

Full CSRR Movement report at 11 November 2022 For November 2022 Audit Committee



Report Date: 11/11/2022

Date of Previous Risk Score: 13/09/2022

Notes: References highlighted **Purple** have been added since the 13/09/2022.

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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
ACSD0005 <i>Excellent Council Services For All</i> Current Category: Corporate & Strategic Risk Register <i>Current Type : Corporate</i> As a result of social care reforms and other major system wide changes impacting on Adult Care Services there is a risk that there will be a severe funding gap and lack of capacity in both staffing (social workers and financial assessors) and budgets leading to a failure to implement reforms and other significant system wide changes successfully leading to an inability to meet legal obligations and reputational damage.	AC15	Jackie Albery Director of Planning and Resources	Risk reviewed by Risk Owner in October 2022. Risk wording and scores to remain the same. Uncertainty and concern remain over the substantial level of funding required and the capacity of the organisation to deliver the new social care reforms alongside other major system wide changes to Adult Care Services. Reviewed On :02/11/2022	Severe 64 Probability Likely 4 Impact Very High 16	↔	Severe 64 Probability Likely 4 Impact Very High 16	Severe 32 Probability Likely 4 Impact High 8

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Controls:		<u>Ref</u>	<u>Control Description</u>		<u>Status</u>		<u>Owner</u>
		ACSD0005/001	Undertake early high-level modelling to capture level of potential financial impact		In Progress / Taking Effect		Jackie Albery
		ACSD0005/002	Identify additional funding within the IP for additional resource to help deliver the programme and challenges for ACS		In Progress / Taking Effect		Jackie Albery
		ACSD0005/003	Work with regional and national partners to finesse early modelling to be enhanced with results from Cost of Care exercise		In Progress / Taking Effect		Jackie Albery
		ACSD0005/004	Undertake Cost of Care exercise to refine impact figures in the models		In Place / Embedded		Jackie Albery
		ACSD0005/005	Use Workforce workstream to identify mitigations to increase capacity for critical elements of the workforce		In Progress / Taking Effect		Jackie Albery

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CSHF0016 <i>Excellent Council Services For All</i> Current Category: Corporate & Strategic Risk Register <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 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 legacy impact of COVID and the current cost of living crisis are both exacerbating this position, and there is now greater concerns surrounding the level of 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	Severe 64 Probability Likely 4 Impact Very High 16	↔	Severe 64 Probability Likely 4 Impact Very High 16	Significant 24 Probability Possible 3 Impact High 8

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		CS0020, noting CSHF0016 was formerly CSHF0005 and CSHF0015] Reviewed On :14/10/2022				

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		CSHF0016/001	Timely reporting to senior managers highlighting risks relating to available resources to enable mitigations to be made.		In Place / Embedded		Steven Pilsworth
		CSHF0016/002	Work with districts to monitor changes to business rates related to loss of businesses/impact revaluations/improve collection.		In 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
		CSHF0016/009	Manage the Delivering Transformation Programme to support the delivery of innovation and efficiencies		In Progress / Taking Effect		Scott Crudgington
		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

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		CSHF0016/012	Ensure overall delivery of savings is also reflected in the forecast outturn position		In Place / Embedded		Steven Pilsworth
		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
HFRS0026 <i>Healthy And Fulfilling Lives For Our Residents</i> Current Category: Corporate & Strategic Risk Register <i>Current Type : Corporate</i>	CP11	Simon Tuhill Assistant Chief Fire Officer: Service Delivery	Increased potential for industrial action which could impact on the ability of HFRS to respond effectively to emergencies. The Service continues to use the well-established arrangements that it has put in place to facilitate discussion with rep bodies. New contractual arrangements have been agreed but there has been limited update from staff due to resistance by representative bodies. At the time of submitting this update the chance of industrial action is increasing with a ballot likely towards the end of November 2022 Reviewed On :17/10/2022	Severe 48 Probability Possible 3 Impact Very High 16	↔	Severe 48 Probability Possible 3 Impact Very High 16	Severe 32 Probability Unlikely 2 Impact Very High 16

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Controls:					<u>Ref</u>	<u>Control Description</u>		<u>Status</u>		<u>Owner</u>
					HFRS0026/001	Continued dialogue with relevant representative bodies		In Progress / Taking Effect		Simon Tuhill
					HFRS0026/002	Robust and tested BCP in place		In Progress / Taking Effect		Simon Tuhill
					HFRS0026/003	Liaison with NFCC and central Government over national contingencies		In Progress / Taking Effect		Simon Tuhill
					HFRS0026/004	Review degradation policy		Complete		Simon Tuhill

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SG0001 <i>A Cleaner And Greener Environment</i> Current Category: <i>Corporate & Strategic Risk Register</i> <i>Current Type : Strategic</i> 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]	SSG01	Patsy Dell Executive Director of Sustainable Growth	Due to budget and resource constraints the Executive Leadership team and Members of Cabinet discussed and agreed to prioritise work programmes for ambitions with HCC control. The three ambitions: Carbon Neutral in our own operations, Enhance nature in our own land and Cleaner air for all will be the focus of internal capacity and funding. The remaining ambitions will be delivered via Hertfordshire Climate Change and Sustainability Partnership and East of England LGA Climate Change Forum. Substantial projects to deliver climate ambitions will require external funding. Officers are now preparing the detailed programme plan to present to Environment Panel 17 November. Further work to disseminate and implement the completed Climate Risk Assessment was discussed with Sustainable Hertfordshire Board on 14 Sept. A detailed proposal for implementation will be presented to the next	<div style="background-color: red; color: white; padding: 5px; text-align: center;">Severe 48</div> Probability Possible 3 Impact Very High 16	↔	<div style="background-color: red; color: white; padding: 5px; text-align: center;">Severe 48</div> Probability Possible 3 Impact Very High 16	<div style="background-color: red; color: white; padding: 5px; text-align: center;">Severe 32</div> Probability Unlikely 2 Impact Very High 16

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			Board. Scrutiny topic group on Adaptation and Resilience will take place on 25 November Reviewed On :31/10/2022				
Controls:		Ref	Control Description		Status		Owner
		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

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ACSOP0002 <i>Healthy And Fulfilling Lives For Our Residents</i> Current Category: Corporate & Strategic Risk Register <i>Current Type : Corporate</i> 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]	AC12	Helen Maneuf Operations Director – Older People’s Services	Risk reviewed by Risk Owner in September 2022. Risk wording and scores to remain the same. Actively working with cases of provider failure in the department. Effects of the cost of living increases are also affecting providers as well as the recruitment and retention of staff being a factor when considering the score of this risk. Continue to monitor and work with providers regarding prevention and control due to COVID-19 – situation currently settled at present but we need to remain alert in case of future acceleration. Reviewed On :02/09/2022	Severe 40 Probability Almost Certain Impact High 8	↔	Severe 40 Probability Almost Certain Impact High 8	Severe 32 Probability Likely 4 Impact High 8

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		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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ACSDMH0002 <i>Healthy And Fulfilling Lives For Our Residents</i>	AC13	Mark Harvey	Risk reviewed by Risk Owner in September 2022. Risk wording and scores to remain the same. Changes made to the ACSIS system to make recording more effective. All live and staff training rolled out. Portal system is now live for all (including Herts Police) New Leader of Practice and Quality / Principal Social Worker in post and is currently restructuring the quality and monitoring of Commissioned Services. ACS have commissioned an independent review of Section 42 in partnership with Essex County Council to include peer challenge with a CIPFA like authority. Paper submitted to Audit Committee for this risk. Reviewed On :02/09/2022	Severe 32 Probability Unlikely 2 Impact Very High 16	↔	Severe 32 Probability Unlikely 2 Impact Very High 16	Significant 16 Probability Unlikely 2 Impact High 8
Current Category: <i>Corporate & Strategic Risk Register</i> <i>Current Type : Corporate</i>		Operations Director, Adult Disability and Mental Health					
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]							

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Controls:					<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				Internal 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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CS0027 <i>Excellent Council Services For All</i> Current Category: <i>Corporate & Strategic Risk Register</i> 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.	SR37 <i>Current Type : Strategic</i>	Scott Crudgington Deputy Chief Executive and Executive Director of Resources	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 (projects borne from budget/transformation challenges), challenges retaining and recruiting good project skillsets, the capacity of the wider organisation to contribute to project work. Alongside that, effectiveness of the PMO and governance is being reviewed. Reviewed On :12/10/2022	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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		CS0027/005	Undertake Corporate Peer Review and appropriate actions from its conclusions		In Place / Embedded		Alex James
		CS0027/001	Lobbying and influencing at local and national levels		In Progress / Taking Effect		Scott Crudgington
		CS0027/002	Ensure cross organisation Governance arrangements, processes are effective to manage current and potential business priorities		In Progress / Taking Effect		Anna Morrison
		CS0027/003	Ensure rapid change management processes and support are developed and in place		In Progress / Taking Effect		Anna Morrison
		CS0027/004	Develop workforce capability and capacity to be agile and flexible		In Progress / Taking Effect		Sally Hopper

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CS0028 <i>Excellent Council Services For All</i> Current Category: Corporate & Strategic Risk Register <i>Current Type : Strategic</i> As a result of rising inflationary pressures and cost of living generally, there is a risk that such cost pressures, continue to increase significantly which may impact significantly on budgets and funding, and give rise to increased demand for services, increasing levels of bad debts, reduced income from Council tax	SR39	Scott Crudgington Deputy Chief Executive and Executive Director of Resources	Finances and budget levels continue to be monitored throughout the financial year and are currently balanced following prompt action by departments. The IP process has commenced earlier this cycle due to the high level of uncertainty regarding public finances. Prioritisation of funding to services are likely to be needed to balance future years budgets. The Director of Finance and their team work closely with the services to ensure informed decision making. Significant information and support is being provided to residents through HertsHelp, Citizen's Advice Bureaux and the Money Advice Unit. Preventative work and targeted support to families on the verge of crisis is now a priority. Reviewed On :31/10/2022	Severe 32 Probability Likely 4 Impact High 8	↔	Severe 32 Probability Likely 4 Impact High 8	Severe 32 Probability Likely 4 Impact High 8

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		CS0028/001				Lobbying and influencing at local and national levels		In Place / Embedded		Scott Crudgington
		CS0028/002				Regular Monitoring of Finances and budget levels to inform decision making		In Place / Embedded		Steven Pilsworth
		CS0028/003				Ensure cross organisation Governance arrangements, processes are effective to manage current and potential business priorities		In Place / Embedded		Anna Morrison
		CS0028/004				Money advice unit (MAU) – provide advice to residents		In Place / Embedded		Gary Vaux
		CS0028/005				Support voluntary sector/partnership working with districts/boroughs (HertsHelp)		In Place / Embedded		Kristy Thakur
		CS0028/006				HCC allocated £6mill Household Support Grant some of which will be allocated locally to foodbanks, and similar organisations		In Place / Embedded		Jackie Albery
		CS0028/007				HCC communication/advice (e.g. on the Hertfordshire CC website)		In Place / Embedded		Taryn Pearson-Rose
		CS0028/008				Personal Budgets/Direct Payments adjustments aligned with inflation level		In Progress / Taking Effect		Sam Wood-Ede

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CSF0055 <i>Healthy And Fulfilling Lives For Our Residents</i> Current Category: Corporate & Strategic Risk Register <i>Current Type : Corporate</i> In the event of inappropriate care or attention there is a risk that a child or young person could die or become seriously injured. In addition to the death or serious injury of the child, this could lead to formal intervention by Government and/or legal action by families or carers.	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 :19/10/2022	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
Controls:		Ref	Control Description	Status	Owner		
		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 audit, scrutineer, policy reviews and inspection actions	In Progress / Taking Effect	Mary Moroney		

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CSF0093 <i>Healthy And Fulfilling Lives For Our Residents</i> Current Category: <i>Corporate & Strategic Risk Register</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. There is also the risk of having no alternative other than using unregulated placements which are now unlawful for children under the age of 16	SCS06	Miranda Gittos Director Specialist Services & Commissioning, (Children's Services)	Hertfordshire are experiencing the same issues as those identified in the Independent Review of Children's Social Care reported in May 2022; increasing costs, an increased number of children with very complex needs becoming looked after and challenges with the recruitment and retention of both foster carers and children's homes workers who have the skills and resilience to look after these children, many of whom have experienced significant trauma before becoming looked after. This was highlighted in the autumn 2021 when the probability assessment of this risk was increased from "possible" to "likely" highlighting this as a red risk. In addition to the residential and fostering strategies considerable work has been carried out over recent years to reduce the number of children in care by supporting them to remain safely within their families. The Hertfordshire Family	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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Date of Previous Risk Score: 13/09/2022

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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
		<p>Safeguarding model is focused on supporting families to safely care for their children and Hertfordshire deliver a number of services targeted towards adolescents on the edge of care. More recently analysis of the increase in the number of children looked after has evidenced that this increase has resulted not from more children coming into care but rather from less children leaving care. The service is currently embarking on a programme of work to reunify families wherever this is possible and in the best interest of the children. However, due to the increasingly complex needs of children in care and shortage of available suitable provision it is likely that this risk will continue to remain at a high level in the medium term. Reviewed On :19/10/2022</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
Controls:		<u>Ref</u>	<u>Control Description</u>		<u>Status</u>		<u>Owner</u>
		CSF0093/001	Increase of in-county fostering and residential children's homes places		In Place / Embedded		Miranda Gittos
		CSF0093/003	Increase of in-county children's homes		In Place / Embedded		Miranda Gittos
		CSF0093/004	Commissioning Service are continually seeking suitable accommodation to meet individual needs		In Place / Embedded		Miranda Gittos
		CSF0093/005	Undertake the changed planned provision in Herts and incorporate increased number of smaller units.		In Progress / Taking Effect		Miranda Gittos

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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
CSF0096 <i>Healthy And Fulfilling Lives For Our Residents</i> Current Category: Corporate & Strategic Risk Register <i>Current Type : Strategic</i> Due to a continued demand and increased complexity of cases, there is a risk of a continued rise in Children's Services referrals and activity – 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	Description amended to take out reference to a Covid-19 spike as referrals are continuing to increase and may not necessarily be linked to the pandemic although this is undoubtedly a factor Front Door social care referrals are currently 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	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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Risk Ref Short Code Risk Description Corporate Priority Category	Risk Owner	Progress Update	Previous Risk Score	Movement Direction	Current Risk Score	Target Risk Score
		<p>the same ability to access support during the pandemic.</p> <p>This places pressures not only on our budgets but upon the resilience of our 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 :26/10/2022</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
Controls:		<u>Ref</u>	<u>Control Description</u>		<u>Status</u>		<u>Owner</u>
		CSF0096/001	Modelling of demand		In Progress / Taking Effect		EI Mayhew
		CSF0096/002	Resource Planning		In Progress / Taking Effect		EI Mayhew
		CSF0096/003	Demand management / reduction		In Progress / Taking Effect		EI Mayhew
CSL0004 <i>Excellent Council Services For All</i>	SR38	Taryn Pearson-Rose Director of Corp Strategy & Communications (Resources)	This risk was raised to reflect the current volume of refugees/asylum seekers (from Ukraine/Afghanistan etc) coming into Hertfordshire and requiring LA support and services. We have recently seen an increase in the flow of asylum seekers which is placing HCC under additional pressure to find the capacity and resource to provide all the services required. An immediate concern is to find the additional school places required in the right locations. Reviewed On :25/10/2022	Severe 32 Probability Likely 4 Impact High 8	↔	Severe 32 Probability Likely 4 Impact High 8	Significant 24 Probability Possible 3 Impact High 8
Current Category: Corporate & Strategic Risk Register <i>Current Type : Strategic</i>							
<p>In the event that there are significant numbers of refugees/asylum seekers requiring services in Hertfordshire, there is a risk that HCC will not have the resources or capacity to provide all services required in appropriate timescales, which could lead to potential safeguarding, financial and reputational impacts.</p>							

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Risk Ref	Short Code	Risk Owner	Progress Update	Previous Risk Score	Movement Direction	Current Risk Score	Target Risk Score
Risk Description							
Corporate Priority							
Category							
Controls:		<u>Ref</u>	<u>Control Description</u>		<u>Status</u>		<u>Owner</u>
		CSL0004/001	Strategic Migration Steering Group to co-ordinate responses across Hertfordshire		In Place / Embedded		Scott Crudgington
		CSL0004/002	DBS checks being carried out by HCC		In Progress / Taking Effect		Sally Hopper
		CSL0004/003	Landing page on HCC website to provide FAQ's		In Place / Embedded		Mark Williams
		CSL0004/004	Welcome to Herts pack produced		In Place / Embedded		Mark Williams
		CSL0004/005	Ensure appropriate resources and governance structures continue to be in place to support HCC's effective response to this risk		In Place / Embedded		Mark Williams

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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
HFRS0007 <i>Healthy And Fulfilling Lives For Our Residents</i> Current Category: Corporate & Strategic Risk Register <i>Current Type : Corporate</i> During unplanned/critical incidents, in particular relating to climate, such as heatwaves, wildfires, large scale wide-area flooding and storm related incidents and also critical incidents relating to e.g. terrorist activity, there is a significant impact on the type and scale of demand placed on the service, which leads to a risk that HFRS may require existing regional or national resources, which themselves may be limited, leading to reduced emergency response and increased risk to life, heritage sites, infrastructure and property.	CP01	Simon Tuhill Assistant Chief Fire Officer: Service Delivery	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 coordinates the mobilisation of national resilience assets in conjunction with NRAT, the National Resilience Duty	<div style="background-color: red; color: white; padding: 5px; text-align: center;">Severe 32</div> Probability Unlikely 2 Impact Very High 16	↔	<div style="background-color: red; color: white; padding: 5px; text-align: center;">Severe 32</div> Probability Unlikely 2 Impact Very High 16	<div style="background-color: red; color: white; padding: 5px; text-align: center;">Severe 32</div> Probability Unlikely 2 Impact Very High 16

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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
		Officer, and supporting fire and rescue authorities using the Electronic Supporting System (ESS). It will also coordinate the deployment of the National Strategic Advisory Team (NSAT) who provide advice and support to co-ordinating groups, where required. Reviewed On :17/10/2022				

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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
Controls:					<u>Ref</u>	<u>Control Description</u>		<u>Status</u>		<u>Owner</u>
		HFRS0007/004				Review current resourcing model and develop CRMP		In Place / Embedded		Simon Tuhill
		HFRS0007/005				Review whole-time and retained workforce numbers on a monthly basis to identify deficiencies and take appropriate action		In Place / Embedded		Simon Tuhill
		HFRS0007/006				Crewing office to manage and maintain crewing levels on a daily basis across the organisation and ensure appliance availability		In Place / Embedded		Simon Tuhill
		HFRS0007/007				Maximise both personnel and appliance availability through the application of procedures and appropriate management		In Place / Embedded		Simon Tuhill
		HFRS0007/008				Procure and provide specialist vehicles, equipment and teams to meet the current technical rescue risk within the County		In Place / Embedded		Simon Tuhill
		HFRS0007/009				Regularly review site specific response plans, operational procedures and contingency arrangements		In Place / Embedded		Simon Tuhill
		HFRS0007/010				Organise and host regular large scale/major incident exercises with local partners on a local, county and regional platform		In Place / Embedded		Simon Tuhill
		HFRS0007/011				Regularly review and ensure arrangements are in place to request additional resources both locally and nationally		In Place / Embedded		Simon Tuhill
		HFRS0007/013				Undertake actions in new fire cover review		In Progress / Taking Effect		Simon Tuhill

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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
HR0021 <i>Excellent Council Services For All</i> Current Category: Corporate & Strategic Risk Register <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 0.4% to 15.4% (September 2022) since the last quarter, due to continued Pandemic cover as cases rise again. 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. The external jobs market is anticipated to remain tough for the foreseeable future. Although we are taking steps to mitigate/minimise the impact I think we have to accept the level of risk as it stands. Over a longer term time period I can see the risk receding but I don't think this will happen for 12-16 months. Reviewed On :14/10/2022	Severe 32 Probability Likely 4 Impact High 8	↔	Severe 32 Probability Likely 4 Impact High 8	Severe 32 Probability Likely 4 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
Controls:					<u>Ref</u>	<u>Control Description</u>		<u>Status</u>		<u>Owner</u>
		HR0021/001				Regular monitoring, workforce planning and forecasting - e.g. incl talent management and succession planning		In Place / Embedded		Sally Hopper
		HR0021/007				Ensure the ability to call upon key service providers to meet any short term in-house skills gap		In Place / Embedded		Sally Hopper
		HR0021/008				Regular monitoring of the employment 'package' to help ensure HCC remains an Employer of Choice		In Place / Embedded		Sally Hopper
		HR0021/010				Maintain and support PMDS scheme, appropriate career schemes and associated training. (replaces controls CSCE0007/003 and 004)		In Progress / Taking Effect		Sally Hopper
		HR0021/012				Develop, implement and embed employee comms, engagement and well-being initiatives, incl Herts Manager & Stakeholder Management		In Progress / Taking Effect		Sally Hopper
		HR0021/013				Develop a future focused strategy for resourcing, including young people, re deployment & re skilling as part of workforce plan		In Progress / Taking Effect		Sally Hopper
		HR0021/014				Proactive approach to managing demand and supply e.g. QSW's in collaboration with other LA's		In Place / Embedded		Sally Hopper
		HR0021/015				Target Public Health recruitment at specialist networks, journals and social media sites		In Place / Embedded		Alison Hardy
		HR0021/016				Monitor the external recruitment market including senior manager pay to ensure remain competitive		In Place / Embedded		Sally Hopper

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Risk Ref	Short Code	Risk Description	Corporate Priority	Category	Risk Owner	Progress Update	Previous Risk Score	Movement Direction	Current Risk Score	Target Risk Score
	HR0021/017	Talent & succession plans in place to support future organisation as part of workforce planning						In Progress / Taking Effect		Sally Hopper
	HR0021/018	E&I implement action plan to improve recruitment levels particularly for specialist knowledge roles						In Progress / Taking Effect		Mark Kemp
	HR0021/019	CP implement action plan to improve recruitment levels of on-call duty operational staff						In Progress / Taking Effect		Alex Woodman

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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
PROP0031 <i>Excellent Council Services For All</i> Current Category: Corporate & Strategic Risk Register <i>Current Type : Strategic</i> In the event that funding streams for infrastructure delivery and master planning are delayed or limited (owing to wider council budgetary pressures) 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 risk and its controls have been reviewed in October 2022 and no further changes have been made. Major Development Steering Group is in place to ensure corporate oversight of HCC developments in excess of 250 units. The capacity of Herts Living Ltd for medium/large scale projects is being developed. All control measures continue to mitigate this risk. Reviewed On :02/11/2022	<div style="background-color: red; color: white; padding: 5px; text-align: center;">Severe 32</div> Probability Unlikely 2 Impact Very High 16	↔	<div style="background-color: red; color: white; padding: 5px; text-align: center;">Severe 32</div> Probability Unlikely 2 Impact Very High 16	<div style="background-color: red; color: white; padding: 5px; text-align: center;">Severe 32</div> Probability Unlikely 2 Impact Very High 16

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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
Controls:		<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 Place / Embedded		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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Risk Ref Risk Description Corporate Priority Category	Short Code	Risk Owner	Progress Update	Previous Risk Score	Movement Direction	Current Risk Score	Target Risk Score
SG0002 <i>Sustainable, Responsible Growth In Our County</i> Current Category: Corporate & Strategic Risk Register <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 seeks contributions from new development to fund HCC services. HCC devising updatable Infrastructure Delivery Plan to understand infrastructure needs. Awaiting announcements on reform of planning system and infrastructure funding from new PM and Secretary of State. Reviewed On :17/10/2022	Severe 32 Probability Likely 4 Impact High 8	↔	Severe 32 Probability Likely 4 Impact High 8	Significant 20 Probability Almost Certain 5 Impact Medium 4

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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	
Controls:											
	<u>Ref</u>	<u>Control Description</u>					<u>Status</u>	<u>Owner</u>			
	SG0002/003	To work effectively with our local authority partners to communicate and identify the required infrastructure					In Progress / Taking Effect	Colin Haigh			
	SG0002/004	Provide regular updates to Members/stakeholders on the availability of funding for infrastructure					In Place / Embedded	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			
	SG0002/007	Establish working relationships with Parish & Town Councils to achieve effective use of available infrastructure funding					In Place / Embedded	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			
	SG0002/011	HCC services to identify infrastructure projects early in plan-making process for inclusion in Infrastructure Delivery Plans					In Progress / Taking Effect	Colin Haigh			
	SG0002/012	Ensure that infrastructure projects are clearly identified and costed, to reduce confusion between CIL and S106 requests					In Progress / Taking Effect	Colin Haigh			

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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
		SG0002/013	Work with HGB and HIPP to find cost effective way of regularly updating Herts Infrastructure and Funding Prospectus		In Progress / Taking Effect		Colin Haigh
SG0003 <i>Sustainable, Responsible Growth In Our County</i> Current Category: Corporate & Strategic Risk Register <i>Current Type : Strategic</i> As a result of a decline in economic growth and investment in the Hertfordshire economy there is a risk of a negative impact on the short, medium and longer term prosperity and wellbeing of our communities [Formerly ENV0161/SE08]	SSG03	Colin Haigh Director, Growth and Place	Significant development interest in Herts, from businesses and housebuilders. Major sites include Gilston, Hemel, Brookfield, Gunnels Wood, Sky studios, Sunset studios. But viability is likely to be affected by global economic issues. Reviewed On :17/10/2022	<div style="background-color: red; color: white; padding: 5px; text-align: center;">Severe 32</div> Probability Likely 4 Impact High 8	↔	<div style="background-color: red; color: white; padding: 5px; text-align: center;">Severe 32</div> Probability Likely 4 Impact High 8	<div style="background-color: orange; padding: 5px; text-align: center;">Significant 20</div> Probability Almost Certain 5 Impact Medium 4

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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
Controls:		<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 (HGB) 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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Risk Ref Risk Description Corporate Priority Category	Short Code	Risk Owner	Progress Update	Previous Risk Score	Movement Direction	Current Risk Score	Target Risk Score
SP0007 <i>Excellent Council Services For All</i> Current Category: <i>Corporate & Strategic Risk Register</i> <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	Effect of the current economic situation on the supply base continues to be monitored through existing systems and wider professional networks. Requests for accelerated payment continue to be considered on a case by case basis. Reviewed On :20/10/2022	Severe 32 Probability Unlikely 2 Impact Very High 16	↔	Severe 32 Probability Unlikely 2 Impact Very High 16	Significant 16 Probability Unlikely 2 Impact High 8

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Report Date: 11/11/2022

Date of Previous Risk Score: 13/09/2022

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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
Controls:		<u>Ref</u>	<u>Control Description</u>		<u>Status</u>		<u>Owner</u>
		SP0007/001	Identification of the Council's key/major suppliers, and ongoing maintenance of list		In Progress / Taking Effect		Paul Drake
		SP0007/002	Monitoring measures put in place and undertaken for key/major suppliers		In Place / Embedded		Paul Drake
		SP0007/003	Contract managers of key/major contracts identified, skills assessed and trained as required		In Progress / Taking Effect		Paul Drake
		SP0007/004	Contract managers of key/major contracts kept informed of up to date contract management practices		In Progress / Taking Effect		Paul Drake

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Risk Ref Risk Description Corporate Priority Category	Short Code	Risk Owner	Progress Update	Previous Risk Score	Movement Direction	Current Risk Score	Target Risk Score
TEC0004 <i>Excellent Council Services For All</i> Current Category: Corporate & Strategic Risk Register <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 remains at 'possible'. Reviewed On :20/10/2022	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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Risk Ref Risk Description Corporate Priority Category	Short Code	Risk Owner	Progress Update	Previous Risk Score	Movement Direction	Current Risk Score	Target Risk Score
Controls:		<u>Ref</u>	<u>Control Description</u>		<u>Status</u>		<u>Owner</u>
		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
CP0019 <i>Healthy And Fulfilling Lives For Our Residents</i>	SCP12	Alex Woodman Executive Director of Community Protection & Chief Fire Officer	New risk raised to reflect the challenges facing Community Protection to achieve strategic objectives. The Community Risk Management Plan (CRMP) will be central to mitigating and managing this risk. Regular monitoring of resources, both financials and HR to understand and actively manage and address any potential shortfalls Reviewed On :21/10/2022	Significant 24 Probability Possible 3 Impact High 8	↔	Significant 24 Probability Possible 3 Impact High 8	Significant 24 Probability Possible 3 Impact High 8
Current Category: Corporate & Strategic Risk Register <i>Current Type : Strategic</i>		<p>As a result of lack of resources due to funding, capacity, recruitment difficulties within Community Protection, there is a risk that the Department fails to deliver its key strategic priorities which could result in service failures, breaches of statutory duties, HMICFRS intervention and reputational damage to the county council.[replacement for risk HFRS0019/SCP09]</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
Controls:					<u>Ref</u>	<u>Control Description</u>		<u>Status</u>		<u>Owner</u>
		CP0019/001				Development of the CRMP		In Progress / Taking Effect		Mark Barber
		CP0019/002				Ensure management of resources is optimised liaising with Finance and HR (recruitment and succession planning) on the IP process		In Progress / Taking Effect		John Boulter
		CP0019/003				Maximising support from the Project Management Office		In Progress / Taking Effect		Andrew Esson
		CP0019/004				Development of robust governance arrangements to support IRMP, including dedicated risk registers.		In Place / Embedded		Andrew Esson
		CP0019/005				Develop and embed robust business planning, and prioritisation of associated projects to ensure effective use of resources		In Place / Embedded		Andrew Esson

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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
CSF0070 <i>Healthy And Fulfilling Lives For Our Residents</i> Current Category: Corporate & Strategic Risk Register <i>Current Type : Strategic</i> In the event of inadequate capital being made available from several funding streams and the increasing costs of construction, part of the costs of delivering the special schools/specialist provision 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	Changes were agreed at CS Core Board. Description amended to reflect the increase in construction costs and a focus on specialist education provision rather than secondary school expansions Key control measures continue to be taken forward, including close oversight of the programme to increase specialist education provision Reviewed On :19/10/2022	Significant 24 Probability Possible 3 Impact High 8	↔	Significant 24 Probability Possible 3 Impact High 8	Significant 24 Probability Possible 3 Impact High 8
Controls:							
		Ref	Control Description		Status		Owner
		CSF0070/005	Minimise the number of expansions undertaken by continually reviewing information management requirements		In Place / Embedded		Simon Newland
		CSF0070/006	Ensure value for money in relation to build / project costs		In Place / Embedded		Simon Newland
		CSF0070/007	Secure access to additional funding from DfE		In Place / Embedded		Simon Newland

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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
CSF0088 <i>Healthy And Fulfilling Lives For Our Residents</i> Current Category: <i>Corporate & Strategic Risk Register</i> <i>Current Type : Corporate</i> 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 & Young People with SEND, leading to poorer outcomes for them, financial and reputational impacts.	CS07	Hero Slinn Director of Inclusion & Skills	The Risk owner has reviewed the risk and is happy that the current score reflects the current circumstances. Although the number of children with an EHCP continues to increase it is anticipated that the rate of increase will start to slow due to the various mitigations that are in place/in progress. New specialist provision will help reduce the dependency on independent placements. Impower will help to develop better provision within mainstream schools The criteria used by admission panels need to be reviewed. The bar for pupils requiring specialist provision is possibly too low as targeted or targeted plus provision is possibly the better solution. 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	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 Short Code Risk Description Corporate Priority Category	Risk Owner	Progress Update	Previous Risk Score	Movement Direction	Current Risk Score	Target Risk Score
		<p>residents). The budget will increase by 8% next year, but demand continues to 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>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</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
			block. Reviewed On :20/10/2022				
Controls:		<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		Hero Slinn
		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	Implement SEND Pathway review actions - develop capacity of SEND service and revise operations for more customer focus		In Progress / Taking Effect		Jennie Newman
		CSF0088/007	Improve early intervention, develop and implement system to enable schools to reduce the demand (need) for EHCPs.		In Progress / Taking Effect		Jennie Newman
		CSF0088/008	Changes to demand - timely updates to Specialist Provision Planning strategy - further provision for CYP with EHCPs in Herts		In Progress / Taking Effect		Jennie Newman

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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
ENV0162 <i>A Cleaner And Greener Environment</i>	SE09	Simon Aries Director - Transport , Waste & Environment Management	<p>aterdale transfer station remains a critical piece of infrastructure and under pressure with a large number of vehicle movements. There is an ongoing pressure to ensure sufficient drivers and onward transfer of waste.</p> <p>A planning application for a shredding building on the land adjacent to Waterdale transfer station was submitted at the end of June 2022. The Waterdale planning application is scheduled to be heard at Novembers DCC (subject to outstanding statutory consultee responses being received).</p> <p>Planning permission for the Eastern Transfer Station has been achieved and the call-in period passed. Updated costings are yet to be received, there is a risk that with such high inflation level that costs will rise and led to delay whilst additional approvals/value engineering are pursued.</p>	<p>Significant 24</p> <p>Probability Possible 3</p> <p>Impact High 8</p>	↔	<p>Significant 24</p> <p>Probability Possible 3</p> <p>Impact High 8</p>	<p>Material 8</p> <p>Probability Unlikely 2</p> <p>Impact Medium 4</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
			The risk score remains the same at this time. Reviewed On :04/11/2022				
Controls:		<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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Risk Ref Risk Description Corporate Priority Category	Short Code	Risk Owner	Progress Update	Previous Risk Score	Movement Direction	Current Risk Score	Target Risk Score												
HR0017 <i>Excellent Council Services For All</i> Current Category: Corporate & Strategic Risk Register <i>Current Type : Corporate</i> In the event of industrial action there is a risk that services cannot be delivered effectively, which could result in harm to residents.	R40	Sally Hopper Director of Human Resources	Following discussion at Resources Board in June 2022, regarding the current situation in the UK; the cost of living crisis, inflationary pressures and employment concerns, Board concluded that the risk of industrial action (local and/or national impacts) needs further visibility. As a result, this risk has now been escalated to the Corporate and Strategic Risk register There are potential impacts to the services provided by Community Protection, Schools and Centrally Employed Teachers as a result of ballots for strike action. Reviewed on 20/10/2022 Reviewed On :20/10/2022	Significant 24 Probability Possible 3 Impact High 8	↔	Significant 24 Probability Possible 3 Impact High 8	Significant 16 Probability Unlikely 2 Impact High 8												
Controls:	<table border="1"> <thead> <tr> <th>Ref</th> <th>Control Description</th> <th>Status</th> <th>Owner</th> </tr> </thead> <tbody> <tr> <td>HR0017/001</td> <td>Engagement with recognised trade unions and robust co-ordination of response to industrial action</td> <td>In Place / Embedded</td> <td>Sally Hopper</td> </tr> <tr> <td>HR0017/003</td> <td>BCP plans are in place to maintain a level of service throughout HCC during a period of industrial action</td> <td>In Progress / Taking Effect</td> <td>Owen Tomlinson</td> </tr> </tbody> </table>							Ref	Control Description	Status	Owner	HR0017/001	Engagement with recognised trade unions and robust co-ordination of response to industrial action	In Place / Embedded	Sally Hopper	HR0017/003	BCP plans are in place to maintain a level of service throughout HCC during a period of industrial action	In Progress / Taking Effect	Owen Tomlinson
	Ref	Control Description	Status	Owner															
HR0017/001	Engagement with recognised trade unions and robust co-ordination of response to industrial action	In Place / Embedded	Sally Hopper																
HR0017/003	BCP plans are in place to maintain a level of service throughout HCC during a period of industrial action	In Progress / Taking Effect	Owen Tomlinson																

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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
IMP0001 <i>Excellent Council Services For All</i> Current Category: <i>Corporate & Strategic Risk Register</i> <i>Current Type : Corporate</i> Risk: <ul style="list-style-type: none"> loss/inappropriate acquisition/disclosure of sensitive personal or commercial data; and / or breach of data subjects rights; contrary to the requirements of the Data Protection Act 2018 and the General Data Protection Regulation Potential consequences: <ul style="list-style-type: none"> harm to clients, impact on Council reputation, regulatory enforcement and other legal action severe financial consequences. [Formerly CSCE0013]	R13	David Campbell Information Governance & Access Unit Manager	No change in score at this time, however, the risk owner does now consider the risk is reducing. There continues to be significant volumes of work in to the Data Protection Team including volume and complexity of the subject access requests. It is felt that the risk is less mainly due to an increase in temporary resource which has led to an increase in the number of Subject Access Requests processed meaning data subjects are less likely to complain to the ICO/ commence litigation. The recovery plan to manage the historic and current increase in work volumes is starting to show positive benefits and there are signs that we are bringing some of the pressures under control. The ICO have undertaken a follow up to their audit of Summer 2021 and have been positive about the progress being made on our action plan, with no further follow up required. Reviewed On :25/10/2022	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
Controls:	<u>Ref</u>	<u>Control Description</u>	<u>Status</u>	<u>Owner</u>			
	IMP0001/001	Policy framework is regularly reviewed and staff made aware of responsibilities	In Place / Embedded	David Campbell			
	IMP0001/003	Mandatory data protection training in place for all staff at induction. Part of compulsory biennial repeat programme. Monitored	In Place / Embedded	David Campbell			
	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	David Campbell			
	IMP0001/021	A common data sharing framework is in place and respective agreements reviewed and updated on a regular basis	In Place / Embedded	David Campbell			
	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	David Campbell			
	IMP0001/028	Embed good practice and compliance with the General Data Protection Regulation following implementation of the HCC Action Plan	In Progress / Taking Effect	David Campbell			

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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
PROP0023 <i>Excellent Council Services For All</i> Current Category: <i>Corporate & Strategic Risk Register</i> <i>Current Type : Strategic</i> 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).	SR21	Mike Evans (Herts Living Limited) Head of Estates & Director of Herts Living Limited	Risk and control measures have been reviewed. The Strategic Asset Board continues to provide disposal clarity prior to Cabinet approval but the identification of surplus sites is sometimes slow due to the increased requirement for sites to support County Council services. The revised accounting definitions set for each site should help to identify surplus assets. In addition, the Strategic Asset Management plan should also give recommendations that will include identifying surplus assets. If the pace of this work was accelerated, it would assist in pipeline business for HLL. The new Managing Director of HLL is due to start in January 2023. Reviewed On :02/11/2022	Significant 24 Probability Possible 3 Impact High 8	↔	Significant 24 Probability Possible 3 Impact High 8	Significant 24 Probability Possible 3 Impact High 8

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Risk Ref	Short Code	Risk Owner	Progress Update	Previous Risk Score	Movement Direction	Current Risk Score	Target Risk Score
Risk Description							
Corporate Priority							
Category							
Controls:		<u>Ref</u>	<u>Control Description</u>		<u>Status</u>		<u>Owner</u>
		PROP0023/001	Herts Living Ltd Board of Directors to ensure governance.		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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Risk Ref Risk Description Corporate Priority Category	Short Code	Risk Owner	Progress Update	Previous Risk Score	Movement Direction	Current Risk Score	Target Risk Score
<p>RPHS0001</p> <p><i>Excellent Council Services For All</i></p> <p>Current Category: <i>Corporate & Strategic Risk Register</i></p> <p><i>Current Type : Corporate</i></p> <p>In the event of H&S management failures, 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>	R32	<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 & 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. Reviewed On :20/10/2022</p>	<p>Significant 24</p> <p>Probability Possible 3</p> <p>Impact High 8</p>	↔	<p>Significant 24</p> <p>Probability Possible 3</p> <p>Impact High 8</p>	<p>Significant 24</p> <p>Probability Possible 3</p> <p>Impact High 8</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
Controls:		<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>A Cleaner And Greener Environment</i>	SG04	Tony Bradford Head of Countryside Management Service	Incidences of ash dieback (ADB) have increased since the last report within Hertfordshire. This is due to the increased numbers of Ash trees that have been recorded during this time. The national picture of ADB is that the dry hot weather this summer has limited the numbers of new infections. The way that HCC record OPM infestations has changed from the number of sites infested with OPM to the total number of trees infested with OPM. Reviewed On :17/10/2022	Significant 24 Probability Possible 3 Impact High 8	↔	Significant 24 Probability Possible 3 Impact High 8	Significant 16 Probability Unlikely 2 Impact High 8

Current Category: *Corporate & Strategic Risk Register*
Current Type : Corporate

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]

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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	
Controls:											
	<u>Ref</u>	<u>Control Description</u>				<u>Status</u>	<u>Owner</u>				
	SG0004/002	Based on Highways tree inventory, Update 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				Complete	Patsy Dell				
	SG0004/013	Development of a plant procurement protocol for HCC				In Progress / Taking Effect	Tony Bradford				
	<u>SG0004/015</u>	<u>Review department tree policies/procedures in line with the Tree Risk Management Framework</u>				<u>Proposed</u>	<u>Patsy Dell</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
CS0026 <i>Excellent Council Services For All</i> Current Category: Corporate & Strategic Risk Register <i>Current Type : Strategic</i> Due to shortages, rationing and increasing costs of construction materials and labour 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]	SR36	Scott Crudgington Deputy Chief Executive and Executive Director of Resources	Risk and control measures have been reviewed in October 2022. Changes made to Current Risk Score and Target Risk Score to reflect the fact that both shortages of supply and disproportionate of increases to costs are being seen and impacting on projects being delivered within anticipated budget available. Additional control measure added around seeking approval to purchase construction materials early at fixed prices through a process (Vesting). This also includes the use of established procurement Frameworks which have fixed pricing in place. Reviewed On :10/10/2022	10/10/2022 Significant 16 Probability Likely 4 Impact Medium 4	↗	Significant 20 Probability Almost Certain Impact Medium 4	Material 8 Probability Unlikely 2 Impact Medium 4

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Controls:		<u>Ref</u>	<u>Control Description</u>		<u>Status</u>		<u>Owner</u>
		CS0026/001	Ensure sufficient contingency to allow for increased materials costs included and regularly reviewed during construction		In Progress / Taking Effect		Jackie Aldridge
		CS0026/002	Undertake additional feasibility to ensure cost certainty		In Progress / Taking Effect		Jackie Aldridge
		CS0026/003	Undertake soft market testing		In Progress / Taking Effect		Jackie Aldridge
		CS0026/004	Use independent cost consultants to validate pricing		In Progress / Taking Effect		Jackie Aldridge
		CS0026/005	Continue to have regular programme reviews with relevant service teams		In Progress / Taking Effect		Jackie Aldridge
		CS0026/006	Use options appraisals to support cost certainty		In Progress / Taking Effect		Jackie Aldridge
		CS0026/007	Maintain awareness of and react to changes to government guidelines / policy that would affect this risk		In Progress / Taking Effect		Jackie Aldridge
		<u>CS0026/008</u>	<u>Seek agreement for upfront purchasing to secure fixed pricing of construction materials (Vesting)</u>		<u>In Progress / Taking Effect</u>		<u>Jackie Aldridge</u>

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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
<p>SAFS0001 R08</p> <p><i>Excellent Council Services For All</i></p> <p>Current Category: <i>Corporate & Strategic Risk Register</i></p> <p><i>Current Type : Corporate</i></p> <p>As a result of the scale and scope of services delivered by and through the county council, there is a 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:</p> <ul style="list-style-type: none"> Overstatement of needs through false declaration for personal budgets in adult care services Misuse of Blue Badge/Concessionary bus passes Staff falsifying time keeping / expenses and overpayment of pensions Bribery and collusion in procurement Exaggerated/false insurance/damages claims Contract or procurement fraud Grant or support fraud Mandate or cyber-enabled fraud 	<p>Chris Wood</p> <p>Head of Assurance Services</p>	<p>As a result of the scale and scope of services delivered by the county council, there is a significant risk of fraud, money laundering, tax evasion or bribery, which could lead to service disruption, financial and reputational loss. In the current climate this includes the Councils response to the latest strategic refugees schemes which include a number of agencies/partners and risks at different levels or the new pressures created through increased inflation/impact on income or wages during a financial crisis. '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</p>	<p>Significant 20</p> <p>Probability Almost Certain</p> <p>Impact Medium 4</p>	<p>↔</p>	<p>Significant 20</p> <p>Probability Almost Certain</p> <p>Impact Medium 4</p>	<p>Significant 20</p> <p>Probability Almost Certain 5</p> <p>Impact Medium 4</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
<p>[Formerly AUDIT0001]</p>		<p>'philosophy' of the 5 Pillars (Protect Govern Acknowledge Prevent Pursue) mentioned in the Fighting Fraud and Corruption Locally a Strategy for the 2022s. These Pillars provide themes that, if followed, provide assurance around the understanding of fraud risks and activity to manage the level of risk. HCC is not an organisation that can pick & choose its customers or, on occasion, 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 it cannot decline to provide these services for commercial or profitably reasons. 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</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
			within available resources, whilst still delivering its services, and responding to fraud and corruption robustly where it does occur. Reviewed On :12/10/2022				
Controls:		Ref	Control Description		Status		Owner
		SAFS0001/022	Govern: have robust arrangements, exec support to ensure anti-fraud, bribery & corruption measures are embedded throughout HCC		In Place / Embedded		Chris Wood
		SAFS0001/023	Acknowledge: understand fraud & corruption risks, communicate and tackle them; commit right support, demonstrate robust response		In Progress / Taking Effect		Chris Wood
		SAFS0001/024	Prevent: make best use of info & tech; enhance fraud controls; develop a more anti-fraud culture; communicate activity, success		In Progress / Taking Effect		Chris Wood
		SAFS0001/025	Pursue: prioritise fraud recovery and use of civil sanctions; develop capability and capacity to punish offenders		In Place / Embedded		Chris Wood
		SAFS0001/026	Pursue: collaborate across geographical and sectoral boundaries; learn lessons and close the gaps		In Place / Embedded		Chris Wood
		SAFS0001/027	Protecting HCC and residents: recognising harm that fraud can cause in the community; protecting itself and residents from fraud		In Progress / Taking Effect		Chris Wood

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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
CPRES0002 <i>Healthy And Fulfilling Lives For Our Residents</i> Current Category: Corporate & Strategic Risk Register <i>Current Type : Corporate</i> In the event of a failure to prepare adequate Corporate and departmental generic BCP plans, there is a risk that, should a major incident take place (to building, technology & people), there may be insufficient back up arrangements in place, which could result in a higher level of disruption than anticipated causing increased disruption to key resources. (Formerly SERMU0002)	CP05	Simon Tuhill Assistant Chief Fire Officer: Service Delivery	From the response to the unprecedented events in the last two years (e.g Covid/withdrawal from the EU etc.), evidence suggests that 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 :02/11/2022	Significant 16 Probability Rare 1 Impact Very High 16	↔	Significant 16 Probability Rare 1 Impact Very High 16	Significant 16 Probability Rare 1 Impact Very High 16
Controls:							
		Ref	Control Description	Status	Owner		
		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	James Heslam		

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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
ENV0163 <i>Sustainable, Responsible Growth In Our County</i> Current Category: Corporate & Strategic Risk Register <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	Engagement with interested parties has continued since the initial formal exercise in July 2022. Monitoring of the market continues, to understand supply and demand and how costs and prices are changing. There remains good interest from the market in tendering for the future highways service in Hertfordshire. Reviewed On :31/10/2022	Significant 16 Probability Likely 4 Impact Medium 4	↔	Significant 16 Probability Likely 4 Impact Medium 4	Material 6 Probability Possible 3 Impact Low 2
Controls:		Ref	Control Description	Status	Owner		
		ENV0163/005	Engage an external market advisor to act as critical friend and provide advice on procurement strategies	In Progress / Taking Effect	Steve Johnson		
		ENV0163/001	Regular monitoring of market conditions and trends to establish extent of any risk	In Progress / Taking Effect	Steve Johnson		
		ENV0163/002	Soft market testing of future proposes to gauge market interest.	In Progress / Taking Effect	Steve Johnson		
		ENV0163/003	Engagement with similar highway authorities on any recent lessons learnt	In Progress / Taking Effect	Steve Johnson		
		ENV0163/004	Design service to align with available resource	In Progress / Taking Effect	Steve Johnson		

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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
HFRS0004 <i>Healthy And Fulfilling Lives For Our Residents</i> Current Category: Corporate & Strategic Risk Register <i>Current Type : Corporate</i> In the event that HFRS does not have adequate training facilities and/or is unable to train (and maintain the competences of) operational staff effectively, there is a risk that personnel do not meet/maintain required national training standards, which may result in reduced capability and capacity resulting in an increased risk of death or serious injury of a firefighter or member of the public, litigation, reputational damage. [combined risks HFRS0022/SCP10 with HFRS0004/CP06]	CP06	Mark Barber Assistant Chief Fire Officer: Service Support	Current facilities are sufficient to maintain a competent operational workforce however these are under review by Estates team as the condition is deteriorating. The Training centre at Longfield is part of an estates development strategy which includes provision of an operational training facility to meet future needs. Reviewed On :08/10/2022	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 Risk Description Corporate Priority Category	Short Code	Risk Owner	Progress Update	Previous Risk Score	Movement Direction	Current Risk Score	Target Risk Score
Controls:		<u>Ref</u>	<u>Control Description</u>		<u>Status</u>		<u>Owner</u>
		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
		HFRS0004/006	Undertake programme to develop plans for re-development of Joint Emergency Services Academy (JESA).		In Progress / Taking Effect		Jackie Aldridge

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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
<p>PHD0014 PH01 <i>Healthy And Fulfilling Lives For Our Residents</i></p> <p>Current Category: <i>Corporate & Strategic Risk Register</i> <i>Current Type : Corporate</i></p> <p>In the event of a health protection emergency (e.g. communicable disease epidemic, radiological, chemical or biological agent exposure, or extreme weather conditions) there is a risk that the authority is not able to meet its statutory duty to be assured that relevant organisations are managing the incident appropriately to mitigate / further impact of harm to the population</p>	<p>Jim McManus</p> <p>Executive Director of Public Health</p>	<p>The PH Emergency Response Team is funded from Covid money which ends in March 2023. The future of the team is currently under review and an options paper with staffing models, risks and costs from April 2023 will be discussed on 3/11/2022. The score has been reviewed and increased. Over the last two years, these additional dedicated staff working on the COVID-19 response have provided an extra level of assurance that organisations are managing a health protection emergency effectively. The review brings uncertainty and so the raising of the likelihood score is likely to be a temporary measure and is expected to reduce again once a decision on the future of these posts past March 2023 has been taken. It recognises that, whilst a lack of assurance is still unlikely to occur, the current assurance structures may need to be revised and there may be a transition period.</p>	<p>01/11/2022 Material 8</p> <p>Probability Rare 1</p> <p>Impact High 8</p>	<p style="text-align: center;"></p>	<p>Significant 16</p> <p>Probability Unlikely 2</p> <p>Impact High 8</p>	<p>Material 8</p> <p>Probability Rare 1</p> <p>Impact High 8</p>

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			Reviewed On :01/11/2022				
Controls:	Ref	Control Description		Status	Owner		
	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 Quality 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		
	PHD0014/014	New extreme weather health plan has been signed off by Resilience Board & SMB		Complete	Annette Sheer		
	PHD0014/015	Head of PH Emergency Response chairs the LRF Planning Group and feeds back to DPH		In Place / Embedded	Annette Sheer		

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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
PROP0030 <i>Excellent Council Services For All</i> Current Category: <i>Corporate & Strategic Risk Register</i> <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. Asbestos continues to remain at 100% compliant across all operational sites inclusive of the main (SMS) sites t programme is ongoing with assets being prioritised depending on their status and any known risks. Funding has been secured and remedial works are being prioritised and scheduled. The HCC Health & Safety Management Team along with the Compliance Team are continuing to implement an intelligence auditing programme in line with Duty of Care responsibilities. All control measures continue to mitigate this risk. Reviewed On :02/11/2022	Significant 16 Probability Rare 1 Impact Very High 16	↔	Significant 16 Probability Rare 1 Impact Very High 16	Significant 16 Probability Rare 1 Impact Very High 16

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Risk Ref	Short Code	Risk Owner	Progress Update	Previous Risk Score	Movement Direction	Current Risk Score	Target Risk Score
Risk Description							
Corporate Priority							
Category							
Controls:		<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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Risk Ref	Short Code	Risk Description	Corporate Priority	Category	Risk Owner	Progress Update	Previous Risk Score	Movement Direction	Current Risk Score	Target Risk Score
	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

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Report Date: 11/11/2022

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Notes: References highlighted **Purple** have been added since the 13/09/2022.

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

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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
CS0023 <i>Excellent Council Services For All</i> Current Category: Corporate & Strategic Risk Register <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). An evaluation of the Ways of Working vision and Our Workplaces project has recently completed pending the final report and recommended next steps. The Covid Recovery strategy is in delivery with impact reports to R&P panel every 6 months. Ongoing needs & impacts of Covid will continue to be monitored over the winter. The risk score is now being reduced from an amber (significant) 16 to a yellow (material) 8. On review, we feel the impact score can be reduced from 'high' to 'medium'. The last two and	18/10/2022 Significant 16 Probability Unlikely 2 Impact High 8		Material 8 Probability Unlikely 2 Impact Medium 4	Material 8 Probability Unlikely 2 Impact Medium 4

Full CSRR Movement report at 11 November 2022 For November 2022 Audit Committee



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		a half years show we're fairly well rehearsed and have coped well since the pandemic began. Experience from this period, and the controls in place, gives us a degree of confidence that should the risk be realised there may be "some service disruption" rather than the "significant service disruption" that was previously anticipated. Reviewed On :18/10/2022				

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Controls:		<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 Place / Embedded		Anna Morrison
		CS0023/004	Services are considering pent up demand as part of recovery planning		In Place / Embedded		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		Geraldine Bruce

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Report Selection Criteria

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