Appendix B

Risk Number	RM001		Date of update	03 July 2018
Risk Name	Infrastructure is not delivered at the required rate to support existing needs and the planned growth of Norfolk			
Risk Owner	Tom McCabe		Date entered on risk register	01 July 2015

Risk Description

1) Not securing sufficient funding to deliver all the required infrastructure for existing needs and planned growth leading to: • congestion, delay and unreliable journey times on the transport network • a lack of the essential facilities that create sustainable communities e.g. good public transport, walking and cycling routes, open space and green infrastructure. 2) Not meeting the funding profiles (e.g. Local Growth Fund) and losing the funding.

Original			Current			Tolerance Target				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
3	5	**15**	3	3	**9**	3	2	**6**	Mar-19	**Amber**

Tasks to mitigate the risk

1.1) County and District Council staff to compile evidence for Local Growth Fund 3 (LGF3) schemes by LEP deadline (End of 2017) to maximise the chance of success. Funding announced and the Local Enterprise Partnership will make a decision anticipated to be spring 2018.

1.2) Engage with Highways England over recommendations for RIS2 programme over summer 2017.

1.3) Review Planning Obligations Standards annually to ensure we are seeking the maximum possible contributions from developers. Officer review December 2017. Member adoption March/April 2018.

1.4) Submit business cases for Pooled Business Rates (PBR) funding by end of July 2017 and end of October 2017.

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) Periodically review timescales for S106 funding to ensure it is spent before the end date and take action as required. Periodic reviews up until the end of March 2018 for transport contributions and an annual review process from April to July 2017 for library and education contributions.

Overall risk treatment: Treat

Progress update

Progress update

1.1) 27 LEP pro formas have been completed for the highest priority LGF schemes.

1.2) Acle Straight and East Winch to Tilney dualling identified as key priorities for RIS2 by NCC and the A47 Alliance and these have been recommended to HE.

1.3) Review programmed.

1.4) Pooled Business Rates bid were successful for 24 projects including the following key transport projects
King's Lynn Transport
Norwich Western Link
Great Yarmouth Transportation Strategy
Dereham Market Town Study
Long Stratton Bypass

2.1) Scheme development work underway for 7 Attleborough transport schemes, 6 Great Yarmouth Sustainable Transport schemes and two Great Yarmouth congestion scheme. Fullers Hill Roundabout scheme is completed and the Railway Station/TheConge scheme is under construction.

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

Risk Number	RM002		Date of update	19 June 2018
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 (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.

Original			Current			Tolerance Target				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
4	5	**20**	3	4	**12**	3	4	**12**	Mar-19	**Amber**

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:Treat

Progress update

Government's 2018-19 local government finance settlement reflected in the 2018/19 budget and Medium Term Financial Strategy.

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.

The council's external auditors gave an unqualified audit opinion on the 2016-17 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 2017.

The recent commitment to additional funding for the NHS (https://www.gov.uk/government/news/prime-minister-sets-out-5-year-nhs-funding-plan)

Progress update

inevitably means less funding will be available for other government priorities. However, the plan sets out a commitment that 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.

Executive Directors are updating the the latest information on the Council's budget planning for 2019-20 to 2021-22 which is expected to be reported to the Policy and Resources Committee on 16 July 2018.

Risk Number	RM003					Date of update			19 June 2018	
Risk Name	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.									
Risk Owner	Simon George					**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. This risk is separate to RM007, which looks at the risk of not having the correct or accurate data to make key decisions.

Original			Current			Tolerance Target				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
3	5	**15**	3	4	**12**	2	4	**8**	Dec-18	**Green**

Tasks to mitigate the risk

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 enhacing Cyber Security techniques and Protocols through recommendations from the recent Cyber Security Audit - i.e data loss, ransomware and system outages etc.
GDPR work plan has been to CLT and the ICG now owns the plan.
GDPR work has been implement and business representative meting are still being delivered reporting back to the ICG.
The current impact score is at 4 to take into account the increase in corporate tools to manage and ensure compliance - Information Asset Register, Policies and Procedures, Training and Awareness Strategy and Business buy-in.
The new General Data Protection Regulations are to be implemented by May 2018. A GDPR paper and work plan agreed by the ICG will go to CLT for sign off, with further work progressing. The work plan will include a corporate plan that will add further mitigation in reducing this risk.
The target date has been changed to take into account the remianing elements of hte GDPR programme and the repsone from NHS Digital
Overall risk treatment: Treat

Progress update

Progress update
The IM Maturity Readiness plan has objectives and outcomes around the key information management tasks identified within the risk. The plan is initially focussed on the first three information principles as the foundation layers, Information is a valued asset, information is managed and information is fit for purpose. Data cleansing has started in relation to Children's and Adult's social care information pre-procurement. The council now has a corporate Information Asset Register in line with industry best practice, which all services have added their key information assets and these have idenitified Information Asset Owners (IAOs) associated with them. The SIRO will recieve quarterly exception reports from the IAO's and the IAO's will on a regular basis update these assets and any risks associated with them. The governance of the monitoring of the register and the assets themselves has been agreed with the SIRO and identified to the Caldicott Guardians. Six new Corporate Information Management policies signed off by Business Leads, the Caldicott Guardians and the SIRO, have been implemented within the council along with 30+ Corporate procedures signed off by business leads. In tandem, a communications strategy has been implemented along with a robust Training and Awareness strategy including action and implementation plans. Cyber security action plan has been developed and is currently being actioned. The Maturity Readiness Plan is being monitored by the Business Intelligence/Information Management Programme Board on a monthly basis with highlight reports. The scrutiny will also be provided by regular updates to CLT. The Annual Governance Statement is being produced with assurance of compliance to be incorporated. GDPR programme of work is underway reporting to the ICG and escalation to IMT steering Group/CLT. Norfolk County Council submitted the 2018/19 NHS IG Toolkit submission and is currently awaiting response from NHS Digital. GDPR programme of work has been implemented with key risk areas prioritised for the delivery by the 25th May 2018. Programme of work is now continuing for the lower risk areas. Audit sucessfully undertaken by Internal Audit in regards to the use and implemention of Caldicott Guardians across Childrens and Adults.

Risk Number	RM004		Date of update	13 June 2018
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			Tolerance Target				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
3	4	**12**	3	4	**12**	2	3	**6**	Dec-18	**Amber**

Tasks to mitigate the risk

1) Ensure that staff who have contract management as part of their job have the relevant skills and support to manage contracts effectively

2) Pipeline of expiring contracts and procurement summary to go to Committees and departments.

3) Appoint a Senior Commissioning Officer for Norse services and implement cross-department contract management structures

4) Review contracts to ensure compliance with the GDPR from May 2018

5) Rolling programme of internal audits of contract management of significant contracts

Overall risk treatment: Treat

Progress update

1) Contractor management training being organised for Q2/3 of 2018/19; 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 has been appointed for Norse services and cross-department

4) Contracts are currently being reviewed, to ensure compliance with the GDPR as of May 2018.

5) Rolling audit programme has commenced.

Risk Number	RM006		Date of update	04 July 2018
Risk Name	The potential risk of failure to effectively plan how the Council will deliver services over the next 3 years commencing 2018/19 - 2021.			
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			Tolerance Target				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
3	5	**15**	2	5	**10**	2	5	**10**	Oct-18	**Met**

Tasks to mitigate the risk

1) Clear robust planning framework in place which sets the overall vision and priority outcomes. A council-wide strategy which seeks to shift focus to early help and prevention, and to managing demand
2) Strategic service and financial planning process which translates the vision and priorities into achievable, measurable objectives, with clear targets.
3) A robust annual process to provide evidence for Members to make decisions about spending priorities.
4) 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.
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

Progress update

1) The Council agreed the Strategic and Financial Planning 2018-19 to 2021-22 and Revenue Budget for 2018-19 at its meeting on 12 February 2018. In making their decisions, Councillors had the benefit of a cycle of robust committee discussions about priorities and pressures on services.
2) Norfolk County Council's strategic planning framework sets out a vision and a strategy to govern the work of the Council over the next 3 years. The vision builds on the administration's manifesto and the strategy (wich replaces the previous Council Plan) sets out the 4 strategic principles that we will use to start to transform Norfolk County Council's services. The Norfolk Futures transformation programme provides the vehicle for change, and contributes and is aligned to the Medium Term Financial Strategy.
3) Each service committee has a 3 year service plan which outlines the business plans which will deliver the vision and strategy, as well as the key performance indicators by which progress and success will be measured. The Committee plans have been built up from the 53 "plans on a page" developed across all services, and which detail the desired outcomes, priorities and measures for each service. Over the summer 2018, the plans on a page will be refreshed to ensure they are in line with the 4 strategic principles, and aligned to emerging budget proposals. Over the next 3 months, the Strategy & Delivery Unit will be working with

Progress update

Finance to develop a fully integrated strategic planning cycle.

4) Regular performance reporting to committees is focusing attention on poorly performing areas and highlighting areas of good performance. Dashboards are used, providing a summary of key performance indicators (KPIs) which focus on key areas agreed by Members and Chief Officers, together with the red, amber, green rating (RAG) ratings and direction of travel (DoT). The corporately significant "vital signs" have been agreed and will be reviewed quarterly at the Policy & Resources Committee.

5) Plans for a public consultation for savings in 2019-20 are being developed for the Autumn 2018, and "project by project" engagement with strategic stakeholders and partners is already underway. The feedback from all consultations will be shared with and discussed in detail by councillors in line with agreed timetable.

6) The Heads of Strategy & Delivery, Intelligence & Analytics and Human Resources have been appointed, strengthening the corporate centre and creating a more joined up approach to strategy setting, using evidence and intelligence. The focus of the teams will be to determine the strategic questions the council needs to respond to, scan the political landscape that the council operates in for opportunities and threats, respond to emerging policies and support the developmement of service specific strategies to address current and emerging pressures.

Risk Number	RM007		Date of update	19 June 2018
Risk Name	Potential risk of organisational failure due to data quality issues.			
Risk Owner	Simon George		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. 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.

Original			Current			Tolerance Target				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
3	5	**15**	3	5	**15**	2	4	**8**	Dec-18	**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) The implementation of a corporate Records Management solution
6) The implementation of a corporate Identity and Access Management solution

Overall risk treatment: Treat

Progress update

Progress update
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. April 2017 compliance rate for 3 year refresher is 97.6% - 2.6% higher than the target for the vital sign of 95%. A pilot training programme has been completed concerning increasing data accuracy skills. The pilot was for 32 staff accross all services. The Council now has a corporate Information Asset Register in line with industry best practice, which all services have added their key information assets and these have idenitified Information Asset Owners (IAOs) associated with them. The SIRO will receive quarterly exception reports from the IAO's and the IAO's will regularly update their assets and any risks associated with them. The governance of the monitoring of the register and the assets themselves has been agreed with the SIRO and identified to the Caldicott Guardians. The 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. A data quality audit has been carried out, particularly focussing on information asset owners, with the final report published in January 2018. A Data Quality Working Group has been established for the Liquid Logic project and has been meeting on a reqular basis to ensure the quality of the information migrated to the new system is in a robust fit for purpose state as per the IM Strategy.

Risk Number	RM010		Date of update	20 June 2018
Risk Name	The risk of the loss of key ICT systems including: - internet connection; - telephony; - communications with cloud-provided services; or - the Windows and Solaris hosting platforms.			
Risk Owner	Simon George		**Date entered on risk register**	02 September 2015

Risk Description

Loss of core / key ICT systems, communications or utilities for a significant period - as a result of 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: reduce.

Original			Current			Tolerance Target				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
3	4	**12**	3	4	**12**	1	3	**3**	Sep-18	**Amber**

Tasks to mitigate the risk

'1) Full power down completed periodically.

2) Voice and Data reprocurement.

3) Commision Independant Data centre and power audit

4) Reprocure storage with suitable resilience and Disaster Recovery (DR)

5) Reprocure Microsoft Server Infrastructure with suitable resilience and DR

6) Replace ageing Local Area Network (LAN) equipment

7) Identify a suitable DR site to replace Carrow House

8) Ensure access to services if county hall lost by reconfiguring Core Infrastructure Services (DHCP, DNS, Active directory)

9) Implement Cloud-based business systems with resilient links for key areas

10) Replace voice services (contact center / desk phones) with resilient cloud based service including Relocate resilient Network Routing Server to allow call routing to continue for other sites if County Hall failed

Reconfigure sites to point to an active Survivable Media Gateway (one of the 4 ISDN sites) so if Avaya fails a reduced fall back service is available

11) Review and Implement suitable arrangments to protect against possible cyber / ransonware attacks including

 • Carry out recommendations from Cyber Security Audit

• Carry out recommendations from Phishing Simulation exercise, and repeat

• Retire Windows 2003

• Implement new client service security for Windows 10 build

• Independent IT Health Check for PSN accreditation

Overall risk treatment: Treat

Progress update

Progress update

'Progress completed to date
1) Full power down completed and procedures updated from lessons learned.
2) Voice and Data reprocurement complete and implemented significantly increasing resilience for the Wide Area Network and internet.
3) Commissioned Independant Data centre and power audit, complete August 2017, recommended separate diverse power supply and new data centre's, costing additional power and plan (subject to approval) new data centre's as part of basement / lower ground refurbishment.
4) New DR site work permissions approved, building work complete.
5) New Microsoft Server Infrastructure procured implementation complete ready for migration when ready to test full DR capability.
8)All core infrastructure services (DNS, AD, ADFS, NPS, AlwaysOn VPN) are now clustered across to the Secondary site ;
- All production Wintel servers (380) are now replicated to the Secondary site;
- Email system is now able to operate independent of County Hall campus. This includes user's access to mailbox as well as ability to send/receive internal and external emails.
9) Cloud-based highways management system has been implemented; Liquid Logic replacement is remotely hosted and due live by April 2018 with resilient network connections ordered; review of Oracle hosting has commenced.
11) To mitigate against a cyber attack Network segregation has been improved over the Wide Area Network (WAN), ensuring all partners that use the NCC network are fully segregated. Denial of Service (DDOS) and Intrusion Prevention system (IPS) implemented on our internet gateways and robust patching and host based protection implemented on all NCC devices that attach to the network (This is a pre-requisite of PSN accreditation, and is an on-going task). A simulated phishing attack has been run (we are one of few Councils to have under-

taken such an exercise) and results are being analysed. New client service security for Windows 10 has been successfully implemented and is being enforced as the new build rolls out.
Actions to be completed
6) Replacement New Local Area Network (LAN) to be procured to reduce risk of network failure.
7) The server, network and storage DR equipment will be moved into the identified site providing full failover facilities in the event of loss of County Hall. Still on Target to be complete by late Summer 2018.
8)All core infrastructure services (DNS, AD, ADFS, NPS, AlwaysOn VPN) to be moved Q3 2018 to the new DR site;
- Work started on the new Solaris EBS platform which by design is replicated to the Secondary site (go live Q4 2018);
- Network layer resilience main concepts agreed, design work initiated. This will be enhanced by the LAN refresh (Q4 2018);
- Works have started to reorganise/improve the site's Comms Room which will become ready as Secondary site Q3 2018;
10) Replacement of contact centre system to a cloud based service taking longer than expected. Skype for business project being reset and replanned to improve resilience and reduce dependencies on onsite infrastructure.
11) Work to complete recommendations from Cyber Security Audit is ongoing 5 out of 25 actions now complete with a target of December 2018, the work to retire Windows 2003 servers 26 remain 16 due to be complete by Jun 2018 leaving 10 including Oracle UCM, SMIS, call pilot which are all dependant on other projects but will be patched with security patches provided by the NHS, the recommendations from the Independent IT Health Check for PSN accreditation are 69% complete. We are working through the recommendation/actions from the phishing exercise and have completed 1 of the 12 we will complete all actions by October 2018.

Risk Number	RM011		Date of update		03 July 2018
Risk Name	The potential risk of failure to implement and adhere to an effective and robust performance management framework.				
Risk Owner	Wendy Thomson		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 Council.

Original			Current			Tolerance Target				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
3	4	**12**	3	4	**12**	1	3	**3**	Mar-19	**Amber**

Tasks to mitigate the risk

Reshaped and launched performance development framework
Mandatory training for 950 existing managers
Mandatory training for all new managers
Survey feedback to test employee and manager engagement and competence with new framework
Corporate vital signs for goals, learning plans
Other corporate vital signs of staying with organisation more than 2 years, absence targets,
Employee survey to test alignment with goals and performance improvement
Regular monthly communication
Half year reviews will focus on launch of values and leadership attributes the "how"
Embedded into our management development framework offer.

Managing the following five corporate vital signs relating to performance;

Sickness absence - percentage lost time.
New employee retention rate
Vacancy rates
Agency and contract staffing spend as a percentage of pay bill
Working to a target of 95% of employees having written goals to works towards.

Overall risk treatment: Treat

Progress update

We have a plan in progress for the current year to deliver the HR based mitigations for this risk.
We are developing the vital signs relating to performance.
There is close working between the Head of HR and the Head of Intelligence and Analytics to capture how the organisation is performing.

Risk Number	RM013		Date of update	22 June 2018
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) Incuring 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 2016-17.

Original			Current			Tolerance Target				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
1	4	**4**	1	4	**4**	1	4	**4**	Apr-19	**Met**

Tasks to mitigate the risk

1) All controlled entities and subsidiary companies have a system of governance which is the responsibility of their Board of Directors.
The Council needs to ensure that it has given clear direction of it's policy, ambitions and expectations of the controlled entities.
The NORSE Group objectives are for Business Growth and Diversification of business to spread risks.
Risks need to be recorded on the Group's risk register.
2) The NORSE board includes a Council Member and is currently chaired by the Executive Director of Communities and Environmental Services of the Council. There is a shareholder committee comprised of six Members. The shareholder committee should meet quarterly and monitor the performance of NORSE. A member of the shareholder board, the shareholder representative, should also attend the NORSE board.
3) The Council holds control of the Group of Companies by way of its shareholding, restrictions in the NORSE articles of association and the voting rights of the Directors. The mission, vision and value statements of the individual NORSE companies should be reviewed regularly and included in the annual business plan approved by the Board. NORSE should have its own Memorandum and Articles of Association outlining its powers and procedures, as well as an overarching agreement with the Council which outlines the controls that the Council exercises over NORSE and the actions which require prior approval of the Council.
4) To ensure that governance procedures are being discharged appropriately to Independence Matters.
5) Approve the Outline Business Case for Repton Property Developments Ltd.
6) Provide regular updates to the company Board and to the Business and Property Committee.
Risk Treatment: Tolerate

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, Policy and Resources Committee agreed to liquidate Norfolk Energy Futures on 3rd July 2017, with the outcomes of this process to be reported to Policy and Resources Committee through financial monitoring. Work to liquidate the company is currently progressing.

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 subsiduary 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.

Updated report on Norse governance went to P&R in November 2016.

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.

Risk Number	RM014a			**Date of update**	10 July 2018
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			Tolerance Target				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
3	3	**9**	5	3	**15**	2	2	**4**	Mar-19	**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

The year-end figure for FY2017/18 confirmed ongoing underspends for mainstream and post 16 transport and ongoing overspend for SEN transport; we anticipate a similar pattern of spend against budget for the FY2018/19 with potential pressure of approx. £900k. Currently, the strategy to address this overspend pressure remains the same, i.e : Norfolk County Council have now progressed to the next stage of the Hackney Community Transport independent travel training initiative; following on from the formal contract sign-up the provider has now recruited a local manager and implementation is now underway with key NCC services and partners (Headteachers of Special Schools and parent/carer organisation) to increase independence travel training on a payment by results basis. The plan over the next 5 years, is for a cohort of 100 pupils per year to be targeted for this intensive work via Hackney Community Transport (HCT). Ongoing efficiencies will continue to be secured though the cycle of route reviews and re-procurement. New special school places are now coming on stream (3 schools being completed in the current academic year) and we continue to target placements that will reduce travel time and travel costs in addition to meeting pupil needs. The outcome of the consultants, Red Quadrant, review of SEN transport will be reported to CLT in May 2018 and action plans will be adjusted based on those agreed recommendations.
Red Quadrant consultants were commissioned to review all elements of SEN transport and their findings and recommendations were reported to P&R Committee on 4 June 2018. P&R Committee have determined that these recommendations, that highlight potential savings in excess of £1.5million, should now be debated in full via CS Committee.

Risk Number	RM014b			Date of update		20 June 2018	
Risk Name	The savings to be made on Adult Social Services transport are not achieved.						
Risk Owner	James Bullion			Date entered on risk register		04 November 2015	

Risk Description

The risk that the budgeted savings of £1.7m to be delivered by 31 March 2020 will not be achieved.

Original			Current			Tolerance Target				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
3	3	9	2	2	4	2	2	4	Mar-20	Green

Tasks to mitigate the risk

1) Whilst we have managed to achieve £0.487m of the budgeted savings, as we were unable to achieve the savings in full, the savings have been reprofiled to future years (2017/18 and 2019/20).
2) A corporate review of transport is also taking place.
3) Transport Guidance has been updated in line with the revised transport policy
4) Refurbishment of a site in Thetford to provide day services and respite care to prevent people from having to travel long distances.
5) Under the Younger Adults of the Promoting Independence Workstream, we're developing a joint approach to disability and transition from Children's to Adults.
6) Exploring the use of an application to help with monitoring of the cost of transport. This application is currently being used by Children with Special Educational Needs.

Overall risk treatment: Treat

Progress update

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 as a result of changes to patterns of care. The department achieved an underspend on Transport for 2017-18 of £0.888m - in effect the early delivery of the 2018-19 savings and some of the 2019-20 savings.
2) Travel Independence Training Across the Nation (Titan) training is being rolled out. Have recruited to ASS 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. 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.
4) The department has been advised that there is potentially scope for the development of the Elm Road site on a bigger scale. In light of this, the review of Learning Difficulties day services and the potential new opportunities this could lead to, the department is reviewing the Elm Road project.
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.

Risk Number	RM016		Date of update	14 June 2018
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**	Oct-18	**Green**

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) 85% of critical services have plans which are up-to-date. We are now working to ensure that plans are exercised, there was a 7% improvement on the numbers of plans which have been exercised from 1st May to 1st June 2018. The target for the end of September is to achieve 50%. The Resilience Team audits all plans as they are received and provides feedback to service managers where changes are required. The annual audit completed on 10% of plans has been completed and feedback given to relevant managers.
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 completed and was a success. This exercise tested "loss of access to County Hall" not "loss of infrastructure at County Hall". Resilience Management Board and CLT have given support to a corporate exercise at the Professional Development Centre. This has been booked for the 26th July 2018. IMT have agreed that a full failover test should be completed at the Disaster Recovery site which would mean the PDC would be operational in the event of a failure of ICT at CH. This is currently planned to take place in September 2018.

Tasks to mitigate the risk	Progress update
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.	3) The Business Continuity for managers course is now over subscribed despite more dates being added to the training programme. The annual survey is in the process of being completed, already with more than 800 responses - 200 more than last year. Training and exercising is being completed across the organisation but a full programme of training and exercising needs to be developed. All plans must be exercised once per year. The target for the end of September is to achieve 50%. A tactical / silver course is being developed for NCC staff. A Resilience debrief on the March 2018 severe weather took place on 10th April 2018. Key learnings from this from the gold and silver group feedback (representing the organisation across the board) was presented to the Resilience Board on 19th April 2018 by the Head of Resilience.
4) Implement the Business Continuity Framework	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 positon of the departments using the assurance framework and those sections marked as red/amber (where applicable) should be linked to departmental risk registers. This will be due to be completed again once the BC survey results have been reviewed. Each department will receive a report showing where the departmental strengths and weaknesses are in relation to Resilience.
5) Gain assurance that ICT could be recovered in line with timescales detailed within the BIAs. Overall Risk Treatment: Treat	5) Full ICT data from the Business Impact Analysis has been provided to IMT and we are awaiting their comments and feedback. The aspiration is that what the Business has documented within the BIAs should be used to help shape IMT infrastructure projects and the currect DR project. There are several new technologies being introduced such as the new telephony system, whilst they offer numerous benefits, Resilience have requested a briefing on any additional risks the new technologies may bring. For example for outlying buildings without generators, a loss of power my cause a complete loss of communications. This briefing has not been completed yet, and has been raised. The target date for this risk has been amended to 31/10/18 to take into account resource requirements within ICT and the timescales for the infrastructure projects in IMT which will improve resilience of ICT and mean ICT continuity in the event of failure of ICT at CH. ICT have drafted a report showing levels of resilience and where there are gaps and the Resilience Team have reviewed this. IMT have now provided timescales for when ICT will be more resilient, and specifically a date for when additional exercises can take place at the PDC.

Risk Number	RM017			Date of update	29 June 2018
Risk Name	Failure to deliver the Broadland Northway within agreed budget (£205m)				
Risk Owner	Tom McCabe		Date entered on risk register		26 November 2015

Risk Description

There is a risk that the Broadland Northway will not be delivered within the revised budget. Cause: environmental and/or contractor factors affecting delivery within budget. Event: The Broadland Northway is completed at a cost greater than the agreed revised budget. Effect: Failure to deliver the Broadland Northway within the revised budget would result in the further shortfall having to be met from other budgets. This will impact on other NCC programmes.

Original			Current			Tolerance Target				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
3	3	**9**	3	3	**9**	3	3	**9**	Sep-18	**Amber**

Tasks to mitigate the risk

The total project budget agreed by Full Council (November 2015) was £179.5m. Since then, in November 2016, a risk of £6.8m increased budget was highlighted. In June 2017, the risk of an increased budget was highlighted. A further update to P&R Committee on 27 November 2017 received approval to revise the budget to £205m (this was also confirmed at Full Council on 11 December 2017). This new assessment reflects the corporate assessment criteria . Mitigation measures have been updated to reflect the revised position.

1) Project Board and associated governance to continue to monitor cost and programme at monthly reporting meeting with a focus on delivery below revised budget.

2) NCC project team maintain appropriate commercial resource to provide ongoing scrutiny throughout the remaining works by Balfour Beatty. This includes completing an independent audit of Balfour Beatty's project costs, taking account of the revised contract provisions.

3) Programme has been developed that shows works to be completed in phases to specified dates with penalties applied for late delivery.

4) Project controls and client team to ensure systems in place to deliver the remainder of the project. Client team to ensure any contractual issues are robustly handled as works are completed and final account process closed.

5) All opportunities to be explored to reduce risk, costs and programme duration with appropriate management meetings (at appropriate levels) to be held on a weekly basis.

6) Provide further assurance of budget management governance through appropriate audits and further specialist advice.

7) Seek further contract/legal advice on key contract cost risks as necessary (linked to item 4 above).

Overall risk treatment: Treat, with a particular focus on reducing project costs

Progress update

Progress update

1) The project Board is in place and meets monthly, receiving reports on progress, cost and risk. Process includes updates and feedback from the NDR Member Group who are providing additional project scrutiny. Any budget issues will be reported to Committee as soon as possible.

2) The project commercial team has been reinforced and will continue to be maintained at appropriate levels to provide sufficient scrutiny throughout the remaining works and until closure of the final account. The team, supported by external specialists will continue to examine Balfour Beatty's project costs. Further resource or specialist advice to be discussed at Board meetings.

3) Contractor has agreed a programme to complete all the remaining works in three phased sections. Board and NDR Member Group to be provided with details and updates as works progress. The first phase (A1067 to A140) was completed and opened on agreed date of 11 November 2017. The second phase was completed and opened on 21 December 2017. The final phase is now completed, but was behind the target date of 23 March. The road was opened on 16 April, but there remain further works to complete (drainage; landscaping; planting; cycleways). Remaining minor works will be completed by NCC Works team and are allowed for within the overall budget.

4) Project administration controls and client commercial team are maintaining systems and staffing levels to monitor ongoing costs and contract information.

The specialist review of allowable costs will provide input to this. Contract a-dministration will continue to be managed through CEMAR software package. Project cost forecasting also to be updated in line with programme (see 3 above). Compensation events from October onwards being assessed as actual cost + fee.

5) Regular weekly joint construction team meetings held to ensure delivery maintains momentum on site. Further meetings being held between respective commercial teams to deal with closing out necessary contract changes and programme management. Senior management meetings also continue to discuss the commercial position with a focus now on closing the final account for the construction works. Details to be reported to Board and Broadland Northway Member Group.

6) A governance (delegated purchasing of land) audit and a contract administration audit have been carried out. Both are completed and the reports have been presented to the Board and Member Group. Further cost analysis by specialist consultants also commenced at the end of August 2017 and this is ongoing as part of the contract final account process (see 2 above). Findings from the final cost audits will be reported to the Board and Member Group.

7) Specialist contract advice has assisted the negotiations relating to contract changes. These changes have been checked with legal team and details were included in the 27 November P&R Committee report. Necessary approvals and signing of contract Deed of Variation completed. Any contract issues will be discussed at Board and Member Group meetings and any further updates taken to Committee.

Risk Number	RM019		Date of update	20 June 2018
Risk Name	Failure to deliver a new fit for purpose social care system on time and to budget.			
Risk Owner	James Bullion		Date entered on risk register	24 February 2016

Risk Description

A new Social Care system is critical to the delivery and efficiency of Adults and Children's Social Services. This is a complex project and the risk is the ability to deliver on time along with the restriction on making any system changes to the existing system (Carefirst)

Original			Current			Tolerance Target				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
4	5	**20**	3	5	**15**	1	4	**4**	Oct-18	**Green**

Tasks to mitigate the risk

1) Ensure effective governance is in place
2) Set up a project team to manage the project.
3) Determine go live dates for Adults Services, Children's Services, and Finance.
4) Deliver implementation of the new system
5) Complete User Acceptance and Data Migration Testing
6) Deliver change and training

Overall risk treatment: Treat

Progress update

1a) Clear governance is in place. The Project Sponsors are Janice Dane (Adults), Debby McKechnie (Children's) and John Baldwin (Finance). This is overseen by CLT: a Programme Board was set up including the Directors of Adults, Children's and Finance and Commercial Services .
1b) There are weekly Joint Leadership Advisory Group (JLAG) Lead meetings with the Project Sponsors and the Project Team; and regular updates to Adults Committee and to CLT.
2) A core Project Team has been up and running since January 2016 (with strong practitioner involvement). A network of champions has been established in Adult Social Services and Children's Services.
3) Adults and Finance successfully went live on 22 November 2017. Children's and Finance were planned to go live in March 2018 however at the first Programme Board Go/No go decision point on the 16 January 2018 for the Children's and Finance systems
it was forecast that the implementation would not be ready by the w/c 19 March 2018. Therefore it was agreed to move the go live by a few weeks and to use an alternative go live date w/c 30 April 2018. Part of the contingency budget is funding the extension.
4) Delivery of implementation is proceeding in line with the plan. Adults and Finance Go Live - Considering the scale of the change that has happened, requiring some significant changes to behaviours in staff and managers, this process has been relatively smooth. Payment and billing runs have been made from the system and approximately 70 providers are using the Provider Portal. A support helpdesk is up and running in a central location.
5) Children's and Finance - At the Go/No Go point on 12 April the SCSR Programme Board agreed to continue the go live process in line with the agreed plans.
6) Training of staff is in progress for Children's.

Risk Number	RM021			Date of update			12 June 2018			
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.

Original			Current			Tolerance Target				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
4	3	12	3	2	6	2	2	4	Oct-18	Amber

Tasks to mitigate the risk

1) County Farms Performance Review Meeting to be established and attended by officers.
2) Recommendations from the County Farms audit report to be implemented with progress to be noted at the County Farms Performance Review Meetings.
3) Reconstitute the County Farms Review Meeting.
4) Procure a new property data base for the management of the estate.

Overall risk treatment: Treat

Progress update

1) There is a regular report to B&P committee.

2) The lettings process for four farms has been completed with the new, transparent system in place. No issues have been experienced to date.

3) Tenants will soon be balloted on their preferred method of 'tenant representation'.

4) The major outstanding action is the replacement of the IT system, which is being considered within the context of the whole teams requirements.

Risk Number	RM022		Date of update	21 June 2018
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	Wendy Thomson		**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			Tolerance Target				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
4	3	**12**	3	3	**9**	2	3	**6**	Oct-18	**Amber**

Tasks to mitigate the risk

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).
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.
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.
4) Human Resources to support managers and staff who may be affected by this issue.
5) Regular meetings aretaking place with the Department for Communities and Local Government (DCLG) 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.

Overall risk treament: Tolerate

Progress update

Progress update

1) CLT agreed Vince Muspratt should continue to be the officer responsible and highlight any changes that would impact the council. CLT agreed 3 strands of work in line with the LGA approach: a. Future of EU Funding; b. Place-based impact; c. Laws affecting councils. We held a business-focused information event on 5 June and are developing our direct links to businesses to support them and enable them to support each other on Brexit issues. The NCC web pages will be updated to reflect this.
2) Government has now stated that existing funding programmes will contine until their original end date of 31 December 2020 (rather than 19 March 2019 as had been anticipated). DCLG has confirmed this applies to their programmes but DeFRA continue to work to the March 2019 end date. Payment mechanisms to manage this remain to be explored.
3) The Green Paper regarding the Shared Prosperity Fund has not yet been published and in the light of the announcement above, is not now expected for some time:
we are working with New Anglia and other relevant partners on a joint response and will report the propos-

als and our response to P&R report when it has been published. NCC is represented on the LGA national Brexit Sounding Board by Vince Muspratt, the Sounding Board will resume after publication of the Green Paper and in the interim we are in regular contact with the LGA and with other relevant bodies to monitor progress.
4) The Internal Project Board is aware of NCC liabilities; nplaw have drafted a Deed of Guarantee seeking written assurance from DCLG that they will meet our liabilities in order to close the Programme. DCLG 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.
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) Analysis is being undertaken of migrant workforce in Norfolk to feed into LGA request for evidence. Data also being gathered on Norfolk businesses export markets.

Risk Number	RM023		Date of update	20 June 2018
Risk Name	Failure to understand and 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

There is a risk of failure to fully understand and act upon 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			Tolerance Target				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
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) A new set of NCC corporate priorities which aims to address longer-term demand management in children's and adult services.

Overall risk treatment: Treat

Progress update

1) Demand and demography modelling continues to be refined through the cost and demand model. Four main themes for transformation: Services for people with learning disability; maximising digital technology; embedding strengths-based social work through Living Well; 3 conversations; health and social care integration
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 inititatives for reducing social isolation and loneliness
3b) Workforce – continued recruitment campaign to increase 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

Risk Number	RM024		**Date of update**	29 June 2018
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			Tolerance Target				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
3	4	**12**	3	4	**12**	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 particular 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.
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 current forecasts. They will continue to assess on a monthly basis, reporting to the board. No issues highlighted and budget is considered sufficient - this work has been used to update the business case submitted to DfT. DfT has confirmed acceptance of the updated business case.
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.
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 has been ongoing and will feed into the engagement processes (competitive dialogue) with the bidders.
5) The project board will receive regular (monthly) updates on project risks, costs and timescales.