

Department	Promise	Business/Service Objective	Risks to Business/Service objectives. The risk is of that ...which may result in ...	Source	Priority (Red/ Amber/ Green)	What measures are already in place to control this risk?	Effectiveness of existing controls	What measures are planned for next year?	Officer responsible
ACS		Employing suitably qualified staff and budget management	Difficulties in recruitment and retention of staff, especially occupational therapists and in-house care staff. Need to use more agency staff with consequent quality and cost concerns	People	Red	Recruitment and retention strategy, Development of manpower contract, Effective management, procedures and staff supervision, Quality Management Framework	Partially effective	Further development of Manpower contract, continuous development of initiatives	Mike Curtis, John Cooper, Carole Grimwood
Chief Exec	To continue to be a top performing council	To ensure that the Authority retains its "excellent status"	There is a risk of the council losing its "excellent status, which could lead to worsening financial status, greater scrutiny and additional costs	Professional	Red	New Head of Performance Improvement with focus on performance, and group restructured. Ongoing SHARP project addressing financial system challenges.	Partially effective	Implementation of SEM module of SAP will provide management information on performance including Balanced Score Card data	Caroline Tapster
CI (ICT)	Make it easier for people to get the information and advice they need from us	Corporate Information Systems	Loss of key IT systems	Technological	Red	Established controls and back-up procedures in operation.	Very effective	Continuing operation of established controls, and application to e-business processes.	Stuart Campbell
CI (ICT)	Make it easier for people to get the information and advice they need from us	Corporate IT Services	Loss of Corporate IT services across county e.g. e-mail, data network, voice network	Technological	Red	Resilient Design with back up at some sites. Maintenance and monitoring contracts in place (24x7). SLA for return to service. Business Continuity Plans in place for Kings Court CSC and County Hall. BT Commsure contract in place covering telephone system	Very effective	- Further development of ICT facilities to support the County Hall BCP plan; - Test and ensure that adequate recovery processes and plans are in place re SHARP system.	John Alleyne
CI (ICT)	Make it easier for people to get the information and advice they need from us	Corporate IT Services	Virus attack or security breach - hacking. Internal malicious action.	Technological	Red	Firewalls & security staff monitoring & reporting in place. Quarterly external testing of data network security. Standards around access controls. Virus detection & monitoring software in place. Hacking detection software in place to monitor voice network	Very effective	Utilise new security technology as it becomes available. Provide hacking detection for data network. Recruit additional security analyst.	John Alleyne
Corp Finance	To continue to be a top performing council	To provide specialist financial services to the council (tax, insurance, contracts)	Exceeding partial exemption limit	Financial	Red	Continual awareness raising with finance and property staff of risk areas. Monitoring of capital scheme proposals by tax team to identify relevant projects.	Partially	Further awareness raising and improvements to capital programme monitoring	Chris Sweeney
Corp Finance	To continue to be a top performing council	To manage the local government pension scheme.	Poor investment performance	Financial	Red	Fund managed to spread and minimise risk. Investment committee have oversight of management of fund. Actuarial reviews undertaken triennially.	Fully		Chris Sweeney
Corp Finance	To continue to be a top performing council	To co-ordinate & manage the council's financial and budgeting processes	Loss of staff and inability to replace	People	Red	Performance management processes active. Occasional review of competitiveness of packages. Arrangements for cross service co-operation through Finance Board members if critical gaps likely.	Partially	Review of corporate approaches to trainee recruitment and retention	Chris Sweeney
CSF	Help people to continue learning throughout their lives	To secure a wide range of learning opportunities for adults	Potential to fail to meet the quality assurance arrangements required through ALI inspection and consequent loss of funding	Financial	Red	Project team established to begin preparations for inspection in the Autumn. Involvement of partners. Budget issues identified and elected members briefed.	Partially effective	Implementation of action plan following inspection	Justin Donovan Deputy Director Learning and School Effectiveness.
CSF	Give the public value for money by becoming more cost efficient every year	Review performance to identify areas for improvement and undertake specific reviews to identify efficiency savings	Risk of demand led transport spending exceeding budget allocation	Financial	Red	Integrated Transport Review initiated supported by Strategy and Consultancy. CSF action plan to achieve efficiency savings prepared.	Partially effective	Implementation of action plan	Lesley Brockington Deputy Director Commissioning Performance and Resources

CSF	Ensure that children are protected from harm and improve their life chances and support vulnerable families	Provide improved proactive and targeted recruitment initiatives to reduce the number of vacant post and turnover in the department	Failure to recruit and retain sufficient social workers leading to excessive caseloads and risking harm to children through lack of necessary intervention.	People	Red	Recruitment and retention package agreed. Admin review implemented to free social worker time. International recruitment campaign. Close monitoring of vacancy levels and unallocated cases. Analysis of exit interviews.	Partially effective	Further foreign recruitment campaign. Continued implementation of recruitment and retention package. Continued monitoring.	Paul Chamberlain, Head of Human resources
CSF	Strive to improve educational achievement throughout the county	Raising pupil achievement and school standards	Failure to recruit and retain sufficient teachers, school support staff and governors resulting in inability to secure improved educational achievement and standards, meet government and LPSA targets.	People	Red	Specialist teams established for recruitment and retention and school governance. Local recruitment campaigns in areas of highest vacancies. Targetted hard to fill posts. Guidance on workforce remodelling	Very effective	Continued recruitment and retention initiatives	Paul Chamberlain, Head of Human resources
CSF	Give the public value for money by becoming more cost efficient every year	Extend and improve business and continuity planning within CSF	Failure to deliver statutory services resulting from inadequate business continuity plans following a critical incident	Physical	Red	Departmental procedures revised and improved. CSF Critical incident recovery plan available on HGIL. Training sessions use of plan.	Partially effective	Exercise to test understanding of procedures	Jim Dalton Assistant Director - Planning
CSF	Ensure that children are protected from harm and improve their life chances and support vulnerable families	Secure a safe environment for every child, particularly those who are vulnerable	Risk of death or injury to children or young people through inappropriate care or attention	Professional	Red	Advice and guidance to CSF managers. Development and review of procedures. Monitoring by CSF Managers. Data analysis.	Partially effective	Continued weekly monitoring of unallocated cases. Implementation of recommendations and practise improvements following SSI Report on child protection services.(LIKELIHOOD CHANGED TO POSSIBLESUBJECT TO OK FROM LB)	Maira Swann Deputy Director Social Care and Prevention
CSF	Ensure that children are protected from harm and improve their life chances and support vulnerable families	To provide a range of high quality placements to meet the needs of Looked After Children and to promote the best possible life chances for the child	Risk to the educational development and/or quality of social care for children placed out county compared to in house placements.	Professional	Red	Development of alternative in house provision. Development of LAC strategy to invest in preventative measures and thereby reduce out county placements. Regular monitoring of numbers and cost. Additional resources identified to contain potential overspend.	Partially effective	Continued development and implementation of LAC strategy and monitoring. PFI scheme to develop in house placements.	Maira Swann Deputy Director Social Care and Prevention
Env	Double the amount of household waste that is recycled by 2006		We fail to enter into contracts for the recycling of waste at appropriate prices resulting in even greater costs and/or failure to meet recycling targets.	Contractual	Red				Richard Brown
Env	Work with the community to protect and enhance our environment		Central Govt. decisions on Airport expansion will have an adverse impact on HCC ability to improve local environment.	Environmental	Red	HCC taking full advantage of all legal options. Also lobbying and campaign activities being undertaken against airport expansion	Too early to say		John Wood
Env	Fight the loss of green fields and green spaces in towns		Large housing and airport developments will impact adversely and increase pressure on local services and infrastructure.	Environmental	Red	Full participation in RPG process. Full representation during RPG consultation process. Representation at Inquiry as required.	Too early to say	Carry on representing view of HCC through regional planning process and Inquiries.	John Wood
Env	Improve the condition of our roads		Publicly reported faults continue to increase at a level that outstrips the budget	Financial	Red	Close monitoring of activity, plus investigating alternative treatments and possible sources of finance.	Too early to say	Continue & refine monitoring	Rob Smith
Env	Cut the number of people killed or seriously injured on our roads		We are prosecuted for failure to prevent a road death	Legal	Red	Working with the police on a protocol for the investigation of road deaths. Tighter control of standards through the new Hertfordshire Highways Contracts	Too early to say	Close working with the police and re-examine priorities for routine maintenance. A protocol has been produced.	Rob Smith
Env	Cut the number of people killed or seriously injured on our roads		We fail to meet the accident reduction targets	Professional	Red	Review of sites where accidents happen, joint working with Police and Magistrates Courts on Safety Camera Unit	Too early to say	Greater use of camera enforcement. (NB more recent evidence confirms that KSI statistics are down.)	Rob Smith

F&R	To make Hertfordshire a safer place to live, work and travel in	Develop and maintain our state of readiness to address terrorist and extremist incidents within the community	Any incident of this nature may prove to be on such a large scale that the Service's resources are insufficient to deal with the scale of the operation.	Financial	Red	National, Regional and local initiatives and plans are constantly being updated. Additional central resources are being allocated in a structured and co-ordinated way.	Partially effective	Regular update of contingency plans on knowledge and information received. Exercises again to be held as appropriate.	Assistant Chief Fire Officer Peter Hazeldine
F&R	To make Hertfordshire a safer place to live, work and travel in	Ensure an effective command and control and mobilising system is in place.	The Service would not be able to mobilise any appliances or personnel for incidents in the short term	Professional	Red	Constant evaluation of back up procedures and evacuation processes also a secondary control remains available at all times should emergency evacuation of our main command and control function be necessary.	Very effective	As for current year	Assistant Chief Fire Officer Peter Hazeldine
F&R	To make Hertfordshire a safer place to live, work and travel in	Develop our Integrated Risk Management planning process to ensure service delivery is aligned to local needs and priorities.	That fire stations may be located in inappropriate positions to meet the specific needs of the local community which it serves.	Professional	Red	Final draft of Integrated Risk Management Plan prepared and being presented to Members in early 2005.	Very effective	Implementation of proposals contained within IRMP following Member approval.	Deputy Chief Fire Officer Roy Wilsher