

## Appendix B

Risk Number	RM001					Date of update		05 March 2019		
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			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	3	9	3	2	6	Mar-20	Amber
Tasks to mitigate the risk										
1.1) Work with other county council officers and partners including district councils to compile evidence for Local Growth Fund 3 (LGF3) schemes by LEP deadline to maximise the chance of success in autumn bidding round.										
1.2) Engage with Highways England over evidence base for RIS2 programme, and Network Rail for strategic rail delivery, and work with partners on advocacy and lobbying with government.										
1.3) Review Planning Obligations Standards annually to ensure we are seeking the maximum possible contributions from developers.										
1.4) Submit business cases for Pooled Business Rates (PBR) funding, and other funding bids as they arise through the year.										
2.1) Manage and oversee development and delivery of individual Local Growth Fund allocation schemes. Undertake consultation and feasibility work to determine priorities.										
2.2 Continue to build the relationship with the LEP to reduce the risk to the county council in having to fund budget increases on schemes. Build other strategic relationships.										
2.3) Periodically review timescales for S106 funding to ensure it is spent before the end date and take action as required. Periodic reviews for transport contributions and an annual review process for library and education contributions.										
Overall risk treatment: Treat										
Progress update										

## Progress update

1.1) Awaiting outcome of bid to LEP for A148/A1082 roundabout, To be decided at LEP Board meeting in March. Continuing to prepare for potential future funding opportunities.

1.2) Business cases to support NCC A47 priority schemes (Acle Straight and East Winch to Tilney dualling) completed. NCC led Just Dual It campaign with EDP and Norfolk Chamber. Working with MPs on event at Westminster in the autumn, although getting date from Minister is proving difficult. Working with other A47 Alliance partners on commissioning study on wider economic benefits. Continuing to work on GEML (Great Eastern Main Line; Norwich to London) and Ely Task Forces (rail). Network Rail has been commissioned to look at priority infrastructure projects at both. Local Authority partners on the GEML Task Force finalising commissioning wider economic benefits work. Continuing to support East West Rail Consortium; Eastern Section prospectus recently published.

1.3) Review of Planning Obligations Standards completed, to be agreed at EDT 8 March.

1.4) Developing schemes and projects including the following, part-funded from Pooled Business Rates:

King's Lynn Transport

Norwich Western Link

Fakenham Market Town Study

Downham Market Market Town

Study

Wroxham / Hoveton Market Town Study

Wymondham Market Town Study

Long Stratton Bypass

Bid for Major Road Network funds submitted to government for Long Stratton bypass, no decision to date. WSP commissioned to develop Regional Evidence Base, which is required to support Major Road Network and Large Local Major schemes across Norfolk, Suffolk, Essex and Southend.

Bid for Transforming Cities successful: shortlisted for funds. Bid for Tranche 1 (early delivery) schemes submitted. Continuing to work on developing the Tranche 2 programme, which needs to be submitted in the summer.

2.1) Report to be taken to the LEP Investment and Appraisal Committee for re-distribution of funds between projects to enable delivery of the LGF programme..

2.2) Maintaining good relations with partners including the LEP. Continuing to work as a key member of Transport East, the emerging Sub-National Transport Body. Have met DfT officials in respect of the Major Road Network, large local major schemes, and Transport East. Continuing to meet Highways England regularly regarding delivery of A47 RIS1 schemes.

2.3) Longwater S106 was reviewed and it was confirmed that these contributions are all still valid to contribute to the Dereham Road scheme.

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<b>Risk Number</b>	RM002					<b>Date of update</b>	07 March 2019				
<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 Strategy savings required for 2018/19- 2021/22 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>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	4	12	2	4	8	Mar-20	Amber	
<b>Tasks to mitigate the risk</b>											
<p>Medium Term Financial Strategy and robust budget setting within available resources.</p> <p>No surprises through effective budget management for both revenue and capital.</p> <p>Budget owners accountable for managing within set resources.</p> <p>Determine and prioritise commissioning outcomes against available resources and delivery of value for money.</p> <p>Regular and robust monitoring and tracking of in-year budget savings by Shadow Corporate Board and members.</p> <p>Regular finance monitoring reports to Committees.</p> <p>Close monitoring of central government grant terms and conditions to ensure that these are met to receive grants.</p> <p>Plans to be adjusted accordingly once the most up to date data has been received.</p> <p>Overall risk treatment:Treat</p>											
<b>Progress update</b>											
<p>Government's 2018-19 local government finance settlement reflected in the 2019/20 budget and Medium Term Financial Strategy.</p> <p>The Government announced the final 2018/19 Local Government Financial Settlement on 6 February 2018. County Council approved the 2018/19 budget and Medium Term Financial Strategy on 12 February 2018 which incorporated the final settlement.</p> <p>The council's external auditors gave an unqualified audit opinion on the 2017-18 Statement of Accounts and were satisfied that the County Council had put in place proper arrangements to secure economy, efficiency and effectiveness in its use of resources for the year ended 31 March 2018.</p> <p>The recent commitment to additional funding for the NHS (<a href="https://www.gov.uk/government/news/prime-minister-sets-out-5-year-nhs-funding-plan">https://www.gov.uk/government/news/prime-minister-sets-out-5-year-nhs-funding-plan</a>) inevitably means less funding will be available for other government priorities. However, the plan sets out a commitment that</p>											

**Progress update**

the Government will ensure that adult social care doesn't impose additional pressure on the NHS. The Prime Minister has also signaled the intention to produce proposals to put social care on a more sustainable footing, and to set out budgets for social care and public health as part of the forthcoming spending review. As such the implications for the Council of the Government's various funding commitments across the public sector will not become fully clear until later in 2019.

Policy and Resources Committee on 28 January 2019 considered the latest budget position and recommended to Full Council a balanced budget for 2019/20. County Council on 11 February 2019 approved the 2019/20 budget and future medium Term Financial Strategy taking into account the Final Local Government Finance settlement for 2019/20. The risk is now minimal for 2019/20 but will need to be rolled forward for 2020/21 and future years.

## Appendix B

<b>Risk Number</b>	RM003					<b>Date of update</b>		07 March 2019		
<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 relating to information compliance and information security.									
<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. This risk is separate to RM007, which looks at the risk of not having the correct or accurate data to make key decisions.										
<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
3	5	15	2	4	8	1	4	4	Mar-20	Green
<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. 4) SIRO to receive assurance of compliance with statutory and/or national/local codes of practice in relation to information compliance from Information Asset Owners when reporting the Annual Governance Statement. 5) NCC is NHS Information Governance Toolkit compliant to Level 2 6) Embedding and enhancing Cyber Security techniques and Protocols through recommendations from the Cyber Security Audit - i.e data loss, ransomware and system outages etc. 7) Embedding of GDPR Overall risk treatment: Treat										
<b>Progress update</b>										
GDPR programme of work has been implemented with all but low risk areas. Programme of work is now continuing for the low risk areas. Audit successfully undertaken by Internal Audit in regards to the use and implementation of Caldicott Guardians across Childrens and Adults with no significant or high outcomes. Quarterly meetings are in place to monitor the Caldicott process. Cyber security action plan has been developed and is currently being actioned. Norfolk County Council for 2018/19 is NHS IG Toolkit accredited to Level 2 by NHS Digital in lines with NHS partners within Norfolk and Waveney STP. All the tasks to mitigate the risk and ensure the Target Risk Score is met are now in place.										

## Appendix B

Risk Number	RM004					Date of update		07 March 2019		
Risk Name	The potential risk of failure to deliver effective and robust contract management for commissioned services.									
Risk Owner	Simon George					Date entered on risk register		01 July 2015		
Risk Description										
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.										
Original			Current			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	2	3	6	Mar-20	Amber
Tasks to mitigate the risk										
<div>1) Ensure that staff who have contract management as part of their job have the relevant skills and support to manage contracts effectively</div> <div>2) Pipeline of expiring contracts and procurement summary to go to Committees and departments.</div> <div>3) Appoint a Senior Commissioning Officer for Norse services and implement cross-department contract management structures</div> <div>4) Review contracts to ensure compliance with the GDPR from May 2018</div> <div>5) Rolling programme of internal audits of contract management of significant contracts</div> <div>Overall risk treatment: Treat</div>										
Progress update										

## Progress update

- 1) Central system of checking credit alerts implemented; contract management skills matrix being developed.
- 2) The procurement pipeline goes to all Committees and is being tailored to each Committee to show their procurement. It is also being taken up by some departmental management teams.
- 3) A Senior Commissioning Officer (Al Collier) has been appointed for Norse services and cross-department
- 4) All major contracts have been reviewed, with ongoing review of all other contracts, to ensure continued compliance with the GDPR.
- 5) Rolling audit programme has commenced.

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<b>Risk Number</b>	RM006					<b>Date of update</b>		07 March 2019		
<b>Risk Name</b>	The potential risk of failure to deliver our services within the resources available over the next 3 years commencing 2018/19 to the end of 2020/21.									
<b>Risk Owner</b>	Tom McCabe					<b>Date entered on risk register</b>		11 September 2018		
<b>Risk Description</b>										
The failure to deliver agreed savings or to deliver our services within the resources available, resulting in the risk of legal challenge and overspends, requiring the need for in year spending decisions during the life of the plan, to the detriment of local communities and vulnerable service										
<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	1	5	5	Mar-20	Green
<b>Tasks to mitigate the risk</b>										
1) Clear robust framework in place which drives the delivery of the overall vision and priority outcomes. The delivery of a council-wide strategy which seeks to shift focus to early help and prevention, and to managing demand. 2) Delivery against the strategic service and financial planning, by translating the vision and priorities into achieved, delivered targets. 3) A robust annual process to provide evidence for Members to make decisions about spending priorities. 4) Regular and robust in-year financial monitoring to track delivery of savings and manage in-year pressures. 5) Sound engagement and consultation with stakeholders and the public around service delivery. 6) A performance management and risk system which ensures resources are used to best effect, and that the Council delivers against its objectives and targets.  Overall risk treatment: Treat										
<b>Progress update</b>										
Regular budget monitoring reports to service committees set out how the Council is delivering against the 2018/19 budgets set for each of our services. The Council has a robust and established process, including regular reporting to members, which is closely linked to the wider Council Strategy, in order to support the development of future year budget plans taking account of the latest available information about Government funding levels and other pressures. This process includes reviewing service budgets and taking into account financial performance and issues arising in the current financial year as detailed in the budget monitoring reports.										



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<b>Risk Number</b>	RM007					<b>Date of update</b>		07 March 2019		
<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. This risk is separate to RM003, which looks at the risk of failure to adhere to national and/or local statute or codes of practice relating to information compliance or information security.										
<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
3	5	15	2	4	8	1	4	4	Mar-20	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) The implementation of a corporate Identity and Access Management solution										
<b>Progress update</b>										

## Progress update

Data Quality (DQ) audits have been undertaken by internal audit with no significant or concerning outcomes.

Manual records management project looking at retention periods of manual records held with BoxIt is providing positive results.

Moving forward all new systems being procured like Liquid Logic have more validation and integrity checks on the data/information at field level, row level and at page level thus ensuring the data/information is treated as a corporate asset inline with the NCC IM Strategy.

We have undertaken significant data cleansing work this year or so in the migration to Liquid Logic for Social Care data and in preparation for a new ERP system (Financial & Procurement data in particular). We have also conducted extensive work to cleanse data in files-shares and paper documents in storage, also scanning extensively to support Liquid Logic & Oracle EBS and associated systems. DQ audits undertaken have also shown reasonable findings.

## Appendix B

<b>Risk Number</b>	RM010					<b>Date of update</b>		26 February 2019		
<b>Risk Name</b>	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.									
<b>Risk Owner</b>	Simon George					<b>Date entered on risk register</b>		02 September 2015		
<b>Risk Description</b>										
Loss of core / key ICT systems, communications or utilities for a significant period - as a result of loss of power, physical failure, fire or flood, supplier failure or cyber attack - 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: Treat.										
<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
3	4	12	2	3	6	1	3	3	Sep-19	Amber
<b>Tasks to mitigate the risk</b>										
<p>'1) Full power down completed periodically.</p> <p>6) Replace ageing Local Area Network (LAN) equipment</p> <p>8) Ensure access to services if county hall lost by reconfiguring Core Infrastructure Services (DHCP, DNS, Active directory)</p> <p>9) Implement Cloud-based business systems with resilient links for key areas</p> <p>10) Replace voice services (contact center / desk phones) with resilient cloud based services</p> <p>11) Review and Implement suitable arrangements to protect against possible cyber / ransomware attacks including</p> <ul style="list-style-type: none"><li>• Carry out recommendations from Cyber Security Audit</li><li>• Carry out recommendations from Phishing Simulation exercise, and repeat</li><li>• Retire Windows 2003</li><li>• Implement new client service security for Windows 10 build</li><li>• Independent IT Health Check for PSN accreditation</li></ul>										
<b>Progress update</b>										
<p>'1) Full power down completed periodically. New Datacentre with resilient power will be implemented by August 2019.</p> <p>6) New Local Area Network equipment has been procured and we are planning the implementation over the next month for delivery Q2 2019</p> <p>8) Access to services if County Hall was lost was tested on during the Disaster Recovery exercise migrating services to the new DR site</p> <p>9) We Implement Cloud-based business systems with resilient links for key areas as they are procured</p> <p>10) Contact services are being migrated to a cloud based system, due to be finished by Q2 2019, Telephony resilience will be improved as part of the Skype for Business project.</p> <p>11) We are working through the cyber audit actions target date for 90% completion Q1 2019</p>										

## Appendix B

Risk Number		RM011		Date of update		07 March 2019				
Risk Name		The potential risk of failure to implement and adhere to an effective and robust performance management framework.								
Risk Owner		Fiona McDiarmid		Date entered on risk register		02 September 2015				
Risk Description										
The failure of leadership to adhere to robust corporate performance practice / guidance, resulting in organisational / service performance issues not being identified and addressed. This could have a detrimental impact on future improvement plans and overall performance and reputation of the										
Original			Current			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	2	3	6	1	3	3	Jun-19	Amber
Tasks to mitigate the risk										
<p>The performance development framework was implemented in April 2018.</p> <p>950 managers have been training and an ongoing programme is in place for new managers.</p> <p>A survey was carried out in October and results provided back to employees and the Corporate Board.</p> <p>Corporate vital signs for goals, and a target of at least 50% of staff having learning plans. We remain behind plan on 95% of employees reporting that they have written goals. We will restart this measure from May 2019.</p> <p>We are reporting on the following five corporate vital signs relating to performance;</p> <p>Sickness absence - percentage lost time.</p> <p>New employee retention rate</p> <p>Vacancy rates</p> <p>Agency and contract staffing spend as a percentage of pay bill</p> <p>Working to a target of 95% of employees having written goals to works towards.</p> <p>Overall risk treatment: Treat</p>										
Progress update										
The target date is amended to June 2019 to reflect a full year of performance development and, new governance arrangements being implemented as we move to a cabinet model which will be accountable for overseeing the performance management framework (PMF) of NCC. The prospect rating of amber remains unchanged reflecting that embedding performance culture takes some time across a complex organisation, and, delivering a PMF requires other elements around vision, strategy and plan. This risk may need reshaping in definition and mitigation when next reviewed.										

## Appendix B

Risk Number	RM013					Date of update		07 March 2019		
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	Simon George					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 2017-18.										
Original			Current			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	Mar-20	Met
Tasks to mitigate the risk										
<p>1) All controlled entities and subsidiary companies have a system of governance which is the responsibility of their Board of Directors.</p> <p>The Council needs to ensure that it has given clear direction of it's policy, ambitions and expectations of the controlled entities.</p> <p>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.</p> <p>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.</p> <p>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.</p> <p>4) To ensure that governance procedures are being discharged appropriately to Independence Matters.</p> <p>5) Approve the Outline Business Case for Repton Property Developments Ltd.</p> <p>6) Provide regular updates to the company Board and to the Business and Property Committee.</p> <p>Risk Treatment: Tolerate</p>										
Progress update										

## Progress update

- 1) There are regular Board meetings, share holder meetings and reporting as required. For NORSE, risks are recorded on the NORSE group risk register. For Norfolk Energy Futures,
- 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 Teckal requirements in terms of governance and control, and a series of actions has been agreed by the Policy and Resources Committee. The Executive Director of Finance and Commercial Services is responsible for reviewing the ongoing viability of wholly owned entities and regularly reporting the performance of their activities, with a view to ensuring that the County Council's interests are being protected. All County Council subsidiary limited company Directors have been approved by full council. The new Chairman of Norse has initiated change with one Director looking after NCS and NPS, with a view to maximising returns back to NCC. A further strengthening of the Board is proposed with the appointment of two independent Non-Executive Directors with one vote each. As with Repton the appointments would be made through a transparent process of advertisement, interview and appointment.
- 4) The Executive Director of Finance and Commercial Services directs external governance. An external company is undertaking a review of Norse Group's financial performance, discharging the Executive Director for Finance and Commercial Services' responsibility as per the Constitution.
- 5) The Outline Business Case for Repton Property Developments Ltd has been approved.
- 6) Regular updates are being provided.

## Appendix B

Risk Number	RM014a					Date of update		19 February 2019		
Risk Name	The increasing demand for SEND assessments coupled with the amount spent on home to school transport at significant variance to predicted best estimates									
Risk Owner	Chris Snudden					Date entered on risk register		04 November 2015		
Risk Description										
There is an increasing demand on services as our numbers of SEND are rising, this coupled with ensuring there is appropriate sufficient placement choice is having an impact on cost. Rising transport costs, the nature of the demand-led service (particularly for students with special needs) and the inability to reduce the need for transport or the distance travelled will result in a continued overspend on the home to school transport budgets and an inability to reduce costs.										
Original			Current			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	3	9	5	3	15	2	2	4	Mar-20	Amber
Tasks to mitigate the risk										
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.										
Overall risk treatment: Treat										
Progress update										
There remains ongoing budget pressure within the SEN transport element of the overall Transport Budget for Children's Services with a significant overspend now being forecast; latest budget monitoring for January 2019 shows a forecast of £4.1m. This has been caused by the increasing number of placements within special schools and exclusions, coupled with increased complex need resulting in requests for individual transport packages. The recent P&R Committee decision to invest £120million capital for more specialist provision will, in the medium to long term, mitigate these increases but in the short term the risk to budget has increased.										

## Appendix B

<b>Risk Number</b>	RM014b					<b>Date of update</b>		04 March 2019		
<b>Risk Name</b>	The savings to be made on Adult Social Services transport are not achieved.									
<b>Risk Owner</b>	James Bullion					<b>Date entered on risk register</b>		04 November 2015		
<b>Risk Description</b>										
The risk that the budgeted savings of £1.7m to be delivered by 31 March 2020 will not be achieved.										
<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
3	3	9	2	2	4	2	2	4	Mar-20	Green
<b>Tasks to mitigate the risk</b>										
1) In 2017 the savings were reprofiled to future years (2018/19 and 2019/20). 2) A corporate review of transport has taken place. 3) Transport Guidance has been updated in line with the revised transport policy. 4) Under the Younger Adults of the Promoting Independence Workstream, we're developing a joint approach to disability and transition from Children's to Adults. 5) Exploring the use of an application to help with monitoring of the cost of transport. This application is currently being used by Children's Services for Children with Special Educational Needs.										
<b>Progress update</b>										
1) Adult Social Care Committee agreed on 4 September 2017 to amend the transport savings to £0.700m in 2018-19 (from £3m) and £1m in 2019-20 (from £0.800m) and that the difference of £2.1m in savings will be made through the purchase of care budget from changes to patterns of care. The department achieved an underspend on Transport for 2017-18 of £0.813m - in effect the early delivery of the 2018-19 savings and some of the 2019-20 savings. The forecast for Transport spend in 2018-19, as at period eight (November), is an underspend of £-0.128m. 2) Travel Independence Training Across the Nation (Titan) training is being rolled out. We are recruiting to ASSD specific posts to enable more people to use public transport. 3) The revised Transport Guidance and Policy was agreed by ASC Committee on 6 March 2017 and shared with staff. 4) This is being implemented for new service users now and for existing people at the point of review. This now links with the work on assessments and reviews as part of the Promoting Independence Programme. It appears that this is being embedded in working practices, given the forecast underspend on transport.										



## **Progress update**

5) This is currently being developed. We have carried out the fieldwork to understand the current transition process from Children's services to Adult services. We have taken a joint approach and carried out 50 interviews with senior stakeholders from children's services, adult services and health, as well as meeting with transition workers, team managers and other key staff from children with disability teams, looked after care teams, leaving Care teams, Adult LD, Adult mental health and adult Physical disability team.

5b) IMT have developed the first version of a Transport application for use by Adult Social Services and Travel and Transport where you can see for each day centre where people are travelling from, whether they are travelling alone/with others and which day services other people charged to that budget code are going to. It is based on an application IMT developed for Children with Special Education Needs. The application looks useful, and provides a clearer picture of transport provision than analysing pages of reports. The department is checking the viewer application and it will be trialled with Business Support initially.

## Appendix B

Risk Number		RM016			Date of update		02 April 2019			
Risk Name		Failure to adequately prepare for and respond to a major disruption to Norfolk County Council services.								
Risk Owner		Tom McCabe			Date entered on risk register		10 December 2015			
Risk Description										
To ensure disruption is minimised and ensure that we are able to maintain services and respond appropriately to a either a Major or Moderate disruption 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).										
Original			Current			Target				
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	Mar-19	Red
Tasks to mitigate the risk					Progress update					
1) All corporately agreed critical activities must have comprehensive Business Continuity plans which are exercised. Plans to be agreed by Senior Managers.					1) 83% of critical services have plans which are up-to-date.The Resilience Team audits all plans as they are received and provides feedback to service managers where changes are required. The next audit is due in the first quarter of 2019.					
2) To develop the Professional Development Centre (PDC) Norwich, which was agreed as a key corporate Work Area Recovery (WAR) site by CLT. First stage is a planned exercise to take place with the Customer Service Centre, second step is to complete an exercise with the Resilience representatives at the PDC. Also, an exercise with the Resilience Management Board and CLT.					2) Work Area Recovery test - stage 1 to test the CSC has been successfully completed. This exercise tested "loss of access" not "loss of infrastructure" to County Hall. In January power was cut to County Hall due to work required by UK Power networks and generators provided power to the datacentre to maintain ICT. Feedback for this powerdown was overwhelmingly positive, unlike previous power downs some critical weakened services had to move and worked 24/7 from the PDC over the weekend. Exercise Horseshoe for the Disaster Recovery (DR) and BC exercise had to be scaled back considerably. There is a lack of confidence in how systems will "behave" when transferred over to the DR facility and without this confidence the risk to live services such as libraries and museums was considered too great. We had more than 70 members of staff testing over the course of the weekend. The report has been finalised and circulated to the business, IMT also have a report detailing the actions required of IMT. There were several systems that were not accessible, and some of the issues were related to the artificiality of how the exercise was set-up. It is important to gain reassurance that in the event of County Hall IMT failing that all IMT is functional at the PDC - including telephony. We will complete the exercise annually. This is a significant milestone for BC and DR, as one year ago there was no Disaster Recovery facility.					

Tasks to mitigate the risk	Progress update
<p>3) Embedding Business Continuity - Ensure there is a programme of work to embed BC into the organisation. This includes awareness raising initiatives and training for support staff and resilience representatives. Training also includes the BC e-learning package which needs to be reviewed, relaunched, and the uptake monitored. Departments must ensure staff attend training and complete exercises/tests.</p>	<p>3) The Business Continuity for managers course continues to be run through the year. The Emergency Planning awareness course has not yet been run, this course will provide managers with an insight into how an incident would be managed in the event of several agencies being involved.</p> <p>All plans must be exercised once per year. The percentage is increasing gradually. Currently the percentage is 47%. At the corporate board meeting on the 12th March Directors asked for departments to get to 80% of plans having been exercised. Resilience representatives and the Resilience Team are focusing on this.</p>
<p>4) Implement the Business Continuity Framework</p>	<p>4) Every quarter the Resilience Management Board receive an update of where NCC are in implementing the BC Framework, there are no red items. This has been developed further by communicating the position of the departments using the assurance framework and those sections marked as red/amber (where applicable) should be linked to departmental risk registers. These reports have now been completed, with departments receiving a report listing departmental strengths and weaknesses in relation to Resilience.</p>
<p>5) Gain assurance that ICT could be recovered in line with timescales detailed within the BIAs.</p> <p>Overall Risk Treatment: Treat</p>	<p>5) On the 12th March a paper went to the shadow board to highlight concerns in this area. However IMT had circulated some initial analysis work on the 7th March. Corporate Board requested that a further update was provided in 6-8 weeks. Resilience Team have checked the outstanding queries. IMT have confirmed some Recovery Time Objectives (RTOs) however this is only from the scenario of "loss of county hall", we will need to consider other scenarios in order to develop a reliable RTO to share with the business. The aspiration is that what the Business has documented within the BIAs should be used to help shape IMT infrastructure projects and the DR development.</p>

## Appendix B

Risk Number	RM022					Date of update		06 March 2019		
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 ('Brexit').									
Risk Owner	Tom McCabe					Date entered on risk register		26 July 2016		
Risk Description										
There are important implications to the Council in four main areas. 1) The Council's EU funded programmes supporting the local economy. 2) The legal base – there are many EU laws that affect the day job of local councils. 3) Council services dependent on a migrant workforce – for example nationally, 7% of existing adult social care staff come from other EU nations 4) Place-based impact – there will be real and varied impacts and opportunities in our local economy. 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 as a whole voting to leave the EU.										
Original			Current			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	3	3	9	2	3	6	31/04/2019	Amber
Tasks to mitigate the risk										
<p>1) Norfolk County Council should continue to monitor Brexit developments and developing responses to the four areas in which the council will be affected (EU funding, legal issues, workforce issues, place-based impact).</p> <p>2) We are members of the LGA Brexit Sounding Board and local authority officer network to keep abreast of local government thinking and influencing of post Brexit policy. We have jointly commissioned work with the LEP and Suffolk County Council to understand the business impact of Brexit within the New Anglia area.</p> <p>3) We have agreed the principals and framework for regional investment post Brexit to ensure the level of current funding is protected, including asking for funds to be devolved locally, so that the economic benefit of the funding is secured.</p> <p>4) Human Resources to support managers and staff who may be affected by this issue.</p> <p>5) Regular meetings are taking place with the Ministry for Housing, Communities and Local Government and the Department for Business, Energy and Industrial Strategy (BEIS) regarding a managed exit from EU funded programmes to ensure NCC's liabilities are met.</p> <p>6) Understand the risks and implications of Brexit to service delivery, wider community and business continuity.</p> <p>Overall risk treatment: Tolerate</p>										
Progress update										

## Progress update

1) Brexit Silver Group Meetings are being held to understand how departments are preparing for Brexit, to minimise disruption to their services post 29th March, and feed any info. from the Norfolk Resilience Forum back to NCC and vice versa. In addition, with the Risk Management Officer we are developing a specific and more detailed corporate Brexit risk register to manage risks arising from leaving the European Union that are within our control

2) The NCC website now offers information for businesses and individuals

<https://www.norfolk.gov.uk/what-we-do-and-how-we-work/preparing-for-brexit>

2) The Treasury Guarantee provides assurance that funding is assured in the event of a deal for projects committed by 31 December 2020 (rather than 19 March 2019 as had been anticipated). Payment mechanisms to manage this remain to be explored. The European Commission has issued a notice around a no deal Brexit proposing a draft regulation that would allow the UK to continue participating in EU programmes in 2019. The UK Government is currently analysing this proposal and its implications, however there is a risk that project partners may not be able to continue working with their counterparts in other member states. Similarly, UK organisations may also not be able to continue applying to ETC programmes after the UK leaves the EU. If so, the government will provide full details on what to do to individual project partners.

We are in close contact with MHCLG (as the lead for ETC programmes) as this progresses.

3) The Green Paper regarding the Shared Prosperity Fund has still not yet been published and is not expected for some time until the Brexit situation has been clarified: We continue to work with New Anglia and other relevant partners and will in due course prepare a joint response and report the proposals and our response to members when it has been published. NCC is represented on the LGA national Brexit Sounding Board by Vince Muspratt.

4) The Internal Project Board is aware of NCC liabilities; nplaw have drafted a Deed of Guarantee seeking written assurance from Ministry of Housing, Communities & Local Government that they will meet our liabilities in order to close the Programme. The Ministry for Housing, Communities and Local Government have raised the issue with Ministers, as is our MA status after we leave the EU. This will now fall under the detailed work around payment mechanisms following the confirmation of extended programme completion. The renewed Treasury Guarantee supports this approach.

5) We have raised the issue of Trading Standards (their ability to act as a National Body certified by the EU, charging for highway services) with the LGA to play into their negotiations with DExEU.

6) A task force has been set up, asking each Directorate to provide a summary of the risk posed to them and their service provision by Brexit.

## Appendix B

Risk Number	RM023					Date of update		04 March 2019		
Risk Name	Lack of clarity and failure to act upon changes to demography, funding, and government policy, with particular regard to Adults Services.									
Risk Owner	James Bullion					Date entered on risk register		18 August 2017		
Risk Description										
Changes to demography, funding, and government policy can severley impact on the ability of Adult Social Services to support Norfolk residents. There is a risk that Adult Social Services fails to act on changes to demography, funding and government policy. Cause: Changes to demography, funding and government policy. Event: The Council fails to plan and adapt to change effectively for the future. Effect: Outcomes for Norfolk citizens may worsen.										
Original			Current			Target				
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-20	Amber
Tasks to mitigate the risk										
1) Implementation of Promoting Independence Strategy. This strategy is shaped by the Care Act with its call to action across public services to prevent, reduce and delay the demand for social care. The strategy aims to ensure that demand is understood and managed, and there is a sustainable model for the future. 2) As part of the strategy, a shift of spend towards targeted prevention, reablement services, enablement, and strengthened interim care. 3) Implementation of Better Care Fund plans which promote integration with the NHS and protect, sustain and improve the social care system. 4) Judicious use of one-off winter funding, as announced by Government. 5) Close tracking of government policies, demography trends and forecasts. 6) A new set of NCC corporate priorities which aims to address longer-term demand management in children’s and adult services.										
Progress update										

## Progress update

- 1) Demand and demography modelling continues to be refined through the cost and demand model. Five main themes for transformation: Services for people with a learning disability; maximising digital technology; embedding strengths-based social work through Living Well; 3 conversations; health and social care integration and housing for vulnerable people.
- 2) Sector based plans for providers which model expected need and demand associated with demographic and social change
  - 3a) Strengthened investment in prevention, through additional reablement, social prescribing, local initiatives for reducing social isolation and loneliness
  - 3b) Workforce – continued recruitment campaign to sustain levels of front line social workers and occupational therapy staff.
  - 3c) Better Care Fund targeted towards supporting people to stay independent, promoting and enabling closer integration and collaboration across health and social care.
- 4) Close joint working with NHS, through the STP, to shape and influence future integration of health and social care
- 5) We are still awaiting the Green Paper on Social Care; will now review the NHS 10-year Plan and establish how this will impact on the direction of travel for health and social care
- 6) Collaboration with children's services to develop a preparing for adult life service to strengthen transition experience for young people, and to improve service and budget planning.

## Appendix B

Risk Number	RM024					Date of update		08 March 2019		
Risk Name	Failure to construct and deliver the Great Yarmouth 3rd River Crossing (3RC) within agreed budget (£121m), and to agreed timescales (construction completed early 2023)									
Risk Owner	Tom McCabe					Date entered on risk register		05 December 2017		
Risk Description										
There is a risk that the 3RC project will not be delivered within budget and to the agreed timescales. Cause: delays during statutory processes, or procurement put timescales at risk and/or contractor prices increase project costs. Event: The 3RC is completed at a later date and/or greater cost than the agreed budget, placing additional pressure on the NCC contribution. Effect: Failure to construct and deliver the 3RC within budget would result in the shortfall having to be met from other sources. This would impact on other NCC programmes.										
Original			Current			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	2	3	6	Jan-23	Amber
Tasks to mitigate the risk										
The project was agreed by Full Council (December 2016) as a key priority infrastructure project to be delivered as soon as possible. Since then, March 2017, an outline business case has been submitted to DfT setting out project costs of £120m and a start of work in October 2020. 80% of this project cost has been confirmed by DfT, but this will be a fixed contribution with NCC taking any risk of increased costs. Mitigation measures are: 1) Project Board and associated governance to be further developed to ensure clear focus on monitoring cost and programme at monthly meetings. 2) NCC project team to include specialist cost and commercial resource (bought in to the project) to provide scrutiny throughout the scheme development and procurement processes. This will include independent audits and contract/legal advice on key contract risks as necessary. 3) Programme to be developed that shows sufficient details to enable overall timescales to be regularly monitored, challenged and corrected as necessary by the board. 4) Project controls and client team to be developed to ensure systems in place to deliver the project and to develop details to be prepared for any contractual issues to be robustly handled and monitored. 5) All opportunities to be explored through board meetings to reduce risk and programme duration.  Overall risk treatment: Treat, with a focus on maintaining or reducing project costs and timescales.										
Progress update										



## Progress update

The outline business case was submitted on 30 March 2017, and DfT confirmed approval of this following the autumn statement in November 2017. There is a risk that the scheme development could see changes to the scheme, and therefore to the agreed business case, and any changes will need to be addressed/agreed with DfT. Progress against actions are:

1) Project board in place. Gateway review highlighted a need to assess and amend board attendance and this has been implemented. Progress update report provided to Audit Committee on 31 July 2018. A gateway review was completed to coincide with the award of contract decision making - the findings have been reported to the project board (there are no significant concerns identified that undermine the project delivery). Internal audit on governance ongoing during Feb 19.

2) Specialist cost and commercial consultants have been appointed and will continue to review project costs. The first element of work for the cost consultant was to review project forecasts. They will continue to assess on a quarterly basis, reporting to the board and supporting the work of the commercial team which is now operational.

No issues highlighted to date and budget is considered sufficient - this work was used to update the business case submitted to and accepted by DfT.

A further budget review is being completed following appointment of the contractor (however initial assessments based on tendered submissions provided sufficient confidence to award the contract - in accordance with delegated authority).

3) An overall project programme has been developed and will be owned and managed by the dedicated project manager. Any issues will be highlighted to the board as the project is delivered. Programme updated to fully align procurement and DCO processes. Following the award of the contract, from January 2019, the programme is now focussed on delivering the DCO.

4) Learning from the NDR and experience of the commercial specialist support has been utilised to develop contract details ahead of the formal commencement of the procurement process, which was 27 February 2018. Further work is ongoing and has fed into the procurement processes (and competitive dialogue) with the bidders. The commercial team leads were in place from the start of the contract (January 2019).

5) The project board will receive regular (monthly) updates on project risks, costs and timescales. A detailed cost review was delivered to the board ahead of the award of the contract (following the delegated authority agreed by Full Council), and took into account the contractors tender pricing and associated project risk updates.

## Appendix B

<b>Risk Number</b>	RM025		<b>Date of update</b>		19 March 2019					
<b>Risk Name</b>	Potential change of governance in the Fire and Rescue Service									
<b>Risk Owner</b>	Tom McCabe		<b>Date entered on risk register</b>		20 August 2018					
<b>Risk Description</b>										
A change in governance for the Fire and Rescue service has been proposed by the PCC. If this proposal was to go ahead in the future, it would create a number of issues which would lead to a less resilient service which is less able to address community risk and will impact on public safety:- 1) the service will be fully exposed to budget pressures and reductions in a way that they are not currently, and may need to make service reductions to manage these. 2) proposed changes to operations are not clearly articulated and have not been risk assessed, and could lead to inappropriate and unsafe practices being put in place. 3) a change in governance, if agreed, would take 14 months to implement and would require significant resource, which would distract resource from service operations and improvements. It would also cost around £1m, which would create an additional budget pressure. 4) there may be an impact on the morale of staff impacted by the change, and it is possible that there could be strike action.										
<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
3	5	15	3	5	15	2	4	8	Jun-19	Amber
<b>Tasks to mitigate the risk</b>										
1) Participate in the public consultation being carried out by the PCC until 05/09/2018 to ensure that the County Council's views and concerns can be understood, and taken into account. 2) Keep affected staff updated on progress as and when there are further developments. 3) Encourage Norfolk communities and other stakeholders to participate in the PCC's public consultation by 05/09/2018. 4) Re-fresh and reinvigorate collaboration with other emergency services, in particular Norfolk Constabulary.										
<b>Progress update</b>										

## Progress update

- 1) A special meeting of the Communities Committee took place on 29 August to consider and agree the County Council's formal response to the consultation, and the agreed formal response was submitted to the PCC 4 September 2018. The Committee also agreed to recommend that this risk is managed at corporate level. It was considered and agreed by the Policy and Resources Committee at the October meeting.
- 2) Regular messages sent to staff to keep them up to date on progress and how they can make their views known. Four staff sessions held to enable the PCC to directly explain his business case and proposals. A further four staff sessions held to enable staff to hear directly from the Chair of the Fire and Rescue Authority about the County Council's views.
- 3) Information on the County Council's views published on the Norfolk County Council website, along with information about how to respond to the PCC's public consultation. The public consultation closed on 5 September 2018. The responses have been reviewed and the PCC has decided not to submit a business case to the Home Office at this stage, but will keep the situation under review.
- 4) Refreshed arrangements for Emergency Services Collaboration Board are now in place. A Memorandum of Understanding has been signed by the PCC and the Leader of NCC and Communities Committee have approved a formal collaboration agreement between Norfolk Fire and Rescue and Norfolk Constabulary. The new Emergency Services Collaboration Board and Operational Group are meeting regularly and work is well progressed to develop a shared work programme and some activities (a new MoU for missing persons for example) are complete.