

# Norfolk County Council

## Record of Cabinet Member decision

**Responsible Cabinet Member: Cllr Andrew Proctor**

Executive Leader, Cabinet Member for Governance and Strategy

### **Background and Purpose:**

#### **Risk Management**

This report sets out the latest corporate risks for the Cabinet, at Appendix C. The report also provides risk summaries for all risks being managed by departmental management teams. The Audit Committee are responsible for monitoring the adequacy and effectiveness of the systems of risk management and internal control, as set out in its Terms of Reference, which is part of the Council's Constitution. There are Risk Management controls in place within the Council as per the Financial Regulations of the Council's Constitution. The Audit Committee will receive the Risk Management Annual Report 2019/20 at its meeting on 9th April 2020.

The key corporate risk messages are as follows:

- That corporate risk management continues to be sound and effective, working to best practice.
- The review of the corporate risks has taken place with risk owners, the relevant Executive Director, and Corporate Board as a group. For corporate risks the risk title, scoring, mitigations, progress, and target dates have all been reviewed, and updated as necessary. There are some target dates that have been amended to a later date to reflect the current assessment of the timeframe required to achieve the target score by.
- A new corporate risk has been drafted to reflect the risk of COVID-19 to Norfolk County Council. This can be viewed in Appendix C. This risk incorporates the numerous mitigations that are being applied to ensure that any disruption to normal service delivery is minimised, and that the health, safety, and wellbeing of all staff and service users continues to be prioritised.
- The Corporate Risks have been reviewed to ensure that they continue to align with the Council's business plan Together, for Norfolk. Key changes to the latest corporate risk register since last report in January 2020 are shown at Appendix A, and corporate risk score movement is shown at Appendix B. The corporate risks are presented at Appendix C. Departmental risk summaries are presented at Appendix D.
- This corporate risk management report should be read in conjunction with the corporate vital signs report to ensure that they are interlinked.
- The Audit Committee continues to be responsible for monitoring the adequacy and effectiveness of the systems of risk management.
- Developments of the risk management function during 2019/20 will shortly be reported to Audit Committee as an end of year annual report

**Decision:**

- 1) To consider and agree the key messages (2.1) and key changes (Appendices A and B) to corporate risks since the last risk management report in January 2020.
- 2) To consider and agree the corporate risks as at March 2020, including a new corporate risk RM032a and RM032b to mitigate against the risk of COVID-19 disrupting service delivery (Appendix C).

**Is it a key decision?****No****Is it subject to call in?****No****If Yes – Deadline for Call in****Date: N/A****Impact of the Decision:**

Risk management plays a key role in managing performance and is a requirement in the Accounts and Audit Regulations 2015. Sound risk management helps ensure that objectives are fulfilled, that resources and assets are protected and used effectively and efficiently. The responsibilities for risk management are set out in the Financial Regulations, which are part of the Council's Constitution.

**Evidence and reason for the decision:**

N/A

**Alternative options considered and rejected:**

N/A


**Financial, Resource or other implications considered:**

Staff: The imminent risk of COVID-19 impacting on staff can be seen within risk RM032a - Effect of COVID-19 on NCC business continuity (staff, service users, and service delivery), and RM032b - Effect of COVID-19 on supply chain. There are also staffing resource implications to consider as part of risk RM029 - NCC may not have the employees (or a sufficient number of employees) with critical skills that will be required for the organisation to operate effectively in the next 2-5 years and longer term.

IT: There are no specific major risk IT implications to consider within this report other than as part of RM010 - 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.

**Record of any conflict of interest:**

No conflict

<b>Background Documents:</b>	
<b>Date of Decision:</b>	<b>6 April 2020</b>
<b>Publication date of decision:</b>	<b>6 April 2020</b>
<b>Signed by Cabinet member:</b>	
I confirm that I have made the decision set out above, for the reasons also set out	
	
<b>Signed:</b>	
<b>Print name: Cllr Andrew Proctor</b>	
<b>Date: 06 April 2020</b>	
<b>Accompanying Documents:</b>	

# Cabinet

Item 10

<b>Decision making report title:</b>	<b>Risk Management</b>
<b>Date of meeting:</b>	<b>6<sup>th</sup> April 2020</b>
<b>Responsible Cabinet Member:</b>	<b>Cllr. Andrew Proctor, Cabinet Member for Governance and Strategy</b>
<b>Responsible Director:</b>	<b>Simon George, Executive Director of Finance and Commercial Services</b>
<b>Is this a key decision?</b>	<b>No</b>

## **Introduction from Cabinet Member**

Risk management is required by regulations and as part of the Council's Constitution. It contributes to achieving corporate objectives, the Council's key priorities and Business Plan and is a key part of the performance management framework. The responsibility for an adequate and effective risk management function rests with the Cabinet, supported by portfolio holders and delivered by the risk owners as part of the risk management framework. This report sets out the key messages and the latest corporate risks. As per the Council's Constitution, stipulating that departmental level risks are reported at least annually to Cabinet, a summary of each department's departmental level risks are also reported at Appendix D.

## **Executive Summary**

Risk Management for Norfolk County Council is considered sound, and effective, working to best practice. This report sets out the latest information relating to corporate risks, providing Cabinet Members with an overview of the Corporate level risks being managed within the Council as well as departmental level risk summaries.

## **Recommendations**

- 1. To consider and agree the key messages (2.1) and key changes (Appendices A and B) to corporate risks since the last risk management report in January 2020.**
- 2. To consider and agree the corporate risks as at March 2020, including a new corporate risk RM032a and RM032b to mitigate against the risk of COVID-19 disrupting service delivery (Appendix C).**

## 1. Background and Purpose

- 1.1. This report sets out the latest corporate risks for the Cabinet, at **Appendix C**. The report also provides risk summaries for all risks being managed by departmental management teams.

The Audit Committee are responsible for monitoring the adequacy and effectiveness of the systems of risk management and internal control, as set out in its Terms of Reference, which is part of the Council's [Constitution](#). There are Risk Management controls in place within the Council as per the Financial Regulations of the Council's Constitution. The Audit Committee will receive the Risk Management Annual Report 2019/20 at its meeting on 9th April 2020.

## 2. Proposals

- 2.1. The key corporate risk messages are as follows:

- That corporate risk management continues to be sound and effective, working to best practice.
- The review of the corporate risks has taken place with risk owners, the relevant Executive Director, and Corporate Board as a group. For corporate risks the risk title, scoring, mitigations, progress, and target dates have all been reviewed, and updated as necessary. There are some target dates that have been amended to a later date to reflect the current assessment of the timeframe required to achieve the target score by.
- A new corporate risk has been drafted to reflect the risk of COVID-19 to Norfolk County Council. This can be viewed in **Appendix C**. This risk incorporates the numerous mitigations that are being applied to ensure that any disruption to normal service delivery is minimised, and that the health, safety, and wellbeing of all staff and service users continues to be prioritised.
- The Corporate Risks have been reviewed to ensure that they continue to align with the Council's business plan Together, for Norfolk. Key changes to the latest corporate risk register since last report in January 2020 are shown at **Appendix A**, and corporate risk score movement is shown at **Appendix B**. The corporate risks are presented at **Appendix C**. Departmental risk summaries are presented at **Appendix D**.
- This corporate risk management report should be read in conjunction with the corporate vital signs report to ensure that they are interlinked.

- The Audit Committee continues to be responsible for monitoring the adequacy and effectiveness of the systems of risk management.
- Developments of the risk management function during 2019/20 will shortly be reported to Audit Committee as an end of year annual report.

### 3. Impact of the Proposal

- 3.1. Risk management plays a key role in managing performance and is a requirement in the Accounts and Audit Regulations 2015. Sound risk management helps ensure that objectives are fulfilled, that resources and assets are protected and used effectively and efficiently. The responsibilities for risk management are set out in the Financial Regulations, which are part of the Council's Constitution.

### 4. Evidence and Reasons for Decision

- 4.1. Not applicable as no decision is being made.

### 5. Alternative Options

- 5.1. There are no alternatives identified.

### 6. Financial Implications

- 6.1. There are financial implications to consider, which are set out within the risks at **Appendix C**.

### 7. Resource Implications

- 7.1. **Staff:** The imminent risk of COVID-19 impacting on staff can be seen within risk **RM032a - Effect of COVID-19 on NCC business continuity (staff, service users, and service delivery)**, and **RM032b - Effect of COVID-19 on supply chain**. There are also staffing resource implications to consider as part of risk **RM029 - NCC may not have the employees (or a sufficient number of employees) with critical skills that will be required for the organisation to operate effectively in the next 2-5 years and longer term**.
- 7.2. **Property:** There are no major property risk implications to consider within this report.

- 7.3. **IT:** There are no specific major risk IT implications to consider within this report other than as part of **RM010 - 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.**

## **8. Other Implications**

### **8.1. Legal Implications**

There are no specific legal implications to consider within this report.

### **8.2. Human Rights implications**

There are no specific human rights implications to consider within this report.

### **8.3. Equality Impact Assessment (EqIA) (this must be included)**

None applicable.

### **8.4. Health and Safety implications (where appropriate)**

There are health and safety risk implications as set out in the new corporate risk **RM032a - Effect of COVID-19 on NCC business continuity (staff, service users, and service delivery, and RM032b - Effect of COVID-19 on supply chain.** Mitigations are in place to ensure that the health, safety and wellbeing of all Council staff continues as a top priority to ensure that services continue to be delivered as normal. Health, safety and wellbeing is reported as part of the Health, Safety and Wellbeing report.

Other health and safety implications to consider within this report are noted within risk **RM028 - Risk of any failure to monitor and manage health and safety standards of third-party providers of services.**

### **8.5. Sustainability implications (where appropriate)**

There are no specific sustainability implications to consider within this report. Any sustainability risks identified as part of the Council's recently launched [Environmental Policy](#) (page 58) will be recorded and reported appropriately.

### **8.6. Any other implications**

There are no other risk implications to consider within this report.

## **9. Risk Implications/Assessment**

- 9.1. The risk implications are set out in the report above, and within the risks themselves at **Appendix C**.

## **10. Select Committee comments**

- 10.1. There are no recent Select Committee comments to note within this report.

## **11. Recommendations**

- 11.1.           1) To consider and agree the key messages (2.1) and key changes (Appendices A and B) to corporate risks since the last risk management report in January 2020.
- 2) To consider and agree the corporate risks as at March 2020, including a new corporate risk RM032a and RM032b to mitigate against the risk of COVID-19 disrupting service delivery (Appendix C).

## **12. Background Papers**

There are no further background papers to note, other than those already linked within the body of the report.

## **Officer Contact**

If you have any questions about matters contained in this paper, please get in touch with:

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## Appendix A

### Key Changes to Corporate Risks

The quarterly review of the corporate risk register has generated changes. These are captured below as follows;

<b><i>Risk Number</i></b>	<b><i>Risk Score Change</i></b>	<b><i>Risk title Change</i></b>	<b><i>Risk Description Change</i></b>	<b><i>Mitigations Change</i></b>	<b><i>Risk Owner Change</i></b>	<b><i>New Corporate Risk</i></b>
<i>RM001</i>						
<i>RM002</i>						
<i>RM003</i>						
<i>RM004</i>						
<i>RM006</i>						
<i>RM007</i>						
<i>RM010</i>						
<i>RM013</i>						
<i>RM016</i>						
<i>RM022</i>						
<i>RM023</i>						
<i>RM024</i>						
<i>RM026</i>				✓		
<i>RM027</i>						
<i>RM028</i>						
<i>RM029</i>						
<i>RM030</i>						
<i>RM031</i>						
<i>RM032a</i>						✓
<i>RM032b</i>						✓

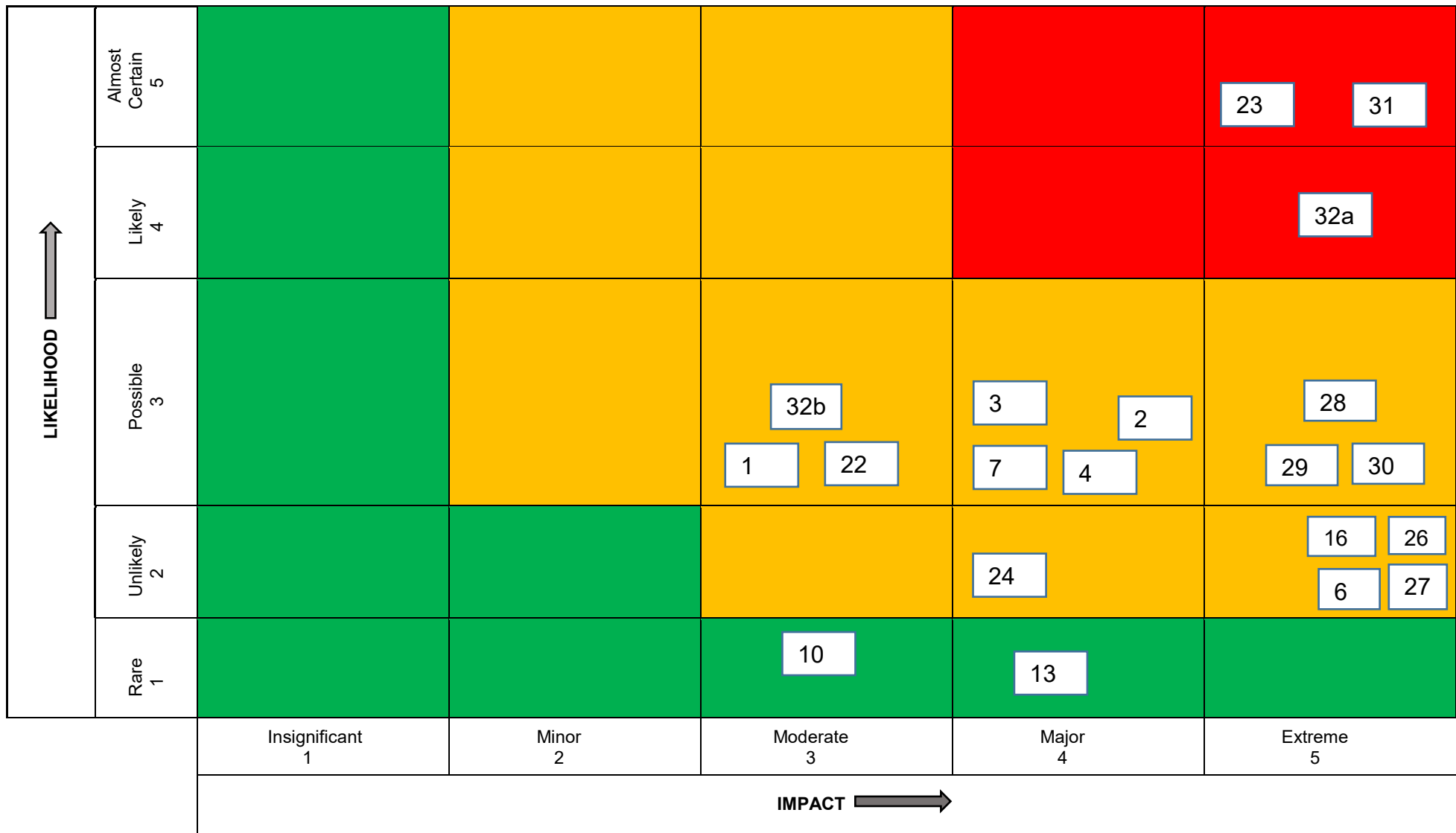
### New risk

**RM032a - Effect of COVID-19 on NCC business continuity (staff, service users, and service delivery)**

**RM032b - Effect of COVID-19 on supply chain**

With the recent implications of COVID-19, a new corporate risk is proposed. This risk is split into two parts, covering the risk to the health, safety and wellbeing of NCC staff and service users, and the risk of supply chain disruption, with both parts relating to the overall risk of service disruption.

# Corporate Risks - Heat Map



**Key** = Risk score increase     
 = no score change     
 = risk score decrease

No.	Risk description	No.	Risk Description
1	Realising infrastructure funding requirements to achieve the infrastructure ambition of the Business Plan.	13	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.
2	The potential risk of failure to manage significant reductions in local and national income streams.	16	Failure to adequately prepare for and respond to a major disruption to Norfolk County Council services.
3	Potential for failure to comply with information compliance and information security requirements.	22	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').
4	The potential risk of failure to deliver effective and robust contract management for commissioned services.	23	Lack of clarity on sustainable long-term funding approach for adult social services at a time of increasing demographic pressures and growing complexity of need.
6	The potential risk of failure to deliver our services within the resources available for the period 2018/19 to the end of 2020/21.	24	Failure to construct and deliver the Great Yarmouth 3rd River Crossing (3RC) within agreed budget (£121m), and to agreed timescales (construction to be completed early 2023).
7	Risk of inadequate data quality resulting from poor data governance, leading to poor decisions being made affecting outcomes for Norfolk citizens.	26	Legal challenge to procurement exercise.
10	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.	27	Risk of failure of new Human Resources and Finance system implementation.
		28	Risk of failure to monitor and manage health and safety standards of third party providers of services.
		29	NCC may not have the employees (or a sufficient number of employees) with critical skills that will be required for the organisation to operate effectively in the next 2-5 years and longer term.
		30	Realisation of Children's Services Transformation change and expected benefits.
		31	NCC Funded Children's Services Overspend

		32a	Effect of COVID-19 on NCC business continuity (staff, service users, and service delivery)
		32b	Effect of COVID-19 on supply chain

Risk Number	RM001					Date of update		25 February 2020		
Risk Name	Realising infrastructure funding requirements to achieve the infrastructure ambition of the Business Plan									
Portfolio lead	Cllr. Martin Wilby					Risk Owner		Tom McCabe		
Risk Description					Date entered on risk register			03 June 2019		
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 attractive conditions for business activity and investment, and sustainable communities, including good connectivity, public transport, walking and cycling routes, open space and green infrastructure, and funding for the infrastructure necessary to enable the county council to perform its statutory responsibilities, eg education. Overall risk treatment: Treat										
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	2	6	Mar-21	Amber
Tasks to mitigate the risk										
1.1) Work with other county council officers and partners including government, local enterprise partnerships and district councils to compile evidence and the case for investment into infrastructure in order to achieve success through bidding rounds for capital investment. 1.2) Identify and secure funding including Pooled Business Rates (PBR) to develop projects to a point where successful bids can be made for funding through compiling evidence and cases for investment. 1.3) Engage with providers of national infrastructure – Highways England for strategic (trunk) roads and Network Rail for rail delivery – to ensure timely delivery of infrastructure projects, and work with partners on advocacy and lobbying with government to secure future investment into the networks. 1.4) Review Planning Obligations Standards annually to ensure the county council is able to seek and secure the maximum possible contribution from developers. 1.5) Continue to build the relationship with strategic partners including elected representatives, government departments, local enterprise partnerships, regional bodies such as Transport East (the emerging Sub-National Transport Body) and other local authorities to maximise opportunity and work together in the most effective joined-up manner. 1.6) Periodically review timescales for S106, and other, funding contributions to ensure they are spent before the end date and take action as required. Periodic reviews for transport contributions and an annual review process for library and education contributions.										
Progress update										

## Progress update

Overall: Assessing likely impacts of, and reviewing likely necessary mitigation for, potential new government following general election announcement; there being central government pledged funds wrapped up in several major infrastructure schemes.

1.1) Maintain up-to-date project pipeline of future schemes and develop evidence and business cases for priority projects. Compiling evidence to respond to DfT following their request for further information on Norwich Western Link, Long Stratton Bypass, West Winch Housing Access Road and A47/A14 Pullover Junction King's Lynn (submitted as Transport East priorities for Large Local Major Projects and Major Road Network alongside Long Stratton Bypass, which has been given funding to develop its business case to the next stage). Successful in securing Business Rates Pool funding to develop schemes as part of preparing schemes for next round of funding opportunities including successor to Growth Deal. Finalising Strategic Outline Business Case for Transforming Cities funding for submission in November.

1.2) Developing schemes and projects including the following, part-funded from Pooled Business Rates: King's Lynn Transport; Norwich Western Link; Fakenham Market Town Study;

Downham Market Market Town Study; Wroxham / Hoveton Market Town Study; Wymondham Market Town Study; Long Stratton; Bypass; West Winch Housing Access Relief Road.

1.3) Continuing work to secure investment into the strategic road network including A47 dualling and investment into the rail network. Continuing to work Great Eastern Main Line (Norwich to London): Network Rail have produced a draft study setting out infrastructure constraints for Norwich in 90 services. Local authorities commissioned study on wider economic benefits. Continuing to work on Ely Task Force: Network Rail is producing a business case for infrastructure improvements required to unlock a range of additional passenger and freight services. Continuing to support East West Rail Consortium: Eastern Section prospectus published.

1.4) Review of Planning Obligations Standards completed, new standards adopted by Cabinet in September 2019.

1.5) Continuing to work with Transport East on transport strategy; liaising with DfT, Network Rail and Highways England on strategic road and rail schemes; attending wider partnership groups including LEP Transport Board.

1.6) Continuing to update new systems to ensure monitoring is effective and up to date.



Risk Number	RM002					Date of update		10 March 2020		
Risk Name	The potential risk of failure to manage significant reductions in local and national income streams									
Portfolio lead	Cllr. Andrew Jamieson					Risk Owner		Simon George		
Risk Description					Date entered on risk register			31 May 2019		
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. Overall risk treatment:Treat										
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	4	8	Mar-21	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 Corporate Board and members. Regular finance monitoring reports to Cabinet. 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.										
Progress update										

## Progress update

Government's 2018-19 local government finance settlement reflected in the 2019/20 budget and Medium Term Financial Strategy. County Council on 11.02.19 approved the 2019/20 budget and future medium Term Financial Strategy taking into account the Final Local Government Finance settlement for 2019/20.

The council's external auditors gave an unqualified audit opinion on the 2018-19 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 31.03.2019.

The commitment to additional funding for the NHS (<https://www.gov.uk/government/news/prime-minister-sets-out-5-year-nhs-funding-plan>) 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 former 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 after the December 2019 General election. Following the December 2019 General Election, the Government announced the Final Local Government Finance Settlement for 2020/21 on 6.02.20 and after being debated in the House of Commons this was confirmed on 25.02.20. County Council on 17.2.20 approved the 2020/21 budget and future Medium Term Financial Strategy taking into account the Final Local Government Settlement for 2020/21.

<b>Risk Number</b>	RM003					<b>Date of update</b>		25 February 2020		
<b>Risk Name</b>	Potential for failure to comply with information compliance and information security requirements.									
<b>Portfolio lead</b>	Cllr. Andrew Proctor					<b>Risk Owner</b>		Helen Edwards		
<b>Risk Description</b>					<b>Date entered on risk register</b>			05 June 2019		
There is a risk of failing to comply with statutory and/(or) national/local codes of practices in relation to Information Compliance, coupled with a risk of loss of sensitive data. 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. Overall risk treatment: Treat										
<b>Original</b>			<b>Current</b>			<b>Tolerance Target</b>				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
3	3	9	3	4	12	1	4	4	Mar-21	Green
<b>Tasks to mitigate the risk</b>										
1) Implementation of SIRO (Senior Information Risk Owner) , CIO (Chief Information Officer), Corporate Information Management Team encompassing Information Management, Information Governance, Records Management, policies confirming responsibilities. 2) Ensure that information and data held in systems (electronic and paper) is accurate, up to date, comprehensive, secure against security breaches, and fit for purpose to enable managers to make confident and informed decisions. Continue CS data project to retain / destroy data appropriately. 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) Ensure that the mandated eLearning Data Protection 2 year refresher data continues to be sent to CLG on a monthly basis for review and action. 5) 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. 6) NCC is NHS Information Governance Toolkit compliant to Level 2 7) Embedding and enhancing Cyber Security techniques and Protocols through recommendations from the Cyber Security Audit - i.e data loss, ransomware and system outages etc. in line with National Cyber Security Centre best practice. 8) Embedding of GDPR 9) Undertake a six month review to reduce demand and increase capacity										
<b>Progress update</b>										

## Progress update

The Chief Legal Officer has responsibility as SIRO and DPO.

GDPR programme of work has been implemented with all but low risk areas. Programme of work is now continuing for the low risk areas. There is an increased volume of Subject Access Requests (SARs). A six monthly review is in place to reduce demand and increase capacity.

Audit successfully undertaken by Internal Audit in regards to the use and implementation of Caldicott Guardians across Childrens and Adults with no significant or high outcomes. Quarterly meetings are in place to monitor the Caldicott process. Work is underway to promote and prevent potential data security breaches followed by departmental checking and reporting of compliance.

Cyber security action plan has been developed and is currently being actioned.

Norfolk County Council is NHS IG Toolkit accredited to Level 2 by NHS Digital in lines with NHS partners within Norfolk and Waveney STP.

There are different aspects to this risk, which when considered together, make up the current risk score.

SOCITM Advisory Limited were asked to carry out an Information Management Governance Review.

The discovery phase is done and we are now awaiting a draft report from them around how we can improve our overall information governance. This was authorised by the Executive Director of Strategy and Governance and led by the Assistant Director of Finance and Commercial Services (Audit) for NCC.

## Appendix C

<b>Risk Number</b>	RM004					<b>Date of update</b>		10 March 2020		
<b>Risk Name</b>	The potential risk of failure to deliver effective and robust contract management for commissioned services.									
<b>Portfolio lead</b>	Cllr. Andrew Jamieson					<b>Risk Owner</b>		Simon George		
<b>Risk Description</b>					<b>Date entered on risk register</b>			02 June 2019		
Ineffective contract management leads to wasted expenditure, poor quality, unanticipated supplier default or contractual or legal disputes. The council spends some £700m on contracted goods and services each year. Overall risk treatment: Treat										
<b>Original</b>			<b>Current</b>			<b>Tolerance Target</b>				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
3	4	12	3	4	12	2	3	6	Sep-20	Amber
<b>Tasks to mitigate the risk</b>										
<p>1) By October 2019 implement a proactive system to identify early signs of potential supplier financial failure and respond appropriately.</p> <p>Next steps:</p> <ul style="list-style-type: none"><li>- Develop robust process to respond to CreditSafe alerts by end June 2019</li><li>- Develop robust process to spot other early warning signs eg late filing of accounts, media monitoring by end September 2019</li></ul> <p>2) Continue to report the pipeline of expiring contracts to Corporate Board every six months.</p> <p>Continue to discuss the pipeline of expiring contracts with CES DMT every quarter.</p> <p>Next steps:</p> <ul style="list-style-type: none"><li>- Start to discuss the pipeline of expiring contracts with other departmental management teams or individual senior managers on a quarterly basis from quarter 3 of 2019</li></ul> <p>3) Through the contract compliance and optimisation workstream of the Smarter Workstream priority under the Norfolk Futures programme, implement measures to ensure that staff who have contract management as part of their job have the relevant skills and support to manage contracts effectively.</p> <p>Next steps:</p> <p>Implement phased plan as agreed at corporate board 3 December 2020</p> <p>4) Develop a standard specification for service transition that can be used as the basis for new sourcing exercises and used to manage transitions effectively by end June 2019</p> <p>5) From 2017 internal audit to conduct an audit of 2 contracts each year from the list of top 50 contracts by value</p> <p>6) Internal audit to undertake audits of the contract management control environment in the three service directorates in second half of the financial year.</p>										
<b>Progress update</b>										
<p>1) Process developed with finance to respond to CreditSafe alerts.Creditsafe contract being reviewed to see whether it remains the best solution.</p> <p>2) Pipeline frequency at Corporate Board increased to quarterly and process in place for monthly review by Director of Procurement and Executive Director of Finance</p> <p>3) Contract compliance and optimisation workstream plan was approved at Corporate Board in December 2019 and phased implementation is under way</p> <p>4) Transition/handover checklist developed and in use.</p>										

<b>Risk Number</b>	RM006					<b>Date of update</b>		10 March 2020		
<b>Risk Name</b>	The potential risk of failure to deliver our services within the resources available for the period 2018/19 to the end of 2020/21.									
<b>Portfolio lead</b>	Cllr. Andrew Proctor					<b>Risk Owner</b>		Tom McCabe		
<b>Risk Description</b>					<b>Date entered on risk register</b>			13 June 2019		
The failure to deliver agreed savings or to deliver our services within the resources available, resulting in the risk of legal challenge and overspends, requiring the need for in year spending decisions during the life of the plan, to the detriment of local communities and vulnerable service users. Overall risk treatment: Treat										
<b>Original</b>			<b>Current</b>			<b>Tolerance Target</b>				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
2	5	10	2	5	10	1	5	5	Mar-21	Green
<b>Tasks to mitigate the risk</b>										
1) Clear robust framework, 'Together for Norfolk - Business Plan' in place which drives the delivery of the overall vision and priority outcomes. The delivery of a council-wide strategy which seeks to shift focus to early help and prevention, and to managing demand. 2) Delivery against the strategic service and financial planning, by translating the vision and priorities into achieved, delivered targets. 3) A robust annual process to provide evidence for Members to make decisions about spending priorities. 4) Regular and robust in-year financial monitoring to track delivery of savings and manage in-year pressures. 5) Sound engagement and consultation with stakeholders and the public around service delivery. 6) A performance management and risk system which ensures resources are used to best effect, and that the Council delivers against its objectives and targets.										
<b>Progress update</b>										
Regular budget and performance monitoring reports to Cabinet now set out how the Council is delivering against the 2019/20 budgets and priorities set for each of our services. The Council has a robust and established process, including regular reporting to members, which is closely linked to the wider Council Strategy, in order to support the development of future year budget plans taking account of the latest available information about Government funding levels and other pressures. This process includes reviewing service budgets and taking into account financial performance and issues arising in the current financial year as detailed in the budget monitoring reports.										

Risk Number	RM007					Date of update		25 February 2020		
Risk Name	Risk of inadequate data quality resulting from poor data governance, leading to poor decisions being made affecting outcomes for Norfolk citizens									
Portfolio lead	Cllr. Andrew Proctor					Risk Owner		Helen Edwards		
Risk Description					Date entered on risk register			05 June 2019		
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. Overall risk treatment: Treat										
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	Mar-21	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) Develop and link in to department risks on the management of departmental data.										
Progress update										

## Progress update

The ICG has clear terms of reference and a work plan to cover its responsibilities. Data Quality (DQ) audits have been undertaken by internal audit with no significant or concerning outcomes.

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

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

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

The Risk Management Officer will consult with departments to ensure risks associated with the management of their data are considered.

Bringing Liquid Logic into service provided an opportunity to understand where issues lie. Additional understanding gained from new Liquid Logic reports being written relying on accurate data.



<b>Risk Number</b>	RM010					<b>Date of update</b>		10 March 2020		
<b>Risk Name</b>	The risk of the loss of key ICT systems including: - internet connection; - telephony; - communications with cloud-provided services; or - the Windows and Solaris hosting platforms.									
<b>Portfolio lead</b>	Cllr. Tom Fitzpatrick					<b>Risk Owner</b>		Simon George		
<b>Risk Description</b>					<b>Date entered on risk register</b>			01 July 2019		
Loss of core / key ICT systems, communications or utilities for a significant period - as a result of a cyber attack, loss of power, physical failure, fire or flood, or supplier failure - would result in a failure to deliver IT based services leading to disruption to critical service delivery, a loss of reputation, and additional costs. Overall risk treatment: Treat.										
<b>Original</b>			<b>Current</b>			<b>Tolerance Target</b>				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
2	3	6	1	3	3	1	3	3	Sep-20	Met
<b>Tasks to mitigate the risk</b>										
1) Full power down completed periodically 2) Replace ageing Local Area Network (LAN) equipment 3) Ensure access to services if county hall lost by reconfiguring Core Infrastructure Services (DHCP, DNS, Active directory) 4) Implement Cloud-based business systems with resilient links for key areas 5) Replace voice services (contact center / desk phones) with cloud based Microsoft Teams 6) Review and Implement suitable arrangements to protect against possible cyber / ransomware attacks including 7) We will be running a number of Cyber Attack exercises with senior stakeholders to reduce the risk of taking the wrong action in the event of a cyber attack 8) We will hold a number of Business Continuity exercises to understand and reduce the impact of risk scenarios 9) Implement new data centre to reduce the risk of power failure, loss of data connectivity and reduce ICT hardware failures										
<b>Progress update</b>										
1) Full power down completed as required by Property programme plans 2) New Local Area Network equipment has been procured and we are now implementing with County Hall. 3) Access services have been migrated to the new DR site so work can continue if county hall unavailable 4) We Implement Cloud-based business systems with resilient links for key areas as they are procured, guidance is being refreshed regularly. 5) Contact services have been migrated to a cloud based system, Telephony resilience will be improved as part of the Microsoft Teams (Formerly Skype for Business project) which recommenced in Feb 2020. 6) We are still working through the cyber audit actions which are more complex than first thought. Target date for completion is now June 2020. 7) The Cyber Attack exercise with senior stakeholders to reduce the risk of taking the wrong action in the event of a cyber attack. We delivered an 'EXECSIM' exercise with the corporate board to ensure										

### **Progress update**

we are fully prepared in the event of a Cyber Attack, communications and approach at a senior level (Jan 2020). We are scheduling a National Cyber Security Centre (NCSC) 'Exercise in a box' session for IMT to test our approach during a cyber attack and we will follow this up with a NCSC 'Exercise in a box' exercise for the business leads, resilience team and IMT to jointly rehearse a cyber attack.

8) We have already held a Business Continuity exercise to understand and reduce the impact of risk scenarios and this will be re-run within 12 months to further reduce the risk. Large scale remote access exercise successfully carried out in February 2020, with over 3000 staff working remotely from a non-NCC based site. This demonstrates that the network can cope effectively with a vastly increased number of users working remotely. There are plans to run Exercise Steel later in 2020, building on the work of Exercise Horseshoe.

9) The new data centre is now live.

The score is based upon steady progress mitigating the risks and running exercises to rehearse what we do in the event of a failure.

We currently running an increased short term risk to data cables and connectivity being damaged due to basement building work - We are working closely with the corporate property team to highlight areas of concern.

Risk Number	RM013					Date of update		10 March 2020		
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.									
Portfolio lead	Cllr. Greg Peck					Risk Owner	Simon George			
Risk Description					Date entered on risk register			02 July 2019		
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 2019-20. Overall risk treatment: Treat This risk is scored at a likelihood of 1 due to the strong governance in place and an impact score of 4 given the size of the controlled companies.										
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	Mar-21	Met
Tasks to mitigate the risk										
<p>1) All controlled entities and subsidiary companies have a system of governance which is the responsibility of their Board of Directors.</p> <p>The Council needs to ensure that it has given clear direction of it's policy, ambitions and expectations of the controlled entities.</p> <p>The NORSE Group objectives are for Business Growth and Diversification of business to spread risks. Risks need to be recorded on the Group's risk register.</p> <p>2) The NORSE board includes a Council Member and is currently chaired by the Executive Director of Strategy and Governance for the Council. There is a shareholder committee comprised of six Members. The shareholder committee should meet quarterly and monitor the performance of NORSE. A member of the shareholder board, the shareholder representative, should also attend the NORSE board.</p> <p>3) The Council holds control of the Group of Companies by way of its shareholding, restrictions in the NORSE articles of association and the voting rights of the Directors. The mission, vision and value statements of the individual NORSE companies should be reviewed regularly and included in the annual business plan approved by the Board. NORSE should have its own Memorandum and Articles of Association outlining its powers and procedures, as well as an overarching agreement with the Council which outlines the controls that the Council exercises over NORSE and the actions which require prior approval of the Council.</p> <p>4) To ensure that governance procedures are being discharged appropriately to Independence Matters. The Executive Director for Finance and Commercial Services' representative attends as shareholder representative for Independence Matters.</p> <p>5) Approve the Outline Business Case for Repton Property Developments Ltd.</p> <p>6) Shareholder representation required from the Executive Director of Finance and Commercial Services on both the Norse, and Repton Boards.</p>										
Progress update										

## Progress update

- 1) There are regular Board meetings, share holder meetings and reporting as required. For NORSE, risks are recorded on the NORSE group risk register.
- 2) The Norse Group follows the guidance issued by the Institute of Directors for Unlisted Companies where appropriate for a wholly owned LA 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 then Policy and Resources Committee. The Executive Director of Finance and Commercial Services is responsible for reviewing the ongoing viability of wholly owned entities and regularly reporting the performance of their activities, with a view to ensuring that the County Council's interests are being protected. All County Council subsidiary limited company Directors have been approved in accordance with the Constitution. The new Chairman of Norse has initiated change with one Director looking after NCS and NPS, with a view to maximising returns back to NCC. A further strengthening of the Board is proposed with the appointment of two independent Non-Executive Directors with one vote each. As with Repton the appointments would be made through a transparent process of advertisement, interview and appointment.
- 4) The ED of F&CS 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) There is Shareholder representation from the Executive Director of Finance and Commercial Services on both the Norse, and Repton Boards.

<b>Risk Number</b>	RM016					<b>Date of update</b>		25 February 2020		
<b>Risk Name</b>	Failure to adequately prepare for and respond to a major disruption to Norfolk County Council services.									
<b>Portfolio Lead</b>	Cllr Andrew Proctor					<b>Risk Owner</b>		Tom McCabe		
<b>Risk Description</b>					<b>Date entered on risk register</b>			22 June 2019		
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).										
Overall risk treatment: Treat										
<b>Original</b>			<b>Current</b>			<b>Target</b>				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
3	5	15	2	5	10	2	4	8	Mar-21	Amber
<b>Tasks to mitigate the risk</b>					<b>Progress update</b>					
1) All corporately agreed critical activities must have comprehensive Business Continuity plans which are exercised. Plans to be agreed by Senior Managers.					1) All services have plans in place. 90% of critical services have plans which are up-to-date. The Resilience Team audits plans as they are received and provides feedback to service managers where changes are required.					
2) To develop the Professional Development Centre (PDC) Norwich, which was agreed as a key corporate Work Area Recovery (WAR) site by Corporate Board.					Throughout the last year, a series of exercises have been completed to consider the use of the Corporate Work Area Recovery site, the plan for this is now in draft. Once this is circulated and feedback considered services will be invited to work at the site to ensure it is fit for purpose in the event of an incident affecting County Hall. Exercise Horseshoe (2019) was to test the IMT access and Disaster Recovery site for a range of services including access from the Corporate Work Area Recovery site. Actions as a result of Exercise Horsehoe are being completed, and exercise Exercise Steel will take place later this year. The aim is to further test services from the PDC and remote locations to ensure we could continue working from other sites in the event that we lost County Hall.					

Tasks to mitigate the risk	Progress update
<p>3) Embedding Business Continuity - Ensure there is a programme of work to embed BC into the organisation. This includes awareness raising initiatives and training for support staff and resilience representatives. Training also includes the BC e-learning package which needs to be reviewed, relaunched, and the uptake monitored. Departments must ensure staff attend training and complete exercises/tests.</p>	<p>3) The Business Continuity for Managers course continues to be run through the year. The Emergency Planning awareness course has been launched, this course will provide managers with an insight into how an incident would be managed in the event of several agencies being involved.</p> <p>All plans must be exercised once per year. Our e-learning package is ready to launch within the next month, this is for all managers and staff involved in incident response, it is also suitable for councillors to complete.</p>
<p>4) Implement the Business Continuity Framework</p>	<p>4) Resilience Management Board receive an update of where NCC are in implementing the BC Framework. This has been developed further by communicating the position of the departments using the assurance framework and those sections marked as red/amber (where applicable) should be linked to departmental risk registers. The BC survey is due summer 2020 and at the same time departmental reports on the departmental position will be completed.</p>
<p>5) Gain assurance that ICT could be recovered in line with timescales detailed within the BIAs.</p>	<p>5) IMT and Resilience have now completed this piece of work. Systems have been given a timescale for when they would be recovered within in the event of a large scale ICT incident. The system recovery timescales will be of use in projects and during testing after work such as the datacentre move. We are using this data for Exercise Steel. IMT are working on an out of hours rota so these timescales could be achieved in the event of a major incident occurring out of normal working hours.</p>

Risk Number	RM022		Date of update		28 February 2020					
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').									
Portfolio lead	Cllr. Graham Plant			Risk Owner	Tom McCabe					
Risk Description			Date entered on risk register		01 July 2019					
Four important implications to the Council: 1) The Council's EU funded programmes supporting the local economy. 2) The legal base – substantial change needed structured around No Deal scenario and likelihood of No Deal. 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. Overall risk treatment: Treat										
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	2	3	6	Dec-20	Amber
Tasks to mitigate the risk										
NCC 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).										
1) Regular meetings are taking place with the Ministry for Housing, Communities and Local Government (MHCLG) 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.										
We have agreed the principles 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.										
3) Human Resources to support managers and staff who may be affected by this issue.										
4) Understand the risks and implications of Brexit to service delivery, wider community and business continuity. This includes managing particular risks around the supply of food and fuel, to enable us to support vulnerable people.										
We have jointly commissioned work with the LEP and Suffolk County Council to understand the business impact of Brexit within the New Anglia area and particular sectors likely to be affected, such as agriculture (potential for post-Brexit tariffs making export of some products unviable). Also, signposting to information from Government on preparations businesses should make is available at <a href="http://www.newanglia.co.uk">www.newanglia.co.uk</a> .										
Progress update										

## Progress update

1) The Treasury Guarantee provides assurance that funding is assured in the event of a deal for projects committed by 31 December 2020. The Internal Project Board is aware of NCC liabilities; nplaw have drafted a Deed of Guarantee seeking written assurance from MHCLG that they will meet our liabilities in order to close the Programme. MHCLG have raised the issue with Ministers, as well as our MA status after we leave the EU. This will now fall under the detailed work around payment mechanisms following the confirmation of extended programme completion.

The Green Paper regarding the Shared Prosperity Fund has still not yet been published and is not expected until the 2020 Autumn Statement, at the earliest. We continue to work with New Anglia and other relevant partners and will report the proposals and our response to members when it has been published.

2) MHCLG have advised they will issue a new set of planning assumptions around a no deal Brexit in due course. NCC Brexit Silver Group and Resilience Reps looked at reasonable worst case planning assumptions in Operation Yellowhammer. Work we had done prior to the original leave date meant that we had covered these potential impacts already.

NCC Brexit risk register completed identifies all Brexit risks & mitigations & is available on Sharepoint. There is now a transition period until the end of 2020, while the UK and EU negotiate additional arrangements. The current rules on trade, travel, and business for the UK and EU continue to apply during the transition period. By 1 January 2021 we will either start a new relationship with the EU or leave without a trade deal.

3) Potential loss of staff for NCC and our service providers was looked at in Feb '19 & is under constant review. Signposting to HM Govt websites was undertaken and correspondence sent to service providers. Most recent update:

- Keeping HR Direct up to date with developments to advise staff
- Refreshing employee information on peoplenet
- Undertook exercise to refresh employee data on nationality status
- Provided information to key stakeholders within social care on the pilot
- Surveyed Heads of Services/Departments regarding impacts

4) 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.

A task force has been set up, asking each Directorate to provide a summary of the risk posed to them and their service provision by Brexit. Service delivery risks involving the availability of fuel and supply of food are being managed, to ensure that the Council is prepared for any such eventualities. These two issues have been subject of individual NRF multi-agency task & finish groups. Information has been fed back to NCC Silver Group meetings and resilience reps, for them to consider impacts. Covered in full in NCC Brexit Risk Register. Our revised Business Impact Analysis requires departments to identify fuel requirements to deliver critical activities. NCC prepares the NRF Fuel Emergency Plan so we are well embedded into the process.

The NCC website now offers information for businesses and individuals, including our EU No Deal Exit Strategy <https://www.norfolk.gov.uk/what-we-do-and-how-we-work/preparing-for-brexit>



Risk Number		RM023				Date of update		06 March 2020		
Risk Name		Failure to respond to changes to demography, funding, and government policy, with particular regard to Adults Services.								
Portfolio lead		Cllr. Bill Borrett				Risk Owner		James Bullion		
Risk Description					Date entered on risk register			18 August 2017		
Whilst acknowledging the pressures on adult social services, and providing some one-off additional funding, the Government has yet to set out a direction of travel for long-term funding. At the same time, the pressures of demography and complexity of need continue to increase. This makes effective strategic planning highly challenging and there is a risk that short-term reductions in support services have to be made to keep within budget; these changes are likely to be counter to the long-term Promoting Independence strategy. Overall risk treatment: Treat										
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	5	5	25	2	4	8	Dec-20	Amber
Tasks to mitigate the risk										
1) Implementation of Promoting Independence Strategy. This strategy is shaped by the Care Act with its call to action across public services to prevent, reduce and delay the demand for social care. The strategy aims to ensure that demand is understood and managed, and there is a sustainable model for the future.										
2) As part of the strategy, a shift of spend towards targeted prevention, reablement services, enablement, and strengthened interim care.										
3) Implementation of Better Care Fund plans which promote integration with the NHS and protect, sustain and improve the social care system.										
4) Judicious use of one-off winter funding, as announced by Government.										
5) Close tracking of government policies, demography trends and forecasts.										
6) A new set of NCC corporate priorities which aims to address longer-term demand management in children's and adult services.										
Progress update										

## Progress update

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

Risk Number	RM024					Date of update		25 February 2020		
Risk Name	Failure to construct and deliver the Great Yarmouth 3rd River Crossing (3RC) within agreed budget (£121m), and to agreed timescales (construction to be completed early 2023)									
Portfolio lead	Cllr. Martin Wilby					Risk Owner		Tom McCabe		
Risk Description						Date entered on risk register		14 June 2019		
There is a risk that the 3RC project will not be delivered within budget and to the agreed timescales. Cause: delays during statutory processes 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. Overall risk treatment: Treat, with a focus on maintaining or reducing project costs and timescales.										
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
2	4	8	2	4	8	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: Reduce, with a focus on maintaining or reducing project costs and timescales										
Progress update										

## Progress update

The outline business case was submitted on 30 March 2017, and DfT confirmed approval of this following the autumn statement in November 2017. There is a risk that the scheme development could see changes to the scheme, and therefore to the agreed business case, and any changes will need to be addressed/agreed with DfT. Progress against actions are: 1) Project board in place. Gateway review highlighted a need to assess and amend board attendance and this has been implemented. Progress update report provided to Audit Committee on 31 July 2018. A gateway review was completed to coincide with the award of contract decision making - the findings have been reported to the project board (there are no significant concerns identified that undermine the project delivery). Internal audit on governance ongoing during Feb 19 - report now finalised (dated 14 August 2019) and findings were rated green. 2) Specialist cost and commercial consultants have been appointed and will continue to review project costs. The first element of work for the cost consultant was to review project forecasts. The Commercial Manager will continue to assess the project forecast on a quarterly basis, with monthly interim reporting also provided to the board. No issues highlighted to date and budget is considered sufficient - this work was previously used to update the business case submitted to and accepted by DfT. A further budget review was completed following appointment of the contractor (initial assessments based on tendered submissions provided sufficient confidence to award the contract - in accordance with delegated authority).

3) An overall project programme has been developed and will be owned and managed by the dedicated project manager. Any issues will be highlighted to the board as the project is delivered. Programme updated to fully align procurement and Development Consent Order (DCO) processes. Following the award of the contract, from January 2019, the programme is now focussed on delivering the DCO. Development Consent Order submitted to the Planning Inspectorate (PINS) by end of April 19 as per agreed timescales. The start of DCO examination was 24 September 2019, with a finish date not later than 24 March 2020, but potential to be completed late Feb 2020. 4) Learning from the NDR and experience of the commercial specialist support has been utilised to develop contract details ahead of the formal commencement of the procurement process, which was 27 February 2018. Further work is ongoing and has fed into the procurement processes (and competitive dialogue) with the bidders. The commercial team leads were in place from the start of the contract (January 2019). 5) The project board will receive regular (monthly) updates on project risks, costs and timescales. A detailed cost review was delivered to the board ahead of the award of the contract (following the delegated authority agreed by Full Council), and took into account the contractors tender pricing and associated project risk updates.

## Appendix C

<b>Risk Number</b>	RM026					<b>Date of update</b>			10 March 2020	
<b>Risk Name</b>	Legal challenge to procurement exercise									
<b>Portfolio lead</b>	Cllr. Andrew Jamieson					<b>Risk Owner</b>		Simon George		
<b>Risk Description</b>					<b>Date entered on risk register</b>				04 June 2019	
That alleged breach of procurement law may result in a court challenge to a procurement exercise that could lead to delay, legal costs, loss of savings, reputational damage and potentially significant compensation Overall risk treatment: Treat										
<b>Original</b>			<b>Current</b>			<b>Tolerance Target</b>				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
2	5	10	2	5	10	1	5	5	Sep-20	Green
<b>Tasks to mitigate the risk</b>										
Review processes and practice in light of recent caselaw, in particular Amey Highways Ltd v West Sussex County Council [2019] EWHC 1291 (TCC) and Lancashire Care NHS Foundation Trust & Anor v Lancashire County Council [2018] EWHC 200 (TCC).										
1) At team meeting w/c 10 June 2019, remind procurement staff of need to escalate any proposal to run a procurement exercise in an unreasonably short timescale										
2) Take pipeline to corporate board every six months and to directorate management teams quarterly to minimise risk of rushed procurement exercises.										
3) Seek corporate board sign-off for new approach with consistently adequate timelines,fewer evaluators and greater control over choice of evaluator										
4) Review scale of procurement exercises, avoid unnecessarily large exercises that increase risk and complexity and the scale of any damages claim.										
5) Make incremental change to instructions to evaluators and approach to scoring and documenting rationale, and test on tender NCCT41801 in w/c 3 June 2019										
6) Review standard scoring grid and test 'offline' on tender NCCT41830 w/c 10 June 2019										
7) Review template provisional award letter w/c 17 June										
8) Develop standard report to decision-maker w/c 17 June										
9) Make more significant changes to instructions to evaluators and pilot new approach on a future tender.										
10) Pilot new scoring grid in a future tender										
11) Institute formal annual review of sourcing processes in light of developments in case law. Review each December; add to senior staff objectives.										
Additional tasks identified February 2020:										
12) Update HotDocs to include definitive versions of new templates - by 31 March 2020										
13) Formal sign-off of updated process by Nplaw- by 31 March 2020										
14) Further formal training for procurement officers - by 30 April 2020										
<b>Progress update</b>										

## Progress update

- 1) Reminder given at team meeting - complete
- 2) Pipeline report frequency now quarterly. Pipeline being discussed with EDs or senior commissioners before each board - complete
- 3) Corporate board has signed off the new approach - complete
- 4) Ongoing as need to consider each procurement on a case by case basis.
- 5) Evaluator guidance was updated immediately. More significant changes have also now been implemented - see 9. Complete.
- 6) Scoring grid was updated as planned. Complete.
- 7) Template provisional award letter has been reviewed and updated. Complete
- 8) Existing reports have been reviewed and new report is being developed. Complete.
- 9) Evaluator guidance updated and in use as standard. Feedback from evaluators is positive. A new mechanism for capturing feedback on tenders is now in use after extensive piloting.
- 10) Scoring grid has now been updated and is in use as standard. - Complete
- 11) Added to senior staff objectives. Reviewed January 2020; no new issues identified beyond those in this risk RM026.

<b>Risk Number</b>	RM027					<b>Date of update</b>		27 February 2020		
<b>Risk Name</b>	Risk of failure of new Human Resources and Finance system implementation									
<b>Portfolio lead</b>	Cllr. Tom FitzPatrick					<b>Risk Owner</b>		Fiona McDiarmid		
<b>Risk Description</b>					<b>Date entered on risk register</b>			16 August 2019		
Risk that there is a significant impact to HR and finance services through potential lack of delivery of the new HR & finance system. Overall risk treatment: Treat										
<b>Original</b>			<b>Current</b>			<b>Tolerance Target</b>				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
2	5	10	2	5	10	2	2	4	Sep-21	Green
<b>Tasks to mitigate the risk</b>										
1) Thorough business case to assess Current issues, and solutions available, approved by Cabinet. 2) Third party assurance of plans and timescales 3) Rigorous procurement process - procurement to begin on 31st October 2019. 4) Benefits focus, including senior role with responsibility for benefits realisation 5) Rapid recruitment of programme team to avoid delay 6) Strong governance of time and budget										
<b>Progress update</b>										
1) Cabinet approved the business case in May 2019. 2) On-going visibiliity of the plans via Assurance and Compliance Group, also the Corporate Select Committee had attended a workshop on the project implementation plan which had been well received. 3) Procurement started 31st October for the release of the ITT (invitation for tender), which was issued on 29 October (as planned). 4) Eight benefit themes applied to the project from the outset, programme board are responsible for delivering against these benefits. 5) Recruitment for phase one has successfully brought on to the team all required staff; planning for phase two roles ongoing. 6) Governance managed by project board and programme board for project plans and budget. 7) The business case will be revised and scrutinised before any decision to proceed with the procurement is made. Procurement decision delegated by Cabinet to Exec Director S&G in consultation with ED for FCS, the Leader of Cabinet Member for Innovation, Transformation and Performance.										

## Appendix C

<b>Risk Number</b>	RM028					<b>Date of update</b>	26 February 2020			
<b>Risk Name</b>	Risk of any failure to monitor and manage health and safety standards of third party providers of services									
<b>Portfolio lead</b>	Cllr. Andrew Proctor					<b>Risk Owner</b>	Fiona McDiarmid			
<b>Risk Description</b>						<b>Date entered on risk register</b>		29 July 2019		
The potential for the Council not proactively monitoring and managing 3rd party providers to ensure the standards of health and safety. There is a risk of prosecution for health and safety failings, reputational damage and a failure to deliver services. Overall risk treatment: Treat										
<b>Original</b>			<b>Current</b>			<b>Tolerance Target</b>				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
4	5	20	3	5	15	2	5	10	Mar-21	Green
<b>Tasks to mitigate the risk</b>										
1) HSW team to undertake remote monitoring of high risk areas e.g accomodation providers										
2) Departments to investigate specific concerns raised by the surveys										
3) Departments to review their approach to contract management and implement sustainable improvements in monitoring with the support of Health and Safety Team (HSW)										
<b>Progress update</b>										
1) Monitoring undertaken by HSW Q3 2017/18 Report taken to CLT with findings Q4 2017/18 - actions 2 & 3 agreed at CLT.										
2) Departments have reviewed their approach to contract management and integrated responsibilities into roles in revised structures.										
3) Monitoring is actively in place for a number of services and is due to commence for other services throughout 2020/21. Monitoring of service providers has significantly improved.										



Risk Number	RM029		Date of update		10 March 2020					
Risk Name	NCC may not have the employees (or a sufficient number of employees) with critical skills that will be required for the organisation to operate effectively in the next 2-5 years and longer term									
Portfolio lead	Cllr. Andrew Proctor			Risk Owner	Fiona McDiarmid					
Risk Description			Date entered on risk register		29 July 2019					
There is a risk that a range of critical new/future skills are not available within NCC in the medium to longer term. The lack of these skills will create problems for, or reduce the effectiveness of service delivery. An inability or failure to consider/identify these until they are needed will not allow sufficient time to develop or recruit these skills. This is exacerbated by: 1.The demographics of the workforce 2.The need for changing skills and behaviours in order to implement new ways of working including specialist professional and technical skills (in particular IT, engineering, change & transformation; analytical; professional best practice etc) associated with the introduction or requirement to undertake new activities and operate or use new technology or systems - the lack of which reduces the effective operation of NCC . 3.NCC's new delivery model, including greater reliance on other employers/sectors to deliver services on our behalf 4.Significant changes in social trends and attitudes, such as the use of new technology and attitudes to the public sector, which may impact upon our 'employer brand' and therefore recruitment and retention 5.Skills shortages in key areas including social work and teaching 6.Improvements to the UK and local economy which may impact upon the Council's ability to recruit and retain staff. 7.Government policy (for example exit payment proposals) and changes to the Council's redundancy compensation policy, which could impact upon retention, particularly of those at more senior levels and/or older workers. 8. Brexit uncertainty impacting in some sectors Overall risk treatment: Treat										
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	5	10	Mar-21	Green
Tasks to mitigate the risk										
<ul style="list-style-type: none"><li>• Identification of what new critical skills are required in services – As each directorate makes their changes to make savings / manage demand</li><li>• Identification of pathways to enable staff to learn, develop and qualify into shortage areas – As each directorate makes their changes to make savings / manage demand</li><li>• Challenge ourselves, is there another way this can be delivered?</li><li>• Explore further integration with other organisations to fill the gaps in our workforce - ongoing</li><li>• Develop talent pipelines working with schools, colleges and universities</li><li>• Undertake market rate exercises as appropriate and review employment packages</li><li>• Explore / develop the use of apprenticeships; this will help grow talent and act as a retention tool</li><li>• Work with 14 – 19 providers and Higher Education providers to ensure that the GCSE, A level and Degree subjects meets the needs of future workforce requirements.</li></ul>										
Progress update										

## Progress update

We are utilising the apprenticeship levy to focus on critical areas e.g. Social Work, Fire Service Workforce Development Plans in services are in development focusing on areas of critical service delivery. We are also developing an improved approach to workforce planning through accessing regional expertise and support

We have developed key Organisational Development priorities of future and roles of work in NCC, supporting an effective organisation, recruiting for strengths, creating life friendly careers and the deal in service of our people vision. Implementation plans are in development for these areas

We are a Cornerstone Employer, and have a silver award for the Armed Forces Convenance, supporting an inclusive approach to recruitment

We are revising our mandatory training policy to support key skills and knowledge of our workforce Implementation of HR & Finance system will give us capability to improve our workforce planning through real time reporting, improved data and access to talent information

We are developing our branding of NCC to attract people with the future skills we need to continue to be successful and deliver NCCs vision and strategy

We are working with partners to establish joined up recruitment and systems streamlining needs

We have reshaped our core learning and development offer to the organisation through the Norfolk Development Academy and Social Care Academy e.g. digital skills, leadership and management skills

Risk Number	RM030				Date of update		25 February 2020			
Risk Name	Realisation of Children’s Services Transformation change and expected benefits									
Portfolio lead	Cllr. John Fisher				Risk Owner		Sara Tough			
Risk Description					Date entered on risk register			08 August 2019		
There is a risk that Children’s Services do not experience the expected benefits from the transformation programme. Outcomes for children and their families are not improved, need is not met earlier and the increasing demand for specialist support and intervention is not managed. Statutory duties will not be fully met and the financial position of the department will be unsustainable over time. Overall risk treatment: Treat										
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	5	5	Mar-23	Amber
Tasks to mitigate the risk										
1) A demand management and prevention strategy and associated business cases have been completed and a 5 year transformation programme has been established covering social care and education 2) Significant investment has been provided to delivery transformation including £12-15 million for demand management and prevention in social care and £120m for capital investment in Specialist Resource Bases and Specialist Schools 3) A single senior transformation lead, operational business leads and a transformation team have been appointed / aligned to direct, oversee and manage the change 4) Scrutiny structures are in place through the Norfolk Futures governance processes to track and monitor the trajectories of the programme benefits, risks and issues 5) Services from corporate departments are aligned to provide support to transformation change e.g. HR, Comms, IT, Finance etc 6) Interdependencies with other enabling transformation programmes e.g. smarter working will be aligned to help maximise realisation of benefits.										
Progress update										

## Progress update

- 1) Leads and transformation team in place. Roles involved in transformation will increase and decrease in line with programme demand. Currently increasing our capacity to support projects as part of the SCARF and SEND & AAP transformation programmes.
- 2) SEND transformation workstreams are established, project mandates agreed and the capital programme for the first build is underway. Current profile of £12-15m investment is flat at £2m per year rather than front loaded, though the Council has now agreed additional £5m front-line staffing investment pa from 2020-21.
- 3) SEND consultation stages / work with IMPOWER completed and design stage underway for Specialist Resource Bases (SRBs) and revised Inclusion Model.
- 4) Governance structures and reporting processes in place and being actively used through stocktake meetings and trajectory reports. Transformation Board has refreshed to focus on Benefits Realisation and has cross council representation both Members and Officers.
- 5) High level of engagement from corporate departments. Finance and HR use business partner model to embed expertise directly in department. Resource requirements are being managed in line with demand.
- 6) Business transformation “interlocks” are being used to manage interdependencies between programmes in Children's Service and the Business Transformation Programme. Other change programme are managed as required e.g. the alignment of the roll-out of new mobile devices and apps to enable greater mobile working.

Risk Number		RM031		Date of update		25 February 2020				
Risk Name		NCC Funded Children's Services Overspend								
Portfolio lead		Cllr. John Fisher		Risk Owner		Sara Tough				
Risk Description				Date entered on risk register		01 September 2019				
There is a risk that the NCC Funded Children's Services budget results in a significant overspend that will need to be funded from other parts of Norfolk County Council										
Original			Current			Tolerance Target				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
5	5	25	5	5	25	4	5	20	Dec-20	Amber
Tasks to mitigate the risk										
<p>Improved monitoring systems identified and revised CSLT tier 2, 3 &amp; 4 structure proposed. Transformation programme that is targeting improvement to operating model, ways of working, and placement &amp; sufficiency to ensure that intervention is happening at the right time, with the right children and families supported, with the right types of support, intervention &amp; placements. This will result in improved value for money through ensuring that money is spent in the right places, at the right times with the investment in children and families resulting in lower, long-term costs. In turn, this will enable the most expensive areas of NCC funded spend (placement costs and staffing costs) to be well controlled and to remain within budget. Cohorts will be regularly analysed to ensure that all are targeted appropriately.</p> <p>The Functioning Family Therapy service has been launched. Family Group Conferencing is being reintroduced.</p> <p>Recognition of underlying budget pressures within recent NCC budgets and within the MTFs, including for front-line placement and support costs (children looked after, children with disabilities and care leavers), operational staffing, and home to school transport for children with SEND.</p>										
Progress update										
<p>Improved monitoring systems in place and becoming embedded: LAC tracker, Permanance Planning Meetings, DCS Quarterly Performance meetings, weekly Getting to Good Meetings and newly established Transformation and Benefits Realisation Board chaired by Cabinet Member CS and attended by members and CLT.</p> <p>Multiple Transformation projects under-way, including Fostering Recruitment, with further projects in development, including Enhanced Fostering. The new operating model is due to go live from April 2020 and Norfolk has been successful in being awarded DfE funding to introduce the No Wrong Door model in partnership N Yorks. This is a proven model at working with adolescents differently improving outcomes and reducing costs.</p> <p>Children Looked After numbers have now been in steady sustained decline for a 12 month period, which will result in reduced overall placement costs.</p>										

<b>Risk Number</b>	RM032a	<b>Date of update</b>			20 March 2020					
<b>Risk Name</b>	Effect of COVID-19 on NCC business continuity (staff, service users, and service delivery)									
<b>Portfolio lead</b>	Cllr. Andrew Proctor		<b>Risk Owner</b>	Tom McCabe						
<b>Risk Description</b>		<b>Date entered on risk register</b>			27 February 2020					
<p>There is a risk of disruption to service delivery if there are widespread cases of COVID-19 in Norfolk affecting the health, safety and wellbeing of Norfolk County Council and contracted partner employees. This could impact on Norfolk County Council financially and reputationally.</p> <p>Cause: Not effectively containing COVID-19.</p> <p>Event: Widespread positive cases of COVID-19 across Norfolk, affecting NCC staff, partners, and service users.</p> <p>Effect: There are potential effects on staff, partner organisations, and service user's health, safety and wellbeing if there is widespread exposure to COVID-19 within Norfolk.</p> <p>Overall risk treatment: Treat</p>										
<b>Original</b>			<b>Current</b>			<b>Tolerance Target</b>				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
2	5	10	4	5	20	1	5	5	Jun-20	Green
<b>Tasks to mitigate the risk</b>										
<p>1) Coordination of communications to make staff, service users, and contracted third parties aware of the latest guidance from Public Health England to help to contain cases of COVID-19.</p> <p>2) Ensuring staff continue to be provided with information on safe working, particularly for those working in the community.</p> <p>3) Modelling to be carried out to give best estimates on the prevalence of COVID-19 in Norfolk.</p> <p>4) Implementation of Business Continuity Plans.</p> <p>5) Assess the stage that Incident Management arrangements need to be established formally using Gold/Silver structure, and collate feedback from departments on any impact.</p> <p>6) Purchase personal protective equipment (PPE) stock in case of need</p> <p>7) Maintain close contact with third party providers to ensure they have implemented their business continuity plans.</p> <p>8) Assessment of financial impact.</p> <p>9) Further second stage risks in case of failure to contain COVID-19 need to be considered.</p> <p>10) Identifying nuanced implications of school closures and working to ensure that critical services are maintained in light of this.</p>										
<b>Progress update</b>										

## Progress update

- 1) Communications have gone out to all staff advising on how to seek further guidance issued by Public Health England. External communications to third parties are being reviewed to ensure that external communications as well as internal communications are consistent.
- 2) Staff continue to receive information on safe working, including the use of personal protective equipment provided.
- 3) Modelling is currently being carried out to provide further understanding of the numbers of expected cases in Norfolk.
- 4) Business Continuity Plans around the Council have been implemented.
- 5) Departmental updates are being fed in to the appropriate forums, in order to gauge impact across the Council.
- 6) Personal protective equipment (PPE) stock has been purchased and whilst supplies are short, this is being distributed on a prioritisation basis. Additional stock is being sourced to meet the likely increased need for PPE amongst those working in the community with patients showing symptoms of COVID-19. This is reflected in the current likelihood score of 4 (probable).
- 7) Third party contracted partners have been contacted to ensure that their Business Continuity Plans have been implemented and that they are supported in this.
- 8) There is financial monitoring of cost on addressing the impact of COVID-19 within departments.
- 9) Further second stage risks in case of failure to contain COVID-19 are now being considered and coordinated through a single risk register to ensure common risks are identified. Longer term risks and risks around recovery need to also be considered.
- 10) The Council is working to understand the nuanced implications of school closures, to ensure that critical services continue to be delivered by the Council and its contracted partners as efficiently as possible.

<b>Risk Number</b>	RM032b					<b>Date of update</b>		17 March 2020		
<b>Risk Name</b>	Effect of COVID-19 on supply chain									
<b>Portfolio lead</b>	Cllr. Andrew Jamieson					<b>Risk Owner</b>		Simon George		
<b>Risk Description</b>					<b>Date entered on risk register</b>			27 February 2020		
There is a risk that projects and services may be disrupted because of factory closures or shipping delays caused by COVID-19.										
Overall risk treatment: Treat										
<b>Original</b>			<b>Current</b>			<b>Tolerance Target</b>				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
3	3	9	3	3	9	3	2	6	Jun-20	Green
<b>Tasks to mitigate the risk</b>										
1) Identify projects and services that are particularly dependent on supplies, particularly from the Far East or where loss of Far East supplies may cause competition for local supplies. 2) Focus on high value and critical projects/supplies to minimise financial impact to the Council. 3) Contract managers to engage with suppliers, undertake impact assessment and develop plans, which may include: (a) maintaining buffer stocks; (b) postponing projects; (c) seeking alternative sources of supply										
<b>Progress update</b>										
1) Projects and services that are particularly dependent on global supplies are being identified. 2) The focus remains on high value and critical projects and supplies to minimise the financial impact on the Council as far as possible. 3) Contract managers are engaging with suppliers, and are undertaking impact assessments and developing plans to ensure resources are directed to where they need to be according to criticality of service delivery.										



Risk Register - Norfolk County Council																							
Risk Register Name		Adult Social Care Departmental Risk Register																					
Date updated		February 2020																					
Next update due		May 2020																					
	Service	Risk number	Risk name	Risk Description	Date entered on risk register	Original Likelihood	Original Impact	Original Risk Score	Current Likelihood	Current Impact	Current Risk Score	Target Likelihood	Target Impact	Target Risk Score	Target Date	Prospects of meeting Target Risk Score by Target Date	Portfolio Lead	Risk Owner	Reviewed and/or updated by	Date of review and/or update			
D	Transformation	RM13923	Risk of failing to deliver Promoting Independence, change programme for Adult Social Services in Norfolk	Promoting Independence Change Programme oversees and co-ordinates the linked change and transformation activities required to deliver the strategy. If we fail to deliver the programme this will lead to a failure in developing a sustainable model for adult social care and a failure to deliver a balanced budget	30/04/2011	4	3	12	3	4	12	2	4	8	31/03/2020	Amber	Cllr. Bill Borrett	James Bullion	Debbie Bartlett	Feb-20			
D	Finance	RM13926	Failure to meet budget savings	If we do not meet our budget savings targets over the next three years it would lead to significant overspends in a number of areas. This would result in significant financial pressures across the Council and mean we do not achieve the expected improvements to our services	30/04/2011	4	5	20	4	5	20	3	5	15	31/03/2022	Red	Cllr. Bill Borrett	James Bullion	Susanne Baldwin	Feb-20			
D	Adult Social Services Department	RM13931	Hospital Discharge  If Adult Social Care is unable to arrange assessment and discharge of service users from acute, community and mental health hospitals in compliance with the Care Act timescales, then this will result in poorer outcomes for people delayed in hospital, increased cost to the department in managing higher acuity needs on discharge and adverse relationships with NHS partners.	Failure to ensure compliance within Care Act timescales to support hospital discharge for people in need of social care support, will have the following adverse effect:  •People delayed in hospital longer than required will depreciate significantly for each day delayed. This will result in the need to support a higher acuity of care needs at the point of discharge requiring more care than otherwise either in the short term or often longer term. Sourcing larger packages of care/placements then contribute to the delay • People delayed in hospital are increasingly less likely to return to their pre-admission care and accommodation as their needs increase each day delayed in the hospital. This will contribute to an increase in people entering residential type accommodation post discharge, either short or longer term • Managing a higher acuity of needs at the point of discharge will mean a directly attributable increase in purchase of care spend • People delayed in hospital awaiting social care will contribute to poorer performance in the hospital and increase system risk of being able to manage emergency demand and capacity e.g. A&E 4-hour target • Failure to comply within Care Act timescales (Appendix G) will adversely affect Norfolk County Council's reputation at a local and National level with Members, NHS partners and National bodies e.g. DoH&SC and NHSE/I • Increased delayed transfers of care for social care will require reactive responses from operational staff and senior managers creating pressure on other parts of the department by diverting staff resource to support hospital flow and discharge • Increased delayed transfers of care will risk the delivery of innovation and projects benefitting the hospital social care teams as decision making and focus will become very operational and short term or fault incorrectly attributed to those projects e.g. e-Brokerage and Out of Hospital model • Wellbeing of our staff based in and supporting hospital discharge will be adversely affected resulting in increased sickness absence and poor retention.	07/10/2019	3	4	12	4	4	16	2	3	6	31/03/2020	Red	Cllr. Bill Borrett	James Bullion	Nick Pryke	Feb-20			

	Service	Risk number	Risk name	Risk Description	Date entered on risk register	Original Likelihood	Original Impact	Original Risk Score	Current Likelihood	Current Impact	Current Risk Score	Target Likelihood	Target Impact	Target Risk Score	Target Date	Prospects of meeting Target Risk Score by Target Date	Portfolio Lead	Risk Owner	Reviewed and/or updated by	Date of review and/or update
D	Integration	RM13936	NHS long term Plan developments	The N&W STP face significant financial challenge. NCC are part of this context. Officers have to balance supporting the 'bigger picture' whilst ensuring that NCC budgets such as Purchase of Care, are not adversely impacted by initiatives. The social care voice and ethos might be lost.	30/06/2011 - revised 7/10/2019	4	4	16	3	4	12	2	4	8	30/09/2020	Green	Cllr. Bill Borrett	James Bullion	Laura Clear	Feb-20
D	SMT	RM14237	Delivering the requirements of Deprivation of Liberty Safeguards pending the implementation of Liberty Protection Safeguards	If the Local Authority is not meeting its responsibilities around Deprivation of Liberty Safeguards (DoLS) there is a risk that it could lead to a judicial review.	08/05/2015	3	4	12	4	4	16	2	4	8	31/03/2020	Red	Cllr. Bill Borrett	Lorna Bright	Corinne Avery	Feb-20
D	Adult Social Services Department - Commissioning	RM14238	Failure in our responsibilities towards carers.	The failure of Adult Social Services to meet its statutory duties under the Care Act to support carers will result in poorer outcomes for service users, emergency replacement care, costly long-term packages of care and have a negative impact on our reputation.	27/05/2015	4	4	16	3	3	9	1	2	2	31/03/2020	Amber	Cllr. Bill Borrett	Craig Chalmers	Debbie Bartlett	Feb-20

	Service	Risk number	Risk name	Risk Description	Date entered on risk register	Original Likelihood	Original Impact	Original Risk Score	Current Likelihood	Current Impact	Current Risk Score	Target Likelihood	Target Impact	Target Risk Score	Target Date	Prospects of meeting Target Risk Score by Target Date	Portfolio Lead	Risk Owner	Reviewed and/or updated by	Date of review and/or update
D	Adult Social Services Commissioning	RM14247	Failure in the care market.	<p>The Council contracts with independent providers (of care homes, nursing homes, home care, supported living, housing with care and day care) investing just under £300m to around 17,000 vulnerable adults at any one time. Failure in the care market may be defined as the sudden/unplanned loss of any or all of these services by reason of: inadequate quality, lack of financial viability, deficient supply of workforce, provider decision to withdraw from the market or natural disaster, for example. The Council has a duty under the s5 of the Care Act 2014 to meet the needs of people who require assistance from public funds and to secure a diverse and good quality care market for this purpose.</p> <p>If care services fail the consequences may be: compromised safeguarding of vulnerable people, delays in discharge from or additional pressure upon acute services. Reductions in central government funding for Adult Social Care significantly increases the risk of care market failure.</p> <p>Problems in recruiting and retaining nursing and care staff across the market are particularly acute in the west and north of the county but are experienced generally across the county as a whole.</p>	revised 10/10/2019	4	3	12	4	3	12	3	3	9	31/03/2020	Amber	Cllr. Bill Borrett	Gary Heathcote	Lucy Hohnen	Feb-20
D	Adult Social Services Department	RM14261	Staff behaviour and practice changes to deliver the Promoting Independence Strategy	A significant change in staff behaviour and social care practice is required to deliver the Promoting Independence Strategy. Failure to make the culture change needed across the workforce would greatly impact the transformation of the service and its ability to deliver associated budget savings.	25/04/2016	3	5	15	3	4	12	2	4	8	31/03/2020	Amber	Cllr. Bill Borrett	James Bullion	Paul Wardle	Feb-20
D	Finance	RM14262	The potential risk of shortfall between funding and pressures as integration of health and social care is developed and implemented.	The integrated health and social care agenda has seen pooling of capital and revenue resources through the Better Care Fund and further policy drive to manage the transfer of people with learning disabilities from inpatient settings to community settings. In addition to the potential opportunities for wider resources and skills through collaboration, streamlining services and pathways. There is a risk that system priorities could lead to a negative impact on available resources for delivery of adult social care	16/06/2016	3	5	15	3	5	15	2	4	8	31/03/2020	Amber	Cllr. Bill Borrett	James Bullion	Susanne Baldwin	Feb-20

	Service	Risk number	Risk name	Risk Description	Date entered on risk register	Original Likelihood	Original Impact	Original Risk Score	Current Likelihood	Current Impact	Current Risk Score	Target Likelihood	Target Impact	Target Risk Score	Target Date	Prospects of meeting Target Risk Score by Target Date	Portfolio Lead	Risk Owner	Reviewed and/or updated by	Date of review and/or update
D	Safeguarding	RM14287	Potential failure to meet the needs and safeguarding of adults in Norfolk.	There is a national risk that Adults Social Service do not provide adequate safeguarding controls.	14/12/2016	2	5	10	2	5	10	2	4	8	31/09/2020	Amber	Cllr. Bill Borrett	Craig Chalmers	Helen Thacker	Feb-20

Risk Register - Norfolk County Council																						
	Risk Register Name		Children's Services Risk Register																			
	Date updated		February 2020																			
	Next update due		May 2020																			
CDGSTP	Area	Risk Number	Risk Name	Risk Description	Date entered on risk register	Original Likelihood	Original Impact	Original Risk Score	Current Likelihood	Current Impact	Current Risk Score	Target Likelihood	Target Impact	Target Risk Score	Target Date	Prospects of meeting Target Risk Score by Target Date	Portfolio Lead	Risk Owner	Reviewed and/or updated by	Date of review and/or update		
D	Children's Services	RM14390	Reduction in sufficiency of placement choice due to quality of service providers	Service providers are deemed to be providing inadequate quality care	01/08/2019	5	4	20	4	4	16	2	2	4	31/03/2021	Amber	Cllr. John Fisher	Sarah Jones	Tim Eyres	30/01/2020		
D	Children's Services	RM14391	Placement Mix Sufficiency	Current Demand is not meeting available supply, making imbalanced placement mix and driving placement prices up	01/08/2019	4	4	16	4	4	16	2	2	4	31/03/2021	Amber	Cllr. John Fisher	Sarah Jones	Tim Eyres	30/01/2020		
D	Children's services	RM14392	Overreliance on interim capacity in social worker teams leads to unsustainable performance improvement.	Children and will not be able to develop sustainable and enduring relationships with their workers if we are unable to create a permanent workforce who we retain in Norfolk.	01/09/2019	4	4	16	4	4	16	3	4	12	31/12/2020	Red	Cllr. John Fisher	Phil Watson	Sarah Shirtcliff	30/01/2020		
D	Children's Services	RM14393	Lack of assurance and possible quality of unregulated accomodation	Services to young people living in semi independent accomodation may not meet local requirements thus leading to reputational or financial loss.	01/08/2019	4	4	16	4	4	16	2	2	4	31/03/2021	Amber	Cllr. John Fisher	Sarah Jones	Tim Eyres	30/01/2020		

CDGSTP	Area	Risk Number	Risk Name	Risk Description	Date entered on risk register	Original Likelihood	Original Impact	Original Risk Score	Current Likelihood	Current Impact	Current Risk Score	Target Likelihood	Target Impact	Target Risk Score	Target Date	Prospects of meeting Target Risk Score by Target Date	Portfolio Lead	Risk Owner	Reviewed and/or updated by	Date of review and/or update
D	Children's Services	RM14394	Insufficient and inappropriate capacity to support emotional and mental health needs of children and young people	Children and young people are unable to access appropriate support to meet their emotional and mental health needs in a timely way leading to escalation of distress, poor experience and potential harm	01/08/2019	4	4	16	4	4	16	3	3	9	01/12/2020	Amber	Cllr. John Fisher	Rebecca Hulme	Tim Eyres	30/01/2020
D	Children's Services	RM14395	Insufficient business infrastructure to support operational delivery model.	Whilst recognising investment in operational services there is a risk to the business infrastructure around these services that means they may not be able to meet the additinal demands to support operational requirements.	01/08/2019	4	4	16	4	4	16	2	2	4	31/03/2021	Amber	Cllr. John Fisher	Sara Tough	James Wilson	30/01/2020
D	Children's Services - Education	RM14396	Special Educational Needs & Disability (SEND) & Alternative Provision (AP) Transformation Programme	NCC financial risk linked to not achieving High Needs Block and SEN Transport 5 year recovery plan. Performance risk linked to Education Health & Care Plan (EHCP) assessments not completed within 20 weeks.	01/09/2019	3	3	9	5	3	15	4	3	12	01/08/2020	Red	Cllr. John Fisher	Chris Snudden	Michael Bateman	30/01/2020
D	Children's Services - Education	RM14397	Cost to the budget of home to school transport rises in line with the demographic landscape changes.	The Home to School Transport policy is based on statutory requirements and led by demand. If more pupils are eligible, their geographic location changes, the transport market incurs cost rises or transport is agreed outside policy, then the budget overall is at risk to overspend.	01/07/2019	3	3	9	5	3	15	4	3	12	31/12/2020	Red	Cllr. John Fisher	Chris Snudden	Seb Gasse	30/01/2020
D	Children's Services	RM14398	Inability to progress from Requires Improvement (RI) rating	Cost and reputational impact of further DfE intervention.	01/08/2019	3	4	12	3	4	12	3	4	12	31/12/2020	Amber	Cllr. John Fisher	Sara Tough	Phil Watson	30/01/2020

CDGSTP	Area	Risk Number	Risk Name	Risk Description	Date entered on risk register	Original Likelihood	Original Impact	Original Risk Score	Current Likelihood	Current Impact	Current Risk Score	Target Likelihood	Target Impact	Target Risk Score	Target Date	Prospects of meeting Target Risk Score by Target Date	Portfolio Lead	Risk Owner	Reviewed and/or updated by	Date of review and/or update
D	Children's Services	RM14389	Increasing demand on Early Intervention resources	Growing demand to keep children out of statutory intervention and risk of school and social exclusion increases	01/08/2019	5	4	20	4	3	12	2	2	4	31/03/2021	Amber	Cllr. John Fisher	Sarah Jones	Tim Eyres	31/01/2020
D	Chidren's services	RM14399	Failure to comply with required governance arrangements	There a number of stat. requirements as a LA. E.g. Health and Safety/ Employment/ GDPR/ Comissioning Law/ etc. Failure to comply with these laws would place the LA in considerable risk with internal/ external bodies, and could also result in children and adults coming to harm	01/09/2019	4	3	12	3	3	9	2	3	6	31/03/2021	Green	Cllr. John Fisher	James Wilson	Jenna Lane	30/01/2020
D	Children's Services	RM14400	Lack of appropriate capacity for CYP with complex health needs	Our response to children high level disability needs arising from either autism, learning disability and behaviours that challenge is limited. Our response to the issue of domciliary care to support disabled children and parent carers with the disabled child's personal care needs is severely limited and the market is not able to respond.	01/08/2019	3	3	9	3	3	9	3	3	9	31/09/2020	Amber	Cllr. John Fisher	Sarah Jones	Tim Eyres	30/01/2020
D	Children's Services	RM14401	Dedicated Support Grant Funded Children's Services Overspend	There is a risk that the cumulative deficit on the DSG Funded Children's Services budget increases or is not repaid.	01/09/2019	3	3	9	3	2	6	2	2	4	31/12/2020	Green	Cllr. John Fisher	Chris Snudden	Dawn Filtness	30/01/2020

Risk Register - Norfolk County Council																					
Risk Register Name			Community and Environmental Services Departmental Risks																		
Date updated			February 2020																		
Next update due			May 2020																		
CDGSTP	Area	Risk Number	Risk Name	Risk Description	Date entered on risk register	Original Likelihood	Original Impact	Original Risk Score	Original Target Date	Current Likelihood	Current Impact	Current Risk Score	Target Likelihood	Target Impact	Target Risk Score	Target Date	Prospects of meeting Target Risk Score by Target Date	Portfolio Lead	Risk Owner	Reviewed and/or updated by	Date of review and/or update
D	Waste Management	RM14405	Dutch Tax on imported waste	Under three contracts that extend to 31 March 2021 some of the residual waste NCC is responsible for each year is exported as a refuse derived fuel (RDF) to treatment facilities in mainland Europe (eg the Netherlands and Germany). On 17 December 2019 the Dutch Government approved introducing a €32 per tonne tax on RDF imports to apply from 01 January 2020 which means that the County Council could be liable for a full pass through of the tax for any RDF treated in the Netherlands.	01/02/2019	3	4	12	31/03/2021	5	5	25	1	4	4	31/03/2021	Red	Cllr. Andy Grant	Joel Hull	Julie Hurn	24/02/2020
D	Community, Information, and Learning	RM14293	The organisation not having the technical capacity and/or skills required to meet the needs of its digital transformation/ technology driven efficiency agenda.	There is a risk of the organisation not having the technical capacity and/or skills required to meet the needs of its digital transformation/ technology driven efficiency agenda.	05/09/2017	5	3	15	31/12/2017	3	3	9	2	3	6	31/03/2021	Amber	Cllr. Tom Fitzpatrick	Ceri Sumner	Michelle Carter	25/02/2020
D	Culture and Heritage	RM14130a	Lack of consistency and delivery of IMT related systems and services for Culture and Heritage Services.	Lack of consistency and delivery of IMT related systems and services could lead to a breakdown to service delivery to the public, loss of credibility, and non-realisation of savings for Culture & Heritage Services.	18/08/2017	3	3	9	31/03/2018	3	3	9	2	3	6	31/03/2021	Amber	Cllr. Margaret Dewsbury	Steve Miller	Steve Miller	27/02/2020
D	Community, Information, and Learning - Community Learning Service	RM14130b	Lack of consistency and delivery of IMT related systems and services for Community, Information and Learning Services.	Lack of consistency and delivery of IMT related systems and services could lead to a breakdown to service delivery to the public, loss of credibility, and non-realisation of savings for Community, Information, and Learning Services.	06/10/2018	3	3	9	31/03/2019	3	3	9	2	3	6	31/03/2021	Amber	Cllr. Margaret Dewsbury	Ceri Sumner	Ceri Sumner	27/02/2020
D	Norfolk Museums Service	RM14381	Failure to successfully deliver the Norwich Castle: Gateway to Medieval England Project within agreed budget, and to agreed timescales.	Failure to successfully deliver the Norwich Castle Gateway to Medieval England project within agreed time and budget would have a number of serious financial and reputational impacts for both Norfolk Museums Service and the JMC partners, especially Norfolk CC and Norwich CC,	29/01/2019	3	3	9	01/04/2021	3	3	9	2	3	6	01/04/2021	Amber	Cllr. Margaret Dewsbury	Steve Miller	Steve Miller	27/02/2020



D	Highways	RM14203	The allocation and level of external funding for flood risk mitigation does not reflect the need or priority of local flood risk within Norfolk	There are approx. 37,000 properties at risk from surface water flooding caused by intense rainfall within Norfolk. This figure will be exacerbated by the predicted effects of climate change and without significant investment in existing drainage infrastructure. Historically DEFRA funding for flood risk management has focused on traditional defence schemes to protect communities from the sea and rivers and not surface water flooding. There is a risk that this funding continues to ignore properties at risk of surface water flooding. The F&W Team have been successful in securing EU funding for community-based flood resilience schemes. This avenue of funding may cease after the UK leaves the EU.	01/05/2019	4	3	12	31/03/2021	4	3	12	3	3	9	31/03/2021	Amber	Cllr. Andy Grant	Grahame Bygrave	Mark Ogden	18/02/2020
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Risk Register Name		Finance and Commercial Services Department Risk Register														Red			
Prepared by		Thomas Osborne														Amber			
Date of review and/or update		February 2020														Green			
Next update due		May 2020														Met			
Area	Risk Number	Risk Name	Risk Description	Date entered on risk register	Original Likelihood	Original Impact	Original Risk Score	Current Likelihood	Current Impact	Current Risk Score	Target Likelihood	Target Impact	Target Risk Score	Target Date	Prospects of meeting Target Risk Score by Target Date	Portfolio Lead	Risk Owner	Reviewed and/or updated by	Date of review and/or update
Finance and Commercial Services	RM14246	Withdrawal of Grant Funding from Central Government and the European Union.	There is a risk that grant funding from central government could be withdrawn if conditions are not met by Norfolk County Council within the timescales set. Given the outcome of the EU Referendum, there is also uncertainty around European funding going forward, which should also be considered. Relacement grants following departure from the E.U. need to be considered as well as "run-off" of existing grants e.g. for the France Channel England programme. Cause: Conditions set out by central government / the European Union are changed / tightened. Event: Conditions set out by central government are not met within the timescale set. Grants are withdrawn. Effect: There is less money provided from central government and the European Union to spend on service provision.	18/11/2015	3	4	12	3	3	9	1	3	3	31/03/2021	Amber	Cllr. Andrew Jamieson	Simon George	Harvey Bullen	10/03/2020

Risk Register Name		Finance and Commercial Services Department Risk Register													Red				
Prepared by		Thomas Osborne													Amber				
Date of review and/or update		February 2020													Green				
Next update due		May 2020													Met				
Area	Risk Number	Risk Name	Risk Description	Date entered on risk register	Original Likelihood	Original Impact	Original Risk Score	Current Likelihood	Current Impact	Current Risk Score	Target Likelihood	Target Impact	Target Risk Score	Target Date	Prospects of meeting Target Risk Score by Target Date	Portfolio Lead	Risk Owner	Reviewed and/or updated by	Date of review and/or update
Finance and Commercial Services	RM14255	Fulfilling Section 151 Responsibilities	There is a risk that Section 151 responsibilities are not fulfilled. These include; 1) Financial systems ie. Oracle are not functioning correctly. 2) The skills and resilience to support Section 151 responsibilities not being in place. Cause: Statutory financial obligations are not met. Event: Failure to deliver statutory responsibilities such as setting a legal budget; producing the statement of accounts; complying with government reporting requirements; providing appropriate financial advice to Councillors. Effect: Financial losses arise and/or the Council has a poor reputational standing. In extreme circumstances, the Government can intervene and direct how the Council's finances are managed.	29/02/2016	2	5	10	1	5	5	1	5	5	31/03/2020	Green	Cllr. Andrew Proctor	Simon George	Harvey Bullen	10/03/2020
Finance and Commercial Services	RM14402	Risk of not building the number of anticipated homes over the next three years	<b>Cause:</b> Any delays and / or restrictions to development of NCC owned land for housing. <b>Event:</b> Fewer houses built on NCC owned sites. <b>Effect:</b> Smaller income stream generated to invest back into NCC Services.		3	2	6	3	2	6	2	2	4	31/03/2022	Green	Cllr. Greg Peck	Simon George	Simon Hughes	10/03/2020

Risk Register Name		Finance and Commercial Services Department Risk Register														Red			
Prepared by		Thomas Osborne														Amber			
Date of review and/or update		February 2020														Green			
Next update due		May 2020														Met			
Area	Risk Number	Risk Name	Risk Description	Date entered on risk register	Original Likelihood	Original Impact	Original Risk Score	Current Likelihood	Current Impact	Current Risk Score	Target Likelihood	Target Impact	Target Risk Score	Target Date	Prospects of meeting Target Risk Score by Target Date	Portfolio Lead	Risk Owner	Reviewed and/or updated by	Date of review and/or update
Finance and Commercial Services	RM14404	Income collection for the use of buildings and premises	<p>There is a risk that income due is not received or accounted for correctly due to inadequate policies and guidance or these not being followed.</p> <p><b>Cause:</b> Lack of or inadequate guidance and policies for income collection being in place / followed.</p> <p><b>Event:</b> Damages to property or harm to staff/general public caused by inappropriate use by third party. Secure business tenancies are unintentionally created.</p> <p><b>Effect:</b> Higher future insurance premiums, premises unavailable during repair, leading to loss of income.</p> <p>Whilst the monetary value of this risk is less than £100k, it remains a risk until the corporate guidelines are developed and promoted with expectations set of services hiring out premises.</p>		2	1	2	2	1	2	1	1	1	31/03/2020	Green	Cllr. Greg Peck	Simon George	Simon Hughes	10/03/2020
Finance and Commercial Services	RM14408	Unanticipated Market Intervention	<p>There is a risk of unanticipated intervention by Norfolk County Council in a local market.</p> <p><b>Cause:</b> Insolvency of a trust or other organization operating within a local market supplying a community service to Norfolk citizens.</p> <p><b>Event:</b> The trust or other organization becomes insolvent and is unable to provide the community service to Norfolk Citizens.</p> <p><b>Effect:</b> Norfolk County Council invests resources (e.g. staff and monetary resource) to intervene in the market to help regulate and continue the community service.</p>	18/02/2020	2	3	2	2	3	2	1	3	3	30/09/2020	Green	Cllr. Andrew Proctor	Simon George	Harvey Bullen	10/03/2020

Strategy and Governance Department Risk Register

Last Updated: March 2020

Next Update Due: June 2020

C/D/ S/G/ T/P	Area	Ref	Risk name	Risk Description	Date Entered	Original Likelihood	Original Impact	Original Risk score	Current Likelihood	Current Impact	Current Risk score	Target Likelihood	Target Impact	Target Risk score	Target date	Prospects of meeting Target Risk Score by Target Date	Portfolio Lead	Risk owner	Reviewed and/or updated by	Date of review
D	NCC-wide	SG-S02	Failure to embed meaningful and manageable performance system	Failure to report on performance of outcomes for the 6 year business plan - enlarge to make it wider	14/08/2018	5	3	15	3	3	9	2	3	6	Jul-20	Green	Cllr. Andrew Proctor	Fiona McDiarmid	Diana Dixon	10/03/2020
D	Strategy Service	SG-S03	Failure to meet income targets/cover operating costs	S&G income generation fails to meet cover operating costs or meet surplus targets (Registrars & nplaw)	24/06/2019	4	4	16	3	4	12	2	3	6	31/03/2021	Amber	Cllr. Andrew Jamieson	Helen Edwards	Diana Dixon	12/03/2020
D	HR	SG-S06	Workforce and Succession Planning  This risk is now being managed corporately on the corporate risk register as risk RM029, given the wider remit than the Strategy and Governance department.	NCC risks not having workforce plans in place to ensure that it has the right number of people with the right skills, in the right place at the right time to deliver short and long term organisational objectives. This is exacerbated by: 1.The demographics of the workforce 2.The need for changing skills and behaviours in order to implement new ways of working 3.NCC's new delivery model, including greater reliance on other employers/sectors to deliver services on our behalf 4.Significant changes in social trends and attitudes, such as the use of new technology and attitudes to the public sector, which may impact upon our 'employer brand' and therefore recruitment and retention 5.Skills shortages in key areas including social work and teaching 6.Improvements to the UK and local economy which may impact upon the Council's ability to recruit and retain staff. 7.Government policy (for example exit payment proposals) and changes to the Council's redundancy compensation policy, which could impact upon retention, particularly of those at more senior levels and/or older workers.	08/05/2019	4	5	20	3	5	15	2	5	10	31/03/2021	Green	Cllr. Andrew Proctor	Sarah Shirtcliff	Human Resources Leadership Team	12/03/2020