

Recent movement report - Corporate & Strategic Risk Register for July 2019 Audit Committee

Report Date: 19/06/2019

Date of Previous Risk Score: 02/03/2019



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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
<p>CSHF0016 <i>Delivering our Vision</i></p> <p>Current Category: <i>Corporate & 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 - Resources</p>	<p>Early work to identify new savings for the period after March 2020 has begun earlier than usual. This is being progressed with both officers and members. The earlier start is anticipated to enable the necessary additional savings to be identified and appropriate consultation and implementation plans to be drawn up in sufficient time. This will continue to be reviewed by SMB over the coming months. In reviewing this risk, and considering the new risks raised, the current score has been increased and will be reviewed over the coming IP period. Reviewed On :03/05/2019</p>	<p>12/06/2019 Significant 24</p> <p>Probability Possible 3</p> <p>Impact High 8</p>		<p>Severe 48</p> <p>Probability Possible 3</p> <p>Impact Very High 16</p>	<p>Significant 24</p> <p>Probability Possible 3</p> <p>Impact High 8</p>

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	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
	<u>CSHF0016/009</u>	<u>Manage the Delivering Transformation Programme to support the delivery of innovation and efficiencies</u>		<u>In Progress / Taking Effect</u>		<u>Seema Aggarwal</u>

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<p>ENV0104 <i>Delivering our Vision</i></p> <p>Current Category: <i>Corporate & Strategic Risk Register</i> <i>Current Type : Strategic</i></p> <p>In the event of the Residual Waste Treatment Programme being impacted by one of the following scenarios:</p> <ul style="list-style-type: none"> - The Energy Recovery Facility (ERF) at Rye House does not proceed or is delayed - Unable to secure suitable, cost effective, alternatives for waste disposal should the contract with Veolia (VES) be terminated. <p>It may result in:</p> <ul style="list-style-type: none"> - Increased costs to HCC 	<p>Simon Aries</p> <p>Assistant Director - Transport, Waste & Environmental Management</p>	<p>Under the contract with Veolia (VES) a planning application for an Energy Recovery Facility (ERF) at Rye House, Hoddesdon was submitted in December 2016. Notification was received on 1st February 2018 that the Secretary of State had called in the planning application. Following a public inquiry, concluding in August 2018, the planning inspector submitted her report to the Secretary of State for determination on the 4th February 2019. The Secretary of State shall issue his decision on or before 7th May 2019. A decision has yet to be issued by the Secretary of State, Veolia have been informed that the application is still under consideration and the Secretary of State will seek to reach his decision as soon as possible. Due to the delays in the planning process, planning resolution will not be achieved by a key date in the contract (Planning Permission Long Stop Date). In order to allow time for a</p>	<p>Severe 40</p> <p>Probability Almost Certain</p> <p>Impact High 8</p>	<p>↔</p>	<p>Severe 40</p> <p>Probability Almost Certain</p> <p>Impact High 8</p>	<p>Material 8</p> <p>Probability Rare 1</p> <p>Impact High 8</p>

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		<p>decision to be received, and to consider the outcome, the contract needs to be varied to extend the key dates. The decision to vary the contract was taken by Cabinet on 3rd June.</p> <p>On the 14th February 2019 the Environment Agency granted an operating permit for Rye House ERF. Due to the lack of transfer provision in the east of the county and the finite availability of disposal facilities capable of accepting direct deliveries (Westmill landfill and Edmonton EfW) the delay to the planning determination for Rye House increases the risk that East Herts Council and the Borough of Broxbourne may have to be directed to Waterdale transfer station, an action that would lead to increased costs for all three authorities and operational pressure on Waterdale transfer station.</p> <p>Reviewed On :04/06/2019</p>				

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	ENV0104/001	Scenario planning		In Place / Embedded	Simon Aries	
	ENV0104/002	Legal & financial advice		In Place / Embedded	Simon Aries	
	ENV0104/003	Liaison with contractor		In Place / Embedded	Simon Aries	
	ENV0104/004	Management of Political Processes		In Place / Embedded	Simon Aries	

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<p>CPRES0002 <i>Delivering our Vision</i></p> <p>Current Category: <i>Corporate & 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 & 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 Chief Fire Officer</p>	<p>The resilience team has worked with directorates to ensure Business Continuity Plans (BCP) and response plans remain fit for purpose. They will continue to monitor and advise to ensure this remains the case.</p> <p>Each team/service has their own BCP. All plans are located on Resilience Direct Every year the team exercise an aspect of HCC business continuity arrangements.</p> <p>The Resilience Team leads in ensuring that the County Council is able to respond quickly and effectively to a wide range of incidents and emergencies in partnership with Local Resilience Forum Members to ensure the delivery of critical services. Reviewed On :02/05/2019</p>	<p>Severe 32</p> <p>Probability Unlikely 2</p> <p>Impact Very High 16</p>	<p>↔</p>	<p>Severe 32</p> <p>Probability Unlikely 2</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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	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		Ed Butler

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<p>CS0019 Created Date: 04/04/2019</p> <p><i>Delivering our Vision</i></p> <p>Old Category: -</p> <p>Current Category: Corporate & Strategic Risk Register</p> <p>Current Type : Strategic</p> <p>As a result of increased uncertainty (including the likelihood of short term Government spending reviews in 2019/20 and 2020/21) regarding future funding streams for the county council, there is a risk that a resource reduction is announced too late for savings to be put in place, leading to emergency action being required.</p>	<p>Scott Crudgington</p> <p>Director of Resources</p>	<p>The council took advantage of the offer made by government in 2016 to confirm funding for a 4 year period. This comes to an end in March 2020, and the future arrangements are not yet clear.</p> <p>In that context, there is a risk that the amount of funding received after April 2020 may be reduced with little notice being given. Full exemplification of the funding to be received is unlikely to be published before mid-December 2019, which would leave insufficient time to prepare significant savings proposals to be agreed by Council in mid-February.</p> <p>Reductions in RSG, limitations on Council Tax rises, Brexit uncertainty, possibility of one year Spending Review, Business Rates etc would be affected.</p> <p>Reserves have been set aside to mitigate this risk, but they may prove to be insufficient.</p>	<p>Created 04/04/2019</p> <p>Severe 32</p> <p>Probability Likely 4</p> <p>Impact High 8</p>	<p>↔</p>	<p>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>

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				<p>Work is ongoing with service departments to prepare robust savings plans which prepare the council in the event that rapid action is required.</p> <p>Depending on the details of the new funding arrangements, this risk may be removed in the short term, or may persist into the medium term.</p> <p>Reviewed On :04/04/2019</p>				

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

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<p>CS0020 Created Date: 04/04/2019</p> <p><i>Delivering our Vision</i></p> <p>Old Category: - Current Category: Corporate & Strategic Risk Register</p> <p>Current Type : Corporate</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 risk of not delivering planned savings will be managed through the monthly finance monitor provided for SMB. This already included (in 2018/19) a monthly review of the delivery of savings, which will be continued in 2019/20. A quarterly update will be provided for members. Reviewed On :03/05/2019</p>	<p>Created 04/04/2019</p> <p>Severe 32</p> <p>Probability Likely 4</p> <p>Impact High 8</p>	<p>↔</p>	<p>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>Controls:</p>	<p>Ref</p>	<p>Control Description</p>	<p>Status</p>	<p>Owner</p>		
	<p>CS0020/001</p>	<p>Assess robustness of savings through the corporate finance team as part of the budget preparation</p>	<p>In Progress / Taking Effect</p>	<p>Steven Pilsworth</p>		
	<p>CS0020/002</p>	<p>Ensure finance monitors to SMB and Cabinet include assessment of likely delivery of savings in year, impact across future years</p>	<p>In Place / Embedded</p>	<p>Steven Pilsworth</p>		
	<p>CS0020/003</p>	<p>Ensure overall delivery of savings is also reflected in the forecast outturn position</p>	<p>In Progress / Taking Effect</p>	<p>Steven Pilsworth</p>		

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CSF0055 <i>Opportunity to be Healthy and Safe</i> Current Category: Corporate & Strategic Risk Register <i>Current Type : Corporate</i> 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.	Jenny Coles Director of Children's Services	Control Measures continue to be followed up on to ensure that this risk is minimised as far as possible. Recurring actions include (although not limited to) maintaining case allocation at 100%, reviewing actions arising from Serious Case Reviews and undertaking monthly audit work of cases. Additional / one-off actions include undertaking an internal review of the Family Safeguarding Practice Approach, launching a new Audit week and undertaking a peer reviewed Self-Assessment for our annual conversation with Ofsted. Reviewed On :19/06/2019	<div style="background-color: red; color: white; padding: 5px; text-align: center;"> Severe 32 </div> Probability Unlikely 2 Impact Very High 16	↔	<div style="background-color: red; color: white; padding: 5px; text-align: center;"> Severe 32 </div> Probability Unlikely 2 Impact Very High 16	<div style="background-color: red; color: white; padding: 5px; text-align: center;"> Severe 32 </div> Probability Unlikely 2 Impact Very High 16
Controls:	Ref	Control Description	Status	Owner		
	CSF0055/003	Maintain casework practice and implement recommendations of reviews	In Place / Embedded	Matt Ansell		
	CSF0055/004	Continually monitor and review safeguarding practice and services within the council and with partners under the HSCB	In Place / Embedded	Matt Ansell		1
	CSF0055/005	Implement peer review and inspection actions	In Place / Embedded	Matt Ansell		

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<p>ENV0149 <i>Opportunity to Prosper</i></p> <p>Current Category: <i>Corporate & 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 & CSCE0023]</p>	<p>Patsy Dell</p> <p>Assistant Director Strategic Planning, Infrastructure and Economy</p>	<p>Risk reviewed. Hertfordshire has been invited to participate in a pilot project to work at CIL/S.106 implementation and improvement. Originally due to conclude end April 2019, the project has been delayed due to illness of one of the project leads but also because of recent Government amendments to National Planning Policy Guidance and proposed amendments to the CIL Regulations due to come into force from September 2019. The revised end date is now end July. Reviewed on 27/06/2019</p>	<p>Severe 32</p> <p>Probability Likely 4</p> <p>Impact High 8</p>	<p>↔</p>	<p>Severe 32</p> <p>Probability Likely 4</p> <p>Impact High 8</p>	<p>Significant 12</p> <p>Probability Possible 3</p> <p>Impact 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>HCS0010 <i>Opportunity to be Healthy and Safe</i></p> <p>Current Category: Corporate & Strategic Risk Register <i>Current Type : Strategic</i></p> <p>If there is a continuing inability to attract the required number of Homecare work force in line with the Adult Care Services Workforce Strategy, there is an increasing risk of non compliance and a reduction in the ability to provide safe and appropriate care in users own homes which may lead to impacts on their health and wellbeing.</p>	<p>Kulbir Lalli</p> <p>Head of Integrated Accommodation Commissioning</p>	<p>Risk reviewed by Risk Owner in May 2019, Probability score reduced to 4 (Likely) and Impact remains at 8 (High) overall score reduced to 32.</p> <p>Care Sector Pay and Contractual Review report taken to board in August 2018 and findings taken into account for inflationary uplifts in April 2019. Charging methodology for Lead Providers has been reviewed in preparation for new contract tender in July 2019.</p> <p>Reviewed On :15/05/2019</p>	<p>15/05/2019 Severe 40</p> <p>Probability Almost Certain</p> <p>Impact High 8</p>		<p>Severe 32</p> <p>Probability Likely 4</p> <p>Impact High 8</p>	<p>Significant 12</p> <p>Probability Possible 3</p> <p>Impact Medium 4</p>

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	HCS0010/001	Workforce Strategy being reviewed for 2018/19, project group in place including Hertfordshire Care Providers Association (HCPA)		In Place / Embedded		Kulbir Lalli
	HCS0010/007	Contingency plan in place for closure of care providers under Prevention of Providers Failure policy [e.g. LATC]		In Place / Embedded		Kulbir Lalli
	HCS0010/008	All Lead Providers of Home Care are now required to have a recruitment and retention strategy		In Place / Embedded		Kulbir Lalli
	HCS0010/009	Ensure sustainable pay rates for care sector providers are within budget parameters and being reviewed on an annual basis		In Place / Embedded		Kulbir Lalli
	HCS0010/010	Evaluating impact of 2018/19 increase in pay to be completed by December 2018		In Place / Embedded		Kulbir Lalli
	HCS0010/011	Pay and Conditions Review being undertaken		Complete		Kulbir Lalli
HCS0016 <i>Opportunity to be Healthy and Safe</i> Current Category: Corporate & Strategic Risk Register <i>Current Type : Strategic</i> In light of significant demand on health & social services there is a risk of insufficient resources and budget provision. [supersedes risks HCS0011 & HCS0012]	Helen Maneuf Assistant Director, Integrated Planning & Resources	Risk reviewed by Risk Owner in May 2019. Risk wording and scores to remain the same. Still awaiting Green Paper announcement. Final results for Adult Care Services confirmed overspend position, pressures were seen in Residential Care and Supported Living. Reviewed On :15/05/2019	Severe 32 Probability Likely 4 Impact High 8	↔	Severe 32 Probability Likely 4 Impact High 8	Significant 24 Probability Possible 3 Impact High 8

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

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<p>HCS0018 <i>Opportunity to be Healthy and Safe</i></p> <p>Current Category: Corporate & Strategic Risk Register <i>Current Type : Corporate</i></p> <p>In the event of inadequate safeguarding arrangements, a vulnerable person at risk of harm is not identified and protected appropriately. [Formerly HCSLD0005]</p>	<p>Mark Harvey</p> <p>Operations Director, Adult Disability and Mental Health</p>	<p>Risk reviewed by Owner. No changes required to the risk wording or scores. Scrutinies on Modern Slavery and Hertfordshire Safeguarding Adults Board (HSAB) have taken place. Officers are progressing actions as a result of the recommendations made. New dedicated Safeguarding team in place. Reviewed On :29/05/2019</p>	<p>Severe 32</p> <p>Probability Unlikely 2</p> <p>Impact Very High 16</p>	<p>↔</p>	<p>Severe 32</p> <p>Probability Unlikely 2</p> <p>Impact Very High 16</p>	<p>Severe 32</p> <p>Probability Unlikely 2</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
Controls:	<u>Ref</u>	<u>Control Description</u>		<u>Status</u>		<u>Owner</u>
	HCS0018/001	Hertfordshire Safeguarding Adults Board (HSAB) governance arrangements and oversight of safeguarding procedures		In Place / Embedded		Mark Harvey
	HCS0018/003	Improvement action plan of safeguarding cases in all care groups		In Place / Embedded		Mark Harvey
	HCS0018/004	Competency based learning and development activity associated with the HSAB (Accredited by Bournemouth University)		In Progress / Taking Effect		Mark Harvey
	HCS0018/006	Quarterly performance report to ACS Management Board, Council Leader and Chief Exec.		In Place / Embedded		Mark Harvey
	HCS0018/007	Strategic Partners all involved with Safeguarding		In Place / Embedded		Mark Harvey
	HCS0018/008	Practice Governance Board overseeing action plan to ensure high standards of safeguarding		In Progress / Taking Effect		Mark Harvey
	HCS0018/009	Increase resources of Safeguarding Out of Hours Service		In Progress / Taking Effect		Mark Harvey

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HCSCP0001 <i>Opportunity to be Healthy and Safe</i> Current Category: Corporate & Strategic Risk Register <i>Current Type : Corporate</i> In the event of a Hertfordshire Care Provider becoming inadequate or failing, there is a risk that this may result in poor care to clients or a safeguarding issue.	Chris Badger Operations Director, Older People	Risk reviewed by Risk Owner in May 2019, wording to remain the same. Score remains the same. Further development of Herts at Home capacity increased HCC resilience. Increased publicity surrounding Four Seasons care home, and a taskforce is on standby if the situation deteriorates further. Reviewed On :20/05/2019	<div style="background-color: red; color: white; padding: 5px; text-align: center;"> Severe 32 </div> Probability Unlikely 2 Impact Very High 16		<div style="background-color: red; color: white; padding: 5px; text-align: center;"> Severe 32 </div> Probability Unlikely 2 Impact Very High 16	<div style="background-color: red; color: white; padding: 5px; text-align: center;"> Severe 32 </div> Probability Unlikely 2 Impact Very High 16
Controls:	Ref	Control Description	Status	Owner		
	HCSCP0001/003	Use ACS Contract Monitoring Procedures	In Place / Embedded	Chris Badger		
	HCSCP0001/007	Learning and development of care providers	In Place / Embedded	Mark Gwynne		
	HCSCP0001/008	Market Quality and Resilience Programme Board providing; overview of provider quality; escalate any issues to relevant agency	In Place / Embedded	Chris Badger		
	HCSCP0001/009	Effective use of monitoring tools and resources to identify problems early and prevent failing quality.	In Place / Embedded	Chris Badger		
	HCSCP0001/010	Multi Agency Service Quality Improvement Group, analyse data and evaluate risk monthly and take appropriate action with partners	In Place / Embedded	Chris Badger		
HCSCP0001/011	The development of a Local Authority Traded Company (LATC)	In Progress / Taking Effect	Chris Badger			

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<p>HCSMH0002 <i>Opportunity to be Healthy and Safe</i></p> <p>Current Category: Corporate & Strategic Risk Register <i>Current Type : Corporate</i></p> <p>As a result of the 2014 Supreme Court ruling around Deprivation of Liberty Safeguards (DOLS) there is a risk that an inability to conduct best interest assessments within legal timeframes could lead to unlawful detention of people and potential legal and compensation challenges to HCC.</p>	<p>Mark Harvey</p> <p>Operations Director, Adult Disability and Mental Health</p>	<p>The DoLS team is now fully staffed and the new staff are currently being trained and processes are more streamlined. Re-prioritising some cases in line with the Triage tool and consultation with Legal services has meant that waiting times have been reduced in the following areas: Psychiatric hospitals (Wait no longer than 3 months for non- urgent cases), other priorities roughly a 6 week wait. Urgent cases are allocated within 2 weeks. On 24th April The House of Lords confirmed the parliamentary intention to replace DoLS with a new scheme known as Liberty Protection Safeguards (LPS) which will come under the Mental Capacity Amendment Bill. This decision will now be sent for Royal Assent. There is no code of practice yet and no set date for implementation. The target has been re-considered and adjusted for the short term. Reviewed On :01/05/2019</p>	<p>Severe 32</p> <p>Probability Likely 4</p> <p>Impact High 8</p>	<p>↔</p>	<p>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>

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Controls:	<u>Ref</u>	<u>Control Description</u>		<u>Status</u>		<u>Owner</u>
	HCSMH0002/001	Regular meetings with Lawyers and Operations Director as required.		In Progress / Taking Effect		Mark Harvey
	HCSMH0002/006	Community specific DOLs being reviewed as part of Adult Disability Service (ADS)		In Progress / Taking Effect		Mark Harvey
	<u>HCSMH0002/007</u>	<u>Use of triage tool to prioritise assessments</u>		<u>In Progress / Taking Effect</u>		<u>Mark Harvey</u>
	<u>HCSMH0002/008</u>	<u>Checking information on all people on waiting lists by contacting care homes directly</u>		<u>In Progress / Taking Effect</u>		<u>Mark Harvey</u>

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<p>HFRS0007 <i>Opportunity to be Healthy and Safe</i></p> <p>Current Category: Corporate & Strategic Risk Register <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 Chief Fire Officer</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>Severe 32</p> <p>Probability Unlikely 2</p> <p>Impact Very High 16</p>	<p>↔</p>	<p>Severe 32</p> <p>Probability Unlikely 2</p> <p>Impact Very High 16</p>	<p>Severe 32</p> <p>Probability Unlikely 2</p> <p>Impact 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 :02/05/2019				

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

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<p>PROP0030 Created Date: 02/05/2019</p> <p><i>Opportunity to be Healthy and Safe</i></p> <p>Current Category: Corporate & Strategic Risk Register</p> <p><i>Current Type : Corporate</i></p> <p>In the event of a failure to comply with property related Health & 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. Property Estates and FM teams have worked on creating a matrix to show responsibilities for compliance depending on the site. A Compliancy Task Force has been created along with a database tool (Compliancy Master Sheet) which will be used to track actions along with data from the property managing agent where sites are part of the Managed Portfolio. This will be accompanied with a robust and systematic approach to not only understand all positions in relation to compliance but deliver a total management system. Reviewed on 27/06/2019</p>	<p>02/05/2019 Severe 32</p> <p>Probability Unlikely 2</p> <p>Impact Very High 16</p>		<p>Severe 32</p> <p>Probability Unlikely 2</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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Controls:	<u>Ref</u>	<u>Control Description</u>		<u>Status</u>		<u>Owner</u>
	PROP0030/001	<u>Asbestos register held at each site (where applicable) and contractors instructed to refer to these whilst working with asbestos</u>		<u>In Progress / Taking Effect</u>		<u>Sass Pledger</u>
	PROP0030/002	<u>Check compliance as per relevant management regimes; subject to nature of occupation, staffing, contractual/property records</u>		<u>In Progress / Taking Effect</u>		<u>Sass Pledger</u>
	PROP0030/003	<u>Works and/or identified improvements are carried out/implemented within a reasonable time frame</u>		<u>In Progress / Taking Effect</u>		<u>Sass Pledger</u>
	PROP0030/004	<u>Operational measures are in place at each location such as testing of fire alarms and fire drills</u>		<u>In Progress / Taking Effect</u>		<u>Sass Pledger</u>
	PROP0030/005	<u>Staff are trained on fire evacuation procedures</u>		<u>In Progress / Taking Effect</u>		<u>Sass Pledger</u>
	PROP0030/006	<u>Fixed wiring tests completed every 5 years and any requirements are acted upon ASAP (dependent on severity)</u>		<u>In Progress / Taking Effect</u>		<u>Sass Pledger</u>
	PROP0030/007	<u>Legionella risk assessments are up to date and regular testing is undertaken</u>		<u>In Progress / Taking Effect</u>		<u>Sass Pledger</u>
	PROP0030/008	<u>Full review of ACS assets being undertaken as part of the "supported accommodation" review project</u>		<u>Proposed</u>		<u>Sass Pledger</u>
PROP0030/009	<u>Use intelligence and information from HCC's Health & Safety Manager to ensure periodic audits are carried out as required</u>		<u>Proposed</u>		<u>Sass Pledger</u>	

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<p>TEC0004 <i>Delivering our Vision</i></p> <p>Current Category: <i>Corporate & 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. A program of works has been undertaken to improve physical security. Our re audit review has taken place confirming planned improvements and providing required assurance. Having developed a better understanding of the data and the nature of attacks we have considered the risk going forward to a cloud future in which we have a much wider attack profile as we spread our data. However this gives rise to potentially more selective impact / damage done if an attack is successful. 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</p>	<p>13/06/2019 Significant 24</p> <p>Probability Possible 3</p> <p>Impact High 8</p>	<p>↗</p>	<p>Severe 32</p> <p>Probability Likely 4</p> <p>Impact High 8</p>	<p>Significant 16</p> <p>Probability Unlikely 2</p> <p>Impact High 8</p>

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		focus our efforts, a formal industry standard approach is being developed (ISO27001) to help our risk management understanding in this area. In considering all the factors at present, the risk owner has raised the risk probability to 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 which may include supplementing the Cyber Security team. Reviewed On :13/06/2019				

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Controls:	Ref	Control Description		Status		Owner
	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
CP0004 <i>Opportunity to be Healthy and Safe</i> Current Category: Corporate & Strategic Risk Register <i>Current Type : Corporate</i> As a result of disruptive factors influencing the lives of people in Hertfordshire, there is a risk that residents or staff become radicalised or drawn into terrorism, which could cause harm to themselves or the wider public and reduce community / social cohesion.	Guy Pratt Deputy Director of Community Protection	The risk owner has reviewed this risk measure and updated appropriately. The Board is having a workshop day in July 2019 to develop an action plan and put in place measures to meet the best practices within the national assessment tool. Reviewed On :07/05/2019	Significant 24 Probability Possible 3 Impact High 8	↔	Significant 24 Probability Possible 3 Impact High 8	Significant 16 Probability Unlikely 2 Impact High 8

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Controls:	<u>Ref</u>	<u>Control Description</u>		<u>Status</u>		<u>Owner</u>
	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>CPRES0009 <i>Opportunity to Thrive</i></p> <p>Current Category: Corporate & Strategic Risk Register <i>Current Type : Corporate</i></p> <p>If there is insufficient preparation for increased frequency of extreme weather events resulting from climate change, then there might be negative impacts on service delivery, user access to service provision and to the reputation of the Council.</p>	<p>Gus Cuthbert</p> <p>Assistant Chief Fire Officer</p>	<p>Internally HCC have an Incident Response Plan which sets out the strategy for an organisational response to an incident and identifies roles, responsibilities and key actions.</p> <p>Externally HFRS and HCC are key stakeholders in Hertfordshire Resilience, this is a partnership of over 60 organisations including the emergency services, local councils, health services and volunteers.</p> <p>They plan, train and respond to emergencies together. They decide what to plan for using Hertfordshire's Risk Register and the government's national risk register.</p> <p>Hertfordshire Resilience assesses all these situations and their likely impact on a regular basis. They then plan together to ensure that an appropriate response in place.</p> <p>HCC Resilience Board also monitors internal BCPs & BIAs on a regular basis.</p> <p>Reviewed On :02/05/2019</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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Controls:	<u>Ref</u>	<u>Control Description</u>		<u>Status</u>	<u>Owner</u>	
	CPRES0009/001	Appropriate business continuity arrangements in place and regular annual reviews carried out		In Place / Embedded	Darren McLatchey	
	CPRES0009/002	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>CPRES0010 <i>Opportunity to Prosper</i></p> <p>Current Category: Corporate & Strategic Risk Register <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>Deputy Director of Community Protection</p>	<p>Each directorate has identified risks to their critical service delivery and reported these to the resilience board. Central government has continued to release technical bulletins identifying areas across the community that could be affected and some guidance of risk mitigation. These are being monitored and assessed by affected directorates. A Strategic Co ordinating Group has been established by the Local resilience Forum which HCC and HFRS are representatives of. Weekly Incident Management Team (IMT) meetings are being held and all services are taking an active role. The IMT and the resilience team coordinate all correspondence from Government re: Brexit and actions needed are tasked and monitored through IMT. Reviewed On :07/05/2019</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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Controls:	Ref	Control Description		Status		Owner
	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
CSF0070 <i>Opportunity to Thrive</i> Current Category: Corporate & Strategic Risk Register <i>Current Type : Strategic</i> In the event of inadequate capital being made available from a number of funding streams, part of the costs of delivering the secondary expansion programme and/or schools required to meet demand in new housing developments may need to be met from the council's own resources having exhausted all other eventualities.	Simon Newland Operations Director, Education	Key control measures continue to be taken forward, including close oversight of the number and cost of expansions. In March 2019, approval was provided by the Department for Education (DfE) for the creation of a new Special Free School – with DfE providing the full construction / capital funding, while HCC will provide the relevant land required. Reviewed On :19/06/2019	Significant 24 Probability Possible 3 Impact High 8	↔	Significant 24 Probability Possible 3 Impact High 8	Significant 16 Probability Unlikely 2 Impact High 8

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Risk Ref Risk Description Corporate Priority Category	Risk Owner	Progress Update	Previous Risk Score	Movement Direction	Current Risk Score	Target Risk Score
Controls:	<u>Ref</u>	<u>Control Description</u>		<u>Status</u>		<u>Owner</u>
	CSF0070/005	Minimise the number of expansions undertaken and continually review information management requirements		In Progress / Taking Effect		Simon Newland
	CSF0070/006	Ensure value for money		In Progress / Taking Effect		Simon Newland
	CSF0070/007	Secure access to additional funding from DfE		In Progress / Taking Effect		Simon Newland
CSF0082 <i>Opportunity to be Healthy and Safe</i> Current Category: Corporate & Strategic Risk Register <i>Current Type : Corporate</i> As a result of national and local efficiencies, there is a risk that partnership funding may be withdrawn or withheld.	Jenny Coles Director of Children's Services	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 :19/06/2019	Significant 24 Probability Possible 3 Impact High 8	↔	Significant 24 Probability Possible 3 Impact High 8	Significant 12 Probability Possible 3 Impact Medium 4
Controls:	<u>Ref</u>	<u>Control Description</u>		<u>Status</u>		<u>Owner</u>
	CSF0082/001	Maintain effective joint working relationships and joint planning		In Progress / Taking Effect		Jenny Coles

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<p>CSF0083 <i>Opportunity to Thrive</i></p> <p>Current Category: <i>Corporate & Strategic Risk Register</i> <i>Current Type : Corporate</i></p> <p>As a result of the new welfare, reform and immigration arrangements, there is a risk of an increase in families becoming homeless and/or requiring support from Children's Services (and other services).</p>	<p>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. Reviewed On :19/06/2019</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 12</p> <p>Probability Possible 3</p> <p>Impact Medium 4</p>

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Controls:	<u>Ref</u>	<u>Control Description</u>		<u>Status</u>		<u>Owner</u>
	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
ENV0142 <i>Opportunity to be Healthy and Safe</i> Current Category: Corporate & Strategic Risk Register <i>Current Type : Corporate</i> 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.	Simon Aries Assistant Director - Transport, Waste & Environmental Management	HCC recently appointed a new Tree Health Officer for 2019-20 who will focus on outreach. New networks have already been established to continue raising awareness about tree health. Reviewed On :04/04/2019	Significant 24 Probability Possible 3 Impact High 8	↔	Significant 24 Probability Possible 3 Impact High 8	Significant 16 Probability Unlikely 2 Impact High 8

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Controls:	<u>Ref</u>	<u>Control Description</u>		<u>Status</u>		<u>Owner</u>
	ENV0142/001	Raising awareness of the issues incl Tree Health pages on website; articles in relevant publications; engagement with partners		In Progress / Taking Effect		Tony Bradford
	ENV0142/002	Establishing extent and potential liability of ash tree population on Highways HCC is responsible to manage		In Progress / Taking Effect		Peter Simpson
	ENV0142/003	Monitoring of the national and local tree health situation and specialist advice to feed into plans and actions		In Progress / Taking Effect		Tony Bradford
	ENV0142/004	Monitoring/Reviewing the framework for sharing best practice including the county council's internal Tree Health Network		In Progress / Taking Effect		Tony Bradford
	ENV0142/005	Lobbying the government for support and assistance in responding to the tree health issue in the county		In Progress / Taking Effect		Simon Aries
	ENV0142/007	Assess extent and potential liability of tree population on non-Highway HCC land incl Property HCC is responsible to manage		In Progress / Taking Effect		Michelle Abraham
	ENV0142/008	Facilitate a coordinated approach across Hertfordshire to deliver a cost effective, proportionate, efficient response		In Progress / Taking Effect		Simon Aries
	ENV0142/009	Appropriate tree inspection regimes on highway land; summer inspections; staff trained to identify symptoms of relevant diseases		In Progress / Taking Effect		Peter Simpson
	ENV0142/010	Appropriate tree inspection regimes - HCC land; staff trained to identify disease		In Progress / Taking Effect		Michelle Abraham
	ENV0142/011	Raise awareness and share best practice amongst public, staff, schools (Schools Grid), incl employ a 2 year Tree Health Officer		In Progress / Taking Effect		Tony Bradford

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	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
	ENV0142/013	Development of a plant procurement protocol for HCC		In Progress / Taking Effect		Glenn Facey
	ENV0142/014	Work with partners to plan for restoration of the post-ash dieback landscape		In Progress / Taking Effect		Tony Bradford
	ENV0142/006	Monitor the financial pressures and secure resources through the Integrated Planning Process where appropriate		Complete		Simon Aries
HR0018 <i>Delivering our Vision</i> Current Category: Corporate & Strategic Risk Register <i>Current Type : Corporate</i> 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.	Sally Hopper Assistant Director, Human Resources	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 and Learning & Development (L&D) Teams. L&D Managers group meet quarterly. Shared Prevent course with Stevenage Borough Council (SBC) and Herts Catering limited (HCL) Reviewed On :23/04/2019	Significant 24 Probability Possible 3 Impact High 8		Significant 24 Probability Possible 3 Impact High 8	Significant 16 Probability Unlikely 2 Impact High 8

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Controls:	<u>Ref</u>	<u>Control Description</u>		<u>Status</u>		<u>Owner</u>
	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>HR0021 <i>Delivering our Vision</i></p> <p>Current Category: Corporate & Strategic Risk Register <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 decreased by 0.5% to 12.9% (March 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 & 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 12/04/2019. Reviewed On :23/04/2019</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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Controls:	<u>Ref</u>	<u>Control Description</u>		<u>Status</u>		<u>Owner</u>
	HR0021/001	Regular monitoring, workforce planning and forecasting - e.g. incl talent management and succession planning		In Place / Embedded		Sally Hopper
	HR0021/007	Ensure the ability to call upon key service providers to meet any short term in-house skills gap		In Place / Embedded		Sally Hopper
	HR0021/008	Regular monitoring of the employment 'package' to help ensure HCC remains an Employer of Choice		In Place / Embedded		Sally Hopper
	HR0021/010	Maintain and support PMDS scheme, appropriate career schemes and associated training. (replaces controls CSCE0007/003 and 004)		In Progress / Taking Effect		Sally Hopper
	HR0021/012	Develop, implement and embed employee comms, engagement and well-being initiatives, incl Herts Manager & Stakeholder Management		In Progress / Taking Effect		Sally Hopper
	HR0021/013	Develop a future focused strategy for resourcing, including young people, re deployment & re skilling as part of workforce plan		In Progress / Taking Effect		Sally Hopper
	HR0021/014	Proactive approach to managing demand and supply e.g. QSW's in collaboration with other LA's		In Place / Embedded		Sally Hopper
	HR0021/015	Target Public Health recruitment at specialist networks, journals and social media sites		In Place / Embedded		Alison Hardy
HR0021/016	Monitor the external recruitment market including senior manager pay to ensure remain competitive		In Place / Embedded		Sally Hopper	

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	HR0021/017	Talent & succession plans in place to support future organisation as part of workforce planning		In Progress / Taking Effect		Sally Hopper
IMP0001 <i>Delivering our Vision</i> Current Category: Corporate & Strategic Risk Register <i>Current Type : Corporate</i> Risk: <ul style="list-style-type: none"> 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 Potential consequences: <ul style="list-style-type: none"> harm to clients, impact on Council reputation, regulatory enforcement and other legal action severe financial consequences. [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. Reviewed On :30/04/2019	<div style="background-color: orange; color: white; padding: 5px; text-align: center;">Significant 24</div> Probability Possible 3 Impact High 8	↔	<div style="background-color: orange; color: white; padding: 5px; text-align: center;">Significant 24</div> Probability Possible 3 Impact High 8	<div style="background-color: orange; color: white; padding: 5px; text-align: center;">Significant 16</div> Probability Unlikely 2 Impact High 8

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

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<p>PROP0023 <i>Delivering our Vision</i></p> <p>Current Category: <i>Corporate & 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 & Director of Herts Living Limited</p>	<p>Risk and control measures have been reviewed and updated. No changes to current and target risk scores. Controls to reduce and manage the risk are in place and are being undertaken. Chalkdene (the Joint Venture Partner) has a site specific risk register for the 12 sites being developed. Herts Living Ltd will also be delivering developments themselves without the Joint Venture Partner. A disposal strategy is still being developed and may be included within the Property Management Services Contract where assets are not in the pipeline for Chalkdene or Herts Living Ltd. All sites that are under formal Option to Purchase have now been handed over to Chalkdene to progress the planning work. Reviewed On :11/06/2019</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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Controls:	<u>Ref</u>	<u>Control Description</u>		<u>Status</u>		<u>Owner</u>
	PROP0023/001	Herts Living Ltd Board of Directors to ensure governance through member advisory group and shareholder representative group.		In Progress / Taking Effect		Mike Evans (Herts Living Limited)
	PROP0023/002	Continue to determine the latest market value before taking any asset to sale or allocate to Herts Living Ltd		In Place / Embedded		Mike Evans (Herts Living Limited)
	PROP0023/003	Take advantage of sale opportunities such as unsolicited approaches where possible subject to procurement rules being followed		In Place / Embedded		Mike Evans (Herts Living Limited)
	PROP0023/004	Work with Finance & disposal teams to deliver an acceptable capital receipt programme & the receipts from the SJV		In Progress / Taking Effect		Mike Evans (Herts Living Limited)
	PROP0023/007	Continue to identify pipeline surplus sites/assets and develop these to maximise the potential capital receipt.		In Progress / Taking Effect		Mike Evans (Herts Living Limited)
	PROP0023/008	Gain social value from arrangements. Provide social benefits that will impact on economic & social well-being of the community		In Progress / Taking Effect		Mike Evans (Herts Living Limited)
	PROP0023/009	Maintain awareness of market conditions & potential for change		In Place / Embedded		Mike Evans (Herts Living Limited)
	<u>PROP0023/010</u>	<u>Hand over sites to Chalkdene when at the stage of being under formal Option to Purchase to enable planning work to progress</u>		<u>In Progress / Taking Effect</u>		<u>Mike Evans (Herts Living Limited)</u>

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<p>SP0005 <i>Delivering our Vision</i></p> <p>Current Category: <i>Corporate & Strategic Risk Register</i> <i>Current Type : Corporate</i></p> <p>A significant proportion of the Council's expenditure is accounted for by externally commissioned services. In the event of insufficient skills in commissioning / contract management and competencies along with a lack of application of effective monitoring, governance and contract management rigour, there is a risk of poor value, inadequate service provision and data security and/or failure of externally delivered services, which could lead to disruption of service delivery. [Formerly IMP0002/CSCE0019]</p>	<p>Steven Pilsworth</p> <p>Assistant Director - Resources</p>	<p>The risk owner has reviewed the risk and controls and there is no change. Recommendations from the recent SIAS audit and the Scrutiny Topic Group of this area will be finalised and actioned shortly. Reviewed On :07/05/2019</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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	SP0005/002	Effective use of The Procurement Cycle (the 'Do, Buy, Share' model of procurement)		In Place / Embedded		Paul Drake
	SP0005/005	Deliver specialist procurement training programme		In Progress / Taking Effect		Paul Drake
	SP0005/006	Regular newsletter and Contracting Best Practice meeting which takes place bi monthly		In Place / Embedded		Paul Drake
	SP0005/008	SPG team specialist support to key business areas		In Place / Embedded		Paul Drake
	SP0005/009	Commercial skills assessment undertaken through SMART Commercial programme		In Progress / Taking Effect		Paul Drake
	SP0005/010	Effective service and contractual checks are made by contracting managers pre contract placement and on an ongoing basis		In Place / Embedded		Paul Drake
	SP0005/011	HCC's Technology team provide support to contracting managers to assess ICT implications and security.		In Place / Embedded		David Mansfield

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<p>AUDIT0001 <i>Delivering our Vision</i></p> <p>Current Category: Corporate & Strategic Risk Register <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"> - Overstatement of needs through false declaration for personal budgets in adult care services - Misuse of Blue Badge/Concessionary bus passes - Staff falsifying time keeping / expenses and overpayment of pensions - Bribery and collusion in procurement - Exaggerated/false insurance claims 	<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. A new control measure has been raised to note work that is now underway to prepare for a SAFS Audit scheduled for 2019/2020. This Audit is hoped to provide further assurance to the council that SAFS provides an effective shared service. Reviewed On :08/04/2019</p>	<p>Significant 16</p> <p>Probability Likely 4</p> <p>Impact Medium 4</p>	<p>↔</p>	<p>Significant 16</p> <p>Probability Likely 4</p> <p>Impact Medium 4</p>	<p>Significant 16</p> <p>Probability Likely 4</p> <p>Impact Medium 4</p>

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	AUDIT0001/018	Preparation for SAFS Audit (due in 2019/20)		Proposed		Terry Barnett
	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 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	

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<p>CPRES0001 <i>Delivering our Vision</i></p> <p>Current Category: <i>Corporate & Strategic Risk Register</i> <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 Chief Fire Officer</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 effectiveness of the Hertfordshire LRF in Planning and responding to Incidents affecting the communities of Hertfordshire was the subject of HCC Members scrutiny panel in January 2019. Reviewed On :02/05/2019</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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Controls:	Ref	Control Description		Status		Owner
	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
CSHF0002 <i>Delivering our Vision</i> Current Category: Corporate & Strategic Risk Register <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 - Resources	The performance of the fund continues to be monitored. Quarterly Actuarial Navigator reports are shared with the pensions committee. Latest position shows the funding level to be around 92% as at 31 December 2018. The risk and controls have been reviewed in the context of the triennial re-evaluation of the fund. Reviewed On :30/04/2019	Significant 16 Probability Rare 1 Impact Very High 16	↔	Significant 16 Probability Rare 1 Impact Very High 16	Significant 16 Probability Rare 1 Impact Very High 16

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Controls:	Ref	Control Description		Status		Owner
	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
ENV0033 <i>Opportunity to be Healthy and Safe</i> Current Category: Corporate & Strategic Risk Register <i>Current Type : Corporate</i> In the event of under investment there is a risk that road maintenance levels (including footways and cycle-ways) cannot be maintained and general deterioration occurs, which may lead to increased number of accidents, loss of reputation and customer dissatisfaction.	Steve Johnson Business Manager - Contracts and Networks	Additional HCC funding made available for the upkeep of U-roads over a 4 year period. There is also DfT funding of £7.9m for pothole maintenance in 2018/19 targeted at improving asset condition. The risk remains 'possible' and attracts a 'high' impact. Reviewed On :20/03/2019	Significant 16 Probability Unlikely 2 Impact High 8	↔	Significant 16 Probability Unlikely 2 Impact High 8	Material 8 Probability Rare 1 Impact High 8

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Controls:	<u>Ref</u>	<u>Control Description</u>		<u>Status</u>		<u>Owner</u>
	ENV0033/001	Regular performance monitoring		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
	ENV0033/004	Review of Maintenance Strategy		In Progress / Taking Effect		Steve Johnson
	ENV0033/005	Review and monitor Highways triage system		In Place / Embedded		Steve Johnson
	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	Review of maintenance data, insurance data, customer enquiries, fault reports and weather patterns		In Progress / Taking Effect		Steve Johnson

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HFRS0004 <i>Delivering our Vision</i> Current Category: Corporate & Strategic Risk Register <i>Current Type : Corporate</i> 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.	Steve Tant Assistant Chief Fire Officer	The CPD Strategic Operations and Training Board (SOTB) continue to monitor and analyse training data to ensure that we remain on track, in terms of the percentage of 'current' mandatory training completions and to respond to national issues and events and their impacts on Firefighter safety and effectiveness. Reviewed On :17/04/2019	<div style="background-color: #f4a460; padding: 5px; text-align: center;"> Significant 16 </div> Probability Unlikely 2 Impact High 8		<div style="background-color: #f4a460; padding: 5px; text-align: center;"> Significant 16 </div> Probability Unlikely 2 Impact High 8	<div style="background-color: #f4a460; padding: 5px; text-align: center;"> Significant 16 </div> Probability Unlikely 2 Impact High 8
Controls:	Ref	Control Description	Status	Owner		
	HFRS0004/001	Review and monitor the Integrated Personal Development System to ensure National training requirements are being met.	In Progress / Taking Effect	Steve Tant		
	HFRS0004/002	Station Audit Process	In Place / Embedded	Steve Tant		
	HFRS0004/004	Feedback from standard meetings informs improvements in equipment, technique and performance to drive the Service forward	In Place / Embedded	Steve Tant		
	HFRS0004/005	CPD's Strategic Operations and Training Board (SOTB) have signed off the Services 2019 Annual Training Plan.	In Place / Embedded	Steve Tant		

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HR0023 <i>Delivering our Vision</i> Current Category: <i>Corporate & Strategic Risk Register</i> <i>Current Type : Corporate</i> As a result of new legislation establishing an Apprenticeship Levy, there is a risk that should the County Council not take appropriate action to offset the levy and provide apprenticeship opportunities there may be financial and reputational consequences.	Sally Hopper Assistant Director, Human Resources	Work being undertaken with Boards to enrol existing staff onto standards and embed into workforce planning i.e. vacancies being considered as Apprentice first and other options second. Reviewed on 02/04/2019. Reviewed On :23/04/2019	<div style="background-color: orange; padding: 5px; text-align: center;"> Significant 12 </div> Probability Possible 3 Impact Medium 4		<div style="background-color: orange; padding: 5px; text-align: center;"> Significant 12 </div> Probability Possible 3 Impact Medium 4	<div style="background-color: yellow; padding: 5px; text-align: center;"> Material 8 </div> Probability Unlikely 2 Impact Medium 4
Controls:	<u>Ref</u>	<u>Control Description</u>	<u>Status</u>	<u>Owner</u>		
	HR0023/002	Identification of departmental Apprenticeship opportunities through strategic workforce planning	In Place / Embedded	Sally Hopper		
	HR0023/003	Procure training funded through the Apprenticeship Levy	In Place / Embedded	Sally Hopper		
	HR0023/004	Work in partnership to develop and maintain the Hertfordshire Apprenticeship Alliance (HAA)	In Place / Embedded	Sally Hopper		
	HR0023/005	Develop effective processes to reclaim this tax through the digital account	In Place / Embedded	Sally Hopper		

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<p>LIBS0007 <i>Delivering our Vision</i></p> <p>Current Category: <i>Corporate & Strategic Risk Register</i></p> <p><i>Current Type : Strategic</i></p> <p>Cabinet has agreed to adopt an alternative provider for the future delivery of the library services through a procurement process in 2019. It has also agreed to establish a public service mutual in shell form in order to bid for the contract. It is envisaged that the new contract will be awarded in July 2019 and launched in December 2019.</p> <p>In the event that there is a delay in the procurement or the implementation process, or a challenge to the contract award, then there is a risk that the new provider will not be in place by the end of 2019, with the result that some or all of the required savings will not be made in 2019/2020, and the County Council will suffer reputational damage.</p>	<p>Alex James</p> <p>Head of Corporate Policy</p>	<p>Following the Cabinet decisions on 22nd October 2018, this risk has been escalated to a strategic risk, re worded, and the score amended to align with the new focus. A working group, chaired by Alex James, has been established to manage the procurement process. The Selection Questionnaire stage was completed in March and two bidders have been invited to submit a full tender by 8 May 2019. This work is supported by Legal Services, the Improvement Team, Procurement, Finance and HR. A separate working group, chaired by Andrew Bignell, has been established to set up the Public Service Mutual as an independent organisation in shell form. Guidelines have been drawn up by legal services to ensure the separation of functions required to comply with procurement law.</p> <p>Reviewed On :24/04/2019</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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Controls:	Ref	Control Description	Status	Owner		
	LIBS0007/001	Project team setup and established including mitigation of the project level risks.	In Progress / Taking Effect	Alex James		
	LIBS0007/002	Independent Support and advice secured through the DCMS Mutuals Support Programme.	In Progress / Taking Effect	Andrew Bignell		
PROP0018 <i>Opportunity to be Healthy and Safe</i> Current Category: Corporate & Strategic Risk Register <i>Current Type : Corporate</i> There is a risk that land owned by the Council and no longer required for the purpose for which it was bought may not have an active management regime in place. As a result there is a risk of an encroachment, H&S incident to persons or property or some financial impact which could give rise to H&SE action and/or a liability claim.	Mike Evans Head of Development (Property)	Risk and control measures have been reviewed and updated. No changes to current or target risk scores. A recent review of the at-risk sites has resulted in amended management regimes being agreed. Priorities have been set against specific assets to ensure the risk is further reduced where there is a potential for a site disposal. Reviewed On :24/04/2019	<div style="background-color: orange; padding: 5px; text-align: center;">Significant 12</div> Probability Possible 3 Impact Medium 4	↔	<div style="background-color: orange; padding: 5px; text-align: center;">Significant 12</div> Probability Possible 3 Impact Medium 4	<div style="background-color: yellow; padding: 5px; text-align: center;">Material 8</div> Probability Unlikely 2 Impact Medium 4

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Controls:	<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		Mike Evans
	PROP0018/002	Agreement to be reached on what management regimes can be implemented/alternative solutions deployed to resolve potential issues		In Place / Embedded		Mike Evans
	PROP0018/003	Follow Out of Use land and property management processes to ensure it is managed appropriately.		In Progress / Taking Effect		Mike Evans
PHD0014 <i>Opportunity to be Healthy and Safe</i> Current Category: Corporate & Strategic Risk Register <i>Current Type : Corporate</i> In the event of a Health Protection emergency such as a communicable disease epidemic, radiological, chemical or biological agent exposure, or extreme weather conditions, there is a risk that the authority may be unable to meet its statutory duty to adequately assure multi-agency health protection arrangements.	Gill Goodlad Assistant Director / Consultant Public Health	Risk owner has been changed to Gill Goodlad. This is an ongoing risk. The score has been reviewed and remains unchanged. Reviewed On :04/04/2019	Material 8 Probability Rare 1 Impact High 8	↔	Material 8 Probability Rare 1 Impact High 8	Material 8 Probability Rare 1 Impact High 8

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Controls:	<u>Ref</u>	<u>Control Description</u>		<u>Status</u>		<u>Owner</u>
	PHD0014/002	The Local Health Resilience Partnership (LHRP) meets quarterly		In Place / Embedded		Jim McManus
	PHD0014/003	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		Gill Goodlad
	PHD0014/005	Hertfordshire follows the national guidance on management of infectious outbreaks and pandemic flu		In Place / Embedded		Gill Goodlad
	PHD0014/006	Qrtly update to LHRP on progress with detailed arrangements for health protection incidents as identified in 2017 national audit		In Place / Embedded		Gill Goodlad

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[Report Selection Criteria](#)

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