

Risk Number	RM001					Date of update		24 August 2016		
Risk Name	The potential risk that County Infrastructure is not delivered at the required rate to support existing and future needs.									
Risk Owner	Vince Muspratt					Date entered on risk register		01 July 2015		
Risk Description										
There is a risk that the necessary infrastructure (including but not limited to transportation, community, school and green infrastructure) will be not be delivered at the required level and/or rate to support the existing population and to support and stimulate future growth, as set out in Local Plans.										
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	4	12	3	2	6	Apr-17	Amber
Tasks to mitigate the risk										
1) Ensure appropriate infrastructure planning is undertaken and documented 2) Continue to investigate all possible funding sources including UK government, European Union and developer 3) Maintain and improve lobbying of government 4) Work in partnership with the district councils who have a Community Infrastructure Levy (CIL) in place to ensure the most effective use of the income 5) Ensure appropriate arrangements are in place for the collection of developer contributions 6) Ensure all the Local Growth Fund allocations from the New Anglia Local Enterprise Partnership, and other funding sources, are spent on appropriate infrastructure and to the agreed timescales 7) Continue to work with Highways England to ensure the Road Investment Strategy is delivered to the agreed timetables										
Progress update										
1) Infrastructure planning is carried out in conjunction with the seven Local Planning Authorities and via the Greater Norwich Growth Board in terms of devising appropriate Local Plans. In addition, this is complemented by strategic transport planning carried out by NCC. 2) Close working with the New Anglia Local Enterprise Partnership, Department for Transport, colleagues in EDS (European funding) and Developer Services. We have been awarded Major Scheme development funding to prepare and Outline Business Case (OBC) for the Great Yarmouth Third River Crossing. 3) A campaign is currently underway to raise the profile of the Great Yarmouth Third River Crossing using Brandon Lewis MP as the focus. This campaign has assisted in the successful OBC funding. 4) CIL is only currently in place in Norwich, Broadland and South Norfolk and we are working through the Greater Norwich Growth Board (GNGB) to influence the priorities. 5) NCC ensures that development contributions are maximised within the extent of the planning framework. 6) Feasibility and scheme development work continues for the various projects. Some are well advanced for delivery to the Local Growth Fund timescales but others are still at the scheme identification stage and could face delays particularly if land acquisition is needed. An increasing reliance will need to be put on resources from the Mouchel partnership. 7) Regular progress meetings are held with Highways England in addition to scheme specific meetings. A further update meeting was held with Highways England on 27 July.										

Risk Number	RM002		Date of update		09 August 2016					
Risk Name	The potential risk of failure to manage significant reductions in local and national income streams									
Risk Owner	Simon George		Date entered on risk register		01 July 2015					
Risk Description										
This may arise from global or local economic circumstances, 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.										
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	5	15	3	4	12	Feb-17	Green
Tasks to mitigate the risk										
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										
Progress update										
Re-Imagining Norfolk - Service and Financial Planning 2016-19 for Policy Resources reported to Policy and Resources Committee on 8 February 2016 and County Council on 22 February 2016 (in conjunction with progress update in RM006 below). 2015/16 Financial Savings and Monitoring reports reported to the February Policy and Resources Committee and where necessary adjustments included in the 2016/17 budget. 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.										

Risk Number	RM003					Date of update		18 August 2016		
Risk Name	Potential reputational and financial risk to NCC caused by failure to comply with statutory and/(or) national/local codes of practice.									
Risk Owner	Anne Gibson					Date entered on risk register		30 September 2011		
Risk Description										
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.										
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	5	15	2	4	8	Oct-16	Amber
Tasks to mitigate the risk										
1) Implementation of SIRO (Senior Information Risk Officer) , 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 target likelihood score has increased from 1 to 2 to take into account the current climate around the corporate reliance on data and its interpretation/meaning. The target date has been changed to take into account the delivery and timescales in the IM Maturity Readiness Plan.										
Overall risk treatment: reduce										
Progress update										
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 Fit for Purpose principle will initially deliver the below by Oct 2016:- * Develop processes and governance to monitor and assure information quality. * Identify the quality characteristics required for each dataset from Line of Business systems. * Develop a consistent approach for describing, recording, and communicating information throughout Line of Business Systems 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. The last update to CLT was on the 28th July 2016.										

Risk Number	RM004					Date of update		17 August 2016		
Risk Name	The potential risk of failure to deliver effective and robust contract management for commissioned services.									
Risk Owner	Anne Gibson					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-17	Amber
Tasks to mitigate the risk										
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										
Overall risk treatment: reduce										
Progress update										
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.										
The target date has been extended to March 2017, given the early findings from the gap analysis.										

Risk Number	RM005					Date of update		19 August 2016		
Risk Name	The risk that we cannot provide laptops that are configured and maintained to be modern, reliable and fit for purpose.									
Risk Owner	Anne Gibson					Date entered on risk register		01 July 2015		
Risk Description										
Failure to provide laptops that are configured and maintained to be modern, reliable and fit for purpose, resulting in poor staff productivity, poor morale, ineffective working practices and/or poor information security.										
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	4	16	3	4	12	2	4	8	Sep-16	Amber
Tasks to mitigate the risk										
1) Replace all Windows XP devices by 30 November 2015 to retain PSN compliance. 2) Roll out modern laptops running a modern operating system (Windows 7 or Windows 8.1), with alternative devices (eg power laptops) available where required. 3) Keep the new devices up to date through regular patching and software update. 4) Resolve reliability and usability issues with the new devices.										
Overall risk treatment: reduce										
Progress update										
1) XP switch-off took place as planned. A very small number of devices are still running, with mitigations agreed with the Cabinet Office. 2) All staff now have a modern laptop running either Windows 7 or Windows 8.1. 3) A regular patching and software upgrade regime is in place. 4) A formal joint review by Norfolk County Council and Hewlett Packard of laptop device reliability and usability issues is underway, with the aim of fixing these issues within six weeks in June 2016. An upgrade to the corporate wifi is planned as part of the Council's Updata contract.										

Risk Number	RM006					Date of update		09 May 2016		
Risk Name	The potential risk of failure to effectively plan how the Council will deliver services over the next 3 years commencing 2015/16.									
Risk Owner	Wendy Thomson					Date entered on risk register		01 July 2015		
Risk Description										
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.										
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	5	15	1	5	5	Jul-16	Green
Tasks to mitigate the risk										
<ul style="list-style-type: none">• Clear robust planning framework in place which sets the overall vision and priority outcomes.• Strategic service and financial planning process which translates the vision and priorities into achievable, measurable objectives, with clear targets.• A robust annual process to provide evidence for Members to make decisions about spending priorities.• Sound engagement and consultation with stakeholders and the public.• 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										
Progress update										
<ul style="list-style-type: none">• 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.• A new County Council Plan was considered by Policy and Resources and was recommended to Full Council, although is awaiting sign-off.• The Plan outlines the strategic context for the Council, providing direction and guide 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• A new performance management framework was agreed in October 2015, and 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).• The Policy and Resources Committee is reviewing the medium term financial and service strategy to ensure robust plans for 16/17 and 17/18.										

Risk Number	RM007					Date of update		18 August 2016		
Risk Name	Potential risk of organisational failure due to data quality issues.									
Risk Owner	Anne Gibson					Date entered on risk register		01 July 2015		
Risk Description										
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.										
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	5	15	2	4	8	Oct-16	Amber
Tasks to mitigate the risk										
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 likelihood score has increased from 1 to 2 to take into account the current climate around corporate information compliance, and the amount of work required to mitigate the risk. The target date has been changed to take into account the delivery and timescales in the IM Maturity Readiness Plan.										
Overall risk treatment: reduce										
Progress update										
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. 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 has now been NHS IG toolkit accredited for 2016/17 Norfolk County Council has now gained PSN accreditation for 15/16, with re-accreditation due in September 16. A delivery plan is in place to work through for September 2016. The delivery plan is currently on track to meet the Cabinet requirements for PSN										

Risk Number	RM010					Date of update		19 August 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	Anne Gibson					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			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) PSN re-accreditation has been achieved, and a programme of works to retain accreditation put in place.										

Risk Number	RM011					Date of update		12 August 2016		
Risk Name	The potential risk of failure to implement and adhere to an effective and robust performance management framework.									
Risk Owner	Anne Gibson					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 will have a detrimental impact on future improvement plans and overall performance and reputation of the Council.										
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	1	3	3	Mar-17	Amber
Tasks to mitigate the risk										
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.										
Progress update										
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		23 June 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 2014-15, from page 88, covering Group Accounts available on the Council's website at http://www.norfolk.gov.uk/view/NCC167254										
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	Sep-16	Green
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 Resources 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>The Executive Director of CES should undertake a strategic relationship role on behalf of CLT checking there is a consistency in the client side management.</p>										
Overall risk treatment: reduce										
Progress update										
<p>1) There are regular Board meetings, share holder meetings and reporting as required. Risks are recorded on the NORSE group risk register.</p> <p>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.</p> <p>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.</p>										

Risk Number	RM014a					Date of update		12 August 2016		
Risk Name	The amount spent on home to school transport at significant variance to predicted best estimates									
Risk Owner	Michael Bateman					Date entered on risk register		04 November 2015		
Risk Description										
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 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	4	3	12	2	3	6	Mar-17	Red
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: reduce										
Progress update										
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.										

Risk Number	RM014b					Date of update		25 August 2016		
Risk Name	The savings to be made on Adult Social Services transport are not achieved.									
Risk Owner	Janice Dane					Date entered on risk register		04 November 2015		
Risk Description										
The risk that the budgeted savings of £3.8m to be delivered by 31 March 2017 will not be achieved.										
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	4	3	12	2	3	6	Mar-17	Red
Tasks to mitigate the risk										
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 effectiviely.										
Progress update										
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. Promoting Titan (Travel Independent Training Across the Nation) training eg so that people can use public transport by themselves. Corporate approval 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 being 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.										
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 haven't applied for additional posts that have been created.										
Part of regular report to ASSD SMT and Promoting Independence Programme Board.										

Risk Number	RM016					Date of update		16 August 2016		
Risk Name	Failure to adequately embed Business Continuity into the organisation.									
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 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).										
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	4	8	2	3	6	Sep-16	Green
Tasks to mitigate the risk						Progress update				
1) All corporately agreed critical activities must have comprehensive Business Continuity plans. Plans to be agreed at Senior Management meetings.						1) 84% of BC plans completed across the organisation including 88% of critical plans. However, some plans are now out of date. 62% of BC Plans have been reviewed within the last 12 months including 67% of critical plans. The Corporate BC plan is being reviewed and updated. The Resilience Team is focussing on an audit of the quality of plans.				
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 been invited to the ICT Board to present. 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) A planned exercise to take place with the Customer Service Centre at the Corporate work area recovery (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. 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.				
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.				
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.				

Risk Number	RM017					Date of update		24 August 2016		
Risk Name	Failure to construct and deliver Norwich Northern Distributor Route (NDR) within agreed budget (£178.95m)									
Risk Owner	Tom McCabe					Date entered on risk register		26 November 2015		
Risk Description										
There is a risk that the NDR will not be constructed and delivered within budget. Cause: environmental / building 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 would result in the inability to deliver other elements proposed in the Norwich Area Transport Strategy (NATS) Implementation Plan. It would 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).										
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	3	3	9	2	2	4	Feb-18	Amber
Tasks to mitigate the risk										
The total project cost, not including the Postwick junction which has already been delivered, is £151.25m.										
1) A project Board and associated governance mechanisms to be put in place. Monthly reporting will be provided to the Board (Chaired by Tom McCabe).										
2) A project team is to be developed to include sufficient client commercial scrutiny throughout the works by Balfour Beatty, which will include a commercial project manager.										
3) Main clearance works, archaeological investigation and utility diversions planned for 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) Project controls and client team to be assembled to ensure sufficient systems and staffing in place to monitor costs throughout delivery of project.										
5) Cost reduction opportunity meetings will be held throughout the duration of the construction.										
Overall risk treatment: reduce										
Progress update										
1) A project Board and associated governance mechanisms are in place and monthly reporting is being provided to the Board (Chaired by Tom McCabe).										
2) The project team is developed and includes sufficient client commercial scrutiny throughout the works by Balfour Beatty, including a commercial project manager. The contract includes significant incentivisation with the intention for the whole delivery team to stay within the available budget.										
3) Works start delayed, but some clearance and environmental mitigation able to be started in December 2015. Main clearance works, archaeological investigation and utility diversions started on 4 January 2016 and have been delivered on programme (the risks of environmental and archaeology constraints restricting progress have now diminished). However there remain some pressures on programme, with Network Rail approvals taking longer than planned for the Rackheath Bridge. Poor weather in June has also slowed progress. The impacts on budget are being reviewed and monitored.										
4) Project controls and client team are in place to ensure sufficient systems and staffing to monitor costs throughout delivery of project.										
5) All team focussed on reducing costs and further cost reduction opportunity meeting already held with further meetings ongoing.										

Risk Number	RM018					Date of update		14 August 2016		
Risk Name	Potential failure to meet the needs of children in Norfolk.									
Risk Owner	Michael Rosen					Date entered on risk register		01 December 2013		
Risk Description										
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.										
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	1	5	5	Mar-17	Amber
Tasks to mitigate the risk										
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.										
Progress update										
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 there support would be most beneficial.										

Appendix A

Risk Number	RM019	Date of update			25 August 2016					
Risk Name	Failure to deliver a new fit for purpose social care system on time and to budget.									
Risk Owner	Catherine Underwood	Date entered on risk register			24 February 2016					
Risk Description										
Major risks include: 1) Being unable to resource the project to meet the April 2018 deadline 2) Setting a scope that is either too ambitious or not challenging enough 3) The market may not provide an affordable solution 4) It may be difficult to establish costs and fund the project 5) National and local agendas may cause our requirements to change radically between procuring and implementing the system 6) Corporate governance may be challenging to establish standard requirements for a complex project involving users from 5 council departments and 3 committees.										
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	5	20	3	5	15	1	4	4	Jun-18	Green

Tasks to mitigate the risk

- 1) Create and cost a resource and preliminary staffing structure profiled across years, and recruit to posts
- 2) Ensure scope is effectively challenged through staff, management and member consultation
- 3) Ensure the procurement route and SoR is clearly specified to appeal to the widest group of contractors that have a developed product that delivers Adults, Childrens and Finance
- 4) Ensure costs and resource plans are challenged reviewed by an external expert
- 5) Consult effectively with partners and stakeholders to ensure intelligence is captured and fed into the procurement requirements and within the implementation phases
- 6) Develop and review effective corporate governance to ensure service requirements are fed into the scope and Statement of Requirements.

Progress update

- 1) Staffing and non-staffing estimates were calculated and profiled and approved by Adults, Children's and policy and Resources Committees February 2016. Initial key posts will be advertised in the next two weeks.
- 2) The project scope has been reviewed by the SCS Management Board and by CLT.
- 3) The Statement of Requirements has been signed-off by the Joint Leadership Advisory Group (JLAG) and the County Leadership Team (CLT). The Invitation to Tender (ItT) was placed w/c 9 May 2016. Deadline for bids was 10 June.
- 4) Cost, resource plans and the Statement of Requirements have been challenged and reviewed by an external ICT consultant and changes have been made to take these into account.
- 5) The Project Team is consulting with management groups, stakeholders and OLAs and is maintaining a watching brief on the development of Government and professional body agendas
- 6) Governance models developed in the preliminary stages have been reviewed in consultation with the Managing Director and Corporate Leadership Team and those changes are being implemented.
- 7) Data migration approach has been agreed by JLAG and CLT.

Risk Number	RM020a					Date of update		25 August 2016		
Risk Name	Failure to meet the long term needs of older people									
Risk Owner	Catherine Underwood					Date entered on risk register		23 March 2016		
Risk Description										
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.										
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-30	Amber
Tasks to mitigate the risk										
<ul style="list-style-type: none">Invest in appropriate prevention and reablement servicesIntegrate social care and health services to ensure maximum efficiency for delivery of health and social careThe Building Better Futures Programme will realign and develop residential and social care facilitiesEnsure budget planning process enables sufficient investment in adult social careAdult Social Services is implementing a new more cost effective model for meeting peoples' needs based on Promoting Independence.										
Progress update										
<p>The Adult Social Care mitigating tasks are relatively short term measures compared to the long term risk, i.e. 2030, but long term measures are outside NCC's control, for example Central Government policy.</p> <p>The department is implementing Promoting Independence which will radically change Adult Social Services in Norfolk. The overall objective is: improving when and how people can get information and advice locally; helping people to meet their needs locally; helping people to be independent and live safely at home; a strengths based approach; and in turn reducing the number of social care assessments that Norfolk carries out and the amount of funded services provided. Strengths based training was rolled out to all social care practitioners in Adult Social Services by the end of April 2016. Preventative Assessments have been piloted and are being evaluated. The Customer Clinics/Links are starting to be rolled out.</p>										

Risk Number	RM020b					Date of update		25 August 2016		
Risk Name	Failure to meet the needs of older people									
Risk Owner	Catherine Underwood					Date entered on risk register		01 April 2011		
Risk Description										
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.										
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	4	8	Mar-17	Amber
Tasks to mitigate the risk										
<ul style="list-style-type: none">Invest in appropriate prevention and reablement servicesIntegrate social care and health services to ensure maximum efficiency for delivery of health and social careThe Building Better Futures Programme will realign and develop residential and social care facilities. Adult Social Services has a new more cost effective model for meeting peoples' needs based on Promoting Independence.										
Progress update										
<ul style="list-style-type: none">The Norsecare development at Bowthorpe opened in April 2016.The department is delivering Promoting Independence, the new strategy for Adult Social Services: keeping people independent in their homes, meeting their needs in the local community and reducing the need for paid services.The department has invested in more reablement staff so that additional people can be reabled, needing either no home care or smaller packages of care.Some of the CCGs have stated that they will not be putting as much money into the Better Care Fund in 2016-17.										

Risk Number	RM021					Date of update			21 June 2016	
Risk Name	Failure of Estate Management									
Risk Owner	Simon George					Date entered on risk register			21 June 2016	
Risk Description										
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. New risk proposal by the Chief Internal Auditor following the Audit report on the estate management of County Farms.										
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	4	3	12	1	3	3	Mar-17	Amber
Tasks to mitigate the risk										
1) County Farms Improvement Board 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 Improvement Board meetings.										
Progress update										
1) The County Farms Improvement Board has been established and officers have met to consider improvements to estate management. 2) Recommendations are currently being considered and implemented, and progress monitored at the County Farms Improvement Board meetings.										

Risk Number	RM022					Date of update		01 August 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. New Risk									
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			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 the and breaking the tie between programme performance and funding										
Progress update										

Progress update
<ul style="list-style-type: none">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).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.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<ul style="list-style-type: none">1. Gaining approval that the Authority will be designated funding in a timely manner2. 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.