

# Full CSRR Movement report at February 2022 For March 2022 Audit Committee



Report Date: 24/02/2022

Date of Previous Risk Score: 02/09/2021

Notes: References highlighted **Purple** have been added since the 02/09/2021.

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<p>SG0001    <b>SSG01</b></p> <p><i>Opportunity to live in thriving communities</i></p> <p><b>Current Category:</b> <i>Corporate &amp; Strategic Risk Register</i></p> <p><i>Current Type : Strategic</i></p> <p>In the event of a failure to limit the causes, prioritise action and allocate resources, and to prepare for the effects, of the climate crisis at a local, national and international level, there is an increased risk to Hertfordshire of extreme weather events that may be more prolonged or severe; hotter, drier summers, changing rainfall patterns, more intense rainfall episodes, more frequent and intense storms, longer periods without rainfall, milder winters, that may significantly disrupt our ability to deliver services, damage the council's reputation, lead to further financial challenges and ecological and environmental impacts for future generations. [Formerly ENV0159/SE07]</p>	<p>Patsy Dell</p> <p>Executive Director of Sustainable Growth</p>	<p>The latest Sustainable Hertfordshire progress report was presented to the Environment Panel in September 2021. The EV Strategy has progressed with countywide workshops with D/BCs. Four countywide action plans have been approved via the Hertfordshire Climate Change and Sustainability Partnership. Resources within the Sustainable Hertfordshire team are at full establishment and capacity. If successful via the IP process, additional staff will be appointed. The current IP documents have highlighted the need for greater implementation of the action plan across all directorates. The Air Quality PM has established links with all D/BCs and regionally, hosted an initial meeting and set up proposals for future, regular meetings and a work programme. Regular comms updates are given to the Environment Panel. External and internal</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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		comms are ongoing with the use of the dedicated resource. Agreements reached as a result of COP26 and the enactment of the Environment Bill will result in additional duties – awaiting regulations. Reviewed On :10/01/2022				

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		SG0001/001				Influence national (and through that) international action to reduce the drivers of the climate crisis		In Progress / Taking Effect		Julie Greaves
		SG0001/002				Maintain capacity, skills of Sustainability Team to co-ord HCC activity, liaise/influence expert bodies, local decision-makers		In Progress / Taking Effect		Julie Greaves
		SG0001/003				Ensure Sustainable Hertfordshire Programme Team has resources and skills to coordinate Sustainability Action Plan		In Progress / Taking Effect		Julie Greaves
		SG0001/004				Implement and monitor effectiveness of the Sustainable Hertfordshire Action Plan		In Progress / Taking Effect		Julie Greaves
		SG0001/005				Departmental Workstreams undertake actions and deliver targets to achieve the ambitions in the Sustainability Strategy		In Progress / Taking Effect		Julie Greaves
		SG0001/006				Identify mitigations and future proofing to improve resilience against impacts of the climate crisis		In Progress / Taking Effect		Julie Greaves
		SG0001/007				Influencing Business Continuity Plan arrangements to be subject to Climate Risk Assessments and Adaptations work.		In Place / Embedded		Julie Greaves
		SG0001/008				Continually develop partnership working with agencies developing risk reduction strategies/multi-agency 'Warn & Inform' Strategy		In Place / Embedded		Owen Tomlinson
		SG0001/009				Each Department holds a service level risk which is monitored and reviewed on a regular basis		In Place / Embedded		Julie Greaves

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<p>ACSOP0002    AC12</p> <p><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 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>Helen Maneuf</p> <p>Operations Director                      – Older People’s Services</p>	<p>Risk reviewed by Risk Owner in October 2021. Risk wording and scores to remain the same. With the vaccinations in care homes becoming mandatory from the 11th November the risk remains as Severe due to the workforce pressures that this will lead to. Supply chain disruption eg. fuel shortages has been problematic in late September particularly for domiciliary care workers. Small scale issues with delivering care, sporadic problems continue in terms of being able to be delivered.                      Reviewed On :27/10/2021</p>	<p style="background-color: red; color: white; text-align: center;">Severe 40</p> <p><b>Probability</b> Almost Certain</p> <p><b>Impact</b> High 8</p>		<p style="background-color: red; color: white; text-align: center;">Severe 40</p> <p><b>Probability</b> Almost Certain</p> <p><b>Impact</b> High 8</p>	<p style="background-color: orange; color: white; text-align: center;">Significant 24</p> <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>
		ACSOP0002/001				Use ACS Contract Monitoring Procedures		In Place / Embedded		Helen Maneuf
		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		Helen Maneuf
		ACSOP0002/005				Multi Agency Service Quality Improvement Group, analyse data and evaluate risk monthly and take appropriate action with partners		In Place / Embedded		Helen Maneuf
		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		Helen Maneuf
		ACSOP0002/007				Establish new arrangements of ACH panel to review / scrutinise market intelligence		In Progress / Taking Effect		Helen Maneuf
		ACSOP0002/008				Consider relevant SIAS audit recommendations and undertake agreed officer actions in respect to ACS practice and monitoring		In Progress / Taking Effect		Helen Maneuf
		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
		ACSOP0002/011				Training of Temporary Staff to be deployed flexibly to Support Providers		In Progress / Taking Effect		Helen Maneuf

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ACSPR0001 <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 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]	AC11	Jackie Albery  Director of Planning and Resources	Risk Reviewed by Risk Owner in October 2021, Risk wording to remain the same. Risk score remains the same as increasing demand for ACS are being experienced. The impact on care markets is continuously being monitored and regular discussions with NHS are underway. Reviewed On :27/10/2021	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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<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		Jackie Albery
		ACSPR0001/002	Senior management involvement and reporting		In Place / Embedded		Jackie Albery
		ACSPR0001/003	Process of planning for future population growth and inflationary impact		In Place / Embedded		Jackie Albery
		ACSPR0001/004	Work to identify strategies for achieving financial balance for future years feeding into integrated planning		Complete		Jackie Albery
		ACSPR0001/005	Regular discussions with Director of Resources, Members and Resources Department at Exec Member Briefing		In Progress / Taking Effect		Jackie Albery

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<p><b>CS0027</b></p> <p><i>Delivering our Vision</i></p> <p><b>Current Category: Corporate &amp; Strategic Risk Register</b></p> <p><i>Current Type : Strategic</i></p> <p>Following the Covid-19 pandemic and EU transition period there may now be a period of rapid and considerable change. In the event of an increase in policy/legislation, the continuing uncertainty regarding funding and the economic environment and reflecting potentially urgent and/or significant unforeseen change, there is a risk that the council may not have the capacity or capability to adapt, continue to re-prioritise resources and make effective decisions on priorities or adopt the right elements in the portfolio of change, which could result in failures of service provision to comply with new legislation, financial and reputational impacts, reduction in citizen and service user satisfaction and failures in delivering key initiatives and projects.</p>	<p><b>SR37</b></p> <p>Created Date: 27/01/2022</p>	<p>Scott Crudgington</p> <p>Deputy Chief Executive and Executive Director of Resources</p>	<p>This is a new risk, raised to reflect the considerable uncertainty following recent exceptional events and how this and further unforeseen change may impact on the organisation. The Beyond Today Transformation PMO is established. Through effective governance, reporting and consistent ways of working senior leaders are able to identify and react to early risks/issues affecting project delivery/costs/benefits realisation. A prioritisation process exists against which all Transformation initiatives are assessed. Pressures on delivery are arising due to several factors; new project priorities (due to Covid, budget pressures, regulatory changes etc), challenges retaining and recruiting good project skillsets, the capacity of the wider organisation to contribute to project work. These concerns are being raised and tracked with senior leaders with some further actions proposed.</p> <p>Reviewed On :31/01/2022</p>	<p>27/01/2022</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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		<u>CS0027/005</u>				<u>Undertake Corporate Peer Review and appropriate actions from its conclusions</u>		<u>In Progress / Taking Effect</u>		<u>Alex James</u>
		<u>CS0027/001</u>				<u>Lobbying and influencing at local and national levels</u>		<u>In Progress / Taking Effect</u>		<u>Scott Crudgington</u>
		<u>CS0027/002</u>				<u>Ensure cross organisation Governance arrangements, processes are effective to manage current and potential business priorities</u>		<u>In Progress / Taking Effect</u>		<u>Anna Morrison</u>
		<u>CS0027/003</u>				<u>Ensure rapid change management processes and support are developed and in place</u>		<u>In Progress / Taking Effect</u>		<u>Anna Morrison</u>
		<u>CS0027/004</u>				<u>Develop workforce capability and capacity to be agile and flexible</u>		<u>In Progress / Taking Effect</u>		<u>Sally Hopper</u>

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CSF0055 <i>Opportunity to enjoy healthy and safe lives</i>  <b>Current Category: Corporate &amp; Strategic Risk Register</b> <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.	CS01	Jo Fisher  Executive Director of Childrens Services	All of the actions from Serious Case Reviews, Local Child Safeguarding Practice Reviews and Rapid Reviews are now being overseen by our Herts Safeguarding Children Partnership Sub Group on Practice, Policy and Procedures. All actions are being completed or progressed by the partnership. The HSCP has continued to review any safeguarding referrals to the partnership and conduct rapid reviews throughout the period of the pandemic and partnership commitment and attendance to these processes has remained robust. Reviewed On :26/01/2022	Severe 32  Probability Unlikely 2  Impact Very High 16	↔	Severe 32  Probability Unlikely 2  Impact Very High 16	Severe 32  Probability Unlikely 2  Impact Very High 16
<b>Controls:</b>		<b>Ref</b>	<b>Control Description</b>	<b>Status</b>	<b>Owner</b>		
		CSF0055/003	Maintain casework practice and implement recommendations of reviews	In Progress / Taking Effect	Mary Moroney		
		CSF0055/004	Continually monitor and review safeguarding practice and services within the council and with partners under the HSCP	In Progress / Taking Effect	Mary Moroney		
		CSF0055/005	Implement peer review and inspection actions	In Progress / Taking Effect	Mary Moroney		

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CSF0083 <i>Opportunity for everyone to achieve their potential</i> <b>Current Category: Corporate &amp; Strategic Risk Register</b> <i>Current Type : Corporate</i> There is a risk of an increase in families becoming homeless and/or requiring support as a result of welfare / immigration arrangements and the impact of COVID 19 upon the economy	CS04	El Mayhew  Interim Director, Children & Families	<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.</p> <p>Additional staff have been recruited to support a more proactive approach to meeting the needs of families who are at risk of becoming homeless – including additional staff to meet demand potentially arising due to COVID 19 in this area.</p> <p>The timing of the current ban on evictions will also impact the risk of increased homelessness.</p> <p>The current Section 17 spend in this area has increased,</p>	<div style="background-color: red; color: white; padding: 5px; text-align: center;">Severe 32</div> <p><b>Probability</b> Likely 4</p> <p><b>Impact</b> High 8</p>	↔	<div style="background-color: red; color: white; padding: 5px; text-align: center;">Severe 32</div> <p><b>Probability</b> Likely 4</p> <p><b>Impact</b> High 8</p>	<div style="background-color: orange; padding: 5px; text-align: center;">Significant 12</div> <p><b>Probability</b> Possible 3</p> <p><b>Impact</b> Medium 4</p>

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		<p>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>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.</p> <p>Recent national reports / data about rises in cost of living reinforce the current score of this risk and the importance of mitigating actions. Reviewed On :28/01/2022</p>				

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		CSF0083/001	Maintaining and deepening joint working relationships with 10 housing authorities and their partner registered housing providers		In Progress / Taking Effect		EI Mayhew
		CSF0083/002	Update the Hertfordshire Joint Housing Protocol		In Place / Embedded		EI Mayhew
		CSF0083/003	The development of a specialist Early Help housing approach		In Place / Embedded		EI Mayhew
		CSF0083/004	To develop a robust approach to families who have been deemed Intentionally Homeless		In Place / Embedded		EI Mayhew
		CSF0083/005	Ensure the No Recourse to Public Funds (NRPF) Protocol agreed with housing is fully utilised		In Place / Embedded		EI Mayhew

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CSF0093 <i>Opportunity to enjoy healthy and safe lives</i>  <b>Current Category: Corporate &amp; Strategic Risk Register</b> <i>Current Type : Strategic</i>  In the event of a continued rise in the numbers of Children Looked After (CLA), that require support and care, particularly those with unprecedented levels of acuity and complexity of needs, there is a risk that their needs cannot be met in Hertfordshire, leading to costs exceeding budget and poorer outcomes for the children in question, or that there are no alternative suitable placements nationally, resulting in significant adverse media interest, and significant safeguarding concerns.	SCS06	Marion Ingram  Director, Specialist Services	We are currently experiencing an unprecedented shortage of placements for our CLA population. This shortage is driven by the national increase in social care referrals / demand; national staff shortages; increasing complexity of need; and other factors.  This is leading to significant budgetary pressures, which are being fed in as part of the IP.  There are a range of strategies in place to address this shortage of placements specifically the ongoing work to increase in county Fostering and Residential placements. Reviewed On :26/01/2022	05/11/2021 Significant 24  Probability Possible 3  Impact High 8		Severe 32  Probability Likely 4  Impact High 8	Significant 16  Probability Unlikely 2  Impact High 8

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		CSF0093/001	Increase of in-county fostering and residential children's homes places		In Place / Embedded		Marion Ingram
		CSF0093/003	Increase of in-county children's homes		In Place / Embedded		Marion Ingram
		<u>CSF0093/004</u>	<u>Commissioning Service are continually seeking suitable accommodation to meet individual needs</u>		<u>In Place / Embedded</u>		<u>Marion Ingram</u>
		<u>CSF0093/005</u>	<u>Undertake the changed planned provision in Herts and incorporate increased number of smaller units.</u>		<u>In Progress / Taking Effect</u>		<u>Marion Ingram</u>

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CSF0096 <i>Opportunity for everyone to achieve their potential</i> <b>Current Category: Corporate &amp; Strategic Risk Register</b> <i>Current Type : Strategic</i> Due to COVID 19 related issues, there is a risk of a continued spike in Children's Services referrals and activity in the coming months – which may lead to Children's Services being unable to keep on top of the level of work required due to insufficient resource being available and may lead to increased costs	SCS08	Jo Fisher  Executive Director of Childrens Services	Front Door social care referrals dipped during lockdown however we are now seeing increased demand in all parts of statutory children services. Referral numbers between April and December 2021 are 31% higher than the same period in 2020 (the pandemic year) and 22% higher than April to December 2019 (pre-pandemic). This pattern is also reflected in an increased number of children in care.  This trend is driven by the fact that universal or targeted early years settings were not operating in the same way or not delivering services for large parts of the pandemic – which has resulted in an increased level of unmet and unsupported needs; and increased pressures on children / families, without the same ability to access support during the pandemic.  This places pressures not only on our budgets but upon the resilience of our	Severe 32  Probability Likely 4  Impact High 8	↔	Severe 32  Probability Likely 4  Impact High 8	Significant 16  Probability Unlikely 2  Impact High 8



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		<p>workforce who are seeing increased allocations of children and within this a level of complexity related to the pandemic.</p> <p>Additional staff have been recruited to help meet demand arising due to COVID 19 – and measures are in place to move staff as required to potential areas of increased demand. Detailed work is also being undertaken across Children’s Services to look at what can be done to reduce demand on services / budgets – with a business case on proposals to be shortly taken through the political process.                      Reviewed On :28/01/2022</p>				
<b>Controls:</b>	<u><b>Ref</b></u>	<u><b>Control Description</b></u>	<u><b>Status</b></u>	<u><b>Owner</b></u>		
	CSF0096/001	Modelling of demand	In Progress / Taking Effect	Jackie Clementson		
	CSF0096/002	Resource Planning	In Progress / Taking Effect	Jackie Clementson		
	CSF0096/003	Demand management / reduction	In Progress / Taking Effect	El Mayhew		

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<b>Risk Ref    Short Code</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>
<p>HFRS0007    CP01</p> <p><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>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>Andy Hopcraft</p> <p>Assistant Chief Fire Officer (Response, Resilience &amp; Prevention)</p>	<p>The risk owner has reviewed the status of this risk and confirmed that there are no changes to report at the present time.</p> <p>Reviewed On :28/01/2022</p>	<p style="background-color: red; color: white; text-align: center;">Severe 32</p> <p><b>Probability</b> Unlikely 2</p> <p><b>Impact</b> Very High 16</p>	<p>↔</p>	<p style="background-color: red; color: white; text-align: center;">Severe 32</p> <p><b>Probability</b> Unlikely 2</p> <p><b>Impact</b> Very High 16</p>	<p style="background-color: red; color: white; text-align: center;">Severe 32</p> <p><b>Probability</b> Unlikely 2</p> <p><b>Impact</b> Very High 16</p>

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		<p>(11/11/2021): - Locally 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. HFRS have their own BCP and every year exercise an aspect of business continuity arrangements. Nationally 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</p>				

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<b>Risk Ref</b> <b>Short Code</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>
		<p>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>(28/01/2022): - The risk owner has reviewed the status of this risk and confirmed that there are no changes to report at the present time. Reviewed On :28/01/2022</p>				

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

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HR0021 <i>Delivering our Vision</i>  <b>Current Category: Corporate &amp; Strategic Risk Register</b> <i>Current Type : Corporate</i>  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]	R01	Sally Hopper  Director of Human Resources	Vol. Turnover for council depts. has increased by 0.9% to 13.8% (Dec 21) since the last quarter, due to continued Pandemic cover. 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 03/11/2021 Reviewed On :27/01/2022	03/11/2021 Significant 16  Probability Unlikely 2  Impact High 8		Severe 32  Probability Likely 4  Impact High 8	Significant 16  Probability Unlikely 2  Impact High 8

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<b>Controls:</b>		<u>Ref</u>	<u>Control Description</u>		<u>Status</u>		<u>Owner</u>
		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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	HR0021/017	Talent & succession plans in place to support future organisation as part of workforce planning						In Progress / Taking Effect		Sally Hopper
	<u>HR0021/018</u>	<u>E&amp;I implement action plan to improve recruitment levels particularly for specialist knowledge roles</u>						<u>In Progress / Taking Effect</u>		<u>Mark Kemp</u>
	<u>HR0021/019</u>	<u>CP implement action plan to improve recruitment levels of on-call duty operational staff</u>						<u>In Progress / Taking Effect</u>		<u>Alex Woodman</u>



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PROP0031 <i>Delivering our Vision</i>  <b>Current Category: Corporate &amp; Strategic Risk Register</b> <i>Current Type : Strategic</i>  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.	SR28	Sass Pledger  Director Property	This risks and its controls have been reviewed in January 2022 and no further changes have been made. There is a public consultation on Brookfield which will end in March 2022 and a Cabinet paper is due to be presented in February 2022 recommending relocation and infrastructure delivery strategies. All control measures continue to mitigate this risk. Reviewed On :07/02/2022	<div style="background-color: red; color: white; padding: 5px; text-align: center;">Severe 32</div> <b>Probability</b> Unlikely 2  <b>Impact</b> Very High 16	↔	<div style="background-color: red; color: white; padding: 5px; text-align: center;">Severe 32</div> <b>Probability</b> Unlikely 2  <b>Impact</b> Very High 16	<div style="background-color: red; color: white; padding: 5px; text-align: center;">Severe 32</div> <b>Probability</b> Unlikely 2  <b>Impact</b> Very High 16

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<b>Controls:</b>		<u>Ref</u>	<u>Control Description</u>		<u>Status</u>		<u>Owner</u>
		PROP0031/001	A governance system including risk management, with both partnership and technical boards		In Place / Embedded		Mike Evans
		PROP0031/002	Housing Infrastructure bid of £38m and £22m, Brookfield and Baldock respectively		Complete		Mike Evans
		PROP0031/003	Regular member and senior officer collaboration to maintain a joined-up vision		In Place / Embedded		Mike Evans
		PROP0031/006	Consultation and close working with parties affected by re-location at Brookfield		In Progress / Taking Effect		Mike Evans
		PROP0031/007	Contingencies if expected funding streams are delayed, not available or inadequate		In Progress / Taking Effect		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		In Progress / Taking Effect		Mike Evans

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SG0002 <i>Opportunity to share in Hertfordshire's prosperity</i>  <b>Current Category: Corporate &amp; Strategic Risk Register</b> <i>Current Type : Strategic</i>  As a result of the estimated growth in Hertfordshire's population through to 2031 and the developments required to accommodate this, there is a risk that insufficient funding (through either existing and/or proposed changes to infrastructure levies and other funding mechanisms) is available to pay for the accompanying infrastructure requirements, leading to pressures on existing public services and infrastructure. [Formerly ENV0149/SE06]	SSG02	Colin Haigh  Director, Growth and Place	HCC Developer Contributions Guide is being used to seek larger contributions from new development towards county services. HCC services continue to submit bids to district councils for CIL funding. Reviewed On :25/01/2022	25/01/2022 Severe 40  Probability Almost Certain  Impact High 8	↓	Severe 32  Probability Likely 4  Impact High 8	Significant 20  Probability Almost Certain 5  Impact Medium 4

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<b>Controls:</b>		<u>Ref</u>	<u>Control Description</u>		<u>Status</u>		<u>Owner</u>
		SG0002/004	Provide regular updates to Members/stakeholders on the availability of funding for infrastructure		In Place / Embedded		Colin Haigh
		SG0002/007	Establish working relationships with Parish & Town Councils to achieve effective use of available infrastructure funding		In Place / Embedded		Colin Haigh
		SG0002/003	To work effectively with our local authority partners to communicate and identify the required infrastructure		In Progress / Taking Effect		Colin Haigh
		SG0002/005	Identification of possible alternative funding sources and interaction with fund bidding processes		In Progress / Taking Effect		Colin Haigh
		SG0002/006	Develop & maintain dialogue with central government depts as necessary to inform and influence policy and funding decisions		In Progress / Taking Effect		Colin Haigh
		SG0002/008	Work with Districts to bring forward their Local Plans, infrastructure funding mechanisms and support HCC Infrastructure needs		In Progress / Taking Effect		Colin Haigh
		SG0002/010	Review impending Planning Bill: understand effects to national infrastructure contributions, opportunities to maximise benefits		In Progress / Taking Effect		Colin Haigh
		<u>SG0002/011</u>	<u>HCC services to identify infrastructure projects early in plan-making process for inclusion in Infrastructure Delivery Plans</u>		<u>In Progress / Taking Effect</u>		<u>Colin Haigh</u>
		<u>SG0002/012</u>	<u>Ensure that infrastructure projects are clearly identified and costed, to reduce confusion between CIL and S106 requests</u>		<u>In Progress / Taking Effect</u>		<u>Colin Haigh</u>

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		<u>SG0002/013</u>	<u>Work with HGB and HIPP to find cost effective way of regularly updating Herts Infrastructure and Funding Prospectus</u>		<u>In Progress / Taking Effect</u>		<u>Colin Haigh</u>
SG0003 <i>Opportunity to share in Hertfordshire's prosperity</i>  <b>Current Category: Corporate &amp; Strategic Risk Register</b> <i>Current Type : Strategic</i>  As a result of the global pandemic, the virus has had a damaging impact upon Hertfordshire's communities and its economy. Given this there is a risk that future investment in the Hertfordshire economy will be lower, economic growth will be slower and recovery will take longer to achieve affecting the short, medium and longer term, prosperity and wellbeing of Hertfordshire communities. [Formerly ENV0161/SE08]	SSG03	Colin Haigh  Director, Growth and Place	Many covid restrictions are being lifted and sectors/businesses are returning to more normal practices.  There have been significant investment announcements for GSK and Sunset Studios.  Herts Growth Board is placing emphasis on the community wealth building merits of economic development.  HCC secured £3.2 million of Community Renewal Fund money for local projects. Reviewed On :25/01/2022	03/11/2021 Severe 40  Probability Almost Certain  Impact High 8		Severe 32  Probability Likely 4  Impact High 8	Significant 20  Probability Almost Certain 5  Impact Medium 4

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<b>Risk Description</b>							
<b>Corporate Priority</b>							
<b>Category</b>							
<b>Controls:</b>		<u>Ref</u>	<u>Control Description</u>		<u>Status</u>		<u>Owner</u>
		SG0003/001	Continue working in partnership with Hertfordshire LEP, Hertfordshire Growth Board and the economic resilience cell		In Progress / Taking Effect		Colin Haigh
		SG0003/002	Work effectively with LEP, District & Borough Councils to ensure the economic recovery / resilience plan work is taken forward		In Place / Embedded		Colin Haigh
		SG0003/003	Ensure there are regular updates to Members/stakeholders on the economic status and recovery in Hertfordshire		In Place / Embedded		Colin Haigh
		SG0003/004	Ensure Herts local government system is effective to support economic recover & support place-based recovery actions		In Place / Embedded		Colin Haigh
		SG0003/005	Develop & maintain dialogue with central government depts as necessary to inform and influence policy and funding decisions		In Place / Embedded		Colin Haigh
		SG0003/006	Support/ promote local investment/procurement, using the assistance of County Councils budgets /purchasing power		In Progress / Taking Effect		Colin Haigh

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SP0007 <i>Delivering our Vision</i>  <b>Current Category: Corporate &amp; Strategic Risk Register</b> <i>Current Type : Corporate</i>  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]	R30	Steven Pilsworth  Director of Finance	A pragmatic approach to supplier support is still being adopted, with requests for accelerated payment and requests for contract variations resulting from Covid considered on a case by case basis. Reviewed On :27/01/2022	<div style="background-color: red; color: white; padding: 5px; text-align: center;">Severe 32</div> <b>Probability</b> Unlikely 2  <b>Impact</b> Very High 16	↔	<div style="background-color: red; color: white; padding: 5px; text-align: center;">Severe 32</div> <b>Probability</b> Unlikely 2  <b>Impact</b> Very High 16	<div style="background-color: orange; padding: 5px; text-align: center;">Significant 16</div> <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>
		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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TEC0004 <i>Delivering our Vision</i>  <b>Current Category: Corporate &amp; Strategic Risk Register</b> <i>Current Type : Corporate</i>  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, malware, hacking or malicious internal action) on HCC's ICT environments causing significant service disruption and possible data loss.	R12	David Mansfield  Head of Technology	We are 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. It is becoming clearer that user behaviour is a key area of potential weakness i.e. susceptibility to malicious links/ content, not following security protocols. User awareness, cyber security training and vigilance are therefore important to maintain. We are initiating a Cyber Champions network of staff to work with front line colleagues to help improve our reach in this area. 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 target likelihood has been changed to 'possible'. Reviewed On :02/02/2022	<div style="background-color: red; color: white; padding: 5px; text-align: center;">Severe 32</div> <b>Probability</b> Likely 4 <b>Impact</b> High 8	↔	<div style="background-color: red; color: white; padding: 5px; text-align: center;">Severe 32</div> <b>Probability</b> Likely 4 <b>Impact</b> High 8	<div style="background-color: orange; padding: 5px; text-align: center;">Significant 24</div> <b>Probability</b> Possible 3 <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>
		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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Risk Ref Risk Description Corporate Priority Category	Short Code	Risk Owner	Progress Update	Previous Risk Score	Movement Direction	Current Risk Score	Target Risk Score
CS0019 <i>Delivering our Vision</i>  <b>Current Category: Corporate &amp; Strategic Risk Register</b> <i>Current Type : Strategic</i>  As a result of the pandemic, government delayed the multi-year spending review for another 12 months until Autumn 2021. There is the continued risk that the spending review could be delayed again or reduced government funding announced over the medium term as a consequence of the unprecedented government support issued during the pandemic. This reduction in funding may require an increase to the savings programme, which already is at a challenging level.	SR26	Scott Crudgington  Deputy Chief Executive and Executive Director of Resources	Although the Spending Round (SR) in Nov 2020 was positive and helped to balance the budget, it is only 1 year Government has delayed the SR again and has indicated the Fair Funding Review and Business Rates Retention scheme will be reviewed in the Autumn of 2021. In the back drop of the financial crisis the pandemic has caused there is an increased risk that overall funding could be taken from the sector, especially as other sectors (e.g. Health & Armed Forces) have received guaranteed levels of funding for a number of years. If the level of funding is not sufficient when announced, and the council is unable to identify adequate savings initiatives, there will be challenging decisions to be made and potentially within a limited time frame. The risk description has been edited slightly to reflect current circumstances. Following further consideration at Resources Management Board (25 Nov	25/11/2021 Severe 32  Probability Likely 4  Impact High 8		Significant 24  Probability Possible 3  Impact High 8	Significant 24  Probability Possible 3  Impact High 8

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			2021), the risk has now been reduced to its target score. Reviewed On :31/01/2022				
<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	Consideration of achievable levels of savings options ahead of the government announcement		In Progress / Taking Effect		Steven Pilsworth
		CS0019/005	Review the availability of reserves for use if a significant budget gap remains following the government announcement		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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CS0023 <i>Opportunity to enjoy healthy and safe lives</i>  <b>Current Category: Corporate &amp; Strategic Risk Register</b> <i>Current Type : Strategic</i>  As a result of Covid-19 and the ongoing possibility of further spikes, local outbreaks, and lockdowns, (e.g. including through non-compliance with National and Local advice, regulations and best practice) there is a significant threat of an economic downturn and/or an increase in demand/unavailability of staff. There is a risk that the planned response is insufficiently agile, flexible or resourced to undertake changes required to meet new, different and/or increased demand and expectations and maintain delivery of statutory and/or services relied upon by the public, causing potential harm, damage to reputation and financial impacts.	SR33	Owen Mapley  Chief Executive	Activity continues across the organisation in order to continue to respond to demands created by the pandemic and ongoing service delivery. A vision for how and where we work in the future has been developed (maximising the opportunity presented by changes in behaviours throughout the pandemic and retaining the things which worked exceptionally well pre pandemic). Through various engagement exercises staff indicating a level of acceptance and comfort in the future working model and workstream deliverables which will help to embed the change.  Offices are available for use in line with Govt guidance and our vision.  More widely we continue to monitor the ongoing demands of the pandemic and will move from response to recovery and back again as needed. A Covid Recovery strategy has been developed and the	04/11/2021 Severe 32  Probability Unlikely 2  Impact Very High 16	↓	Significant 24  Probability Possible 3  Impact High 8	Significant 16  Probability Unlikely 2  Impact High 8

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<b>Risk Ref</b> <b>Short Code</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>
		<p>final version approved at Cabinet and Full Council on 18th October.</p> <p>November-21 Score Change Update                      As a result of measures I have suggested a reduction in both the current and target impact scores to reflect that the future impacts of COVID whilst uncertain, are unlikely to be as significant.                      However the current likelihood rating has been increased to reflect the increasing/fluctuating rates of COVID numbers at this time.                      Reviewed On :27/01/2022</p>				

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<b>Controls:</b>					<u>Ref</u>	<u>Control Description</u>	<u>Status</u>	<u>Owner</u>		
	CS0023/001	Financial & commercial workstream in place monitoring financial impact of Covid on HCC, grants and general economic position.						In Progress / Taking Effect		Steven Pilsworth
	CS0023/002	Service specific response and recovery plans developed with due consideration of required and safe staffing levels						In Progress / Taking Effect		Anna Morrison
	CS0023/003	From lessons learned, modelling what a second peak would look like for all services						In Progress / Taking Effect		Anna Morrison
	CS0023/004	Services are considering pent up demand as part of recovery planning						In Progress / Taking Effect		Anna Morrison
	CS0023/005	Careful contract management and additional monitoring to consider potential contractor failure						In Progress / Taking Effect		Paul Drake
	CS0023/006	Review of business continuity plans to consider business impact assessments and planning for contractor failure						In Progress / Taking Effect		Owen Tomlinson
	CS0023/008	Develop, and implement as required, the Local Outbreak Plan						In Place / Embedded		Joanne Doggett

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CSF0070 <i>Opportunity for everyone to achieve their potential</i> <b>Current Category: Corporate &amp; Strategic Risk Register</b> <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.	SCS02	Simon Newland  Director, Education	Key control measures continue to be taken forward, including close oversight of the number and cost of expansions. Reviewed On :09/02/2022	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>
		CSF0070/005	Minimise the number of expansions undertaken by continually reviewing information management requirements		In Progress / Taking Effect		Simon Newland
		CSF0070/006	Ensure value for money in relation to build / project costs		In Progress / Taking Effect		Simon Newland
		CSF0070/007	Secure access to additional funding from DfE		In Progress / Taking Effect		Simon Newland



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CSF0082 <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 national and local efficiencies, there is a risk that partnership funding may be withdrawn or withheld.	CS03	Jo Fisher  Executive Director of Childrens 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 :27/01/2022	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>		<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	Jo Fisher		

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<p>CSF0088    CS07</p> <p><i>Opportunity for everyone to achieve their potential</i></p> <p><b>Current Category: Corporate &amp; Strategic Risk Register</b>  <i>Current Type : Corporate</i></p> <p>In the event that the rate of increase in the number of children and young people (CYP) with Education, Health and Care Plans (EHCP) continues, there is a significant risk that current levels of High Needs and HCC funding, specialist provision available including special school places, and the capacity of the workforce across the education, health and care system will be insufficient to meet the needs of Children &amp; Young People with SEND, leading to poorer outcomes for them, financial and reputational impacts.</p>	<p>Tony Fitzpatrick</p> <p>Interim Director, SEND and Inclusion</p>	<p>EHCP numbers are growing rapidly and are currently forecasted to grow by 82% between 2018 and 2023, equivalent to an additional 4669 CYP.</p> <p>Hertfordshire has a higher rate of growth compared to national and statistical neighbours.</p> <p>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.</p> <p>Hertfordshire is disadvantaged in the allocation of High Needs Funding, after a change to funding distribution Hertfordshire is now the 4th lowest funded authority (based on £ per 10k residents). The budget will increase by 8% next year, but demand continues to</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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		<p>increase (due to the numbers of EHCP's) resulting in a risk that the budget will not meet the total need demand, there is a significant risk in 2023/24 onwards.</p> <p>Work is continuing on all the key SEND Transformation (Strategy) workstreams. Deep dives are being undertaken by the SEND Strategy team to identify cost savings, different ways of working, improvements to systems and processes.</p> <p>Work continues to increase Specialist School places, support SEND CYP in mainstream schools and developing local support for CYP, parents and schools via the SEND strategy workstreams.</p> <p>A SEND Pathway review is in progress which will result in a more efficient and effective way of working for the statutory SEND service. This is due to be completed April 2022.</p>				

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		<p>In the interim, temporary staffing support is being implemented (via temporary funding) to enable teams to accelerate the review and provide additional capacity for the service to better manage increased demand.</p> <p>The new funding for children with SEND in mainstream schools is now fully implemented.</p> <p>We continue to liaise with Government on the need for increased and sustained funding for the high needs block.</p> <p>Reviewed On :26/01/2022</p>				

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<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		Tony Fitzpatrick
		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
		CSF0088/006				<u>Implement SEND Pathway review actions - develop capacity of SEND service and revise operations for more customer focus</u>		<u>In Progress / Taking Effect</u>		<u>Jennie Newman</u>
		CSF0088/007				<u>Improve early intervention, develop and implement system to enable schools to reduce the demand (need) for EHCPs.</u>		<u>In Progress / Taking Effect</u>		<u>Jennie Newman</u>
		CSF0088/008				<u>Changes to demand - timely updates to Specialist Provision Planning strategy - further provision for CYP with EHCPs in Herts</u>		<u>In Progress / Taking Effect</u>		<u>Jennie Newman</u>

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Risk Ref Risk Description Corporate Priority Category	Short Code	Risk Owner	Progress Update	Previous Risk Score	Movement Direction	Current Risk Score	Target Risk Score
CSHF0016 <i>Delivering our Vision</i>  <b>Current Category: Corporate &amp; Strategic Risk Register</b> <i>Current Type : Corporate</i>  The Council faces increasing financial deficits in future as increases in demand for, and cost (including inflationary pressures and reduced external funding streams) of, services outstrips increases in funding. The impact of COVID is likely to exacerbate the position, and there is increased uncertainty regarding future funding. Having successfully identified and delivered over £300m in savings since 2010, remaining efficiencies and initiatives to bring savings are both more complex and riskier to achieve. In this environment, there is a risk across the whole Integrated Planning (IP) period that the Authority is not able to develop sufficient and timely additional proposals to deal with these financial challenges, which may lead to unplanned reductions in service delivery and an inability to meet future demands. [Combined CSHF0016 and CS0020, noting CSHF0016 was formerly CSHF0005 and CSHF0015]	R17	Steven Pilsworth  Director of Finance	The financial impact of the pandemic on the Council financial position is still developing with the impact in future years expected to be significant. The financial monitoring for 2021/22 currently estimates a financial pressure in excess of the additional funding announced by Central Government. It is hoped the current level of unallocated contingency will be sufficient to achieve a balanced year end position. The financial impact on the collection and billing of local taxes is expected to create a severe funding deficit in 2022/23 and future years. The level of the deficit is very uncertain as it is too early to gauge the full impact on the national and local economy, and therefore the associated reduction in the amount of Council Tax and Business Rates which will be raised. Central Government has vowed to support the sector, but any additional funding will not be announced until late in the year. [CSHF0016 Reviewed	21/02/2022 Severe 32  Probability Unlikely 2  Impact Very High 16		Significant 24  Probability Possible 3  Impact High 8	Significant 24  Probability Possible 3  Impact High 8

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		<p>on 11/08/2021]                      CS0020                      The balanced budget currently proposed in the 2021 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.                      [CS0020 Reviewed on 11/08/2021]</p> <p>November 2021 additional update:                      The savings programme has been reported to SMB as at Q2. Any savings delayed or not being delivered have been reflected in the IP work which is progressing well. A second round of departmental challenge sessions and a joint SMB/Cabinet session are being undertaken on the IP in November. Further reporting and challenge will occur in December. [Reviewed on 15/11/2021]</p> <p>February 2022 update:                      The 2022 Draft IP has been reported to Cabinet with the final IP to be approved this</p>				

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		<p>month. Within the IP 2022/23 and 2023/24 are both balanced through the use of COVID-19 funding which is forecasted to be uncommitted in 2021/22. This is a short-term fix only with a systemic budget deficit needing to be closed in 2024/25. Reviewed On :02/02/2022</p> <p>February 2022 update: The 2022 Draft IP has been reported to Cabinet with the final IP to be approved this month. Within the IP 2022/23 and 2023/24 are both balanced through the use of COVID-19 funding which is forecasted to be uncommitted in 2021/22. As a result of the balanced budget in the short term, the risk has been reduced to target However, this is a short-term fix only with a systemic budget deficit needing to be closed in 2024/25. Reviewed On :02/02/2022</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 Place / Embedded		Steven Pilsworth
		CSHF0016/003	Ongoing discussions with NHS CCGs on funding with CCGs. Quarterly meetings with CCGs Chief Financial Officers to discuss.		In Place / Embedded		Jackie Albery
		CSHF0016/004	Monitor the impact of proposed changes to Education Funding to enable senior officers/members to make timely/informed decisions.		In Place / Embedded		Rachael Adler
		CSHF0016/006	Take account and anticipate changes through analysis of Government papers/announcement so management can make informed decisions		In Place / Embedded		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
		CSHF0016/010	Assess robustness of savings through the corporate finance team as part of the budget preparation		In Place / Embedded		Steven Pilsworth
		CSHF0016/011	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
		CSHF0016/012	Ensure overall delivery of savings is also reflected in the forecast outturn position		In Place / Embedded		Steven Pilsworth

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		CSHF0016/009	Manage the Delivering Transformation Programme to support the delivery of innovation and efficiencies		In Progress / Taking Effect		Scott Crudgington
		CSHF0016/013	CP working closely with Finance and Property to secure funding to ensure the HFRS assets are fit for purpose		In Progress / Taking Effect		Alex Woodman
ENV0162 <i>Opportunity to live in thriving communities</i>	SE09	Simon Aries	Waterdale transfer station remains under pressure with a high number of vehicle movements. Although the contractor has made some progress in obtaining drivers for onward transfer of waste. Driver shortage remains a problem nationally and remains a risk. Planning permission needs to be secured for the shredding building on the land adjacent to Waterdale transfer station before construction can commence. Pre-planning consultation work has been undertaken and a planning application is due to be submitted late March 2022. A planning application for the Eastern Transfer Station (ETS) was submitted in December 2021. The risk score remains the same at this time. Reviewed On :24/01/2022	Significant 24  Probability Possible 3  Impact High 8	↔	Significant 24  Probability Possible 3  Impact High 8	Material 8  Probability Unlikely 2  Impact Medium 4
<b>Current Category: Corporate &amp; Strategic Risk Register</b> <i>Current Type : Strategic</i>		Director - Transport, Waste & Environment Management					
<p>In the event of the lack of a robust network of infrastructure to manage residual Local Authority Collected Waste (LACW) efficiently and effectively, there is a risk that there will be delays in the efficient waste disposal/treatment of LACW, a risk of increased costs of waste transfer to the Council, and associated increased costs to the Districts and Boroughs, which may ultimately lead to the council being unable to fulfil its duties under Section 51 of the Environmental Protection Act 1990 to dispose of the LACW in Hertfordshire.</p>							

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<b>Controls:</b>		<u>Ref</u>	<u>Control Description</u>		<u>Status</u>		<u>Owner</u>
		ENV0162/001	Development of new Waste Transfer Stations		In Progress / Taking Effect		Matthew King
		ENV0162/002	Ensure effective procurement of waste treatment/disposal contracts		In Progress / Taking Effect		Matthew King
		ENV0162/003	Undertake improvements to Waterdale Waste Transfer Station		In Progress / Taking Effect		Matthew King
		ENV0162/004	Ensure effective contract management of Transfer Station contracts		In Progress / Taking Effect		Matthew King
		ENV0162/005	Undertake expansion of the existing facility		In Progress / Taking Effect		Matthew King

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IMP0001 <i>Delivering our Vision</i>  <b>Current Category: Corporate &amp; Strategic Risk Register</b> <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]	R13	Simon Banks  Assistant Chief Legal Officer	No score change at this time. There has been a significant increase in the volumes of work in Information Governance Teams including volume and complexity of the subject access requests and risks around handling of special category personal data. It has been necessary to develop a recovery plan to manage the increase in work volumes; it is anticipated that it will take a number of months to be able to bring pressures under control. Risks will remain high whilst the recovery plan is being delivered Reviewed On :01/02/2022	<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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Risk Ref	Short Code	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>
		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. Part of compulsory biennial repeat programme. Monitored		In Place / Embedded		Simon Banks
		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		Simon Banks
		IMP0001/021				A common data sharing framework is in place and respective agreements reviewed and updated on a regular basis		In Place / Embedded		Simon Banks
		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		Simon Banks
		IMP0001/028				Embed good practice and compliance with the General Data Protection Regulation following implementation of the HCC Action Plan		In Progress / Taking Effect		Simon Banks

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<b>Risk Ref</b> <b>Short Code</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>
<p>PROP0023    SR21 <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>Herts Living Limited is collaborating with Chalkdene to maximise returns on our land and assets. In the event of delays to the allocation of sites, 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) Head of Estates &amp; Director of Herts Living Limited</p>	<p>Risk and control measures have been reviewed and an additional control measure has been added with a target risk date of the end of July 2022. Shareholder response to Strategic Review of HLL is imminent. Reviewed On :19/01/2022</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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Risk Ref	Short Code	Risk Owner	Progress Update	Previous Risk Score	Movement Direction	Current Risk Score	Target Risk Score
<b>Risk Description</b>							
<b>Corporate Priority</b>							
<b>Category</b>							
<b>Controls:</b>		<b>Ref</b>	<b>Control Description</b>	<b>Status</b>	<b>Owner</b>		
		PROP0023/001	Herts Living Ltd Board of Directors to ensure governance.	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	Emily White		
		PROP0023/003	Take advantage of sale opportunities such as unsolicited approaches where possible subject to procurement rules being followed	In Place / Embedded	Emily White		
		PROP0023/004	Work with Finance & disposal teams to deliver an acceptable capital receipt programme & the receipts from HLL and the SJV	In Place / Embedded	Emily White		
		PROP0023/007	Continue to identify pipeline surplus sites/assets and develop these to maximise the potential capital receipt and profit.	In Place / Embedded	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 Place / Embedded	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 Place / Embedded	Emily White		
		PROP0023/011	Capacity development of HLL to ensure they are in a better position to deliver medium/large scale future developments	In Progress / Taking Effect	Mike Evans (Herts Living Limited)		

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<b>Risk Ref</b> <b>Short Code</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>
<p>RPHS0001    R32</p> <p><i>Opportunity to enjoy healthy and safe lives</i></p> <p><b>Current Category:</b> <i>Corporate &amp; Strategic Risk Register</i></p> <p><i>Current Type : Corporate</i></p> <p>In the event of H&amp;S management failures (including the potential to not provide timely and accurate advice and support regarding Covid-19 responses), there is a risk of a significant incident resulting in major illness or injury to staff or members of the public. This may result in significant enforcement action from the HSE, reputational and other impacts. (formerly SERM0003)</p>	<p>Chris Wood</p> <p>Head of Assurance Services</p>	<p>Risk and controls reviewed. The target score for this risk was previously adjusted to align with current score. This maintains the risk's "Accept" status after the current score was increased in October 2020, (with the impact being increased from medium to high). In consultation with the Head of Health &amp; Safety, the risk owner has considered whether the score should change, but after careful deliberation, has determined it should remain unchanged.</p> <p>The impact score is already at 'high' and that's not changed in terms of potential outcomes and losses and from the evidence found the likelihood at 'possible' i.e. that it isn't believed a breach is likely to occur, remains accurate.</p> <p>Reviewed On :28/01/2022</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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Risk Ref	Short Code	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>
		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 [I-learn, face to face, schools training via Hfl CPD]		In Place / Embedded		James Ottery
		RPHS0001/005				Risk based Health and Safety audit programme where HCC remains the dutyholder [Schools/Non Schools]		In Place / Embedded		James Ottery
		RPHS0001/006				Support and training available for H&S co-ordinators across the organisation; regular meetings, yammer group etc..		In Place / Embedded		James Ottery
		RPHS0001/007				Provision of competent H&S advice - Guidance, information, model risk assessments etc.		In Place / Embedded		James Ottery
		RPHS0001/008				Continued consultation with trade unions and ensuring H&S committee (schools / non schools) meet regularly		In Place / Embedded		James Ottery
		RPHS0001/009				Provide advice, work with Recovery Team and undertake risk assessments and enable 'Covid-secure' work-places		In Progress / Taking Effect		James Ottery

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Risk Ref Risk Description Corporate Priority Category	Short Code	Risk Owner	Progress Update	Previous Risk Score	Movement Direction	Current Risk Score	Target Risk Score
SG0004 <i>Opportunity to live in thriving communities</i>  <b>Current Category: Corporate &amp; Strategic Risk Register</b> <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. [Formerly ENV0142/E01]	SG04	Patsy Dell  Executive Director of Sustainable Growth	Ash dieback (ADB) on mapped ash trees (those in high risk areas) has continued to increase. • Records of ADB on Highways-managed ash increased 36% since this quarter and is currently present on 7% of Highways-managed ash. • Records of ADB on Property-managed ash increased 20% since this quarter and is currently present on 1% of Property-managed ash. Further increases are likely across the HCC estate as the continuous three yearly tree inspection cycle continues. ADB across the HCC estate is at a relatively early stage of progression with 86% of ash trees with ADB showing less than 25% crown dieback. Reviewed On :24/01/2022	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	Short Code	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>
		SG0004/002	Based on Highways tree inventory, establish oak/ash tree populations and proportion experiencing OPM/ADB		In Progress / Taking Effect		Chris Jackson
		SG0004/003	Monitoring of the national and local tree health situation and specialist advice to feed into plans and actions		In Progress / Taking Effect		Tony Bradford
		SG0004/005	Collaborating with national government to influence policy change and develop best practice guidance relating to tree health.		In Progress / Taking Effect		Patsy Dell
		SG0004/006	Monitor the financial pressures and secure resources through the Integrated Planning Process where appropriate.		In Place / Embedded		Patsy Dell
		SG0004/007	Based on Property tree inventory, establish oak/ash tree populations, proportion experiencing OPM/ADB, associated costs		In Progress / Taking Effect		Michael Cunningham
		SG0004/008	Engage partners to develop a county-wide approach to deliver a proportionate response to tree health threats incl. restoration.		In Progress / Taking Effect		Tony Bradford
		SG0004/012	Ensure all relevant departments in the county council have appropriate tree risk policies and procedures in place		In Progress / Taking Effect		Patsy Dell
		SG0004/013	Development of a plant procurement protocol for HCC		In Progress / Taking Effect		Tony Bradford

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SAFS0001 <i>Delivering our Vision</i>  <b>Current Category: Corporate &amp; Strategic Risk Register</b> <i>Current Type : Corporate</i>  As a result of the scale and scope of services delivered by and through the county council, there is a significant risk of fraud, including Covid-19 related fraud, money laundering, tax evasion or bribery, which could lead to service disruption, financial and reputational loss. This fraud risk includes, but is not limited to, areas specifically recognised by CIPFA/LGA/CIFAS: 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/damages claims Contract or procurement fraud Grant or support fraud Mandate or cyber-enabled fraud	R08	Chris Wood  Head of Assurance Services	'Fraud & Corruption' can manifest itself in a variety of ways being committed by partners that we work with, our service users or their representatives, our own staff or elected members, and other threat actors who will target the council, its staff, its resources and its other 'assets'. As part of the council's anti-fraud arrangements new policies and processes have been adopted which embed the 'philosophy' of the 5 Pillars (Protect-Govern-Acknowledge-Prevent-Pursue) mentioned in the Fighting Fraud and Corruption Locally- A Strategy for the 2020s published in 2021 by LGA/CIPFA/CIFAS. These Pillars provide themes that, if followed, provide assurance about the understanding of fraud risks and activity to manage the level of risk. These pillars are now reflected by the consolidated controls for this risk. However, HCC is an organisation that cannot pick	Significant 20  Probability Almost Certain  Impact Medium 4	↔	Significant 20  Probability Almost Certain  Impact Medium 4	Significant 20  Probability Almost Certain 5  Impact Medium 4

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[Formerly AUDIT0001]		& choose its customers or, sometimes, the organisations it works with. It is at risk of external fraud as it has to communicate with residents and provide transparency in its operations. The council has statutory duties to provide services to its residents and, unlike other sectors such as banking/ insurance/ finance, cannot decline to provide these services. These factors all combine to make the council a target for fraudsters as well as organised crime, it has to accept that fraud will occur and its response must be to reduce the risk as far as possible, proportionately and within available resources, whilst still delivering its services, and respond to fraud and corruption robustly when it does occur. Reviewed On :02/02/2022				

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<b>Controls:</b>		<u>Ref</u>	<u>Control Description</u>		<u>Status</u>		<u>Owner</u>
		<u>SAFS0001/022</u>	<u>Govern: have robust arrangements, exec support to ensure anti-fraud, bribery &amp; corruption measures are embedded throughout HCC</u>		<u>In Progress / Taking Effect</u>		<u>Chris Wood</u>
		<u>SAFS0001/023</u>	<u>Acknowledge: understand fraud &amp; corruption risks, communicate and tackle them; commit right support, demonstrate robust response</u>		<u>In Progress / Taking Effect</u>		<u>Chris Wood</u>
		<u>SAFS0001/024</u>	<u>Prevent: make best use of info &amp; tech; enhance fraud controls; develop a more anti-fraud culture; communicate activity, success</u>		<u>In Progress / Taking Effect</u>		<u>Chris Wood</u>
		<u>SAFS0001/025</u>	<u>Pursue: prioritise fraud recovery and use of civil sanctions; develop capability and capacity to punish offenders</u>		<u>In Progress / Taking Effect</u>		<u>Chris Wood</u>
		<u>SAFS0001/026</u>	<u>Pursue: collaborate across geographical and sectoral boundaries; learn lessons and close the gaps</u>		<u>In Progress / Taking Effect</u>		<u>Chris Wood</u>
		<u>SAFS0001/027</u>	<u>Protecting HCC and residents: recognising harm that fraud can cause in the community; protecting itself and residents from fraud</u>		<u>In Progress / Taking Effect</u>		<u>Chris Wood</u>

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ACSD0001 <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]	AC14	Chris Badger  Executive Director of Adult Care Services	Risk reviewed by Risk Owner in October 2021. Risk wording and scores to remain the same. COVID-19 Care Act easements provided for by government legislation did not need to be enacted in Hertfordshire, comprehensive support package for care providers and significant inflationary uplifts have been agreed. Care Act easement has expired and normal legislative framework is now in place. Reviewed On :09/11/2021	Significant 16  Probability Unlikely 2  Impact High 8	↔	Significant 16  Probability Unlikely 2  Impact High 8	Significant 16  Probability Unlikely 2  Impact High 8
<b>Controls:</b>							
		<b>Ref</b>	<b>Control Description</b>		<b>Status</b>		<b>Owner</b>
		ACSD0001/002	Legal Surgeries to take place quarterly		In Place / Embedded		Chris Badger
		ACSD0001/004	Principal Social Worker Appointment - attends board and meetings with Director		In Place / Embedded		Chris Badger
		ACSD0001/007	ACS Board oversight quarterly		In Place / Embedded		Chris Badger
		ACSD0001/008	Practice Audits by Principal Social Worker		In Place / Embedded		Chris Badger
		ACSD0001/009	Market Oversight & Quality Group		In Place / Embedded		Chris Badger

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<b>Risk Ref    Short Code</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>
<p>ACSDMH0002 AC13</p> <p><i>Opportunity to enjoy healthy and safe lives</i></p> <p><b>Current Category: Corporate &amp; Strategic Risk Register</b></p> <p><i>Current Type : Corporate</i></p> <p>In the event of inadequate or inappropriate safeguarding arrangements, a vulnerable person at risk of harm is not identified or protected appropriately which may result in harm. [replacing ref: HCS0018]</p>	<p>Mark Harvey</p> <p>Operations Director, Adult Disability and Mental Health</p>	<p>Risk reviewed by Risk Owner in October 2021. Risk wording and scores to remain the same.</p> <p>Referral figures continue to increase but not to pre COVID-19 levels</p> <p>Resourcing level and new staffing structures agreed and new project manager in place with funding agreed.</p> <p>Recruitment well under way to increase size of safeguarding team, most additional posts recruited to. Programme Board running for quarterly joint chaired by Directors of Operations, revised models and operating processes agreed and implemented.</p> <p>New online portal now live for all agencies giving direct access referrals into the teams.</p> <p>Additional resource to cover safeguarding enquires triggered by acute hospitals to cover reassurance that nothing is being missed.</p> <p>Reviewed On :27/10/2021</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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Risk Ref	Short Code	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>
		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				Practice 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		Complete		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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CP0004 <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 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.	CP02	Alex Woodman  Executive Director of Community Protection & Chief Fire Officer	The HCC Prevent Board and Multi-Agency Prevent Board (MAPB) have now merged (as of Dec 2021) to improve collaboration and understanding between internal and external Prevent Leads and avoid duplication. Actions from MAPB and Channel Assurance Statement are being well managed by relevant partners and a new Situational Risk Assessment (provided by the Home Office) is being introduced to the MAPB once we have agreed a data release approach with ERSOU CTP. We have been privileged to have Extremism Analysis Unit (Home Office) come and deliver a briefing on a group that we in Herts identified that was unknown to the government. We are also undergoing a review in governance – AW and I will be deciding on suitable oversight and scrutiny, including political. Reviewed On :16/02/2022	Significant 16  Probability Unlikely 2  Impact High 8	↔	Significant 16  Probability Unlikely 2  Impact High 8	Significant 16  Probability Unlikely 2  Impact High 8

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Risk Ref	Short Code	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>
	CP0004/002	Prevent Board to develop and regularly review progress of the Prevent action plan						In Progress / Taking Effect		Alex Woodman
	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		Alex Woodman
	CP0004/005	Development and implementation of appropriate training to meet the requirements of the HCC Prevent action plan.						In Progress / Taking Effect		Alex Woodman
	CP0004/006	Collaboration with partners (incl schools) to coordinate Prevent activities						In Progress / Taking Effect		Alex Woodman
	CP0004/008	An official 56 page Prevent Duty Toolkit for Local Authorities and Partner Agencies has been produced.						In Progress / Taking Effect		Alex Woodman

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<b>Risk Ref    Short Code</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>
<p>CPRES0001    CP04 <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>Andy Hopcraft</p> <p>Assistant Chief Fire Officer (Response, Resilience &amp; Prevention)</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 executive group is chaired by the CFO with the ACFO vice chair of the management group. The executive and management group are currently reviewing the major incident framework and anticipate that this will be completed in April'22. Reviewed On :26/01/2022</p>	<p><b>Significant</b> 16</p> <p><b>Probability</b> Rare 1</p> <p><b>Impact</b> Very High 16</p>	<p>↔</p>	<p><b>Significant</b> 16</p> <p><b>Probability</b> Rare 1</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>

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<b>Risk Description</b>							
<b>Corporate Priority</b>							
<b>Category</b>							
<b>Controls:</b>		<u>Ref</u>	<u>Control Description</u>		<u>Status</u>		<u>Owner</u>
		CPRES0001/001	Regular review of the LRF's strategic aim and annual objectives to ensure that key priorities and areas of concern are addressed		In Place / Embedded		Owen Tomlinson
		CPRES0001/002	HCC an active participant in LRF activity		In Place / Embedded		Owen Tomlinson
		CPRES0001/003	Annual training programme directly supporting the LRF's annual objectives and risk priorities.		In Place / Embedded		Owen Tomlinson
		CPRES0001/006	Regular review of the Herts Risk Register in order to prioritise risks and threats.		In Place / Embedded		Owen Tomlinson
		CPRES0001/007	Process in place to ensure that multi-agency plans are fit for purpose		In Place / Embedded		Owen Tomlinson

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<b>Risk Ref    Short Code</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>
<p>CPRES0002    CP05 <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 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>Andy Hopcraft</p> <p>Assistant Chief Fire Officer (Response, Resilience &amp; Prevention)</p>	<p>Business as usual activity in relation to resilience severely disrupted due to the ongoing response to Covid-19. During this period the response to Covid-19, EU Transition and disruption to fuel have all shown the importance of being able to review critical functions and adapt service delivery to the given situation. Business continuity plans have stood up well across HCC and internal command structures, such as the Incident Management Team, have performed effectively. It is important that any learning from these recent experiences as well as adaptation to new ways of HCC working are addressed. Reviewed On :26/01/2022</p>	<p><b>Significant</b> 16</p> <p><b>Probability</b> Rare 1</p> <p><b>Impact</b> Very High 16</p>	<p>↔</p>	<p><b>Significant</b> 16</p> <p><b>Probability</b> Rare 1</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>

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<b>Controls:</b>		<u>Ref</u>	<u>Control Description</u>	<u>Status</u>	<u>Owner</u>		
		CPRES0002/001	Business continuity plans in place covering all departments/service areas and key locations.	In Place / Embedded	Owen Tomlinson		
		CPRES0002/002	Preparedness in terms of business continuity plans, training and exercising regularly reported via Resilience Board.	In Place / Embedded	Owen Tomlinson		
		CPRES0002/003	Prioritised work programme to ensure focus on key areas where vulnerability is greater.	In Progress / Taking Effect	Owen Tomlinson		
		CPRES0002/006	Monitor plant failure risk (PROP0004) for any BCP implications	In Progress / Taking Effect	Michael Cunningham		

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<b>Risk Ref</b> <b>Short Code</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>
<p><b><u>CS0026</u></b>    <b>SR36</b>    Created Date: 05/11/2021</p> <p><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>In the event of shortages, rationing and increasing costs of construction materials and labour plus government restrictions on travel there is a risk of construction projects exceeding estimated costs, taking longer to complete, or having to change specifications to reflect material availability and cost. This may lead to failure to deliver against the Corporate Plan and contradict predicted savings and anticipated funding requirements within the IP, a negative impact on the capital programme, impacts on service provision across the Council, increased revenue costs and pressure on resources. [formerly PROP0032]</p>	<p>Scott Crudgington</p> <p>Deputy Chief Executive and Executive Director of Resources</p>	<p>Risk and control measures have been reviewed. No change to target or risk scores. Some control measures may change to be embedded/in place by the next review.</p> <p>Reviewed On :21/01/2022</p>	<p>05/11/2021 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>Manageable 4</p> <p><b>Probability</b> Unlikely 2</p> <p><b>Impact</b> Low 2</p>



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<b>Controls:</b>		<u>Ref</u>	<u>Control Description</u>		<u>Status</u>		<u>Owner</u>
		<u>CS0026/001</u>	<u>Ensure sufficient contingency to allow for increased materials costs included and regularly reviewed during construction</u>		<u>In Progress / Taking Effect</u>		<u>Jackie Aldridge</u>
		<u>CS0026/002</u>	<u>Undertake additional feasibility to ensure cost certainty</u>		<u>In Progress / Taking Effect</u>		<u>Jackie Aldridge</u>
		<u>CS0026/003</u>	<u>Undertake soft market testing</u>		<u>In Progress / Taking Effect</u>		<u>Jackie Aldridge</u>
		<u>CS0026/004</u>	<u>Use independent cost consultants to validate pricing</u>		<u>In Progress / Taking Effect</u>		<u>Jackie Aldridge</u>
		<u>CS0026/005</u>	<u>Continue to have regular programme reviews with relevant service teams</u>		<u>In Progress / Taking Effect</u>		<u>Jackie Aldridge</u>
		<u>CS0026/006</u>	<u>Use options appraisals to support cost certainty</u>		<u>In Progress / Taking Effect</u>		<u>Jackie Aldridge</u>
		<u>CS0026/007</u>	<u>Maintain awareness of and react to changes to government guidelines / policy that would affect this risk</u>		<u>In Progress / Taking Effect</u>		<u>Jackie Aldridge</u>

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ENV0163 <i>Opportunity to live in thriving communities</i>  <b>Current Category: Corporate &amp; Strategic Risk Register</b> <i>Current Type : Strategic</i>  In the event of there being changes in the highway's market there is a risk that either HCC won't be able to attract the right level of interest from external partners to deliver its highway services beyond 2024 or the costs of future service delivery will exceed the level of funding currently available, allowing for annual inflation.	SE10	Steve Johnson  Business Manager - Contracts and Networks	This is a major risk associated with the procurement of the future highways service which will come into operation on 1st October 2024. The main market issues that could affect the procurement of the future highways service are: 1. The number of providers is reducing; 2. Contractors are becoming more selective in what they are bidding for; 3. A number of other local authorities are going to the market in advance of HCC which could lead to market fatigue; 4. The level of infrastructure investment both nationally and internationally at present is putting increasing demand on plant, labour and materials which is driving prices up. (Reviewed 11/11/2021)  The risk has been reviewed and remains relevant. Construction inflation continues to be a challenge with increasing prices. It is uncertain at this stage exactly how this will be	<b>Significant</b> 16  <b>Probability</b> Likely 4  <b>Impact</b> Medium 4	↔	<b>Significant</b> 16  <b>Probability</b> Likely 4  <b>Impact</b> Medium 4	<b>Material</b> 6  <b>Probability</b> Possible 3  <b>Impact</b> Low 2

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			reflected in the 2024 procurement but it is anticipated that prices/costs will increase from where they are now. (Updated 16/02/2022) Reviewed On :16/02/2022				
<b>Controls:</b>		<b>Ref</b>	<b>Control Description</b>		<b>Status</b>		<b>Owner</b>
		ENV0163/001	Regular monitoring of market conditions and trends to establish extent of any risk		Proposed		Steve Johnson
		ENV0163/002	Soft market testing of future proposes to gauge market interest.		Proposed		Steve Johnson
		ENV0163/003	Engagement with similar highway authorities on any recent lessons learnt		Proposed		Steve Johnson
		ENV0163/004	Design service to align with available resource		Proposed		Steve Johnson

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HFRS0004 <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 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.	CP06	Mark Barber  Assistant Chief Fire Officer (Service Support)	The 2021 Annual Training Plan (ATP) is being implemented and the 2022 ATP and Course Initiation Documents are scheduled to be presented to the CPD Strategic Operations and Training Board (SOTB) for sign off in February.  Apprentice firefighter gateway assessment continue to be an area of success for the service with 100% of the recent submissions passing external scrutiny. Reviewed On :28/01/2022	Significant 16  Probability Unlikely 2  Impact High 8	↔	Significant 16  Probability Unlikely 2  Impact High 8	Significant 16  Probability Unlikely 2  Impact High 8
<b>Controls:</b>							
		<b>Ref</b>	<b>Control Description</b>		<b>Status</b>		<b>Owner</b>
		HFRS0004/001	Review and monitor the Integrated Personal Development System to ensure National training requirements are being met.		In Place / Embedded		Mark Barber
		HFRS0004/002	Station Audit Process		In Place / Embedded		Andy Hall
		HFRS0004/004	Feedback from standard meetings informs improvements in equipment, technique and performance to drive the Service forward		In Place / Embedded		Mark Barber
		HFRS0004/005	CPD's Strategic Operations and Training Board (SOTB) have signed off the Services 2020 Annual Training Plan.		In Place / Embedded		Mark Barber

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HFRS0022 <i>Opportunity to enjoy healthy and safe lives</i>  <b>Current Category: Corporate &amp; Strategic Risk Register</b> <i>Current Type : Strategic</i>  There is a risk that the loss of adequate training facilities compromises the ability of the service to train and maintain the competences of operational staff	SCP10	Alex Woodman  Executive Director of Community Protection & Chief Fire Officer	Continuing to explore other potential suitable/alternative sites for new training centre. In the meantime the Service has continued to invest in existing facilities including live fire training. Reviewed On :27/01/2022	Significant 16  Probability Unlikely 2  Impact High 8	↔	Significant 16  Probability Unlikely 2  Impact High 8	Material 8  Probability Unlikely 2  Impact Medium 4
<b>Controls:</b>							
		<b>Ref</b>	<b>Control Description</b>		<b>Status</b>		<b>Owner</b>
		HFRS0022/001	Development of contingency / business continuity plans		Complete		Mark Barber
		HFRS0022/002	Outsourcing training to a third party		Complete		Mark Barber
		HFRS0022/003	Increased use of peripatetic training teams delivering training on station		Complete		Mark Barber
		HFRS0022/004	Undertake programme to develop plans for re-development of Joint Emergency Services Academy (JESA) at Longfield		In Progress / Taking Effect		Jackie Aldridge

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HR0018 <i>Delivering our Vision</i>  <b>Current Category: Corporate &amp; Strategic Risk Register</b> <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.	R07	Sally Hopper  Director of Human Resources	Mandatory I-learn modules have been reviewed in light of ICO audit, with new 'refresher' periods being introduced alongside a new ways of working module. Responsibility for Service specific training sits with Children's Services, Adult Care Services, Fire and Rescue Learning & Development (L&D) Teams. L&D Managers group meet quarterly to share best practice. Reviewed on 24/01/2022 Reviewed On :24/01/2022	Significant 16  Probability Unlikely 2  Impact High 8	↔	Significant 16  Probability Unlikely 2  Impact High 8	Significant 16  Probability Unlikely 2  Impact High 8

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<b>Controls:</b>		<u>Ref</u>	<u>Control Description</u>		<u>Status</u>		<u>Owner</u>
		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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PROP0030 <i>Opportunity to enjoy healthy and safe lives</i>  <b>Current Category: Corporate &amp; Strategic Risk Register</b> <i>Current Type : Corporate</i>  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 and missed or incomplete building checks) 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.	R25	Sass Pledger  Director Property	Risk and controls measures have been reviewed and updated. No change to current or target risk scores. All control measures continue to mitigate this risk. Reviewed On :07/02/2022	<div style="background-color: #f4a460; padding: 5px; text-align: center;">Significant 16</div> <b>Probability</b> Rare 1  <b>Impact</b> Very High 16	↔	<div style="background-color: #f4a460; padding: 5px; text-align: center;">Significant 16</div> <b>Probability</b> Rare 1  <b>Impact</b> Very High 16	<div style="background-color: #f4a460; padding: 5px; text-align: center;">Significant 16</div> <b>Probability</b> Rare 1  <b>Impact</b> Very High 16



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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 Place / Embedded		James Heslam
		PROP0030/002	Check compliance as per relevant management regimes; subject to nature of occupation, staffing, contractual/property records		In Place / Embedded		James Heslam
		PROP0030/003	Works and/or identified improvements are carried out/implemented within a reasonable time frame		In Place / Embedded		James Heslam
		PROP0030/004	Operational measures are in place at each location such as testing of fire alarms and fire drills		In Place / Embedded		James Heslam
		PROP0030/005	Ensure staff are trained on fire evacuation procedures		In Place / Embedded		James Heslam
		PROP0030/006	Fixed wiring tests completed every 5 years and any requirements are acted upon ASAP (dependent on severity)		In Place / Embedded		James Heslam
		PROP0030/007	Water management programmes in place and reviewed to ensure they are up to date and regular testing is undertaken		In Place / Embedded		James Heslam
		PROP0030/009	Use intelligence and information from HCC's Health & Safety Manager to ensure periodic audits are carried out as required		In Place / Embedded		James Heslam
		PROP0030/010	Ensure property database provides a framework for determining planned maintenance programme.		In Place / Embedded		James Heslam
		PROP0030/011	Ensure Hazards can be reported by staff & contractors to the Ask Us Helpdesk for investigation & action		In Place / Embedded		James Heslam

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		PROP0030/012	HCC manage a contract for all planned & reactive maintenance on centrally managed property		In Place / Embedded		James Heslam
		PROP0030/013	Ensure an effective process is maintained for all contractors to use the Permit to Work system on site		In Place / Embedded		James Heslam
		PROP0030/014	Ensure Asbestos re-survey programme continues.		In Place / Embedded		James Heslam
		PROP0030/015	To ensure effective management of hazards; policies and training are in place for site managers and are reviewed annually		In Place / Embedded		James Heslam
		PROP0030/016	Ensure water & Fire Risk Assessments in place which are reviewed and audited		In Place / Embedded		James Heslam
HFRS0019 <i>Delivering our Vision</i>	SCP09	Gus Cuthbert  Deputy Chief Fire Officer	Procurement of trial vehicles is now complete although build time and delivery slot for one is still causing delays. The delivery of all IRMP proposals remain on track within the current IRMP timeframe. Improved project management and robust oversight continue to support this work. Reviewed On :26/01/2022	Significant 12  Probability Possible 3  Impact Medium 4	↔	Significant 12  Probability Possible 3  Impact Medium 4	Significant 12  Probability Possible 3  Impact Medium 4
<b>Current Category: Corporate &amp; Strategic Risk Register</b> <i>Current Type : Strategic</i>							
There is a risk that failure to deliver or make sufficient progress on one or more IRMP proposals compromises or adversely impacts on other important proposals set out in the IRMP							

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<b>Controls:</b>		<b>Ref</b>	<b>Control Description</b>	<b>Status</b>	<b>Owner</b>		
		HFRS0019/001	Development of robust governance arrangements to support IRMP, including dedicated risk registers	In Progress / Taking Effect	Andrew Esson		
		HFRS0019/002	PMO support for the IRMP Programme	In Progress / Taking Effect	Andrew Esson		
PROP0018	R15	Emily White	This risks and its controls have been reviewed in January 2022 and no further changes have been made. All control actions are embedded/in place and target score has been met. Reviewed On :20/01/2022	<div style="background-color: #f4a460; padding: 5px; text-align: center;">Significant 12</div> Probability Possible 3  Impact Medium 4	↔	<div style="background-color: #f4a460; padding: 5px; text-align: center;">Significant 12</div> Probability Possible 3  Impact Medium 4	<div style="background-color: #f4a460; padding: 5px; text-align: center;">Significant 12</div> Probability Possible 3  Impact Medium 4
<i>Opportunity to enjoy healthy and safe lives</i>  <b>Current Category: Corporate &amp; Strategic Risk Register</b> Current Type : Corporate		Head of Strategic Asset Mgmt & Estates					
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&S incident to persons or property or some financial impact which could give rise to H&SE action and/or a liability claim.							

# Full CSRR Movement report at February 2022 For March 2022 Audit Committee



Report Date: 24/02/2022

Date of Previous Risk Score: 02/09/2021

Notes: References highlighted **Purple** have been added since the 02/09/2021.

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

Previous Risk Score shows rating, profile, probability and impact prior to the Current Risk Score

Risk Ref Risk Description Corporate Priority Category	Short Code	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>
		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 and review out of use land and property management processes regularly to ensure they are managed appropriately.		In Place / Embedded		Emily White
PHD0014 <i>Opportunity to enjoy healthy and safe lives</i>	PH01	Jim McManus  Executive Director of Public Health	The multiagency response to COVID continues to flex to meet the changing guidance and demands in the system. Regular SCG and other cell meetings has provided assurance that appropriate response measures are in place. Reviewed On :24/01/2022	<b>Material</b> 8	↔	<b>Material</b> 8	<b>Material</b> 8
<b>Current Category: Corporate &amp; Strategic Risk Register</b> <i>Current Type : Corporate</i>				<b>Probability</b> Rare 1		<b>Probability</b> Rare 1	<b>Probability</b> Rare 1
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				<b>Impact</b> High 8		<b>Impact</b> High 8	<b>Impact</b> High 8

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Risk Ref	Short Code	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>
		PHD0014/007				Resilience Team has contact details for staff to attend a Health Protection IMT meeting (see detail)		In Place / Embedded		Alison Hardy
		PHD0014/008				All Consultants in Public Health could deputise at a health protection IMT if required to do so		In Place / Embedded		Geraldine Bruce
		PHD0014/009				Public Health has access to care home incident monitoring for information purposes (Permission given by CCGs)		In Place / Embedded		Robin Trevillion
		PHD0014/010				All health protection incidents where an HCC IMT has been called are reported to the PH Assurance & Governance Group		In Place / Embedded		Geraldine Bruce
		PHD0014/011				Health Protection Board and SCG monitor and provide assurance that appropriate response is being taken		In Place / Embedded		Jim McManus
		PHD0014/012				Local Outbreak Plan sets out multiagency response and assurance structures for COVID-19		In Place / Embedded		Jim McManus
		PHD0014/013				<u>New Head of PH Emergency Response and staff structure in place to respond to health protection emergencies</u>		<u>In Place / Embedded</u>		<u>Sarah Perman</u>

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<b>Risk Ref</b> <b>Short Code</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>

Report Selection Criteria

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