

## Recent movement report: - Corporate & Strategic Risk Register as at February/early March 2020



Report Date: 27/02/2020

Date of Previous Risk Score: 13/11/2019

Notes: References highlighted **Purple** have been added since the 13/11/2019.

Old Category is shown when there has been a change of category.

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<p><b>CSHF0016</b> <i>Delivering our Vision</i></p> <p><b>Current Category:</b> <i>Corporate &amp; Strategic Risk Register</i> <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. [Formerly CSHF0005 and CSHF0015]</p>	<p>Steven Pilsworth</p> <p>Assistant Director - Finance</p>	<p>Following the 2019 Spending Review (04/09/2019) the additional funding for the year 2020/21 released earlier than usual enabled the necessary additional savings to be identified and appropriate consultation and implementation plans to be drawn up in sufficient time. These savings/ funding fed through into the latest Council Integrated Plan which is currently in the process of approval. This IP proposes a balanced budget and relative stability for the coming financial year, however there is still large uncertainty around funding levels beyond the next 12 months with significant savings gaps identified in the four years following 2020/21. The risk score remains unchanged due to the high level of uncertainty in future years. Reviewed On :30/01/2020</p>	<div style="background-color: red; color: white; text-align: center; padding: 5px;"><b>Severe</b> 48</div> <p><b>Probability</b> Possible 3</p> <p><b>Impact</b> Very High 16</p>		<div style="background-color: red; color: white; text-align: center; padding: 5px;"><b>Severe</b> 48</div> <p><b>Probability</b> Possible 3</p> <p><b>Impact</b> Very High 16</p>	<div style="background-color: orange; text-align: center; padding: 5px;"><b>Significant</b> 24</div> <p><b>Probability</b> Possible 3</p> <p><b>Impact</b> High 8</p>

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<b>Controls:</b>	<u>Ref</u>	<u>Control Description</u>		<u>Status</u>		<u>Owner</u>
	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		Scott Crudgington

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<p><b>PROP0031</b> <i>Delivering our Vision</i></p> <p><b>Current Category:</b> <i>Corporate &amp; Strategic Risk Register</i> <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 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. Early appointment of the Master Developer should reduce the risk of delivery.</p> <p>Reviewed On :21/01/2020</p>	<p><b>Severe</b> 48</p> <p><b>Probability</b> Possible 3</p> <p><b>Impact</b> Very High 16</p>	<p>↔</p>	<p><b>Severe</b> 48</p> <p><b>Probability</b> Possible 3</p> <p><b>Impact</b> Very High 16</p>	<p><b>Severe</b> 32</p> <p><b>Probability</b> Unlikely 2</p> <p><b>Impact</b> Very High 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> <i>Opportunity to enjoy healthy and safe lives</i></p> <p><b>Current Category:</b> <i>Corporate &amp; Strategic Risk Register</i> <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 February 2020. Risk wording and scores to remain the same. Herts at Home continues to develop, whilst there has been a slow down in providers handing back care contracts. Reviewed On :05/02/2020</p>	<p><b>Severe</b> 32</p> <p><b>Probability</b> Unlikely 2</p> <p><b>Impact</b> Very High 16</p>	<p>↔</p>	<p><b>Severe</b> 32</p> <p><b>Probability</b> Unlikely 2</p> <p><b>Impact</b> Very High 16</p>	<p><b>Significant</b> 16</p> <p><b>Probability</b> Unlikely 2</p> <p><b>Impact</b> High 8</p>

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	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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<b>CS0019</b> <i>Delivering our Vision</i> <b>Current Category:</b> <i>Corporate &amp; Strategic Risk Register</i> <i>Current Type : Strategic</i> 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.	Scott Crudgington  Director of Resources	Although the Spending Round in Sep 19 was positive and helped the balance the budget, it is only 1 year, with uncertainty for next year and the future years. Government confirmed March 2020 budget with SR due in November 2020, this is very close to start of 2021 financial year, not much time to react if outcome is less than expected in terms of funding. Risk remains at the same score. Reviewed On :30/01/2020	<div style="background-color: red; color: white; padding: 5px; text-align: center;"> <b>Severe</b>  <b>32</b> </div> Probability Likely 4  Impact High 8		<div style="background-color: red; color: white; padding: 5px; text-align: center;"> <b>Severe</b>  <b>32</b> </div> Probability Likely 4  Impact High 8	<div style="background-color: orange; padding: 5px; text-align: center;"> <b>Significant</b>  <b>24</b> </div> Probability Possible 3  Impact High 8
<b>Controls:</b>	<b>Ref</b>	<b>Control Description</b>	<b>Status</b>	<b>Owner</b>		
	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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<p><b>CS0020</b> <i>Delivering our Vision</i></p> <p><b>Current Category:</b> <i>Corporate &amp; Strategic Risk Register</i></p> <p><i>Current Type : Corporate</i></p> <p>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</p>	<p>Scott Crudgington</p> <p>Director of Resources</p>	<p>The balanced budget currently proposed in the 2020 IP is dependent on savings being found. The new IP and financial plan identify where the savings will be found, however this is uncertain for future years.</p> <p>Departments are on track- there is council wide programme management in place where there is a regular overview of key projects, deciding whether key projects are on track to get a perspective of where the council is in terms of savings e.g. transformation projects. Reviewed On :30/01/2020</p>	<div style="background-color: red; color: white; text-align: center; padding: 5px;"><b>Severe</b> 32</div> <p><b>Probability</b> Likely 4</p> <p><b>Impact</b> High 8</p>		<div style="background-color: red; color: white; text-align: center; padding: 5px;"><b>Severe</b> 32</div> <p><b>Probability</b> Likely 4</p> <p><b>Impact</b> High 8</p>	<div style="background-color: orange; text-align: center; padding: 5px;"><b>Significant</b> 24</div> <p><b>Probability</b> Possible 3</p> <p><b>Impact</b> High 8</p>
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	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> <i>Opportunity to enjoy healthy and safe lives</i></p> <p><b>Current Category:</b> <i>Corporate &amp; Strategic Risk Register</i> <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. Reviewed On :04/02/2020</p>	<div style="background-color: red; color: white; text-align: center; padding: 5px;"><b>Severe</b> 32</div> <p><b>Probability</b> Unlikely 2</p> <p><b>Impact</b> Very High 16</p>		<div style="background-color: red; color: white; text-align: center; padding: 5px;"><b>Severe</b> 32</div> <p><b>Probability</b> Unlikely 2</p> <p><b>Impact</b> Very High 16</p>	<div style="background-color: red; color: white; text-align: center; padding: 5px;"><b>Severe</b> 32</div> <p><b>Probability</b> Unlikely 2</p> <p><b>Impact</b> Very High 16</p>																
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<p><b>ENV0149</b> <i>Opportunity to share in Hertfordshire's prosperity</i></p> <p><b>Current Category:</b> <i>Corporate &amp; Strategic Risk Register</i> <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 Strategic Planning, Infrastructure and Economy</p>	<p>This remains a risk but greater joint working through the Hertfordshire Growth Board provides an opportunity to develop new ways of working and support for infrastructure funding.</p> <p>Securing appropriate levels of funding for HCC provided infrastructure to support growth remains a risk. Reviewed On :06/01/2020</p>	<p><b>Severe</b> 32</p> <p><b>Probability</b> Likely 4</p> <p><b>Impact</b> High 8</p>	<p>↔</p>	<p><b>Severe</b> 32</p> <p><b>Probability</b> Likely 4</p> <p><b>Impact</b> High 8</p>	<p><b>Significant</b> 12</p> <p><b>Probability</b> Possible 3</p> <p><b>Impact</b> Medium 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> <i>Opportunity to enjoy healthy and safe lives</i></p> <p><b>Current Category:</b> <i>Corporate &amp; Strategic Risk Register</i> <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: Implement standard procedures for reporting to</p>	<p><b>Severe</b> 32</p> <p><b>Probability</b> Unlikely 2</p> <p><b>Impact</b> Very High 16</p>	<p>↔</p>	<p><b>Severe</b> 32</p> <p><b>Probability</b> Unlikely 2</p> <p><b>Impact</b> Very High 16</p>	<p><b>Severe</b> 32</p> <p><b>Probability</b> Unlikely 2</p> <p><b>Impact</b> Very High 16</p>

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		the NRFC Provide the NRFC with daily electronic updates on the availability of National Resilience assets using the NCAF Electronic Support System (NCAF ESS) Establish and maintain communications with NRFC at all times when required. Reviewed On :05/02/2020				

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	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 Place / Embedded		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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Risk Ref Risk Description Corporate Priority Category	Risk Owner	Progress Update	Previous Risk Score	Movement Direction	Current Risk Score	Target Risk Score
<p><b>PROP0030</b> <i>Opportunity to enjoy healthy and safe lives</i></p> <p><b>Current Category:</b> <i>Corporate &amp; Strategic Risk Register</i> <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. 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 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. All records are being uploaded to the Corporate Property Database.. Reviewed On :30/01/2020</p>	<p><b>Severe</b> 32</p> <p><b>Probability</b> Unlikely 2</p> <p><b>Impact</b> Very High 16</p>	<p>↔</p>	<p><b>Severe</b> 32</p> <p><b>Probability</b> Unlikely 2</p> <p><b>Impact</b> Very High 16</p>	<p><b>Significant</b> 16</p> <p><b>Probability</b> Rare 1</p> <p><b>Impact</b> Very High 16</p>

## Recent movement report: - Corporate & Strategic Risk Register as at February/early March 2020



Report Date: 27/02/2020

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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	Water management programmes in place and reviewed to ensure they 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		In Progress / Taking Effect		Sass Pledger



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Risk Ref Risk Description Corporate Priority Category	Risk Owner	Progress Update	Previous Risk Score	Movement Direction	Current Risk Score	Target Risk Score
<p><b>SP0007</b> <i>Delivering our Vision</i></p> <p><b>Current Category:</b> <i>Corporate &amp; Strategic Risk Register</i> <i>Current Type : Corporate</i></p> <p>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]</p>	<p>Steven Pilsworth</p> <p>Assistant Director - Finance</p>	<p>Work continues following the Supplier Volatility Scrutiny to ensure robust monitoring of our key suppliers is in place. Reviewed On :29/01/2020</p>	<div style="background-color: red; color: white; padding: 5px; display: inline-block;">Severe 32</div> <p>Probability Unlikely 2</p> <p>Impact Very High 16</p>		<div style="background-color: red; color: white; padding: 5px; display: inline-block;">Severe 32</div> <p>Probability Unlikely 2</p> <p>Impact Very High 16</p>	<div style="background-color: orange; padding: 5px; display: inline-block;">Significant 16</div> <p>Probability Unlikely 2</p> <p>Impact High 8</p>
<b>Controls:</b>	<u>Ref</u>	<u>Control Description</u>	<u>Status</u>	<u>Owner</u>		
	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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Risk Ref Risk Description Corporate Priority Category	Risk Owner	Progress Update	Previous Risk Score	Movement Direction	Current Risk Score	Target Risk Score
<p><b>TEC0004</b> <i>Delivering our Vision</i></p> <p><b>Current Category:</b> <i>Corporate &amp; Strategic Risk Register</i> <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</p> <p>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 also reviewing the quickly developing cyber tool box as suppliers like Microsoft add new features. We are considering the risks associated with a cloud future as we plan our move to Office 365. 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 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 to take to mitigate this</p>	<p><b>Severe</b> 32</p> <p><b>Probability</b> Likely 4</p> <p><b>Impact</b> High 8</p>	<p>↔</p>	<p><b>Severe</b> 32</p> <p><b>Probability</b> Likely 4</p> <p><b>Impact</b> High 8</p>	<p><b>Significant</b> 16</p> <p><b>Probability</b> Unlikely 2</p> <p><b>Impact</b> High 8</p>

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		which will include a bid to supplement the Cyber Security team. Reviewed On :05/02/2020				
<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> <i>Delivering our Vision</i></p> <p><b>Current Category:</b> <i>Corporate &amp; Strategic Risk Register</i> <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 Crudgington</p> <p>Director of Resources</p>	<p>The prioritised Transformation projects, which were agreed with SMB are currently under review with the PMO to identify gaps that will impact confidence to deliver forecast benefits.</p> <p>Governance Model and Project Approval Process approved by SMB. Reviewed On :26/02/2020</p>	<p><b>Severe</b> 32</p> <p><b>Probability</b> Unlikely 2</p> <p><b>Impact</b> Very High 16</p>	<p>↔</p>	<p><b>Severe</b> 32</p> <p><b>Probability</b> Unlikely 2</p> <p><b>Impact</b> Very High 16</p>	<p><b>Significant</b> 16</p> <p><b>Probability</b> Unlikely 2</p> <p><b>Impact</b> High 8</p>

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<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 Place / Embedded		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 Place / Embedded		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 Place / Embedded		Lynne Jennings
	TR0001/007	Support both existing and pipeline projects through change		Complete		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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<p><b>ACSPR0001</b> <i>Opportunity to enjoy healthy and safe lives</i></p> <p><b>Current Category:</b> <i>Corporate &amp; Strategic Risk Register</i> <i>Current Type : Corporate</i></p> <p>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]</p>	<p>Helen Maneuf</p> <p>Assistant Director, Integrated Planning &amp; Resources</p>	<p>Risk reviewed by Risk Owner in January 2020. Risk score and wording to remain the same. More certainty regarding post election being implemented, uncertainty still remains regarding the period beyond 2020/21 Reviewed On :20/01/2020</p>	<div style="background-color: #ff8c00; color: white; padding: 5px; text-align: center;"> <b>Significant</b> 24                 </div> <p><b>Probability</b> Possible 3</p> <p><b>Impact</b> High 8</p>		<div style="background-color: #ff8c00; color: white; padding: 5px; text-align: center;"> <b>Significant</b> 24                 </div> <p><b>Probability</b> Possible 3</p> <p><b>Impact</b> High 8</p>	<div style="background-color: #ff8c00; color: white; padding: 5px; text-align: center;"> <b>Significant</b> 24                 </div> <p><b>Probability</b> Possible 3</p> <p><b>Impact</b> High 8</p>
<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> <i>Opportunity to enjoy healthy and safe lives</i></p> <p><b>Current Category:</b> <i>Corporate &amp; Strategic Risk Register</i> <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>A Prevent Programme Manager for HCC has been appointed with an anticipated start date of 1 April 2020. This person and post will significantly aid the governance, and work in partnership to improve community engagement and community cohesion. Reviewed On :07/02/2020</p>	<div style="background-color: #ff8c00; padding: 5px; text-align: center;">Significant 24</div> <p>Probability Possible 3</p> <p>Impact High 8</p>		<div style="background-color: #ff8c00; padding: 5px; text-align: center;">Significant 24</div> <p>Probability Possible 3</p> <p>Impact High 8</p>	<div style="background-color: #ff8c00; padding: 5px; text-align: center;">Significant 24</div> <p>Probability Possible 3</p> <p>Impact High 8</p>																								
<b>Controls:</b>	<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 10%;"><u>Ref</u></th> <th style="width: 50%;"><u>Control Description</u></th> <th style="width: 20%;"><u>Status</u></th> <th style="width: 20%;"><u>Owner</u></th> </tr> </thead> <tbody> <tr> <td>CP0004/002</td> <td>Prevent Board to develop and regularly review progress of the Prevent action plan</td> <td>In Progress / Taking Effect</td> <td>Guy Pratt</td> </tr> <tr> <td>CP0004/004</td> <td>Herts Channel Panel meet regularly to provide multi agency support for vulnerable people at risk of being drawn into terrorism.</td> <td>In Place / Embedded</td> <td>Guy Pratt</td> </tr> <tr> <td>CP0004/005</td> <td>Development and implementation of appropriate training to meet the requirements of the HCC Prevent action plan.</td> <td>In Progress / Taking Effect</td> <td>Guy Pratt</td> </tr> <tr> <td>CP0004/006</td> <td>Collaboration with partners (incl schools) to coordinate Prevent activities</td> <td>In Progress / Taking Effect</td> <td>Guy Pratt</td> </tr> <tr> <td>CP0004/008</td> <td>An official 56 page Prevent Duty Toolkit for Local Authorities and Partner Agencies has been produced.</td> <td>In Progress / Taking Effect</td> <td>Guy Pratt</td> </tr> </tbody> </table>						<u>Ref</u>	<u>Control Description</u>	<u>Status</u>	<u>Owner</u>	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> <i>Opportunity to live in thriving communities</i></p> <p><b>Current Category:</b> <i>Corporate &amp; Strategic Risk Register</i> <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. Hertfordshire Resilience</p>	<p>Significant 24</p> <p>Probability Possible 3</p> <p>Impact High 8</p>	<p>↔</p>	<p>Significant 24</p> <p>Probability Possible 3</p> <p>Impact High 8</p>	<p>Significant 24</p> <p>Probability Possible 3</p> <p>Impact High 8</p>



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		<p>assesses all these situations 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 &amp; BIAs on a regular basis.</p> <p>Control measures are in place and will be subject to ongoing monitoring. Reviewed On :05/02/2020</p>				
<b>Controls:</b>	<b><u>Ref</u></b>	<b><u>Control Description</u></b>	<b><u>Status</u></b>	<b><u>Owner</u></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> <i>Opportunity to share in Hertfordshire's prosperity</i></p> <p><b>Current Category:</b> <i>Corporate &amp; Strategic Risk Register</i> <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>The UK left the EU on 31/01/2020 and there is a transition period until 30/12/2020. Monitoring and preparedness for all HCC services continues. Reviewed On :06/02/2020</p>	<p>Significant 24</p> <p>Probability Possible 3</p> <p>Impact High 8</p>	<p>↔</p>	<p>Significant 24</p> <p>Probability Possible 3</p> <p>Impact High 8</p>	<p>Significant 16</p> <p>Probability Unlikely 2</p> <p>Impact High 8</p>

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<b>Controls:</b>	<u>Ref</u>	<u>Control Description</u>		<u>Status</u>		<u>Owner</u>
	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
	CPRES0010/007	Ensure regular internal and external communications of accurate and appropriate information		In Progress / Taking Effect		Andrew Hadfield-Ames

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<p><b>CSF0070</b> <i>Opportunity for everyone to achieve their potential</i> <b>Current Category: Corporate &amp; Strategic Risk Register</b> <i>Current Type : Strategic</i></p> <p>In the event of inadequate capital being made available from a number of funding streams, part of the costs of delivering the secondary expansion programme and/or schools required to meet demand in new housing developments may need to be met from the council's own resources having exhausted all other eventualities.</p>	<p>Simon Newland</p> <p>Operations Director, Education</p>	<p>Key control measures continue to be taken forward, including close oversight of the number and cost of expansions.</p> <p>Future Capital allocations will be subject to the forthcoming Government Spending Review, likely to be published in Autumn 2020. Reviewed On :04/02/2020</p>	<div style="background-color: #f4a460; padding: 5px; text-align: center;"> <b>Significant</b> 24                 </div> <p><b>Probability</b> Possible 3</p> <p><b>Impact</b> High 8</p>		<div style="background-color: #f4a460; padding: 5px; text-align: center;"> <b>Significant</b> 24                 </div> <p><b>Probability</b> Possible 3</p> <p><b>Impact</b> High 8</p>	<div style="background-color: #f4a460; padding: 5px; text-align: center;"> <b>Significant</b> 16                 </div> <p><b>Probability</b> Unlikely 2</p> <p><b>Impact</b> High 8</p>
<b>Controls:</b>	<b>Ref</b>	<b>Control Description</b>	<b>Status</b>	<b>Owner</b>		
	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		

## Recent movement report: - Corporate & Strategic Risk Register as at February/early March 2020



Report Date: 27/02/2020

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Risk Ref Risk Description Corporate Priority Category	Risk Owner	Progress Update	Previous Risk Score	Movement Direction	Current Risk Score	Target Risk Score								
<p><b>CSF0082</b> <i>Opportunity to enjoy healthy and safe lives</i></p> <p><b>Current Category:</b> <i>Corporate &amp; Strategic Risk Register</i> <i>Current Type : Corporate</i></p> <p>As a result of national and local efficiencies, there is a risk that partnership funding may be withdrawn or withheld.</p>	<p>Jenny Coles</p> <p>Director of Children's Services</p>	<p>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. Reviewed On :04/02/2020</p>	<div style="background-color: #ff8c00; padding: 5px; display: inline-block;">Significant 24</div> <p>Probability Possible 3</p> <p>Impact High 8</p>		<div style="background-color: #ff8c00; padding: 5px; display: inline-block;">Significant 24</div> <p>Probability Possible 3</p> <p>Impact High 8</p>	<div style="background-color: #ff8c00; padding: 5px; display: inline-block;">Significant 12</div> <p>Probability Possible 3</p> <p>Impact Medium 4</p>								
<b>Controls:</b>	<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 15%;"><u>Ref</u></th> <th style="width: 40%;"><u>Control Description</u></th> <th style="width: 20%;"><u>Status</u></th> <th style="width: 25%;"><u>Owner</u></th> </tr> </thead> <tbody> <tr> <td>CSF0082/001</td> <td>Maintain effective joint working relationships and joint planning</td> <td>In Progress / Taking Effect</td> <td>Jenny Coles</td> </tr> </tbody> </table>						<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
<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											

# Recent movement report: - Corporate & Strategic Risk Register as at February/early March 2020



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Date of Previous Risk Score: 13/11/2019

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Risk Ref	Risk Description	Corporate Priority	Risk Owner	Progress Update	Previous Risk Score	Movement Direction	Current Risk Score	Target Risk Score
CSF0083	<p><i>Opportunity for everyone to achieve their potential</i></p> <p><b>Current Category: Corporate &amp; Strategic Risk Register</b></p> <p><i>Current Type : Corporate</i></p> <p>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 2019/20.</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 24</p> <p>Probability Possible 3</p> <p>Impact High 8</p>	↔	<p>Significant 24</p> <p>Probability Possible 3</p> <p>Impact High 8</p>	<p>Significant 12</p> <p>Probability Possible 3</p> <p>Impact Medium 4</p>

## Recent movement report: - Corporate & Strategic Risk Register as at February/early March 2020

Report Date: 27/02/2020

Date of Previous Risk Score: 13/11/2019



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Risk Ref Risk Description Corporate Priority Category	Risk Owner	Progress Update	Previous Risk Score	Movement Direction	Current Risk Score	Target Risk Score
		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. Reviewed On :04/02/2020				
<b>Controls:</b>	<b>Ref</b>	<b>Control Description</b>	<b>Status</b>	<b>Owner</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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Risk Ref	Risk Description	Corporate Priority	Risk Owner	Progress Update	Previous Risk Score	Movement Direction	Current Risk Score	Target Risk Score
<b>CSF0088</b>	<i>Opportunity for everyone to achieve their potential</i>		Jo Fisher	EHCP numbers are growing rapidly and are currently forecasted to grow by 82% between 2018 and 2023, equivalent to an additional 4669 children and young people. Both nationally and locally in Hertfordshire, there is also a continuing correlation between SEND with EHCP and school exclusions, low attainment and those Not in Education Employment and Training (NEET), which can then have a negative impact long into adulthood.  Work is continuing on all the key SEND Transformation workstrands, including Enhancing Local Delivery Networks, Maximising the Benefits of Digital Technology and Better Preparation for Adulthood.  Specifically in relation to Enhancing Local Delivery Networks, a review of the system for Meeting Complex Needs in Mainstream Schools has now been completed - looking at the	04/02/2020 Significant 16		Significant 24	Significant 16
	<b>Old Category:</b> <a href="#">Service</a>		Ops Director Services for Young People		<b>Probability</b> Likely 4		<b>Probability</b> Possible 3	<b>Probability</b> Unlikely 2
	<b>Current Category:</b> <i>Corporate &amp; Strategic Risk Register</i>				<b>Impact</b> Medium 4		<b>Impact</b> High 8	<b>Impact</b> High 8
	<i>Current Type : Corporate</i>							
	As a result of increasing numbers of children and young people (CYP) with Special Educational Needs and Disabilities (SEND), with national funding not keeping pace with the rise in the number of pupils, there is a risk that financial and other resources are insufficient to meet the needs of CYP with SEND in the system.							



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Risk Ref Risk Description Corporate Priority Category	Risk Owner	Progress Update	Previous Risk Score	Movement Direction	Current Risk Score	Target Risk Score
		<p>current arrangements for accessing top-up funding for Children and Young People. Recommendations have been made to develop an effective funding system to support children and young people with complex needs to achieve successful outcomes in mainstream school and settings. Implementation plans are in place, to adopt a transition to a new system from April 2020. In recognition of the immediate demands on schools' finances and the continuing pressures on resources, a number of interim measures to increase the flexibility of the current funding system have also been put in place to support schools.</p> <p>Government have announced funding for the 2020/21 High Needs Block, which includes additional funding. Funding levels beyond 2020/21 are yet to be confirmed.</p> <p>Reviewed On :12/02/2020</p>				

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Risk Ref Risk Description Corporate Priority Category	Risk Owner	Progress Update	Previous Risk Score	Movement Direction	Current Risk Score	Target Risk Score
<b>Controls:</b>	<u>Ref</u>	<u>Control Description</u>		<u>Status</u>		<u>Owner</u>
	CSF0088/001	Close monitoring of activity data and monthly costs monitoring		In Progress / Taking Effect		Marion Ingram
	CSF0088/003	Review of Complex Needs funding in mainstream schools		In Progress / Taking Effect		Jo Fisher
	CSF0088/004	Review of demand for Home to School Transport		In Progress / Taking Effect		Simon Newland
	CSF0088/005	Undertake SEND Transformation Programme		In Progress / Taking Effect		David Butcher

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Risk Ref Risk Description Corporate Priority Category	Risk Owner	Progress Update	Previous Risk Score	Movement Direction	Current Risk Score	Target Risk Score
<p><b>CSF0093</b> Created Date: 04/02/2020</p> <p><b>Current Category: Corporate &amp; Strategic Risk Register</b> Current Type : Strategic</p> <p>In the event of a failure to provide sufficient and suitable placements for Children Looked After (CLA) - children and young people that require support and care (particularly those with Special Educational Needs and Disabilities - SEND), there is a risk that their needs cannot be met in Hertfordshire and/or Out of County placements will be required, leading to costs exceeding budget and poorer outcomes for the children in question.</p>	<p>Jenny Coles</p> <p>Director of Children's Services</p>	<p>Key work over recent months includes:</p> <ul style="list-style-type: none"> <li>- CLA placements - Fostering - ongoing work to increase the number of in-county foster carers, including a review of current allowances / support.</li> <li>- CLA placements - Residential - A number of HCC-owned properties have been identified for refurbishment and subsequent use as a children's home. Work is in progress to open the first phase of children's homes - with the aim of having 16 beds operational by March 2021.</li> <li>- SEN - Mainstream - Specifically in relation to Enhancing Local Delivery Networks, a review of the system for Meeting Complex Needs in Mainstream Schools has now been completed - looking at the current arrangements for accessing top-up funding for Children and Young People.</li> </ul>	<p>04/02/2020 Severe 32</p> <p>Probability Likely 4</p> <p>Impact High 8</p>		<p>Significant 24</p> <p>Probability Possible 3</p> <p>Impact High 8</p>	<p>Significant 16</p> <p>Probability Unlikely 2</p> <p>Impact High 8</p>

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Risk Ref Risk Description Corporate Priority Category	Risk Owner	Progress Update	Previous Risk Score	Movement Direction	Current Risk Score	Target Risk Score
		<p>Recommendations have been made to develop an effective funding system to support children and young people with complex needs to achieve successful outcomes in mainstream school and settings. Implementation plans are in place, to adopt a transition to a new system from April 2020. In recognition of the immediate demands on schools' finances and the continuing pressures on resources, a number of interim measures to increase the flexibility of the current funding system have also been put in place to support schools.</p> <p>Reviewed On :12/02/2020</p>				
<b>Controls:</b>	<u>Ref</u>	<u>Control Description</u>	<u>Status</u>	<u>Owner</u>		
	CSF0093/001	<u>Increase of in-county fostering and residential children's homes places</u>	<u>In Progress / Taking Effect</u>	<u>Jenny Coles</u>		
	CSF0093/002	<u>Increase of in-county SEND provision</u>	<u>In Progress / Taking Effect</u>	<u>Jenny Coles</u>		
	CSF0093/003	<u>Undertake Children Looked After Transformation Programme</u>	<u>In Progress / Taking Effect</u>	<u>Marion Ingram</u>		

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Risk Ref Risk Description Corporate Priority Category	Risk Owner	Progress Update	Previous Risk Score	Movement Direction	Current Risk Score	Target Risk Score
<p><b>ENV0142</b> <i>Opportunity to live in thriving communities</i></p> <p><b>Current Category:</b> <i>Corporate &amp; Strategic Risk Register</i> <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 now in place for all relevant departments. Tree inspection regimes required of these policies are either in place or soon expected to be for all parts of the HCC estate. However, ensuring sufficient funding is available to support inspection regimes is an ongoing challenge, which will be further compounded by the growing political desire to significantly increase tree cover.</p> <p>The Highways and Environment Panel have endorsed officer recommendations for the development of a Tree Resilience and Recovery Strategy for Hertfordshire to address the pressures on tree health. This is intended to be a collaboration between multiple local partners and specific engagements have begun in support of this.</p> <p>Reviewed On :15/01/2020</p>	<p>Significant 24</p> <p>Probability Possible 3</p> <p>Impact High 8</p>	<p>↔</p>	<p>Significant 24</p> <p>Probability Possible 3</p> <p>Impact High 8</p>	<p>Significant 16</p> <p>Probability Unlikely 2</p> <p>Impact High 8</p>

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Risk Ref Risk Description Corporate Priority Category	Risk Owner	Progress Update	Previous Risk Score	Movement Direction	Current Risk Score	Target Risk Score
<b>Controls:</b>	<u>Ref</u>	<u>Control Description</u>		<u>Status</u>		<u>Owner</u>
	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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Risk Ref Risk Description Corporate Priority Category	Risk Owner	Progress Update	Previous Risk Score	Movement Direction	Current Risk Score	Target Risk Score
	ENV0142/013	Development of a plant procurement protocol for HCC		In Progress / Taking Effect		Tony Bradford
<b>IMP0001</b> <i>Delivering our Vision</i> <b>Old Category:</b> <a href="#">Service</a> <b>Current Category:</b> <i>Corporate &amp; Strategic Risk Register</i> <i>Current Type : Corporate</i> Risk: <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: <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  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. We have reviewed the Information Commissioners Office's approach to enforcement (particularly in line with the Dixon Car Phone case) and are satisfied that we have appropriately assessed the current level of risk. Reviewed On :28/01/2020	<div style="background-color: #f4a460; padding: 5px; text-align: center;">Significant 24</div> Probability Possible 3  Impact High 8	↔	<div style="background-color: #f4a460; padding: 5px; text-align: center;">Significant 24</div> Probability Possible 3  Impact High 8	<div style="background-color: #f4a460; padding: 5px; text-align: center;">Significant 16</div> Probability Unlikely 2  Impact High 8

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<b>Controls:</b>	<u>Ref</u>	<u>Control Description</u>		<u>Status</u>		<u>Owner</u>
	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
	IMP0001/021	A common data sharing framework is in place and respective agreements reviewed and updated on a regular basis		In Place / Embedded		Elaine Dunncliffe
	IMP0001/005	Research and implement additional security features to protect HCC's electronic data		In Progress / Taking Effect		David Mansfield
	IMP0001/016	Regular additional targeted training delivered to members and staff groups that handle sensitive personal data		In Progress / Taking Effect		Elaine Dunncliffe
	IMP0001/023	Programme in place to address issues where poor data quality/info handling has been identified as the cause of data breaches		In Progress / Taking Effect		Elaine Dunncliffe
	IMP0001/028	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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Risk Ref Risk Description Corporate Priority Category	Risk Owner	Progress Update	Previous Risk Score	Movement Direction	Current Risk Score	Target Risk Score
<p><b>PROP0023</b> <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 (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. Join Venture land value mechanism is being adjusted to make the disposal process more efficient, in addition some of the 12 initial site are to be substituted for easier sites to be developed. A Senior Planning officer is to be appointed, who will support planning applications which will assist in the disposal process.</p> <p>Reviewed On :21/01/2020</p>	<p>Significant 24</p> <p><b>Probability</b> Possible 3</p> <p><b>Impact</b> High 8</p>	<p>↔</p>	<p>Significant 24</p> <p><b>Probability</b> Possible 3</p> <p><b>Impact</b> High 8</p>	<p>Significant 16</p> <p><b>Probability</b> Unlikely 2</p> <p><b>Impact</b> High 8</p>

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Risk Ref Risk Description Corporate Priority Category	Risk Owner	Progress Update	Previous Risk Score	Movement Direction	Current Risk Score	Target Risk Score
<b>Controls:</b>	<u>Ref</u>	<u>Control Description</u>		<u>Status</u>		<u>Owner</u>
	PROP0023/001	Herts Living Ltd Board of Directors to ensure governance through member advisory group and shareholder representative group.		In Place / Embedded		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 Place / Embedded		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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Risk Ref Risk Description Corporate Priority Category	Risk Owner	Progress Update	Previous Risk Score	Movement Direction	Current Risk Score	Target Risk Score	
<b>RPHS0001</b> <i>Opportunity to enjoy healthy and safe lives</i> <b>Current Category: Corporate &amp; Strategic Risk Register</b> <i>Current Type : Corporate</i> 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. (formerly SERM0003)	Terry Barnett  Head of Assurance	Risk and controls reviewed. The target score for this risk has been adjusted to align with current score. This maintains the risk's "Accept" status after the current score was increased in October last year, (with the impact being increased from medium to high) Reviewed On :28/01/2020	Significant 24  Probability Possible 3  Impact High 8		Significant 24  Probability Possible 3  Impact High 8	Significant 24  Probability Possible 3  Impact High 8	
<b>Controls:</b>	<b>Ref</b>		<b>Control Description</b>		<b>Status</b>		<b>Owner</b>
	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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Risk Ref Risk Description Corporate Priority Category	Risk Owner	Progress Update	Previous Risk Score	Movement Direction	Current Risk Score	Target Risk Score
<b>ACSD0001</b> <i>Delivering our Vision</i> <b>Current Category: Corporate &amp; Strategic Risk Register</b> <i>Current Type : Corporate</i> 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  Director, Adult Care Services	Risk reviewed by Risk Owner in January 2020. Risk Wording and current risk score to remain the same, target score increased given the fragile care market and no immediate national policies to change this. Project now underway to ensure we are compliant with new Mental Health legislation coming in October 2020. Reviewed On :20/01/2020	Significant 16  <b>Probability</b> Unlikely 2  <b>Impact</b> High 8		Significant 16  <b>Probability</b> Unlikely 2  <b>Impact</b> High 8	Significant 16  <b>Probability</b> Unlikely 2  <b>Impact</b> High 8

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<b>Controls:</b>	<u>Ref</u>	<u>Control Description</u>		<u>Status</u>		<u>Owner</u>
	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
	<u>ACSD0001/009</u>	<u>Market Oversight &amp; Quality Group</u>		<u>In Place / Embedded</u>		<u>Iain MacBeath</u>

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<p><b>ACSDMH0002</b> <i>Opportunity to enjoy healthy and safe lives</i></p> <p><b>Current Category: Corporate &amp; Strategic Risk Register</b> <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 many 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 January 2020. Risk wording and scores to remain the same. Report taken to PROG in December 2019 on this risk. Review of staffing in Safeguarding Team - 1st phase to start February 2020. New Safeguarding Referral Portal to go live from April 2020. Reviewed On :20/01/2020</p>	<p>Significant 16</p> <p>Probability Unlikely 2</p> <p>Impact High 8</p>	<p>↔</p>	<p>Significant 16</p> <p>Probability Unlikely 2</p> <p>Impact High 8</p>	<p>Significant 16</p> <p>Probability Unlikely 2</p> <p>Impact High 8</p>

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<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	
	ACSDMH0002/008	New Learning for Incidents & Independent Management Reviews (IMR)		In Progress / Taking Effect	Mark Harvey	

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<p><b>AUDIT0001</b> <i>Delivering our Vision</i></p> <p><b>Current Category:</b> <i>Corporate &amp; Strategic Risk Register</i> <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 with the 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. The final report from the Audit is due February 2020 and will be shared with HCC and the SAFS Board, Publicity campaign in November 2019 linked to the International Fraud Awareness Week. SAFS worked with all Partner Comms team using webpages/social media/intranet and face to face training with front line staff.</p>	<p>Significant 16</p> <p><b>Probability</b> Likely 4</p> <p><b>Impact</b> Medium 4</p>	<p>↔</p>	<p>Significant 16</p> <p><b>Probability</b> Likely 4</p> <p><b>Impact</b> Medium 4</p>	<p>Significant 16</p> <p><b>Probability</b> Likely 4</p> <p><b>Impact</b> Medium 4</p>



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<b>Risk Ref</b>	<b>Risk Owner</b>	<b>Progress Update</b>	<b>Previous Risk Score</b>	<b>Movement Direction</b>	<b>Current Risk Score</b>	<b>Target Risk Score</b>
<b>Risk Description</b> <b>Corporate Priority</b> <b>Category</b>		Reviewed On :28/01/2020				

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Risk Ref Risk Description Corporate Priority Category	Risk Owner	Progress Update	Previous Risk Score	Movement Direction	Current Risk Score	Target Risk Score
<b>Controls:</b>	<u>Ref</u>	<u>Control Description</u>		<u>Status</u>		<u>Owner</u>
	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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<b>Risk Ref</b> <b>Risk Description</b> <b>Corporate Priority</b> <b>Category</b>	<b>Risk Owner</b>	<b>Progress Update</b>	<b>Previous Risk Score</b>	<b>Movement Direction</b>	<b>Current Risk Score</b>	<b>Target Risk Score</b>
	AUDIT0001/019	Membership of External Bodies/Use agreements of data and knowledge sharing practises		In Progress / Taking Effect		Terry Barnett

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Risk Ref Risk Description Corporate Priority Category	Risk Owner	Progress Update	Previous Risk Score	Movement Direction	Current Risk Score	Target Risk Score
<p><b>CPRES0001</b> <i>Delivering our Vision</i></p> <p><b>Current Category: Corporate &amp; Strategic Risk Register</b> <i>Current Type : Corporate</i></p> <p>In the event of a failure of the Local Resilience forum (LRF) to provide adequate inter-agency plans which correctly identify the capabilities required to deal with a major emergency in Hertfordshire there is a risk that Hertfordshire's multi- agency response may not be fully effective (formerly SERMU0001)</p>	<p>Gus Cuthbert</p> <p>Assistant Director Protection (OPS)</p>	<p>Scrutiny Advisory Committee attended on 03/09/19. Work ongoing to meet outstanding actions.</p> <p>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.. The LRF and Public Health continue to work in partnership. Multi agency plans have been reviewed and regular meetings with both MHCLG and Public Health England are taking place. Internal and external communications have been put in place and agencies</p>	<p>Significant 16</p> <p>Probability Rare 1</p> <p>Impact Very High 16</p>	<p>↔</p>	<p>Significant 16</p> <p>Probability Rare 1</p> <p>Impact Very High 16</p>	<p>Significant 16</p> <p>Probability Rare 1</p> <p>Impact Very High 16</p>

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Risk Ref Risk Description Corporate Priority Category	Risk Owner	Progress Update	Previous Risk Score	Movement Direction	Current Risk Score	Target Risk Score
		continue to closely monitor the situation.  Control measures are in place and will be subject to ongoing monitoring. Reviewed On :05/02/2020				
<b>Controls:</b>	<b>Ref</b>	<b>Control Description</b>	<b>Status</b>	<b>Owner</b>		
	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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Risk Ref Risk Description Corporate Priority Category	Risk Owner	Progress Update	Previous Risk Score	Movement Direction	Current Risk Score	Target Risk Score
<p><b>CPRES0002</b> <i>Delivering our Vision</i></p> <p><b>Current Category:</b> <i>Corporate &amp; Strategic Risk Register</i> <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.</p> <p>Work continues to improve this area, with clearer expectations and performance management. Reviewed On :05/02/2020</p>	<div style="background-color: #ff9933; padding: 5px; text-align: center;">                     Significant 16                 </div> <p><b>Probability</b> Rare 1</p> <p><b>Impact</b> Very High 16</p>		<div style="background-color: #ff9933; padding: 5px; text-align: center;">                     Significant 16                 </div> <p><b>Probability</b> Rare 1</p> <p><b>Impact</b> Very High 16</p>	<div style="background-color: #ff9933; padding: 5px; text-align: center;">                     Significant 16                 </div> <p><b>Probability</b> Rare 1</p> <p><b>Impact</b> Very High 16</p>
<b>Controls:</b>	<b>Ref</b>		<b>Control Description</b>		<b>Status</b>	<b>Owner</b>
	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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Risk Ref Risk Description Corporate Priority Category	Risk Owner	Progress Update	Previous Risk Score	Movement Direction	Current Risk Score	Target Risk Score
<b>CSHF0002</b> <i>Delivering our Vision</i>  <b>Current Category:</b> <i>Corporate &amp; Strategic Risk Register</i> <i>Current Type : Corporate</i> There is a risk that HCC's pension fund level may not improve sufficiently to cover accrued pension costs because of economic conditions, poor investment or ineffective governance	Steven Pilsworth  Assistant Director - Finance	The performance of the fund continues to be monitored. Quarterly Actuarial Navigator reports are shared with the pensions committee. The triennial valuation result shows the funding level to be around 98% as at 31 March 2019. The risk and controls have been reviewed in the context of the triennial re evaluation of the fund. Reviewed On :24/01/2020	Significant 16  <b>Probability</b> Rare 1  <b>Impact</b> Very High 16		Significant 16  <b>Probability</b> Rare 1  <b>Impact</b> Very High 16	Significant 16  <b>Probability</b> Rare 1  <b>Impact</b> Very High 16
<b>Controls:</b>	<b>Ref</b>	<b>Control Description</b>	<b>Status</b>	<b>Owner</b>		
	CSHF0002/002	Monitor ongoing market conditions and fund performance.	In Place / Embedded	Patrick Towey		
	CSHF0002/003	Ensure investment decisions are made in line with the strategy and are adequately diversified	In Place / Embedded	Patrick Towey		
	CSHF0002/004	Ensure that bond guarantee arrangements are in place for guaranteed admitted bodies which are subject to ongoing monitoring	In Place / Embedded	Patrick Towey		

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Risk Ref Risk Description Corporate Priority Category	Risk Owner	Progress Update	Previous Risk Score	Movement Direction	Current Risk Score	Target Risk Score
<p><b>ENV0033</b> <i>Opportunity to live in thriving communities</i></p> <p><b>Current Category:</b> <i>Corporate &amp; Strategic Risk Register</i> <i>Current Type : Corporate</i></p> <p>In the event of sufficient funding not being available to ensure highway conditions meet public expectation, 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 has been provided for a 4-year cycle and the service is currently year 2 of that cycle. It is not certain if Hertfordshire will have another mild winter like last year; hence, we will continue to monitor if investment is delivering on improved road condition.</p> <p>Highways also reported to the Resources and Performance panel earlier this year how initial progress is going and will continue to report back. Reviewed On :19/12/2019</p>	<p>Significant 16</p> <p>Probability Unlikely 2</p> <p>Impact High 8</p>	<p>↔</p>	<p>Significant 16</p> <p>Probability Unlikely 2</p> <p>Impact High 8</p>	<p>Material 8</p> <p>Probability Rare 1</p> <p>Impact High 8</p>



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<b>Controls:</b>	<u>Ref</u>	<u>Control Description</u>		<u>Status</u>	<u>Owner</u>	
	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> <i>Delivering our Vision</i></p> <p><b>Current Category: Corporate &amp; Strategic Risk Register</b> <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) meet in November 2019 to sign off the 2019 Station Audit process and agree the 2020 Annual Training Plan that will again focus on risk critical issues of Incident Command and Breathing Apparatus training. In addition the Group reviewed and noted the 2019 ATP Performance data for course completion and firefighter competence, which stands at:</p> <p>- 92 % of relevant personnel have successfully completed an appropriate Incident Command course, with an expected 100% completion rate by 31/12/2019.</p> <p>- 67 % of personnel have successfully completed an appropriate Breathing Apparatus Refresher course. Please Note: this is a 2 year programme due to finish in Summer 2020.</p> <p>Which demonstrates that CPD are now maintaining the improvements in completion</p>	<p>Significant 16</p> <p>Probability Unlikely 2</p> <p>Impact High 8</p>	<p>↔</p>	<p>Significant 16</p> <p>Probability Unlikely 2</p> <p>Impact High 8</p>	<p>Significant 16</p> <p>Probability Unlikely 2</p> <p>Impact High 8</p>

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		rates made over recent years in these particular areas. Reviewed On :03/12/2019				
<b>Controls:</b>	<b>Ref</b>	<b>Control Description</b>		<b>Status</b>		<b>Owner</b>
	HFRS0004/001	Review and monitor the Integrated Personal Development System to ensure National training requirements are being met.		In Place / Embedded		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> <i>Delivering our Vision</i></p> <p><b>Current Category: Corporate &amp; Strategic Risk Register</b> <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, Human Resources</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 22/01/2020 Reviewed On :28/01/2020</p>	<p>Significant 16</p> <p>Probability Unlikely 2</p> <p>Impact High 8</p>	<p>↔</p>	<p>Significant 16</p> <p>Probability Unlikely 2</p> <p>Impact High 8</p>	<p>Significant 16</p> <p>Probability Unlikely 2</p> <p>Impact High 8</p>

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<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> <i>Delivering our Vision</i></p> <p><b>Current Category: Corporate &amp; Strategic Risk Register</b> <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, Human Resources</p>	<p>Vol. Turnover for council depts. has remained the same at 12.5% (Dec 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. Reviewed on 22/1/2020 Reviewed On :28/01/2020</p>	<p>Significant 16</p> <p>Probability Unlikely 2</p> <p>Impact High 8</p>	<p>↔</p>	<p>Significant 16</p> <p>Probability Unlikely 2</p> <p>Impact High 8</p>	<p>Significant 16</p> <p>Probability Unlikely 2</p> <p>Impact High 8</p>

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<b>Controls:</b>	<u>Ref</u>	<u>Control Description</u>		<u>Status</u>		<u>Owner</u>
	HR0021/001	Regular monitoring, workforce planning and forecasting - e.g. incl talent management and succession planning		In Place / Embedded		Sally Hopper
	HR0021/007	Ensure the ability to call upon key service providers to meet any short term in-house skills gap		In Place / Embedded		Sally Hopper
	HR0021/008	Regular monitoring of the employment 'package' to help ensure HCC remains an Employer of Choice		In Place / Embedded		Sally Hopper
	HR0021/014	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
	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

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<b>Risk Description</b> <b>Corporate Priority</b> <b>Category</b>	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> <i>Delivering our Vision</i></p> <p><b>Current Category:</b> <i>Corporate &amp; Strategic Risk Register</i> <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)." 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 quality of the service that is delivered to the Hertfordshire public and the reputation of</li> </ul>	<p>Alex James</p> <p>Head of Corporate Policy</p>	<p>Work remains on track for service transfer over to Libraries for Life (LfL) on 1 April 2020.</p> <p>An update report on progress was considered by the Education, Libraries and Localism Cabinet Panel on 5 February. This showed that most key tasks were progressing well although concerns remain over formalising property occupation rights and LfL's new staff pension scheme. In regards to the former, the contract with LfL provides provisions that protect LfL should service transfer occur prior to all occupation rights being formalised. Issues with the pension scheme have been escalated to LfL Trustees to unblock.</p> <p>Reviewed On :10/02/2020</p>	<p>Significant 12</p> <p>Probability Possible 3</p> <p>Impact Medium 4</p>	<p>↔</p>	<p>Significant 12</p> <p>Probability Possible 3</p> <p>Impact Medium 4</p>	<p>Material 8</p> <p>Probability Unlikely 2</p> <p>Impact Medium 4</p>

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

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<p><b>PROP0018</b> <i>Opportunity to enjoy healthy and safe lives</i></p> <p><b>Current Category: Corporate &amp; Strategic Risk Register</b> <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>Head of Strategic Asset Mgmt &amp; Estates</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 and a bid for funding has been completed. Works will be undertaken on a prioritised basis. Reviewed On :23/01/2020</p>	<div style="background-color: #ff8c00; padding: 5px; text-align: center;">Significant 12</div> <p><b>Probability</b> Possible 3</p> <p><b>Impact</b> Medium 4</p>	<p>↔</p>	<div style="background-color: #ff8c00; padding: 5px; text-align: center;">Significant 12</div> <p><b>Probability</b> Possible 3</p> <p><b>Impact</b> Medium 4</p>	<div style="background-color: #ffff00; padding: 5px; text-align: center;">Material 8</div> <p><b>Probability</b> Unlikely 2</p> <p><b>Impact</b> Medium 4</p>																
<b>Controls:</b>	<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="text-align: center;"><u>Ref</u></th> <th style="text-align: center;"><u>Control Description</u></th> <th style="text-align: center;"><u>Status</u></th> <th style="text-align: center;"><u>Owner</u></th> </tr> </thead> <tbody> <tr> <td>PROP0018/001</td> <td>Processes to identify land to which this risk applies have been identified and are in use</td> <td>In Place / Embedded</td> <td>Emily White</td> </tr> <tr> <td>PROP0018/002</td> <td>Agreement to be reached on what management regimes can be implemented/alternative solutions deployed to resolve potential issues</td> <td>In Place / Embedded</td> <td>Emily White</td> </tr> <tr> <td>PROP0018/003</td> <td>Follow Out of Use land and property management processes to ensure it is managed appropriately.</td> <td>In Place / Embedded</td> <td>Emily White</td> </tr> </tbody> </table>						<u>Ref</u>	<u>Control Description</u>	<u>Status</u>	<u>Owner</u>	PROP0018/001	Processes to identify land to which this risk applies have been identified and are in use	In Place / Embedded	Emily White	PROP0018/002	Agreement to be reached on what management regimes can be implemented/alternative solutions deployed to resolve potential issues	In Place / Embedded	Emily White	PROP0018/003	Follow Out of Use land and property management processes to ensure it is managed appropriately.	In Place / Embedded	Emily White
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<p><b>PHD0014</b> <i>Opportunity to enjoy healthy and safe lives</i></p> <p><b>Current Category:</b> <i>Corporate &amp; Strategic Risk Register</i> <i>Current Type : Corporate</i></p> <p>In the event of a health protection emergency (e.g. communicable disease epidemic, radiological, chemical or biological agent exposure, or extreme weather conditions) there is a risk that the authority is not able to meet its statutory duty to be assured that relevant organisations are managing the incident appropriately to mitigate / further impact of harm to the population</p>	<p>Jim McManus</p> <p>Director of Public Health</p>	<p>Wording has been amended slightly but this is an ongoing risk for which the score remains unchanged. Reviewed On :02/01/2020</p>	<p><b>Material</b> 8</p> <p><b>Probability</b> Rare 1</p> <p><b>Impact</b> High 8</p>	<p>↔</p>	<p><b>Material</b> 8</p> <p><b>Probability</b> Rare 1</p> <p><b>Impact</b> High 8</p>	<p><b>Material</b> 8</p> <p><b>Probability</b> Rare 1</p> <p><b>Impact</b> High 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](#)

Record Type=1 - Category1=Corporate & Strategic Risk Register - Status Flag=ACTIVE