Corporate Risk Register - Norfolk County Council

Risk Register Name	Corporate Risk Register		Red
Prepared by	Thomas Osborne		High	Amber
Date of review and/or update	June 2016		Med	Green
Next update due	July 2016		Low	Met

CDG	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	Tasks to mitigate the risk	Progress update	Target Likelihood	Target Impact	Target Risk Score	Target Date	Prospects of meeting Target Risk Score by Target Date	Risk Owner	Reviewed and/or updated by	Date of review and/or update
C	Corporate (CES)	RM001	The potential risk that County Infrastructure is not delivered at the required rate to support existing and future needs.	There is a risk that the necessary infrastructure (including but not limited to transportation, community, school and green infrastructure) will be not be delivered at the required level and/or rate to support the existing population and to support and stimulate future growth, as set out in Local Plans.	01/07/2015	3	5	15	3	4	12	1) Ensure appropriate infrastructure planning is undertaken and documented 2) Continue to investigate all possible funding sources including UK government, European Union and developer 3) Maintain and improve lobbying of government 4) Work in partnership with the district councils who have a Community Infrastructure Levy (CIL) in place to ensure the most effective use of the income 5) Ensure appropriate arrangements are in place for the collection of developer contributions 6) Ensure all the Local Growth Fund allocations from the New Anglia Local Enterprise Partnership, and other funding sources, are spent on appropriate infrastructure and to the agreed timescales 7) Continue to work with Highways England to ensure the RIS is delivered to the agreed timetables	1) Infrastructure planning is carried out in conjunction with the seven Local Planning Authorities and via the Greater Norwich Growth Board in terms of devising appropriate Local Plans. In addition, this is complemented by strategic transport planning carried out by NCC. 2) Close working with the New Anglia Local Enterprise Partnership, Department for Transport, colleagues in EDS (European funding) and Developer Services. Currently applying for Major Scheme development funding to prepare and Outline Business Case (OBC) for the Great Yarmouth Third River Crossing. A successful outcome announcement before the Parliamentary summer recess will be a big vote of confidence for the scheme. 3) A campaign is currently underway to raise the profile of the Great Yarmouth Third River Crossing using Brandon Lewis MP as the focus. 4) CIL is only currently in place in Norwich, Broadland and South Norfolk and we are working through the Greater Norwich Growth Board (GNGB) to influence the priorities. 5) NCC ensures that development contributions are maximised within the extent of the planning framework. 6) Feasibility and scheme development work continues for the various projects. Some are well advanced for delivery to the LGF	3	2	6	30/06/2016	Amber	Tom McCabe	Vince Muspratt	21/04/2016
C	Finance	RM002	The potential risk of failure to manage significant reductions in local and national income streams	This may arise from global or local economic circumstances, government policy on public sector budgets and funding. As a result there is a risk that the Medium Term Financial Plan savings required for 2015/16- 2019/20 are not delivered because of uncertainty as to the scale of savings resulting in significant budget overspends, unsustainable drawing on reserves, and severe emergency savings measures needing to be taken. The financial implications are set out in the Council's Budget Book, available on the Council's website.	01/07/2015	3	5	15	3	5	15	Medium term financial strategy and robust budget setting within available resources. No surprises through effective budget management for both revenue and capital. Budget owners accountable for managing within set resources. Determine and prioritise commissioning outcomes against available resources and delivery of value for money. Regular and robust monitoring and tracking of in-year budget savings by CLT and members. Regular finance monitoring reports to Committees. Close monitoring of central government grant terms and conditions to ensure that these are met to receive grants. Plans to be adjusted accordingly once the most up to date data has been received. Overall risk treatment: reduce	Re-Imagining Norfolk - Service and Financial Planning 2016-19 for Policy Resources reported to Policy and Resources Committee on 8 February 2016 and County Council on 22 February 2016 (in conjunction with progress update in RM006 below). 2015/16 Financial Savings and Monitoring reports reported to the February Policy and Resources Committee and where necessary adjustments included in the 2016/17 budget. Government's 2016-17 local government finance settlement reflected in the 2016/17 budget and Medium term Financial Strategy. Timetable agreed to consider 2017/18 budget and future Medium Term Financial Strategy.	3	4	12	15/02/2017	Green	Simon George	Harvey Bullen	04/05/2016

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C	Resources	RM003	Potential reputational and financial risk to NCC caused by failure to comply with statutory and/(or) national/local codes of practices.	There is a risk of failing to comply with statutory and/(or) national/local codes of practices in relation to Information Compliance. This could lead to significant reputational and financial risk for NCC.	30/09/2011	3	5	15	3	5	15	1) Implementation of SIRO (Senior Information Risk Officer) , CIO (Chief Information Officer), Corporate Information Management Team encompassing Information Management, Information Governance, Records Management, policies confirming responsibilities. 2) Ensure that information and data held in systems (electronic and paper) is accurate, up to date, comprehensive and fit for purpose to enable managers to make confident and informed decisions. 3) Ensure that all staff and managers are provided with training, skills, systems and tools to enable them to meet the statutory standards for information management. The target likelihood score has increased from 1 to 2 to take into account the current climate around the corporate reliance on data and its interpretation/meaning. The target date has been changed to take into account the delivery and timescales in the IM Maturity Readiness Plan. Overall risk treatment: reduce	The Corporate Information Management Strategy and IM Maturity Readiness Plan was signed off by CLT on the 11th March 2016. The strategy and plan have been developed around the 7 National Archive Information Principles. The IM Maturity Readiness plan has objectives and outcomes around the key information management tasks identified within the risk. The plan is initially focussed on the first three information principles as the foundation layers, Information is a valued asset, information is managed and information is fit for purpose. Data cleansing has started in relation to Children's and Adult's social care information pre -procurement. The Fit for Purpose principle will initially deliver the below by Oct 2016:- * Develop processes and governance to monitor and assure information quality * Identify the quality characteristics required for each dataset from Line of Business systems * Develop a consistent approach for describing, recording, and communicating information throughout Line of Business Systems The Maturity Readiness Plan is being monitored by the BI/IM Programme Board on a monthly basis with highlight reports. The scrutiny will also be provided by regular updates to CLT.	2	4	8	30/10/2016	Amber	Anne Gibson	Mark Crannage	06/05/2016
C	Resources	RM004	The potential risk of failure to deliver effective and robust contract management for commissioned services.	Ineffective contract management leads to wasted expenditure, poor quality, unanticipated supplier default or contractual or legal disputes The council spends some £600m on contracted goods and services each year.	01/07/2015	3	4	12	3	4	12	1) Appoint a senior manager in procurement to act as head of profession for contract management so that there is senior focus on key contracts reducing the likelihood of unanticipated supplier default or contractual or legal disputes, and so that value for money is ensured; 2) Review of contract administration processes in social care so that they are automated wherever possible, and so that contract data is available to assist with contract management; 3) Review supplier management processes to ensure that they are congruent with Information Technology Infrastructure Library (ITIL) and with corporate standards. Overall risk treatment: reduce	1) the recruitment of a new senior manager was unsuccessful. Pro tem the role of strengthening contract management processes has been divided up amongst other senior members of the procurement management team 2) Review of social care contract administration processes is making good progress. Use of new software is now expected to start well before the previous target of September 2016. Significant work has been done to document accountabilities for each aspect of contract management. 3) The review of ICT supplier management processes is making good progress and as a result a number of contracts have been renegotiated or ended. Work is well under way to implement more effective software licence management.	2	3	6	30/09/2016	Amber	Anne Gibson	Al Collier	06/05/2016
C	Resources	RM005	The risk that we cannot provide laptops that are configured and maintained to be modern, reliable and fit for purpose.	Failure to provide laptops that are configured and maintained to be modern, reliable and fit for purpose, resulting in poor staff productivity, poor morale, ineffective working practices and/or poor information security.	01/07/2015	4	4	16	3	4	12	1) Replace all Windows XP devices by 30 November 2015 to retain PSN compliance. 2) Roll out modern laptops running a modern operating system (Windows 7 or Windows 8.1), with alternative devices (eg power laptops) available where required. 3) Keep the new devices up to date through regular patching and software update. 4) Resolve reliability and usability issues with the new devices. Overall risk treatment: reduce	1) XP switch-off took place as planned. A very small number of devices are still running, with mitigations agreed with the Cabinet Office. 2) All staff now have a modern laptop running either Windows 7 or Windows 8.1. 3) A regular patching and software upgrade regime is in place. 4) Reliability and usability issues remain. However, a series of improvements has taken place, including improvements to remote access. Solutions to problems with OneDrive are being tested. A number of improvements to corporate Wi-Fi are under way.	2	4	8	30/09/2016	Amber	Anne Gibson	John Gladman	08/03/2016
C	CLT	RM006	The potential risk of failure to effectively plan how the Council will deliver services over the next 3 years commencing 2015/16	The failure in strategic planning meaning the Council lacks clear direction for resource use and either over-spends, requiring the need for reactive savings during the life of the plan, or spends limited resources unwisely, to the detriment of local communities.	01/07/2015	3	5	15	3	5	15	• Clear robust planning framework in place which sets the overall vision and priority outcomes. • Strategic service and financial planning process which translates the vision and priorities into achievable, measurable objectives, with clear targets. • A robust annual process to provide evidence for Members to make decisions about spending priorities. • Sound engagement and consultation with stakeholders and the public. • A performance management system which ensures resources are used to best effect, and that the Council delivers against its objectives and targets. Overall risk treatment: reduce	• Full Council agreed a three-year medium term financial and service strategy, including the budget for 2016/17, at its meeting on February 22nd 2016. In making their decisions, Councillors had the benefit of extensive feedback from public consultation, which had been considered in some detail by all Committees. • A new County Council Plan was considered by Policy and Resources and was recommended to Full Council, although is awaiting sign-off. • The Plan outlines the strategic context for the Council, providing direction and guide strategic and resource choices. It will then translate into delivery at a service committee level, setting out actions to address the four priority outcomes, objectives for the Department's core business; spending plans - what the money will be spent on and what it will deliver/achieve; performance, risk and accountability framework • A new performance management framework was agreed in October 2015, and regular performance reporting to committees is focusing attention on poorly performing areas and highlighting areas of good performance. Dashboards are used providing a summary of key performance indicators (KPIs) which focus on key areas agreed by Members and Chief Officers, together with the red, amber, green rating (RAG) ratings and direction of travel (DoT).	1	5	5	31/07/2016	Green	Wendy Thomson	Debbie Bartlett	09/05/2016

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C	Resources	RM007	Potential risk of organisational failure due to data quality issues.	Failure to manage the data quality will prevent us from ensuring that data relating to key Council priorities is robust and valid. This places the Council at risk of making decisions using data that is not always as robust as it should be. This may lead to poor or ineffective commissioning, flawed decision making and increased vulnerability of clients, service users and staff.	01/07/2015	3	5	15	3	5	15	1) Implementation of the Information Management Strategy, Information Governance Framework, Data Protection, Information Sharing, Freedom of Information, Records Management, Managing Information Risk, and Information Security. 2) Information Compliance Group (ICG) has the remit to ensure the overarching Information Governance Framework is embedded within business services and NCC and elements of the IM Maturity Readiness Plan. 3) Ensuring that all staff and managers are provided with training, skills, systems and tools to enable them to meet the statutory/NCC standards for information management. 4) Ensuring the Mandated E-Learning Data Protection 3 year refresher data - Information sent to CLT and CLG on a monthly basis for review and action 5) NCC is PSN accredited 6) NCC is NHS Information Governance Toolkit compliant to Level 2 7) The implementation of a corporate Records Management solution 8) The implementation of a corporate Identity and Access Management solution

The target likelihood score has increased from 1 to 2 to take into account the current climate around corporate information compliance, | The Corporate Information Management Strategy and IM Maturity Readiness Plan was signed off by CLT on the 11th March 2016. The strategy and plan have been developed around the 7 National Archive Information Principles. The IM Maturity Readiness plan has objectives and outcomes around the key information management tasks identified within the risk. The plan is initially focussed on the first three information principles as the foundation layers, Information is a valued asset, information is managed and information is fit for purpose. The next update to CLT is on the 19th May 2016, in relation to progress on the IM Maturity Readiness Plan. The Maturity Readiness Plan is being monitored by the BI/IM Programme Board on a monthly basis with highlight reports. The scrutiny will also be provided by regular updates to CLT. Norfolk County Council has now been NHS IG toolkit accredited for 2016/17 Norfolk County Council has now gained PSN accreditation for 15/16, with re-accreditation due in September 16. A delivery plan is in place to work through for September 2016. | 2 | 4 | 8 | 30/10/2016 | Amber | Anne Gibson | Mark Crannage | 06/05/2016 |
| C | Resources | RM008 | The potential risk of failure to deliver effective procurement processes. | Failure to engage members or senior officers effectively at an early stage in tendering or contract extension, or to maintain engagement, or failure to deliver a robust procurement process, leads to commissioned services which are politically unacceptable, poor value for money, undeliverable or a poor fit with our strategic direction, or leaves us open to legal challenge and a risk of substantial damages.

The council spends some £600m on contracted goods and services each year. | 01/07/2015 | 3 | 4 | 12 | 2 | 4 | 8 | 1) 'Significant procurements routinely brought to CLT at an early stage to review strategic fit and political implications; 2) Effective corporate contract register in place and regularly reviewed; 3) Clarification re: ownership of each category of spend following recent restructures in service departments. 4) Attendance at Commissioning Academy training for key officers

Overall risk treatment: reduce | 1) Significant procurements are now coming to CLT as a matter of course. A review of the contract pipeline has been undertaken and meetings held between the Head of Procurement and each exec Director to clarify future intentions for major contracts. 2) Corporate contract register now in a good state and the quality of data about ICT contracts has improved significantly 3) Clarification of ownership has been picked up by the social care contract management team in procurement and ownership of most categories has been clarified. 4) Key officers attended the Commissioning Academy | 2 | 3 | 6 | 31/07/2016 | Green | Anne Gibson | Al Collier | 06/05/2016 |

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C	CLT	RM009	The potential risk of failure of corporate governance and leadership.	Failure of corporate governance may result in poor or rushed decision making, disengaged members and officers and reputational damage. This could lead to the Council being unable to carry out its duties in an effective manner and possible non-compliance with legislation and regulations.	01/07/2015	3	4	12	3	4	12	The review of the Committee system has strengthened the clarity around member roles and involvement. In particular, it stressed the important role of Group Spokesperson. Committee Forward Plans ensure visibility of forthcoming decisions. The Committee system was brought in to enhance the role of all members who are now all part of the decision making process in a way that could not happen under the previous executive arrangements. The Constitution sets out the roles, responsibilities and role descriptions, and contains provisions relating to committee terms of reference, procedure rules, political and officer management arrangements, roles and responsibilities of Senior Officers, principles of decision making and a scheme of delegation of powers to Officers. The Constitution sets out the Member and Officer Relations Protocol and Codes of Conduct. Report templates and sign off procedures make it clear where the accountability for sign off is. The Council has a S.151 Officer and Deputy Officer in place, ensuring that appropriate advice is given on all financial matters, keeping proper financial records and accounts and for maintaining an effective system of internal financial control. The Head of Law is the Council's Monitoring Officer. The roles and responsibilities of the Monitoring Officer are set out in legislation and are reiterated in the Council's Constitution and the Job Description and	The officer decision record form and associated guidance is being rolled out. The whistleblowing Policy review is currently being undertaken. A review of Performance Management framework has been undertaken and strengthened performance management and reporting are being put in place during Autumn / Winter 2015. The Council publishes an Annual Governance Statement - the process to review and develop the statement is being strengthened during 15/16, with greater engagement of the County Leadership Group at an early stage. The policy of providing a dedicated telephone contact to raise concerns is being reviewed.	1	4	4	31/07/2016	Green	Wendy Thomson	Anne Gibson	16/05/2016
C	Resources	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.	Loss of core / key ICT systems, communications or utilities for a significant period - as a result of physical failure, fire or flood, supplier failure, misconfiguration or loss of PSN accreditation - would result in a failure to deliver IT based services leading to disruption to critial service delivery, a loss of reputation, and additional costs. Overall risk treatment: reduce.	02/09/2015	3	4	12	3	4	12	1) Full power down in June 2015, completion of electrical works and test of ability to restore service. 2) Catalogue key ICT systems by 30th Sept 2015 - determine Recovery Time Objectives ("How long to restore") and Recovery Point Objectives ("acceptable amount of data loss") with business owners by 31st Oct. 3) Develop rolling Disaster Recovery test schedule by 30th Nov. 4) Determine target location for Highways Management System, CareFirst, Oracle e-Business Suite and Windows servers 5) Complete voice and data network re-procurement by 31st Dec to mitigate resilience issues, including with telephony, the data network, remote access, mobile devices and schools services. 6) Take necessary steps to retain PSN accreditation. Overall risk treatment: reduce	1) Full power down completed and procedures updated from lessons learned. 2) Recovery Time Objectives now documented. 3) Initial set of DR tests will be undertaken, associated with testing failover of the new network. A rolling programme wll follow. 4) cloud-based highways management system being implemented; procurement starting for CareFirst replacement (will be resiliently hosted); review of Oracle hosting has been commenced in light of this; review of Windows hosting still to be completed 5) Voice and Data network procurement completed and once implemented will improve resilience. 6) PSN re-accreditation has been achieved, and a programme of works to retain accreditation put in place.	1	3	3	30/06/2017	Amber	Anne Gibson	John Gladman	08/03/2016
C	Resources	RM011	The potential risk of failure to implement and adhere to an effective and robust performance management framework.	The failure of leadership to adhere to robust corporate performance practice / guidance, resulting in organisational / service performance issues not being identified and addressed. This will have a detrimental impact on future improvement plans and overall performance and reputation of the Council.	02/09/2015	3	4	12	3	4	12	A review of the tasks to mitigate and to reduce this risk has been undertaken in April 2016 and the following actions for 2016/17 have been identified:- (1) CLT/CLG developing a new performance management framework to better align priorities, resources and managerial accountability for delivering results. This includes better linking of the new set of performance indicators (vital signs & organisational health measures) with senior manager individual performance appraisal ratings. To implement a new set of common leadership objectivest (for the second year).(2) For CLT to regularly review the quality and robustness of the our people performance management framework and ensure consistent adherence across NCC. To undertake an Audit in August/September 17 against agreed criteria. To track appraisal completions of the 2016 end of year appraisals and to ensure an improvement on the 2015 81% completion rates.(3) As part of a new leadership & management development strategy to undertake an assessment of all managers M grade and above between July to September 17. (4) To evaluate the Performance Conversations skills workshops that 500 managers attended - and follow up to ensure that this learning is embedded across the organisation. (5) CLT to agree focus for further performance management skills development - following assessments..	Whilst progress has been made on implementing key actions the risk scores are assessed as remaining the same; given the criticality of this area. It is essential that this work continues with managers to achieve a major shift in the day to day performance routines of all levels of managers. Set out below is progress in the last 12 months - (1) New performance framework in place and a number of briefings and development work has been undertaken with CLT/CLG. (2) Appraisal completion rates 81% (variation of 57% to 95% in different parts of the Council) in 2015 (insert 2014/2013 figures) - CLT agreed to track & improve on this for 2016. (3) Through the manager e-zine/ DMTs have set robust expectations for performance reviews and clear messages on the areas for improvement. Set of common objectives agreed by CLT and communicated to all managers - with clear expectations for the senior manager scheme. (4) In last year started to achieved a greater understanding in our management population of the gaps in our performance framework and their role in addressing the changes needed. (5) Note employee sickness levels have reduced (insert figures). Sess revised 2016/17 tasks to mitigate.	1	3	3	31/03/2017	Amber	Anne Gibson	Audrey Sharp / Kerry Furness	03/05/2016

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C	CLT	RM013	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.	The failure of governance leading to controlled entities: Non Compliance with relevant laws (Companies Act or other) Incuring Significant Losses or losing asset value Taking reputational damage from service failures Being mis-aligned with the goals of the Council The financial implications are described in the Council's Annual Statement of Accounts 2014-15, from page 88, covering Group Accounts available on the Council's website at http://www.norfolk.gov.uk/view/NCC167254	02/09/2015	1	4	4	1	4	4	1) All controlled entities and subsidiary companies have a system of governance which is the responsibility of their Board of Directors. The Council needs to ensure that it has given clear direction of it's policy, ambitions and expectations of the controlled entities. The NORSE Group objectives are for Business Growth and Diversification of business to spread risks. Risks are recorded on the Group's risk register. 2) The NORSE board includes a Council Member and is currently chaired by the Executive Director of Resources of the Council. There is a shareholder committee comprised of six Members. The shareholder committee 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 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 are reviewed regularly and included in the annual business plan approved by the Board. NORSE has its own Memorandum and Articles of Association outlining its powers and procedures, as well as an overarching agreement with the Council which	1) There are regular Board meetings, share holder meetings and reporting as required. 2) The Norse Group follows the guidance issued by the Institute of Directors for Unlisted Companies where appropriate for a wholly owned local authority company. 3) The Council has reviewed its framework of controls to ensure it is meeting its Teckel requirements in terms of governance and control, and a series of actions has been agreed by the Policy and Resources Committee.	1	4	4	30/09/2016	Green	Wendy Thomson	Simon George	13/05/2016
C	Children's Services	RM014a	The amount spent on home to school transport is at significant variance to predicted best estimates	There is a risk that the amount spent on home to school transport is at significant variance (overspend) to predicted best estimates. Cause: Home to school transport being a demand led service. Event: The amount spent on home to school transport is at significant variance with the predicted best estimates. Effect: Significant overspend on home to school transport than has been estimated for. Rising transport costs, the nature of the demand-led service (particularly for students with special needs) and the inability to reduce the need for transport or the distance travelled will result in a continued overspend on the home to school transport budgets and an inability to reduce costs.	04/11/2015	3	3	9	4	3	12	Continue to enforce education transport policy, and work with commissioners re school placements. Continually review the transport networks, to look for integration and efficiency opportunities. Work with Norse to reduce transport costs and ensure the fleet is used efficiently and effectively. Look for further, more innovative, ways to plan, procure and integrate transport. Overall risk treatment: reduce	Conversations with SEN commissioners in Children's Services ongoing. Consultant has been 'recruited' to help deliver new Inclusion strategy, including SEN transport savings. New School Inclusion Strategy should help to reduce the number of children accessing alternative specialist provision, but this will not really kick in until 2016/17 SEN budget has been split down to lower levels and regular data is being sent to decision-makers in Children's Services to enable further transparency and better budget monitoring. While student numbers continue to decrease in secondary and Post 16 education, spend is reducing.	2	3	6	31/03/2017	Red	Gordon Boyd	Richard Snowden and Michael Bateman	06/05/2016
C	Adult's Services	RM014b	The savings to be made on Adult Social Services transport are not achieved.	The risk that the budgeted savings of £3.8m to be delivered by 31 March 2017 will not be achieved.	04/11/2015	3	3	9	4	3	12	As part of reviews and reassessments identify the potential to reduce transport costs, eg by using local services that meet needs, using mobility allowance/motability vehicles - and work with individuals to achieve this. Travel and Transport continually review the transport networks, to look for integration and efficiency opportunities, and reprocure transport. Work with Norse to reduce transport costs and ensure the fleet is used efficiently and effectively.	Project set up in ASSD. One FTE in Travel and Transport now dedicated to helping ASSD transport savings programme. Regular data and costs are being sent to ASSD managers. Promoting Titan (Travel Independent Training Across the Nation) training eg so that people can use public transport by themselves. Corporate approval to refurbish a centre in Thetford to provide day services for younger people with complex Learning Difficulties in that area rather than them having to travel long distances which will result in savings. Engagement events being held to encourage transport providers to sign up to Trusted Traders for Transport so that where people are able they can arrange and pay for transport themselves. Data has been analysed by the project team and potential savings identified, but the teams haven't got the capacity to do the reassessments of service users at pace and people haven't applied for additional posts that have been created. Part of regular report to ASSD SMT and Promoting Independence	2	3	6	31/03/2017	Red	Janice Dane	Janice Dane	08/06/2016
C	CES	RM016	Failure to adequately embed Business Continuity into the organisation.	To ensure disruption is minimised and ensure that we are able to maintain services and respond appropriately to a significant incident (Major or Moderate) both within and out of core office hours (N.B. this risk will be scored differently for different departments due to different levels of preparedness).	10/12/2015	2	5	10	2	5	10	1) All corporately agreed critical activities must have comprehensive Business Continuity plans. Plans to be agreed at Senior Management meetings. 2) That departments are represented at Resilience Management Board meetings, that training is completed and that the department completes exercises/tests.	1) 62% of BC plans completed across the organisation and 66% of critical plans. Figures have been affected by a consolidation of significant numbers of libraries plans into one BC plan. Adult Social Services are impacting the figures as only 22% of their plans are completed. The chair of the Resilience Management Board (RMB) will raise with the relevant director. 93% of BIAs are completed. The RMB have agreed the list of critical activities which will be included in an updated Corporate BC plan. The Resilience Team audits the quality of plans and provides additional support where required. 2) Most departments are represented at meetings regularly. Procurement have never attended and ICT Services do not attend the Management board regularly. A letter is being sent from the chair of the group regarding this. Progress is being made on developing stronger relationships between Resilience and ICT. Resilience Managers arranged a meeting with the Interim Head of ICT on 06/06/16. As a result, corrective actions have been identified, with follow-up meetings scheduled at monthly intervals to monitor progress of ICT Business Continuity. A programme of training and exercising needs to be developed for 2016.	2	3	6	30/09/2016	Green	Tom McCabe	Emma Tipple	23/05/2016

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												3) No notice exercise with Customer Service Centre at work area recovery (WAR) site. Also, an exercise with the Resilience Management Board and CLT.	3) Full no-notice exercise has been delayed as a result of changes in layout and equipment available for use at the Work Area Recovery site, new requirements around this are being assessed to review plans and looking possibly to mid 2016 for this exercise. CLT have had a number of briefings from the Resilience Team as well as an Exercise on pandemic flu.								
												4) Complete a Business Impact Analysis every two years and review risks which could affect critical activities.	4) This has been completed and 93% of BIAs were returned. We will complete a session on risks to critical activities with the Resilience Representatives and present this to the Resilience Management Board.								
												5) To review Business Continuity E-Learning Course, relaunch, monitor uptake. Overall Risk Treatment: Reduce	5) The online BC e-learning is available there are no funds to improve it further using suitable software or consultants. We will promote the current e-learning module and monitor uptake.								
C	Corporate (CES)	RM017	Failure to construct and deliver Norwich Northern Distributor Route (NDR) within agreed budget (£178.55m)	There is a risk that the NDR will not be constructed and delivered within budget. Cause: environmental / building contractor factors affecting construction progress. Event: The NDR is completed at a cost greater than the agreed budget. Effect: Failure to construct and deliver the NDR within budget would result in the inability to deliver other elements proposed in the Norwich Area Transport Strategy (NATS) Implementation Plan. It would also result in a reduction in delivering economic development and negatively impact on Norfolk County Council's reputation. Exceeding the budget will also potentially impact wider NCC budgets and its ability to deliver other highway projects or wider services (depending on the scale of any overspend).	26/11/2015	3	3	9	3	3	9	The total project cost, not including the Postwick junction which has already been delivered, is £151.25m. 1) A project Board and associated governance mechanisms to be put in place. Monthly reporting will be provided to the Board (Chaired by Tom McCabe). 2) A project team is to be developed to include sufficient client commercial scrutiny throughout the works by Balfour Beatty, which will include a commercial project manager. 3) Main clearance works, archaeological investigation and utility diversions planned for start on 4 January 2016. This will enable main construction to meet start planned for March 2016 to keep programme as short as possible. 4) Project controls and client team to be assembled to ensure sufficient systems and staffing in place to monitor costs throughout delivery of project. 5) Cost reduction opportunity meetings will be held throughout the duration of the construction. Overall risk treatment: reduce	1) A project Board and associated governance mechanisms are in place and monthly reporting is being provided to the Board (Chaired by Tom McCabe). 2) The project team is developed and includes sufficient client commercial scrutiny throughout the works by Balfour Beatty, including a commercial project manager. The contract includes significant incentivisation with the intention for the whole delivery team to stay within the available budget. 3) Works start delayed, but some clearance and environmental mitigation able to be started in December 2015. Main clearance works, archaeological investigation and utility diversions started on 4 January 2016 and have been delivered on programme (although potential for bird nesting and other environmental constraints are being monitored). 4) Project controls and client team now assembled to ensure sufficient systems and staffing in place to monitor costs throughout delivery of project. 5) All team focussed on reducing costs and further cost reduction opportunity meeting already held with further meetings ongoing.	2	2	4	12/02/2018	**Green**	Tom McCabe	David Allfrey	27/04/2016
C	Children's Services	RM018	Potential failure to meet the needs of children in Norfolk.	CS Teams do not show the improved performance at the speed which is acceptable to DfE and Ofsted.	01/12/2013	2	5	10	2	5	10	Recruit the right people with the right skills into posts. Train and support managers to improve their performance. Ensure the Ofsted Action Plan is fully delivered through robust scrutiny and affirmative action to quickly address any deviation from the plan. Additional capacity has been secured via the Reimagining Norfolk (RN) team.	The NIPE programme continues to attract new social workers but we continue to struggle to attract suitably experienced workers. The Ofsted Action Plan is being delivered at pace and the impact of those actions will be scrutinised by Ofsted as part of their improvement offer. The RN team continue to support us on the areas of greatest concern i.e Health Assessments, Personal Education Plans and Permanence.	1	5	5	31/03/2017	**Amber**	Michael Rosen	Don Evans	19/05/2016