

Appendix B

Relative Impact	Catastrophic	(5)	M	H	VH	VH	VH
	Significant	(4)	M	H	VH	VH	VH
	Moderate	(3)	M	M	H	H	H
	Minor	(2)	L	L	M	M	M
	Insignificant	(1)	L	L	L	L	L
			Rare (1)	Unlikely (2)	Possible (3)	Likely (4)	Almost certain (5)
Relative Likelihood							

LIKELIHOOD		
1	Rare	0 to 5% chance
2	Unlikely	6 to 20% chance
3	Possible	21 to 50% chance
4	Likely	51 to 80% chance
5	Almost certain	81%+ chance

IMPACT		
1	Insignificant	0 to 5% effect
2	Minor	6 to 20% effect
3	Moderate	21 to 50% effect
4	Significant	51 to 80% effect
5	Catastrophic	81%+ effect

No.	Risk Description	Inherent Risk	Current Risk	Sources and Triggers	Possible Consequences	Current Controls / Mitigations	Additional Controls and Actions Required	Timescale	Residual Risk	Risk Owner	Action Manager
1	Major failure of Information Governance	Very high L - 4 I - 5	Very High L - 4 I - 4	<p>Information Governance failure (e.g. loss of mobile device / inappropriate sharing of personal information relating to customers)</p> <p>Information management failure (e.g. inappropriate transfer of information as part of outsourcing of services)</p> <p>Failure to organise information effectively</p> <p>Inappropriate retention or destruction of information</p> <p>Failure to implement outcomes from risk assessments</p> <p>Security breaches, including those due to cyber attacks</p> <p>Unauthorised access to NCC systems</p> <p>Absence of appropriate data processing agreements during procurement exercises or where NCC processes third-party data</p>	<p>Physical, emotional or financial harm to member of the public or staff</p> <p>Failure to meet a statutory obligation</p> <p>Litigation against the Council</p> <p>Loss of reputation</p> <p>Financial cost to authority (e.g. loss of revenue through fraud, compensation payments or fines levied by the Information Commissioner)</p> <p>Impact on service delivery</p>	<p>Process for information sharing agreements (inc templates)</p> <p>Systems for mgmt and monitoring of starters & leavers</p> <p>Corporate policies / procedures</p> <p>Information Governance Group and Information Management Group and corporate framework</p> <p>Periodic audit inspections</p> <p>Centrally monitored mandatory training for all staff at induction and refreshed biennially</p> <p>GCSX Code of Connection and Cryptshare secure email facilities</p> <p>PSN Code of Connection Compliance inc health checks of the ICT estate</p> <p>Information Governance Toolkit annual compliance</p> <p>Use of Bit Locker encryption for all mobile and portable ICT devices</p> <p>Regular awareness raising via TeamTalk and ELTs</p> <p>Privacy impact assessment process</p> <p>Risk Assessment process introduced in September 2016 and used for new systems procured and /or implemented.</p>	<p>Effect improvements to systems for mgmt and monitoring of starters and leavers</p> <p>Information Strategy Implementation Plan 2014 -2018</p> <p>Completion of Phase 1 of the IG Improvement Plan (IGIP)</p> <p>Adoption and rollout of NCC Retention Schedule</p> <p>Review of Privacy Impact assessment process</p> <p>General Data Protection Regulations implementation</p> <p>Completion of Phase2 of the IG Improvement Plan (IGIP)</p>	<p>Sept 2019</p> <p>April 2018</p> <p>Sept 2018</p> <p>Feb 2018</p> <p>April 2018</p> <p>May 2018</p> <p>Sept 2019</p>	High L - 3 I - 3	Corporate Director, Resources Jayne Francis-Ward	Group Manager, Legal, Democratic and Complaints Heather Dickinson

No.	Risk Description	Inherent Risk	Current Risk	Sources and Triggers	Possible Consequences	Current Controls / Mitigations	Additional Controls and Actions Required	Timescale	Residual Risk	Risk Owner	Action Manager
2	Failure to provide safe working conditions (property / environment / equipment / working practices)	Very High L - 5 I - 5	High L - 2 I - 5	<p>Management of vacant properties</p> <p>Uncontrolled hazards (asbestos / legionella / other hazards)</p> <p>Uncontrolled fire safety issues, inc at schools and care homes.</p> <p>Serious injury to NCC staff arising from work activities.</p> <p>Failure to exercise duty of care</p> <p>Lack of clarity / awareness regarding staff responsibilities / NPO role</p> <p>Reduced expenditure on building maintenance</p> <p>Ineffective Implementation of NCC Smarter Working initiatives</p> <p>Failure to supply and inspect appropriate and safe equipment</p> <p>Inappropriate contracting arrangements and manangement</p> <p>Failure to design safety</p> <p>Failure to inspect and maintain grounds / outdoor environment (including at schools)</p>	<p>Death, injury or illness of members of staff, service users or the public(including unauthorised users)</p> <p>Judicial review</p> <p>Litigation against the Council</p> <p>Enforcement action e.g. HSE, Fire, Environment Agency</p> <p>Loss of reputation</p> <p>Inability to deliver services</p> <p>Increased costs</p>	<p>E-Learning around asbestos</p> <p>Demolition planning</p> <p>Corp. Property Strategy / Asset Mgmt Strategy / Corp. Asset Mgmt Plan / Annual Property Plan / R & M strategy/ suitability assessments</p> <p>OHSAS 18001 Mngt System</p> <p>Planned maintenance programme</p> <p>H&S strategy, working arrangements, audits and Compliance Board</p> <p>Effective service development</p> <p>Smarter Working' / property related service reviews / office refurbishment</p> <p>Asbestos mgmt surveys and local asbestos management plans</p> <p>Control of contractors compliance</p> <p>Property and safety audit Action Plans / NPO process review</p> <p>Use of P2</p> <p>Management of Surplus / Vacant Property List</p> <p>IAgreed responsibility for statutory inspections</p>	<p>Completion of review of property service functions</p> <p>Implementation of outcomes from review of property service functions</p>	<p>Spring 2018</p> <p>Summer 2018</p>	High L - 2 I - 5	Corporate Director, Place Adrian Smith	Service Director, Place and Communities Derek Higton

No.	Risk Description	Inherent Risk	Current Risk	Sources and Triggers	Possible Consequences	Current Controls / Mitigations	Additional Controls and Actions Required	Timescale	Residual Risk	Risk Owner	Action Manager
3	Major Supplier or Supply Chain Failure (including Contract Management failure)	Very High L - 5 I - 4	High L - 3 I - 3	Poor contract specifications Compliance failure Quality / cost fraud Major supplier goes out of business Failure of supplier to fulfil contract (e.g Virgin Media in respect of internet outage) Market volatility Energy dispute / disruption of supply	Increased costs Loss of reputation Litigation Inability to deliver key services	Devolved contract management with support and guidance from Procurement Centre Business Continuity Plans Category Managers Market management Active Contract Management Adult Social Care Procurement Group Risk assessment of possible failure Local Fair Price for Care Implemented Supply chain management East Mids Property Alliance LRF/Category 2 critical infrastructure plans Dunn and Bradstreet checks on suppliers Category managers working closer with suppliers market and commissioners Contracts database Councillors oversight via the Finance and Major Contracts Management Committee	Overview of managers work to review and refresh existing contracts Implement outcomes of Internal Audit of Contract Management	Ongoing To be advised	High L - 3 I - 3	Service Director, Finance, Procurement and Improvement Nigel Stevenson	Group Manager, Procurement Clare Winter (noting the role of individual managers)

No.	Risk Description	Inherent Risk	Current Risk	Sources and Triggers	Possible Consequences	Current Controls / Mitigations	Additional Controls and Actions Required	Timescale	Residual Risk	Risk Owner	Action Manager
4	Inability to deliver critical services due to a sustained business interruption	Very High L - 4 I - 5	High L - 3 I - 3	<p>Reduced capacity within reducing workforce</p> <p>Loss of premises / staff / ICT / telecomms / utilities (gas/electricity/water) / key suppliers and / or key resources (e.g.fuel)</p> <p>Breakdown of industrial relations locally or nationally</p> <p>Lack of understanding of what is critical / Failure to prioritise Council services correctly</p> <p>Inadequate Business Continuity Planning and Preparations (e.g. for relocation of critical services)</p> <p>Sustained response to significant civil emergency or other external challenge</p> <p>Failure of Academy Schools, external providers, and suppliers to have adequate insurance and business continuity arrangements.</p>	<p>Inability to deliver critical services / business as usual</p> <p>Harm to staff, service users and the public</p> <p>Failure to protect and safeguard people at risk</p> <p>Failure to protect health and safety of people and buildings</p> <p>Failure to maintain the transport network</p> <p>Failure to maintain ability to pay employees and suppliers</p> <p>Reduced ability to deliver the aspirations in the Strategic Plan</p> <p>Loss of reputation</p> <p>Reduced confidence in the ability of the Council to deliver services</p>	<p>Corporate business continuity plan, plus specific plans</p> <p>List of critical services</p> <p>Business Impact Analyses</p> <p>HR Guidance - managing industrial action</p> <p>Business Continuity Plans for Critical Services</p> <p>Insurance (including contingencies for Academy Schools)</p> <p>ICT BC Plans</p> <p>Monitoring by Risk, Safety and Emergency Management Board and RSEM Groups</p> <p>Smarter Working Programme</p> <p>Control of contractors / contract management</p> <p>MTFS processes have been subject to satisfactory Internal Audit review</p>	<p>Continual review of Business Continuity Plans for all critical services by plan authors.</p> <p>Corporate Business Continuity Exercise</p>	<p>Continuous process</p> <p>February 2018</p>	Low L - 2 I - 2	Chair of RSEMB, Derek Higton	Group Manager, Emergency Planning and Registration Rob Fisher

No.	Risk Description	Inherent Risk	Current Risk	Sources and Triggers	Possible Consequences	Current Controls / Mitigations	Additional Controls and Actions Required	Timescale	Residual Risk	Risk Owner	Action Manager
5	Failure to deliver the transformation programme and maintain critical services	Very High L - 4 I - 4	High L - 3 I - 3	Failure to comply with legislative requirements Lack of funding to support delivery of the business cases Short-term planning / inadequate horizon scanning Undue pace of change Insufficient cultural change within the organisation Unanticipated major increase in organisational costs Unanticipated external costs Reduction in number and value of funding streams Suitability of ICT systems Insufficient staff capacity Failure to identify interdependencies and unintended consequences	Poor performance Overspending Lack of robustness in budget monitoring systems Inability of the organisation to sustain critical services in the long term Loss of reputation Failure to recover capital receipts	Interim Senior Management Structure Projects and Programme Team KPIs, metrics, Programme Governance, reporting arrangements and reviews Project risk management processes Budget planning and control arrangements Medium-term financial strategy Implementing LEAN+ review of business processes Regular reports to and monitoring by CLT, Policy Committee and Finance & Property Committee Effective ongoing learning, contract management and rigorous management of pressures	Delivery of Programmes	2018 / 19	Low L - 2 I - 2	Chief Executive Anthony May	Corporate Director, Resources Jayne Francis-Ward

No.	Risk Description	Inherent Risk	Current Risk	Sources and Triggers	Possible Consequences	Current Controls / Mitigations	Additional Controls and Actions Required	Timescale	Residual Risk	Risk Owner	Action Manager
6	Failure to protect vulnerable children and young people	Very High L - 3 I - 5	High L - 2 I - 4	<p>Child death</p> <p>Allegations of historic abuse</p> <p>Child Sexual Exploitation</p> <p>Increasing demand for Children's Social Care and resulting budget pressures</p> <p>Inappropriate case management/insufficient management control</p> <p>Failure to recruit and retain experienced / qualified staff</p> <p>High levels of sickness absence</p> <p>Partners not working together effectively / lack of clarity between partners</p> <p>Insufficiently robust contract monitoring</p> <p>Poor data quality</p> <p>Data loss/leakage</p> <p>Full statutory inspection due in 2018</p> <p>Social worker caseloads become too high</p>	<p>Harm to children, young people and families</p> <p>Serious Case & Domestic Homicide reviews</p> <p>Harm to staff</p> <p>Cost to the authority</p> <p>Cost to society</p> <p>Reputational damage to the authority</p> <p>Increased and / or inappropriate referrals into Children's Social Care</p> <p>Judicial review</p> <p>Litigation</p> <p>Failed inspections under regulatory framework</p>	<p>Most recent Ofsted inspection in 2015 was "Good"</p> <p>Co-operation with, and participation in, the Independent Inquiry into Child Sexual Abuse</p> <p>Sufficient SW capacity, use of workload management tools</p> <p>Safer recruitment policy, tracking DBS renewals & HCPC regs</p> <p>Use of agency social workers - vacancies and long term absences</p> <p>Development of recruitment and retention incentives - MFS and SWSO posts</p> <p>Safeguarding policies / procedures / training</p> <p>Advanced practitioner support</p> <p>Effective safeguarding arrangements and challenge via Local Safeguarding Children Board</p> <p>Well-established Pathway to Provision and Children's Trust</p> <p>Continued development of early help services to work alongside core child protection arrangements</p> <p>Robust QA Framework and review of performance data</p>	<p>Closer alignment of the MASH (Multi Agency Safeguarding Hub) and the Early Help Unit</p> <p>Ongoing work to manage caseloads and keep them at a manageable level</p> <p>Continue to develop the integrated assessment framework and toolkit across children's services</p>	Monthly review	High L - 2 I - 4	Corporate Director, Children and Families Colin Pettigrew	Service Director, Children's Social Care Steve Edwards

No.	Risk Description	Inherent Risk	Current Risk	Sources and Triggers	Possible Consequences	Current Controls / Mitigations	Additional Controls and Actions Required	Timescale	Residual Risk	Risk Owner	Action Manager
7	Failure to deliver an effective Medium Term Financial Strategy	Very High L - 3 I - 5	High L - 2 I - 4	<p>Failure to create strategy - insufficient savings proposals identified</p> <p>Failure to approve budget proposals at Full Council meeting</p> <p>Failure to identify pressures / funding cuts in time to react</p> <p>Failure to monitor in-year budget effectively / understand cost drivers</p> <p>Failure to react to changes in Central Government Policy</p> <p>Failure to obtain necessary information from District Councils (taxbase, NNDR, etc)</p> <p>Failure to complete Equality Impact Assessments</p> <p>Failure to consult on Budget proposals</p> <p>Key resources not being available</p> <p>Failure to deliver capital receipts</p> <p>Accuracy of financial planning and budget monitoring</p> <p>Historical liabilities, such as historical child abuse</p>	<p>County Council General Fund balance falls below acceptable level</p> <p>Renegotiation of debt at higher rates</p> <p>Risk to services if sudden termination of services made without due planning (issues on meeting minimum statutory requirements)</p> <p>Risk of legal action if Council fails to deliver services or give due regard to impact</p> <p>Reputational issues / credibility of officers</p> <p>Short term decision making resulting in lack of investment in key areas</p> <p>Failure to meet statutory requirement in setting a balanced budget</p>	<p>Continual review of budget monitoring process and the effectiveness of the finance function</p> <p>CLT oversight of budget process, CLT briefings and peer challenge</p> <p>Annual review of the Base Budget</p> <p>Obtain external support where necessary</p> <p>Finance review of savings proposals</p> <p>Review of appropriate reserves levels</p> <p>Regular Member briefings (Majority and opposition groups)</p> <p>Quality information for effective decision making at short notice</p> <p>Regular budget monitoring reporting to CLT and F&P Committee</p> <p>Budget timetable with identified responsibilities</p> <p>Budget Consultation in progress</p> <p>Regular contact with District Councils</p> <p>Attendance at SCT and other confs</p> <p>Attendance at SCT Briefings / environmental analysis and other events</p> <p>Continual improvements in financial management across the Council</p>	No further actions at this time		High L - 2 I - 4	Corporate Director, Resources Jayne Francis-Ward	Service Director, Finance, Procurement and Improvement Nigel Stevenson

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8	Prolonged loss of ICT	Very High L - 4 I - 4	High L - 2 I - 4	Data Integrity Issues Security breaches - Systems attack (hacks, malware and viruses) Infrastructure failure (hardware or software) Inadequate ICT resilience Inadequate safeguards in respect of theft / cloning of a mobile devices	Loss of ICT: i) systems ii) data iii) access/connectivity Inability to deliver critical services (e.g. safeguarding) Loss of reputation Loss of productivity Financial penalties	Business continuity arrangements for services Maintain fit for purpose Data Centre provision Ongoing infrastructure upgrade programme SLA for 99.8% availability for priority ICT systems Annual network penetration testing and PSN audit Internal audit assessments and reviews Insurance ICT Security Plan and policies Formal ICT change management process Corporate sign-off of critical systems Third party support contracts	Testing response to loss of ICT through Exercise "Zepto" Annual infrastructure refresh programme Annual PSN compliance checks and mitigating actions	Feb 2018 Ongoing Ongoing	Low L - 2 I - 2	Corporate Director, Resources Jayne Francis-Ward	Service Director, ICT Ivor Nicholson

No.	Risk Description	Inherent Risk	Current Risk	Sources and Triggers	Possible Consequences	Current Controls / Mitigations	Additional Controls and Actions Required	Timescale	Residual Risk	Risk Owner	Action Manager
9	The move to greater financial self-sufficiency leaves the Council with significant new burdens and/or a financial shortfall	Very High L - 2 I - 4	Medium L - 2 I - 3	<p>New legislation - However, the enabling legislation 'fell away' in the run up to the June 2017 General Election and no new legislation is in the current Parliamentary timetable</p> <p>Failure to understand implications of proposed changes in needs assessment, mechanics of allocations and impact of additional responsibilities.</p>	<p>Adverse impact on structure of the Council.</p> <p>Adverse impact on the MTFS</p>	<p>Systems to ensure that the Council is fully aware of all the implications of the new financial arrangements for Local Government and takes appropriate action to plan for them, both politically and managerially</p> <p>Attendance at various DCLG, LGA, CCN and relevant events</p> <p>Attendance at ACCE and SCT</p> <p>Keeping up to date on impact of other announcements on other changes to Business Rates</p> <p>Anthony May and and Nigel Stevenson continue to be involved in working groups and conversations with DCLG on this matter</p>	<p>Member of DCLG/LGA led working groups</p> <p>Active participation in consultations</p>	<p>Continuous</p> <p>Instigation in 2018/19 budget</p>	Medium L - 2 I - 3	Chief Executive Anthony May	Service Director, Finance, Procurement and Improvement Nigel Stevenson

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10	Failure to respond effectively to a prolonged major emergency in the Community	Very High L - 3 I - 5	Medium L - 2 I - 3	Malicious threats Environmental pollution incident Industrial / transport accident Severe weather Communicable disease outbreak Incidents in crowded places	Illness / death of residents and visitors Loss of staff Diversion of resources to emergency response and recovery Infrastructure compromised Difficulty in delivering critical services Financial costs Loss of reputation Public inquiry Inability to respond and deliver business as usual	Risk, Safety and Emergency Mgmt Board and Groups Emergency Plans and the planning process Partnership working through the Local Resilience Forum LRF Community Risk Register Business Plans Staff training at Strategic, Tactical and Operational levels Exercising of emergency plans County Emergency Centre / Comms systems Business Continuity Plans Debriefing following significant Safety of Sports Grounds and Events Safety structures	Increase resilience through wider engagement with managers in all departments and ASDM Maintenance of plans and preparations Emergency Planning training event for NCC Extended Leadership Team	Review at RSEMB Meetings Monthly review To be advised	Medium L - 2 I - 3	Service Director, Place and Communities Derek Higton	Group Manager, Emergency Planning and Registration Rob Fisher

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11	Failure to protect vulnerable adults at risk of harm	High L - 2 I - 5	Medium L - 1 I - 3	Waiting list for DoLS assessments CQC Peer Reviews Inadequate funding arising from legislative changes Insufficiently robust quality monitoring of externally provided services Poor data quality Inability to protect residents against scams Coroners Enquiries Safeguarding Adults Reviews Audits Public demand and expectations greater than NCC is able to deliver National Surveys	Death or harm to service user Harm to staff Judicial review Litigation Loss of reputation Failed inspections Inability to deliver safeguarding services	Trading Standards operations against criminality (managed via Place Dept) Monitoring how pre-payment cards are used Safeguarding policies and procedures Training for staff and independent sector providers Safeguarding Boards Safeguarding Governance Group Contract monitoring and market development Business meetings with CQC Register of Social Care Workers Multi-agency safeguarding Hub (MASH) Learning from Safeguarding Adults Reviews Quality Assurance Public Protection and Community Safety Vulnerable Persons Panels Performance Board	NSAB reviewing policy and guidance Appointment of four extra Quality Monitoring Officers 2-year Designated Adult Safeguarding Quality Assurance Manager	2018 2017 - 2019 2018 - 2020	Medium L - 1 I - 3	Corporate Director, Adult Social Care, Health and Public Protection David Pearson	Service Director, Strategic Commissioning, Adult Access and Safeguarding Paul Johnson