |   |                     |               |              |   |                     |               |              |   |                     |               |
|   | 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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| <p><b>ENV0033</b><br/><i>Opportunity to live in thriving communities</i></p> <p><b>Current Category:</b> <i>Corporate &amp; Strategic Risk Register</i><br/><i>Current Type : Corporate</i></p> <p>In the event of under investment there is a risk that road maintenance levels (including footways and cycle-ways) cannot be maintained and general deterioration occurs, which may lead to increased number of accidents, loss of reputation and customer dissatisfaction.</p> | <p>Steve Johnson</p> <p>Business Manager - Contracts and Networks</p> | <p>Additional funding continues to be targeted on the upkeep of U Roads. Initial indications are showing a reduction in customer reported defects suggesting an improvement in road condition. However, this needs to be considered against the context of a relatively mild winter in 2018/19, hence the true impact will need to be monitored over the next 2 to 3 years.<br/>Reviewed On :06/11/2019</p> | <p>Significant<br/>16</p> <p>Probability<br/>Unlikely<br/>2</p> <p>Impact<br/>High<br/>8</p> | <p>↔</p>           | <p>Significant<br/>16</p> <p>Probability<br/>Unlikely<br/>2</p> <p>Impact<br/>High<br/>8</p> | <p>Material<br/>8</p> <p>Probability<br/>Rare<br/>1</p> <p>Impact<br/>High<br/>8</p> |

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|  | ENV0033/001 | Annual monitoring of Highway conditions and quarterly monitoring of reporting defects                    |                     | In Place / Embedded         |                    | Steve Johnson     |
|  | ENV0033/002 | Efficient Asset management principles  |                     | In Place / Embedded         |                    | Steve Johnson     |
|  | ENV0033/003 | Claims information reported on request to Environment and Infrastructure by the Insurance team           |                     | In Place / Embedded         |                    | Fiona Timms       |
|  | ENV0033/006 | Member decision for targeted extra investment in enhanced maintenance project                            |                     | In Place / Embedded         |                    | Steve Johnson     |
|  | ENV0033/007 | End to end delivery review of scheme works to ensure effective and efficient delivery (value for money)  |                     | In Progress / Taking Effect |                    | Steve Johnson     |
|  | ENV0033/008 | Continue to work with the administration on setting funding needs  |                     | In Place / Embedded         |                    | Steve Johnson     |
|  | ENV0033/009 | Annually review maintenance data, insurance data, customer enquiries, fault reports and weather patterns |                     | In Progress / Taking Effect |                    | Steve Johnson     |

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| <p><b>HFRS0004</b><br/><i>Delivering our Vision</i></p> <p><b>Current Category: Corporate &amp; Strategic Risk Register</b><br/><i>Current Type : Corporate</i></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 Director Protection (Specialist Services &amp; Training/Tech/Digital)</p> | <p>The CPD Strategic Operations and Training Board (SOTB) continue to monitor and analyse training data to ensure that we remain on track, in terms of the percentage of 'current' mandatory training completions and to respond to national issues and events and their impacts on Firefighter safety and effectiveness.</p> <p>The next quarters update will see a significant change to wording, as this will include details of the 2020 Annual Training Plan and a review of the 2019 version as discussed at the end of year SOTB.<br/>Reviewed On :04/10/2019</p> | <p>Significant<br/>16</p> <p>Probability<br/>Unlikely<br/>2</p> <p>Impact<br/>High<br/>8</p> | <p>↔</p>           | <p>Significant<br/>16</p> <p>Probability<br/>Unlikely<br/>2</p> <p>Impact<br/>High<br/>8</p> | <p>Significant<br/>16</p> <p>Probability<br/>Unlikely<br/>2</p> <p>Impact<br/>High<br/>8</p> |

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|  | HFRS0004/001 | Review and monitor the Integrated Personal Development System to ensure National training requirements are being met.     |                     | In Progress / Taking Effect |                    | Steve Tant        |
|  | HFRS0004/002 | Station Audit Process   |                     | In Place / Embedded         |                    | Steve Tant        |
|  | HFRS0004/004 | Feedback from standard meetings informs improvements in equipment, technique and performance to drive the Service forward |                     | In Place / Embedded         |                    | Steve Tant        |
|  | HFRS0004/005 | CPD`s Strategic Operations and Training Board (SOTB) have signed off the Services 2019 Annual Training Plan.              |                     | In Place / Embedded         |                    | Steve Tant        |

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| <p><b>HR0018</b><br/><i>Delivering our Vision</i></p> <p><b>Current Category: Corporate &amp; Strategic Risk Register</b><br/><i>Current Type : Corporate</i></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,<br/>Human Resources</p> | <p>This risk has been reviewed and as a result the current risk score together with the target risk score have been reduced (likelihood reduced to unlikely). This score reduction is due to the creation of a new dashboard in Ilearn for staff and managers to view compliance in mandatory learning and the monthly themed Ilearn videos by employees detailing the ease of completing the course and the benefits it gives.</p> <p>First phase of revised Core Offer launched, management areas now commencing. Mandatory modules on iLearn+ live. 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. Shared Prevent course with SBC and HCL. Reviewed On :04/10/2019</p> | <p>26/09/2019<br/>Significant<br/>24</p> <p><b>Probability</b><br/>Possible<br/>3</p> <p><b>Impact</b><br/>High<br/>8</p> |                    | <p>Significant<br/>16</p> <p><b>Probability</b><br/>Unlikely<br/>2</p> <p><b>Impact</b><br/>High<br/>8</p> | <p>Significant<br/>16</p> <p><b>Probability</b><br/>Unlikely<br/>2</p> <p><b>Impact</b><br/>High<br/>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      |
|  | HR0018/005 | Maintain and support PMDS scheme, appropriate career schemes and associated training, coaching / mentoring                    |                     | In Progress / Taking Effect |                    | Sally Hopper      |
|  | HR0018/006 | Deliver appropriate training to meet requirements of HCC Prevent action plan.   |                     | In Place / Embedded         |                    | Sally Hopper      |

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| <p><b>HR0021</b><br/><i>Delivering our Vision</i></p> <p><b>Current Category: Corporate &amp; Strategic Risk Register</b><br/><i>Current Type : 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,<br/>Human Resources</p> | <p>This risk has been reviewed and as a result the current risk score together with the target risk score have been reduced (likelihood reduced to unlikely). This score reduction is due to our recruitment and branding activities being well established, and having been recently refreshed, which has reducing the risk failure to attract and recruit people.</p> <p>Vol. Turnover for council depts. has decreased by 0.1% to 12.7% (Aug 2019) since the last quarter, though this may be impacted by improvements in private sector jobs market. 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.</p> | <p>26/09/2019<br/>Significant<br/>24</p> <p><b>Probability</b><br/>Possible<br/>3</p> <p><b>Impact</b><br/>High<br/>8</p> |                    | <p>Significant<br/>16</p> <p><b>Probability</b><br/>Unlikely<br/>2</p> <p><b>Impact</b><br/>High<br/>8</p> | <p>Significant<br/>16</p> <p><b>Probability</b><br/>Unlikely<br/>2</p> <p><b>Impact</b><br/>High<br/>8</p> |

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|  | 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      |

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| <p><b>LIBS0009</b> Created Date: 23/09/2019</p> <p><i>Delivering our Vision</i></p> <p><b>Current Category: Corporate &amp; Strategic Risk Register</b></p> <p><i>Current Type : Strategic</i></p> <p>"Hertfordshire County Council has awarded the contract for the Provision of Library Services in Hertfordshire to "Libraries for Life" (the Public Service Mutual set up and led by the Council's Library Service Senior Leadership Team)."</p> <p>In the event of: -</p> <ul style="list-style-type: none"> <li>• a delay to the implementation and transfer of arrangements to Libraries for Life</li> <li>• complications arising with the start up arrangements or with the early existence of Libraries for Life</li> <li>• difficulties arising with the disentanglement of the library service from HCC especially in regards to how it continues to receive key support services from the council</li> <li>• a challenge to the contract award there is a risk that the new library service arrangements will be slow to mobilise or not be able to mobilise effectively, which may result in required savings not being made within the required timescales, have an impact on the</li> </ul> | <p>Alex James</p> <p>Head of Corporate Policy</p> | <p>Libraries for life were awarded the contract in August, following a comprehensive public procurement process and were due to take over responsibility for delivering the service from 1 December 2019. This has now been delayed to 1 April 2020. Since the contract was awarded a significant amount of work has been done by staff across the council to prepare for the transfer and tremendous progress has been made. This is a hugely complex process, and the additional time will enable the smoothest transition for staff and volunteers and give Libraries for Life the best possible grounding for success in the future.</p> <p>Reviewed on 15/11/2019</p> | <p>23/09/2019<br/>Significant<br/>12</p> <p><b>Probability</b><br/>Possible<br/>3</p> <p><b>Impact</b><br/>Medium<br/>4</p> | <p>↔</p>           | <p>Significant<br/>12</p> <p><b>Probability</b><br/>Possible<br/>3</p> <p><b>Impact</b><br/>Medium<br/>4</p> | <p>Material<br/>8</p> <p><b>Probability</b><br/>Unlikely<br/>2</p> <p><b>Impact</b><br/>Medium<br/>4</p> |

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|--|---------------------|--|------------------------------------|---------------------|--------------------|-------------------|
| quality of the service that is delivered to the Hertfordshire public and the reputation of HCC.” |                     |  |                                    |                     |                    |                   |
| <b>Controls:</b>   | <b><u>Ref</u></b>   | <b><u>Control Description</u></b>  | <b><u>Status</u></b>               | <b><u>Owner</u></b> |                    |                   |
|  | <u>LIBS0009/001</u> | <u>Transition plans set out in agreed mobilisation plan</u>  | <u>In Progress / Taking Effect</u> | <u>Alex James</u>   |                    |                   |
|  | <u>LIBS0009/002</u> | <u>Project Transition team established to monitor performance and mitigation of project/operational risks</u>    | <u>In Progress / Taking Effect</u> | <u>Alex James</u>   |                    |                   |
|  | <u>LIBS0009/003</u> | <u>Communication plan in place with particular focus on TUPE process</u>   | <u>In Progress / Taking Effect</u> | <u>Alex James</u>   |                    |                   |
|  | <u>LIBS0009/004</u> | <u>Weekly mobilisation meetings held (between HCC &amp; LFL) to monitor mobilisation/transition arrangements</u> | <u>In Place / Embedded</u>         | <u>Alex James</u>   |                    |                   |
|  | <u>LIBS0009/005</u> | <u>Regular sub group meeting held to discuss key support services with LfL [HR, Finance, Property]</u>           | <u>In Place / Embedded</u>         | <u>Alex James</u>   |                    |                   |

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|---|---|--|---|--------------------|---|---|------------|----------------------------|---------------|--------------|--------------|---|---------------------|------------|--------------|--|---------------------|------------|--------------|---|-----------------------------|------------|
| <p><b>PROP0018</b><br/><i>Opportunity to enjoy healthy and safe lives</i></p> <p><b>Current Category: Corporate &amp; Strategic Risk Register</b><br/><i>Current Type : Corporate</i></p> <p>There is a risk that empty/out of use assets or land owned by the Council which is 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 encroachment, H&amp;S incident to persons or property or some financial impact which could give rise to H&amp;SE action and/or a liability claim.</p> | <p>Emily White</p> <p>Contract Manager</p>  | <p>Risk and control measures have been reviewed and updated. No changes to current or target risk scores. Health &amp; safety and security are being prioritised with a bid for revenue funding to be put forward to enable works to be undertaken.</p> <p>Reviewed On :30/09/2019</p> | <div style="background-color: #ff9900; padding: 5px; text-align: center;">Significant<br/>12</div> <p><b>Probability</b><br/>Possible<br/>3</p> <p><b>Impact</b><br/>Medium<br/>4</p> |                    | <div style="background-color: #ff9900; padding: 5px; text-align: center;">Significant<br/>12</div> <p><b>Probability</b><br/>Possible<br/>3</p> <p><b>Impact</b><br/>Medium<br/>4</p> | <div style="background-color: #ffff00; padding: 5px; text-align: center;">Material<br/>8</div> <p><b>Probability</b><br/>Unlikely<br/>2</p> <p><b>Impact</b><br/>Medium<br/>4</p> |            |                            |               |              |              |   |                     |            |              |  |                     |            |              |   |                             |            |
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|   | 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  |                    |   |   |            |                            |               |              |              |   |                     |            |              |  |                     |            |              |   |                             |            |

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| <p><b>PHD0014</b><br/><i>Opportunity to enjoy healthy and safe lives</i></p> <p><b>Current Category: Corporate &amp; Strategic Risk Register</b><br/><i>Current Type : Corporate</i></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.</p> | <p>Jim McManus</p> <p>Director of Public Health</p>  | <p>Ongoing risk. The score has been reviewed and remains unchanged.<br/>Reviewed On :02/10/2019</p> | <p style="background-color: yellow;">Material<br/>8</p> <p>Probability<br/>Rare<br/>1</p> <p>Impact<br/>High<br/>8</p> | <p>↔</p>           | <p style="background-color: yellow;">Material<br/>8</p> <p>Probability<br/>Rare<br/>1</p> <p>Impact<br/>High<br/>8</p> | <p style="background-color: yellow;">Material<br/>8</p> <p>Probability<br/>Rare<br/>1</p> <p>Impact<br/>High<br/>8</p> |            |                            |               |              |             |  |                     |             |             |  |                     |                  |             |  |                     |                 |             |  |                     |                  |             |  |                     |                  |
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| PHD0014/002  | The Local Health Resilience Partnership (LHRP) meets quarterly   | In Place / Embedded   | Jim McManus  |                    |  |  |            |                            |               |              |             |  |                     |             |             |  |                     |                  |             |  |                     |                 |             |  |                     |                  |             |  |                     |                  |
| PHD0014/003  | The Hertfordshire Resilience Major Incident Framework Version will be used as guidance in the event of an HP Emergency   | 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   | Miranda Sutters  |                    |  |  |            |                            |               |              |             |  |                     |             |             |  |                     |                  |             |  |                     |                 |             |  |                     |                  |             |  |                     |                  |
| PHD0014/005  | Hertfordshire follows the national guidance on management of infectious outbreaks and pandemic flu   | In Place / Embedded   | Robin Trevillion   |                    |  |  |            |                            |               |              |             |  |                     |             |             |  |                     |                  |             |  |                     |                 |             |  |                     |                  |             |  |                     |                  |
| PHD0014/006  | Qrtly update to LHRP on progress with detailed arrangements for health protection incidents as identified in 2017 national audit   | In Place / Embedded   | Robin Trevillion   |                    |  |  |            |                            |               |              |             |  |                     |             |             |  |                     |                  |             |  |                     |                 |             |  |                     |                  |             |  |                     |                  |



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

[Report Selection Criteria](#)