

Risk Number	RM001					Date of update		30 November 2016		
Risk Name	Infrastructure is not delivered at the required rate to support existing needs and the planned growth of Norfolk									
Risk Owner	Tom McCabe					Date entered on risk register		01 July 2015		
Risk Description										
1) Not securing sufficient funding to deliver all the required infrastructure for existing needs and planned growth leading to: • congestion, delay and unreliable journey times on the transport network • a lack of the essential facilities that create sustainable communities e.g. good public transport, walking and cycling routes, open space and green infrastructure. 2) Not meeting the funding profiles (e.g. Local Growth Fund) and losing the funding.										
Original			Current			Tolerance Target				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
3	5	15	3	4	12	3	2	6	Apr-17	Amber
Tasks to mitigate the risk										
1.1) Independent Evaluation Group team and District Council staff to complete draft Local Growth Fund 3 (LGF3) business cases by end of November 2016 to maximise the chance of success. Funding will be announced in Autumn Statement, and the Local Enterprise Partnership will make a decision in the autumn/winter 2016/17.										
1.2) Respond to Roads Investment Strategy 2 (RIS2) call for evidence by July 2016 to maximise chance of securing additional trunk road improvements. Provide business case evidence for priorities to Highways England by end of the year.										
1.3) Actively promote and lobby to secure funding for the Great Yarmouth Third River Crossing. Submit Third River Crossing Outline Business Case to the Department for Transport by April 2017 to ensure we have a chance of being considered for funding.										
1.4) Review Planning Obligations Standards annually to ensure we are seeking the maximum possible contributions from developers. Officer review December 2016. Member adoption March/April 2017.										
2.1) Manage and oversee development and delivery of individual Local Growth Fund schemes bringing forward spend on some to offset lag on others and targeting the highest priority schemes and those that have the greatest impact. All the LGF schemes have been deemed worthy of funding by the Local Enterprise Partnership as they address the identified needs. Determine a revised programme for Norfolk schemes that still meets overall profile and agree with Local Enterprise Partnership by autumn 2016.										
2.2) Periodically review timescales for S106 funding to ensure it is spent before the end date and take action as required. Review by end of December 2016.										
Progress update										

## Progress update

1.1) Business cases for priority projects completed in July 2016, continuing to work through business cases for all schemes to meet deadlines for New Anglia Local Enterprise Partnership (NALEP) decision making. Discussed LEP pipeline schemes at last IEG Transport and Infrastructure Programmes meeting and agreed to assign the most appropriate person to each business case. This could include non IEG staff being responsible for some business cases.

1.2) Responded to Roads Investment Strategy 2 call for evidence in July 2016. Commissioned Mouchel to produce business cases and these are on target to be completed by the end of December 2016. Meeting to be arranged with DfT to discuss them in early 2017.

1.3) Our bid for fast track funding from the Department for Transport to prepare an Outline Business Case (OBC) for the Great Yarmouth Third River Crossing was successful (Announced on 5 August 2016). Mouchel and NCC staff currently working to a tight timetable to have a robust Outline Business Case for submission in March 2017. This successful bid negated the need for the House of Commons reception. Recently met with DfT and agreed the modelling and appraisal technique for the March 2017 submission. The most robust methodology that fully utilised the newly collected survey data was unacceptable to DfT as it would not be completed until June 2017. Agreed to revert to original methodology but to investigate additional assurance aspects.

1.4) Attended regional meetings and meetings of the Planning Officer Society to inform the December review.

2.1) Discussions with the Capital Programme Manager, the individual scheme designers, and construction staff are in progress to determine realistic delivery programmes for each scheme taking into account known planning and resourcing issues.

2.2) Various S106 for improvements to the Longwater interchange have been programmed and dovetailed with the Local Growth Fund funding to ensure they are spent before any deadline dates.

<b>Risk Number</b>	RM002		<b>Date of update</b>		12 December 2016					
<b>Risk Name</b>	The potential risk of failure to manage significant reductions in local and national income streams									
<b>Risk Owner</b>	Simon George		<b>Date entered on risk register</b>		01 July 2015					
<b>Risk Description</b>										
This may arise from global or local economic circumstances (i.e. Brexit), government policy on public sector budgets and funding. As a result there is a risk that the Medium Term Financial Plan savings required for 2016/17- 2019/20 are not delivered because of uncertainty as to the scale of savings resulting in significant budget overspends, unsustainable drawing on reserves, and severe emergency savings measures needing to be taken. The financial implications are set out in the Council's Budget Book, available on the Council's website.										
<b>Original</b>			<b>Current</b>			<b>Tolerance Target</b>				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
4	5	20	3	5	15	3	4	12	Feb-17	Amber
<b>Tasks to mitigate the risk</b>										
Medium term financial strategy and robust budget setting within available resources. No surprises through effective budget management for both revenue and capital. Budget owners accountable for managing within set resources. Determine and prioritise commissioning outcomes against available resources and delivery of value for money. Regular and robust monitoring and tracking of in-year budget savings by CLT and members. Regular finance monitoring reports to Committees. Close monitoring of central government grant terms and conditions to ensure that these are met to receive grants. Plans to be adjusted accordingly once the most up to date data has been received.										
Overall risk treatment: reduce										
<b>Progress update</b>										
Government's 2016-17 local government finance settlement reflected in the 2016/17 budget and Medium term Financial Strategy. Policy and Resources Committee on 18 July 2016 considered the latest position and agreed a timetable to consider 2017/18 budget and future Medium Term Financial Strategy. The October and November Policy and Resources Committee meetings considered the budget position for 2017/18 including the implications from the Autumn statement. Further updates will be provided to the February Policy and Resources Committee before an updated medium term financial strategy is considered for approval at full council in February 2017.										

<b>Risk Number</b>	RM003					<b>Date of update</b>		15 December 2016		
<b>Risk Name</b>	Potential reputational and financial risk to NCC caused by failure to comply with statutory and/(or) national/local codes of practice.									
<b>Risk Owner</b>	Simon George					<b>Date entered on risk register</b>		30 September 2011		
<b>Risk Description</b>										
There is a risk of failing to comply with statutory and/(or) national/local codes of practices in relation to Information Compliance. This could lead to significant reputational and financial risk for NCC.										
<b>Original</b>			<b>Current</b>			<b>Tolerance Target</b>				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
3	5	15	3	4	12	2	4	8	Dec-16	Amber
<b>Tasks to mitigate the risk</b>										
1) Implementation of SIRO (Senior Information Risk Owner) , CIO (Chief Information Officer), Corporate Information Management Team encompassing Information Management, Information Governance, Records Management, policies confirming responsibilities.										
2) Ensure that information and data held in systems (electronic and paper) is accurate, up to date, comprehensive, secure against security breaches, and fit for purpose to enable managers to make confident and informed decisions.										
3) Ensure that all staff and managers are provided with training, skills, systems and tools to enable them to meet the statutory standards for information management.										
The current impact score is at 4 to take into account the increase in corporate tools to manage and ensure compliance - Information Asset Register, Policies and Procedures, Training and Awareness Strategy and Business buy-in.										
The target date has been changed to take into account any recommendations to be undertaken as a result of the ICO Audit.										
Overall risk treatment: reduce										
<b>Progress update</b>										
The Corporate Information Management Strategy and IM Maturity Readiness Plan was signed off by CLT on the 11th March 2016. The strategy and plan have been developed around the 7 National Archive Information Principles.										
The IM Maturity Readiness plan has objectives and outcomes around the key information management tasks identified within the risk. The plan is initially focussed on the first three information principles as the foundation layers, Information is a valued asset, information is managed and information is fit for purpose.										
Data cleansing has started in relation to Children's and Adult's social care information pre-procurement. The council now has a corporate Information Asset Register in line with industry best practice, which all services have added their key information assets and these have identified Information Asset Owners(IAOs) associated with them. The SIRO will recieve quarterly exception reports from the IAO'										

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s and the IAO's will on a regular update thee assets and any risks associated with them. The governance of the monitoring of the register and the assets themselves has been agreed with the SIRO and identified to the Caldicott Guardians.

6 New Corporate Information Management Policies signed off by Business Leads, the Caldicott Guardians and the SIRO, have been implemented within the council along with 30+ Corporate procedures signed off by business leads. In tandem a comms strategy has been implemented along with a robust Training and Awareness strategy including action and implementation plans.

The ICO audited the Council on the 11th to the 13th October 2016 and the Council is now awaiting the final report. The Maturity Readiness Plan is being monitored by the Business Intelligence/Information Management Programme Board on a monthly basis with highlight reports. The scrutiny will also be provided by regular updates to CLT.

<b>Risk Number</b>	RM004					<b>Date of update</b>		26 October 2016		
<b>Risk Name</b>	The potential risk of failure to deliver effective and robust contract management for commissioned services.									
<b>Risk Owner</b>	Simon George					<b>Date entered on risk register</b>		01 July 2015		
<b>Risk Description</b>										
Ineffective contract management leads to wasted expenditure, poor quality, unanticipated supplier default or contractual or legal disputes The council spends some £600m on contracted goods and services each year.										
<b>Original</b>			<b>Current</b>			<b>Tolerance Target</b>				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
3	4	12	3	4	12	2	3	6	Mar-17	Amber
<b>Tasks to mitigate the risk</b>										
1) Agree a standard corporate approach to the management of significant contracts.										
2) Conduct a gap analysis, initially focused on the top fifty contracts.										
3) Put in place an action plan based on the gap analysis										
4) The October 2016 P&R report should update Members on the procurement procedure.										
Overall risk treatment: reduce										
<b>Progress update</b>										
1) CLT agreed the standard approach on 30 June 2016.										
2) An initial gap analysis is under way on five pilot contracts. This will be used to refine the approach.										
3) Subsequently, the gap analysis will be extended to the remainder of the top fifty contracts, then to a further tranche of some 45 contracts.										
4) The October 2016 P&R report updated Members on procurement procedure.										
The target date is March 2017, given the early findings from the gap analysis.										

<b>Risk Number</b>	RM006					<b>Date of update</b>		10 November 2016		
<b>Risk Name</b>	The potential risk of failure to effectively plan how the Council will deliver services over the next 3 years commencing 2015/16.									
<b>Risk Owner</b>	Wendy Thomson					<b>Date entered on risk register</b>		01 July 2015		
<b>Risk Description</b>										
The failure in strategic planning meaning the Council lacks clear direction for resource use and either over-spends, requiring the need for reactive savings during the life of the plan, or spends limited resources unwisely, to the detriment of local communities.										
<b>Original</b>			<b>Current</b>			<b>Tolerance Target</b>				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
3	5	15	3	5	15	1	5	5	Feb-17	Green
<b>Tasks to mitigate the risk</b>										
1) Clear robust planning framework in place which sets the overall vision and priority outcomes. A council-wide strategy which seeks to shift focus to early help and prevention, and to managing demand 2) Strategic service and financial planning process which translates the vision and priorities into achievable, measurable objectives, with clear targets. 3) A robust annual process to provide evidence for Members to make decisions about spending priorities. 4) Sound engagement and consultation with stakeholders and the public. 5) A performance management system which ensures resources are used to best effect, and that the Council delivers against its objectives and targets.										
Overall risk treatment: reduce										
<b>Progress update</b>										
1) Full Council agreed a three-year medium term financial and service strategy, including the budget for 2016/17, at its meeting on February 22nd 2016. In making their decisions, Councillors had the benefit of extensive feedback from public consultation, which had been considered in some detail by all Committees. 2) A new County Council Plan was considered by Policy and Resources and was agreed by Full Council, together with the County Plan Tracker to monitor performance and delivery. 3) The Plan outlines the strategic context for the Council, providing direction and guides strategic and resource choices. It will then translate into delivery at a service committee level, setting out actions to address the four priority outcomes, objectives for the Department's core business; spending plans - what the money will be spent on and what it will deliver/achieve; performance, risk and accountability framework 4) Regular performance reporting to committees is focusing attention on poorly performing areas and highlighting areas of good performance. Dashboards are used, providing a summary of key performance indicators (KPIs) which focus on key areas agreed by Members and Chief Officers, together with the red, amber, green rating (RAG) ratings and direction of travel (DoT). 5) All Committees have reviewed savings proposals for 16/17, and taken action to strengthen delivery or re-profile. All Committees have identified additional savings for 2017/18 in line with the financial context and these are subject to consultation and engagement, where that is required.										

<b>Risk Number</b>	RM007					<b>Date of update</b>		15 December 2016		
<b>Risk Name</b>	Potential risk of organisational failure due to data quality issues.									
<b>Risk Owner</b>	Simon George					<b>Date entered on risk register</b>		01 July 2015		
<b>Risk Description</b>										
Failure to manage the data quality will prevent us from ensuring that data relating to key Council priorities is robust and valid. This places the Council at risk of making decisions using data that is not always as robust as it should be. This may lead to poor or ineffective commissioning, flawed decision making and increased vulnerability of clients, service users and staff.										
<b>Original</b>			<b>Current</b>			<b>Tolerance Target</b>				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
3	5	15	3	5	15	2	4	8	Dec-16	Amber
<b>Tasks to mitigate the risk</b>										
1) Implementation of the Information Management Strategy, Information Governance Framework, Data Protection, Information Sharing, Freedom of Information, Records Management, Managing Information Risk, and Information Security.										
2) Information Compliance Group (ICG) has the remit to ensure the overarching Information Governance Framework is embedded within business services and NCC and elements of the IM Maturity Readiness Plan.										
3) Ensuring that all staff and managers are provided with training, skills, systems and tools to enable them to meet the statutory/NCC standards for information management.										
4) Ensuring the Mandated E-Learning Data Protection 3 year refresher data - Information sent to CLT and CLG on a monthly basis for review and action										
5) NCC is PSN accredited										
6) NCC is NHS Information Governance Toolkit compliant to Level 2										
7) The implementation of a corporate Records Management solution										
8) The implementation of a corporate Identity and Access Management solution										
The target date has been changed to take into account any recommendations to be undertaken as a result of the ICO Audit.										
Overall risk treatment: reduce										
<b>Progress update</b>										



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The Corporate Information Management Strategy and IM Maturity Readiness Plan was signed off by CLT on the 11th March 2016. The strategy and plan have been developed around the 7 National Archive Information Principles.

The IM Maturity Readiness plan has objectives and outcomes around the key information management tasks identified within the risk. The plan is initially focussed on the first three information principles as the foundation layers, Information is a valued asset, information is managed and information is fit for purpose.

October 16 compliance rate for 3 Yr Refresher is 98.2% - 3.2% higher than the target for the vital sign of 95%.

A pilot training programme has been initiated concerning - increasing data accuracy skills. The pilot is for 32 staff across all services.

The council now has a corporate Information Asset Register in line with industry best practice, which all services have added their key information assets and these have identified Information Asset Owners (IAOs) associated with them. The SIRO will receive quarterly exception reports from the IAO's and the IAO's will regularly update their assets and any risks associated with them. The governance of the monitoring of the register and the assets themselves has been agreed with the SIRO and identified to the Caldicott Guardians.

The ICO audited the Council on the 11th to the 13th October 2016 and the Council is now awaiting the final report.

The Maturity Readiness Plan is being monitored by the BI/IM Programme Board on a monthly basis with highlight reports. The scrutiny will also be provided by regular updates to CLT.

Norfolk County Council is NHS IG toolkit accredited for 2016/17, and the council is preparing for the re-accreditation in March 2017.

The Council received re-accreditation for PSN compliance on 14/12/16.

Risk Number	RM010		Date of update		15 December 2016					
Risk Name	The risk of the loss of key ICT systems including: - internet connection; - telephony; - communications with cloud-provided services; or - the Windows and Solaris hosting platforms.									
Risk Owner	Simon George		Date entered on risk register		02 September 2015					
Risk Description										
Loss of core / key ICT systems, communications or utilities for a significant period - as a result of physical failure, fire or flood, supplier failure, misconfiguration or loss of PSN accreditation - would result in a failure to deliver IT based services leading to disruption to critical service delivery, a loss of reputation, and additional costs. Overall risk treatment: reduce.										
Original			Current			Tolerance Target				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
3	4	12	3	4	12	1	3	3	Jun-17	Amber
Tasks to mitigate the risk										
1) Full power down in June 2015, completion of electrical works and test of ability to restore service.										
2) Catalogue key ICT systems by 30th Sept 2015 - determine Recovery Time Objectives ("How long to restore") and Recovery Point Objectives ("acceptable amount of data loss") with business owners by 31st Oct.										
3) Develop rolling Disaster Recovery test schedule by 30th Nov.										
4) Determine target location for Highways Management System, CareFirst, Oracle e-Business Suite and Windows servers										
5) Complete voice and data network re-procurement by 31st Dec to mitigate resilience issues, including with telephony, the data network, remote access, mobile devices and schools services.										
6) Take necessary steps to retain PSN accreditation.										
Overall risk treatment: reduce										
Progress update										
1) Full power down completed and procedures updated from lessons learned.										
2) Recovery Time Objectives drafted - to be reviewed by the business to ensure that they meet business continuity requirements.										
3) Initial set of Disaster Recovery tests will be undertaken, associated with testing failover of the new network. A rolling programme will follow.										
4) Cloud-based highways management system has been implemented; procurement starting for CareFirst replacement (will be resiliently hosted by April 2018 - work is in progress); review of Oracle hosting has been commenced in light of this (timescales to be confirmed); review of Windows hosting still to be completed. This will be included within the scope of the formal joint review by Norfolk County Council and Hewlett Packard of the DNA contract during June 2016. Work is in progress.										
5) Voice and Data network procurement completed and once implemented will improve resilience by April 2017.										
6) The Council received re-accreditation for PSN compliance on 14/12/16.										

<b>Risk Number</b>	RM011					<b>Date of update</b>		22 December 2016		
<b>Risk Name</b>	The potential risk of failure to implement and adhere to an effective and robust performance management framework.									
<b>Risk Owner</b>	Wendy Thomson					<b>Date entered on risk register</b>		02 September 2015		
<b>Risk Description</b>										
The failure of leadership to adhere to robust corporate performance practice / guidance, resulting in organisational / service performance issues not being identified and addressed. This will have a detrimental impact on future improvement plans and overall performance and reputation of the Council.										
<b>Original</b>			<b>Current</b>			<b>Tolerance Target</b>				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
3	4	12	3	4	12	1	3	3	Mar-17	Amber
<b>Tasks to mitigate the risk</b>										
A review of the tasks to mitigate and to reduce this risk has been undertaken in April 2016 and the following actions for 2016/17 have been identified:-										
1) CLT/CLG developing a new performance management framework to better align priorities, resources and managerial accountability for delivering results. This includes better linking of the new set of performance indicators (vital signs & organisational health measures) with senior manager individual performance appraisal ratings. To implement a new set of common leadership objectives (for the second year).										
2) For CLT to regularly review the quality and robustness of our people performance management framework and ensure consistent adherence across NCC. To undertake a review and audit in August/September 17 against agreed criteria. To track appraisal completions of the 2016 end of year appraisals and to ensure an improvement on the 2015 81% completion rates.										
3) To evaluate the Performance Conversations skills workshops that 500 managers attended - and follow up to ensure that this learning is embedded across the organisation.										
4) CLT to agree focus for further performance management skills development - following assessment of gaps.										
Overall risk treatment: reduce.										
<b>Progress update</b>										
Whilst progress has been made on implementing key actions the risk scores are assessed as remaining the same; given the criticality of this area. It is essential that this work continues with managers to achieve a major shift in the day to day performance routines of all levels of managers. Set out below is progress in the last 12 months:										
1) New performance framework in place and a number of briefings and development work has been undertaken with CLT/CLG.										
2) Appraisal completion rates 81% (variation of 57% to 95% in different parts of the Council) in 2015 - County Leadership Team agreed to track & improve on this for 2016.										
3) In the last year, we have started to achieve a greater understanding in our management population of the gaps in our performance framework and their role in addressing the changes needed.										
4) In 2015/16 the sickness levels improved and we exceeded the Council's target for NCC services. Average sickness per fte reduced to 7.66 days 15/16 from 8.35 in 14/15 (Target 7.81).										

Risk Number	RM013					Date of update		26 October 2016		
Risk Name	The potential risk of failure of the governance protocols for entities controlled by the Council, either their internal governance or the Council's governance as owner. The failure of entities controlled by the Council to follow relevant guidance or share the Council's ambitions.									
Risk Owner	Wendy Thomson					Date entered on risk register		02 September 2015		
Risk Description										
The failure of governance leading to controlled entities: Non Compliance with relevant laws (Companies Act or other) Incurring Significant Losses or losing asset value Taking reputational damage from service failures Being mis-aligned with the goals of the Council The financial implications are described in the Council's Annual Statement of Accounts 2015-16, from page 88, covering Group Accounts available on the Council's website at <a href="http://bit.ly/2f0MLP3">http://bit.ly/2f0MLP3</a> .										
Original			Current			Tolerance Target				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
1	4	4	1	4	4	1	4	4	Sep-16	Green
Tasks to mitigate the risk										
1) All controlled entities and subsidiary companies have a system of governance which is the responsibility of their Board of Directors. The Council needs to ensure that it has given clear direction of it's policy, ambitions and expectations of the controlled entities. The NORSE Group objectives are for Business Growth and Diversification of business to spread risks. Risks need to be recorded on the Group's risk register.										
2) The NORSE board includes a Council Member and is currently chaired by the Executive Director of Communities and Environmental Services of the Council. There is a shareholder committee comprised of six Members. The shareholder committee should meet quarterly and monitor the performance of NORSE. A member of the shareholder board, the shareholder representative, should also attend the NORSE board.										
3) The Council holds control of the Group of Companies by way of its shareholding, restrictions in the NORSE articles of association and the voting rights of the Directors. The mission, vision and value statements of the individual NORSE companies should be reviewed regularly and included in the annual business plan approved by the Board. NORSE should have its own Memorandum and Articles of Association outlining its powers and procedures, as well as an overarching agreement with the Council which outlines the controls that the Council exercises over NORSE and the actions which require prior approval of the Council.										
Overall risk treatment: reduce										
Progress update										

## Progress update

1) There are regular Board meetings, share holder meetings and reporting as required. Risks are recorded on the NORSE group risk register.

2) The Norse Group follows the guidance issued by the Institute of Directors for Unlisted Companies where appropriate for a wholly owned local authority company. The shareholder committee meets quarterly and monitors the performance of NORSE. A member of the shareholder board, the shareholder representative, also attends the NORSE board.

3) The Council has reviewed its framework of controls to ensure it is meeting its Teckel requirements in terms of governance and control, and a series of actions has been agreed by the Policy and Resources Committee.

The NORSE "Consents" backlog has been cleared via reporting to the P&R Committee.

All County Council subsidiary limited company Directors have been approved by full council.

New Chair of NORSE (Tom McCabe) appointed.

New Senior Commissioner appointed (Al Collier) to replace the outgoing Senior Commissioner.

Updated report on NORSE governance to come to P&R in November 2016.

<b>Risk Number</b>	RM014a					<b>Date of update</b>		28 November 2016		
<b>Risk Name</b>	The amount spent on home to school transport at significant variance to predicted best estimates									
<b>Risk Owner</b>	Michael Bateman					<b>Date entered on risk register</b>		04 November 2015		
<b>Risk Description</b>										
There is a risk that the amount spent on home to school transport is at significant variance (overspend) to predicted best estimates. Cause: Home to school transport being a demand led service. Event: The amount spent on home to school transport is at significant variance with the predicted best estimates. Effect: Significant overspend on home to school transport than has been estimated for. Rising transport costs, the nature of the demand-led service (particularly for students with special needs) and the complexities involved in sustaining reductions in the need for transport or the distance travelled could result in a continued overspend on the home to school transport budgets and costs not being reduced by the required amount.										
<b>Original</b>			<b>Current</b>			<b>Tolerance Target</b>				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
3	3	9	4	3	12	2	3	6	Mar-17	Red
<b>Tasks to mitigate the risk</b>										
Continue to enforce education transport policy, and work with commissioners re school placements. Continually review the transport networks, to look for integration and efficiency opportunities. Work with Norse to reduce transport costs and ensure the fleet is used efficiently and effectively. Look for further, more innovative, ways to plan, procure and integrate transport. There is the potential to sign up to the Hackney Community Transport (HCT) 'payment by results' initiative, which has seen successful results in implementing independent travel training for pupils who have SEN transport requirements, and delivering clear budget savings.										
Overall risk treatment: reduce.										
<b>Progress update</b>										
Monthly SEN Transport Budget Meeting now embedded to ensure frequent and consistent joint working between Transport/SEN commissioners in Children's Services and the Passenger Transport Unit; review of exceptional cases criteria, application of policy, early warning of legislation and case-law impact on costs. Travel time/cost reduction is key element of new Education Inclusion Strategy and its implementation is being supported by a dedicated project manager using DfE grant money and a new post for 'Transport Invest to Save' has been recommended for funding from this grant also; to reduce the number of children needing to access alternative specialist provision or, if necessary, then to attend local specialist provision, the impact of this is not likely to kick in until latter part of 2016/17. The LA continues to be fully engaged with the Chairs of the Headteacher Associations and the Chair of the Schools' Forum / Governor Association to ensure that the strategy is jointly developed, owned and implemented. SEN budget has been split down to lower levels and regular data is being sent to decision-makers in Children's Services to enable further transparency and better budget monitoring. While student numbers continue to decrease in secondary and Post 16 education, spend is reducing. The head of Education Inclusion Service has confirmed, with colleagues with Passenger Transport Unit, that Norfolk County Council can sign-up to the Hackney Community Transport 'payment by results' initiative. Whilst details of the programme are pending, the plan over the next 5 years, is for a cohort of 100 pupils per year to be targeted for this intensive work via Hackney Community Transport (HCT). The Head of Education Inclusion Service has met with all special school headteachers and the CEO of Engage Trust, and there was full agreement to work with HCT on this initiative. Data is now available for out of county transport, to enable transport managers and the Schools Admission Manager to understand the length and frequency of journeys to schools outside of Norfolk.										

<b>Risk Number</b>	RM014b					<b>Date of update</b>		30 November 2016		
<b>Risk Name</b>	The savings to be made on Adult Social Services transport are not achieved.									
<b>Risk Owner</b>	Janice Dane					<b>Date entered on risk register</b>		04 November 2015		
<b>Risk Description</b>										
The risk that the budgeted savings of £3.8m to be delivered by 31 March 2017 will not be achieved.										
<b>Original</b>			<b>Current</b>			<b>Tolerance Target</b>				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
3	3	9	4	3	12	2	3	6	Mar-17	Red
<b>Tasks to mitigate the risk</b>										
As part of reviews and reassessments identify the potential to reduce transport costs, eg by using local services that meet needs, using mobility allowance/motability vehicles - and work with individuals to achieve this. Travel and Transport continually review the transport networks, to look for integration and efficiency opportunities, and reprocure transport. Work with Norse to reduce transport costs and ensure the fleet is used efficiently and effectively.										
<b>Progress update</b>										
Project set up in ASSD. One FTE in Travel and Transport now dedicated to helping ASSD transport savings programme. Regular data and costs are being sent to ASSD managers. Titan (Travel Independent Training Across the Nation) training is being piloted from October eg so that people can use public transport by themselves. Reviewing business case following detailed costings to refurbish a centre in Thetford to provide day services for younger people with complex Learning Difficulties in that area rather than them having to travel long distances which will result in savings. Engagement events held to encourage transport providers to sign up to Trusted Traders for Transport so that where people are able they can arrange and pay for transport themselves and it is being promoted in Your Norfolk. Data has been analysed by the project team and potential savings identified, but the teams haven't got the capacity to do the reassessments of service users at pace and people didn't apply for the additional posts that have been created. Part of regular report to ASSD SMT and Promoting Independence Programme Board. The department is working with Travel and Transport and Childrens to find someone to carry out a Transport Review to complement the work already carried out. This will also need to sit alongside any other work being undertaken corporately on transport. The review would include looking at: good practice in other authorities in Adult Social Services Transport, especially those who have a relatively low spend on transport; and what efficiencies could be made in the administration, management and procurement of transport for Adult Social Services.										



<b>Risk Number</b>	RM016					<b>Date of update</b>		10 November 2016		
<b>Risk Name</b>	Failure to adequately embed Business Continuity into the organisation.									
<b>Risk Owner</b>	Tom McCabe					<b>Date entered on risk register</b>		10 December 2015		
<b>Risk Description</b>										
To ensure disruption is minimised and ensure that we are able to maintain services and respond appropriately to a significant incident (Major or Moderate) both within and out of core office hours (N.B. this risk will be scored differently for different departments due to different levels of preparedness).										
<b>Original</b>			<b>Current</b>			<b>Target</b>				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
2	5	10	2	5	10	2	3	6	Jun-17	Green
<b>Tasks to mitigate the risk</b>						<b>Progress update</b>				
1) All corporately agreed critical activities must have comprehensive Business Continuity plans. Plans to be agreed at Senior Management meetings.						1) 85% of BC plans completed across the organisation including 90% of critical plans. 65% of BC Plans have been reviewed within the last 12 months including 79% of critical plans. The Corporate BC plan is being reviewed and updated. The Resilience Team audits all plans as they are received and provides feedback to service managers where changes are required.				
2) That departments are represented at Resilience Management Board meetings, that training is completed and that departments complete exercises/tests.						2) Most departments are represented at meetings regularly. Resilience and ICT followed up the initial meeting of 6th June and a list of actions were agreed at the latest meeting on the 1st July to strengthen ICT Business Continuity arrangements. Resilience have presented at the ICT Board, as a result members agreed to the ICT Continuity work proposed. We have invited the Head of Procurement to the Resilience Management Board to present on Supplier Continuity. Training and exercising has begun but a full programme of training and exercising needs to be developed.				
3) First stage is a planned exercise to take place with the Customer Service Centre at the Corporate work area recovery (WAR) site, the second step is to complete an exercise with the Resilience representatives at the Professional Development Centre (WAR site). Also, an exercise with the Resilience Management Board and CLT.						3) A recent visit at the Work Area Recovery site confirmed that a test with the CSC can be organised in the next 6 months. A date has been agreed and planning meetings booked in. The exercise will test several parts of the CSC plan. It is important to highlight that the scenario we will be testing will be loss of access to County Hall not loss of infrastructure at County Hall. Once this has been completed an assessment will be carried out on how other services could use the site and document invocation procedures if the site needed to be used both in and out of hours. CLT have had a number of briefings from the Resilience Team as well as an exercise on the impact of pandemic flu.				



Tasks to mitigate the risk	Progress update
4) Complete a Business Impact Analysis every two years and review risks which could affect critical activities.	4) This has been completed and 93% of BIAs were returned. The Resilience Board has confirmed the critical activities as a result of this process. Resilience representatives completed a session on the risks to critical activities and ICT was identified as a high risk area that services were concerned about. The next BIA will be completed in September 2017.
5) To review Business Continuity E-Learning Course, relaunch, monitor uptake.	5) The online BC e-learning is available. We will promote the current e-learning module and monitor uptake.

<b>Risk Number</b>	RM017					<b>Date of update</b>		04 January 2017		
<b>Risk Name</b>	Failure to construct and deliver the Norwich Northern Distributor Route (NDR) within agreed budget (£179.5m)									
<b>Risk Owner</b>	Tom McCabe					<b>Date entered on risk register</b>		26 November 2015		
<b>Risk Description</b>										
There is a risk that the NDR will not be constructed and delivered within budget. Cause: environmental and/or contractor factors affecting construction progress. Event: The NDR is completed at a cost greater than the agreed budget. Effect: Failure to construct and deliver the NDR within budget could result in the inability to deliver other elements proposed in the Norwich Area Transport Strategy (NATS) Implementation Plan. It could also result in a reduction in delivering economic development and negatively impact on Norfolk County Council's reputation. Exceeding the budget will also potentially impact wider NCC budgets and its ability to deliver other highway projects or wider services (depending on the scale of any overspend).										
<b>Original</b>			<b>Current</b>			<b>Tolerance Target</b>				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
3	3	9	4	3	12	2	2	4	Feb-18	Red
<b>Tasks to mitigate the risk</b>										
The total project budget agreed by Full Council (November 2015) is £179.5m.										
1) Put in place a project Board and associated governance mechanisms . Monthly reporting to be provided to the Board (Chaired by Tom McCabe).										
2) Develop a project team to include sufficient client commercial scrutiny throughout the works by Balfour Beatty, which includes a commercial project manager.										
3) Main clearance works, archaeological investigation and utility diversions to start on 4 January 2016. This will enable main construction to meet start planned for March 2016 to keep programme as short as possible.										
4) Assemble project controls and client team to ensure sufficient systems and staffing in place to monitor costs throughout delivery of project.										
5) Cost reduction opportunity meetings to be held throughout the duration of the construction.										
6) Provide assurance of budget management governance through audits.										
Overall risk treatment: reduce										
<b>Progress update</b>										

## Progress update

- 1) The project Board is in place and monthly reporting on progress, cost and risk is being provided to the Board.
  - 2) The project team is developed and includes client construction and commercial project managers who will provide scrutiny throughout the works. The contract is incentivised to focus the whole delivery team (client & contractor) to stay within the agreed budget.
  - 3) Main clearance works, archaeology and early utility diversions have been delivered on programme (with the risks of environmental and archaeology constraints restricting progress now passed). However, whilst progress is good, there remained some pressures on programme, with Network Rail approvals taking longer than planned for the Rackheath Bridge. Poor weather in June 16 also slowed progress, but this has largely been recovered. The impacts on budget (including land costs) are being continually reviewed and monitored and reported, but there is a risk to the overall budget.
  - 4) Project administration controls and client commercial team are in place to ensure sufficient systems and staffing to monitor costs and contract information throughout delivery of project. This includes reviewing allowable costs and checking all payments and invoicing.
  - 5) Entire team are focussed on reducing costs and this is reviewed regularly, particularly in relation to any necessary contract changes and programme management.
- A Special Projects Support Manager has been assigned to the NDR project to provide additional capacity on our commercial side.
- 6) A governance (delegated purchasing of land) audit and a contract variations audit to be carried out in the first half of 2017/18.

<b>Risk Number</b>	RM018					<b>Date of update</b>		22 December 2016		
<b>Risk Name</b>	Potential failure to meet the needs of children in Norfolk.									
<b>Risk Owner</b>	Andrew Bunyan					<b>Date entered on risk register</b>		01 December 2013		
<b>Risk Description</b>										
CS Teams do not show the improved performance at the speed which is acceptable to DfE and Ofsted and subsequently, children and families do not receive a good/outstanding service.										
<b>Original</b>			<b>Current</b>			<b>Tolerance Target</b>				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
2	5	10	2	5	10	1	5	5	Mar-17	Amber
<b>Tasks to mitigate the risk</b>										
Action plans are being designed and delivered following each Ofsted monitoring visit.										
Strategic partnership arrangement is being developed with Barnardo's to focus on LAC and Care Leavers.										
Essex CC have been commissioned by the DfE to support our improvement activity.										
<b>Progress update</b>										
Feedback from the first monitoring visit was generally positive. All areas for development identified by Ofsted in that visit have been captured in the action plan.										
A joint innovations fund bid has been submitted with Barnardo's to assist in funding the partnership approach. Governance arrangements are being discussed.										
Colleagues from Essex have visited and we have provided them with a locality-level stocktake in order to inform them of current performance and to help identify where their support would be most beneficial.										

<b>Risk Number</b>	RM019		<b>Date of update</b>		22 December 2016					
<b>Risk Name</b>	Failure to deliver a new fit for purpose social care system on time and to budget.									
<b>Risk Owner</b>	James Bullion		<b>Date entered on risk register</b>		24 February 2016					
<b>Risk Description</b>										
A new Social Care system is critical to the delivery and efficiency of Adults and Children's Social Services. This is a complex project and the risk is the ability to deliver on time along with the restriction on making any system changes to the existing system (Carefirst)										
<b>Original</b>			<b>Current</b>			<b>Tolerance Target</b>				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
4	5	20	3	5	15	1	4	4	Jun-18	Green
<b>Tasks to mitigate the risk</b>										
1) Complete tendering exercise, and award the contract.										
2) Provide clear governance overseen by CLT.										
3) Set up a project team to manage the project.										
4) Determine go live dates for Adults Services, Childrens Services, and Finance.										
<b>Progress update</b>										
1) After an extensive tendering exercise, the contract has been awarded to Liquid Logic.										
2) Clear governance is in place. The Project Sponsors are in place for Adults Services, Children's Services, and Finance. This is overseen by CLT. There are weekly JLAG sessions with the Project Sponsors and the Project Team. Monthly update to Adults SMT. Regular updates to Adults Committee and to CLT.										
3) A Project Team has been up and running since January 2016 with strong practitioner involvement.										
4) Adults and Finance will go live in November 2017 and Children's in April 2018.										

<b>Risk Number</b>	RM020a		<b>Date of update</b>		18 December 2016					
<b>Risk Name</b>	Failure to meet the long term needs of Norfolk citizens.									
<b>Risk Owner</b>	James Bullion		<b>Date entered on risk register</b>		11 October 2012					
<b>Risk Description</b>										
If the Council is unable to invest sufficiently to meet the increased demand for services arising from the increase in the population of older people in Norfolk it could result in worsening outcomes for service users, promote legal challenges and negatively impact on our reputation. With regard to the long term risk, bearing in mind the current demographic pressures and budgetary restraints, the Local Government Association modelling shows a projection suggesting local authorities may only have sufficient funding for Adult's and Children's care.										
<b>Original</b>			<b>Current</b>			<b>Tolerance Target</b>				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
5	5	25	4	5	20	2	4	8	Mar-30	Amber
<b>Tasks to mitigate the risk</b>										
1) The refreshed Promoting Independence Programme will mitigate demand.										
2) Invested in appropriate prevention and reablement services										
3) The Better Care Fund requires development of a forward integration plan to align with the STP.										
<b>Progress update</b>										
1) The Target Demand Model sets out the demand changes required for sustainable social care which the Promoting Independence programme will seek to achieve.										
2) Fully recruited to the preventative (Norfolk First Support) service.										
3) Ensure budget planning process enables sufficient investment in adult social care.										

<b>Risk Number</b>	RM020b					<b>Date of update</b>		18 December 2016		
<b>Risk Name</b>	Failure to meet the needs of Norfolk citizens.									
<b>Risk Owner</b>	James Bullion					<b>Date entered on risk register</b>		01 April 2011		
<b>Risk Description</b>										
If the Council is unable to invest sufficiently to meet the increased demand for services arising from the increase in the population of people in Norfolk it could result in worsening outcomes for service users, promote legal challenges and negatively impact on our reputation.										
<b>Original</b>			<b>Current</b>			<b>Tolerance Target</b>				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
3	4	12	3	4	12	2	4	8	Mar-17	Amber
<b>Tasks to mitigate the risk</b>										
1) Mitigated by the PI programme refresh with Target demand management which mitigates demographic growth over three years										
<b>Progress update</b>										
1a) The Target Demand Model sets out the financial changes required for sustainable social care which the programme will seek to achieve.										
1b) Promoting Independence programme of work refreshed and delivery plan developed. Target demand model complete and focussed work on entry points, processes for older people and younger adults, cross cutting behavioural change and commissioning projects. Reprofiled savings have been recommended to P&R Committee.										

<b>Risk Number</b>	RM021		<b>Date of update</b>		22 December 2016					
<b>Risk Name</b>	Failure of Estate Management									
<b>Risk Owner</b>	Simon George		<b>Date entered on risk register</b>		21 June 2016					
<b>Risk Description</b>										
There is a risk that the Council does not have a clear policy around estate management, is not acting in line with the expectations of a landlord, and does not have sound tenancy agreements in place.										
<b>Original</b>			<b>Current</b>			<b>Tolerance Target</b>				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
4	3	12	4	3	12	2	2	4	Mar-17	Amber
<b>Tasks to mitigate the risk</b>										
1) County Farms Performance Review Meeting to be established and attended by officers.										
2) Recommendations from the County Farms audit report to be implemented with progress to be noted at the County Farms Performance Review Meetings.										
3) Follow-up audit to be established and reported to the January 2017 Audit Committee.										
<b>Progress update</b>										
1) The County Farms Performance Review Meeting has been established and officers meet regularly to consider improvements to estate management.										
2) Recommendations are currently being considered and implemented, and progress monitored at the County Farms Performance Review Meetings.										
3) The follow up audit is underway and will report to Audit Committee in January 2017.										



Risk Number	RM022		Date of update		11 November 2016					
Risk Name	Potential changes in laws, regulations, government policy or funding arising from the UK leaving the European Union, which may impact on Council objectives, financial resilience and affected staff.									
Risk Owner	Wendy Thomson		Date entered on risk register		26 July 2016					
Risk Description										
There are far-reaching implications to the Council, most notably for the Council's EU funded programmes supporting economic growth and regeneration, employment, environmental protection, research and development, and agricultural support within Norfolk. There is a risk that initially, implications for Norfolk County Council of the UK leaving the EU are not known or understood, causing uncertainty in Council business, planning, and service delivery. Uncertainty on both performance delivery and designation of the Council as Managing Authority following the EU referendum result could lead to an inability to draw down the funding required to manage the programme and have a significant reputation impact on the Council leading to an inability to submit payment claims to the EU. Cause: The EU Referendum held in June 2016, with the UK voting to leave the EU. Event: Article 50 being triggered with a limited understanding as to how the terms of exit affect Norfolk County Council service delivery. Effect: Uncertainty over the nature and the extent that the terms of exit triggered by invoking Article 50 will impact upon Norfolk County Council.										
Original			Current			Tolerance Target				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
4	3	12	4	3	12	3	3	9	Apr-17	Red
Tasks to mitigate the risk										
1) Officers to meet with key Government leads to keep updated on proposals, developments and risks. 2) Article 50 is yet to be triggered, so at this stage, Norfolk County Council should continue to monitor the post-Referendum environment. 3) Understand potential implications from the vote to leave the EU, by keeping abreast of official publications from local, central, and European government. 4) Engage with LGA to ensure all current funding is protected in post EU referendum decision making so that the economic benefit of the funding is not lost post EU referendum result and also that these funds be devolved locally. 5) Human Resources to support managers and staff who may be affected by this issue. 6) Meetings to take place with the Department for Communities and Local Government (DCLG) and the Department for Business, Innovation and Skills regarding funding to manage breaking the tie between programme performance and funding.										
Progress update										

## Progress update

- 1) Meetings will be held with the appropriate bodies.
- 2) Norfolk County Council is monitoring the post-Referendum environment, working to be as proactive as possible to events unfolding.
- 3) Working to understand potential implications from the vote to leave the EU, by keeping abreast of official publications from the Local Government Association (LGA). The government has pledged to introduce the Great Repeal Bill in 2017, which the Council will monitor progress with.
- 4) Engaging with LGA to ensure all current funding is protected in post EU referendum result decision making, allowing for funds to be devolved locally. In respect to European funds, the UK government has agreed to honour the funding commitment for any project agreed up until the point of leaving the European Union (expected to be March 2019).
- 5) Senior Managers have been advised of support available for officers affected by these issues.
- 6) Monthly meetings established with the Department for Communities and Local Government (DCLG) and the Department for Business, Innovation and Skills with specific focus on
  1. Gaining approval that the Authority will be designated funding in a timely manner
  2. Securing support to gain authority from the EU Commission to break the tie between programme performance and funding to manage the programme because of the added risk to performance that the EU referendum result has created.