



NORWICH City Council

Committee name: Audit

Committee date: 04/10/2022

Report title: Risk Management Update

Portfolio: Councillor Kendrick, cabinet member for resources

Report from: Executive director of corporate and commercial services

Wards: All wards

OPEN PUBLIC ITEM

Purpose

To provide an update on progress in relation to risk management.

Recommendation:

It is recommended that the committee notes the risk management report.

Policy framework

The council has five corporate priorities, which are:

- People live independently and well in a diverse and safe city.
- Norwich is a sustainable and healthy city.
- Norwich has the infrastructure and housing it needs to be a successful city.
- The city has an inclusive economy in which residents have equal opportunity to flourish.
- Norwich City Council is in good shape to serve the city.

This report is relevant for all five corporate aims.

Report details

Background

1. Risk management enhances strategic planning and prioritisation, assists in achieving objectives and strengthens the ability to be agile to respond to the challenges faced.
2. The purpose of this report is to provide an update based on the Q1 2022 corporate risk register; this information would have been considered by the cabinet on 14 September as part of the Q1 Assurance report, however due to the period of mourning this report was in fact deferred until a later meeting. The report forms part of the twice-yearly updates to the audit committee on risk management, enabling the committee to fulfil its oversight function.

Actions Taken

3. Since the last report to the audit committee changes have been implemented to the risk register templates which facilitate easier reporting and comparison on risk management actions. There remains work to be done to ensure that there is a consistent approach across risk owners but this will develop over time and in addition further guidance and an updated risk strategy is now in development. The key points to note in relation to the council's approach to risk management are:
 - Directorate risk registers are reviewed and populated with clear risk owners and actions identified.
 - A continued review by the corporate leadership team of the corporate risk register as part of the quarterly corporate performance review process and timetable.

Q1 2022 Corporate Risk Register

4. The corporate register has been updated to reflect feedback received from the action owners and reviewed by the Corporate Leadership Team. This is shown in full in **Appendix 1** and summarised below in **Table 1**.
5. Heads of Service and other risk owners were asked to update their directorate and corporate registers by 30 June 2022; the latest position reflects updates provided on the dates shown. The current corporate risk register summary is shown below. A number of new risks have been added to the corporate risk register:
 - Risk 18 - the failure to address Natural England's advice on nutrient neutrality has been added. The impact on the council's ability to determine planning applications until mitigating actions have been agreed has wide ranging impacts on the council and more broadly if development stalls.
 - Risk 19 – Housing regulation; although similar to Risk 14 (Health and Safety compliance) this is a more general risk arising from the actions to self-report to the housing regulator.
 - Risk 20 – Cost of living crisis has a negative impact on the city; the impact of inflation on residents and their health has the potential to lead to a

range of social issues in the city, impacts on demands for services and also impact on the ability of residents to meet their financial liabilities including to the council. The council's role in supporting those issues as well as being well placed to deliver broader government support is recognised.

- Risk 21 – Equality impacts due to climate change, including the disproportionate impact on already disadvantaged groups is recognised.
6. The previous risk on anti-social behaviour has been moved to the directorate risk register; the residual risk score has decreased from 16 to 9 and whilst still above the target score of 6 the recruitment and training of the ASB Team is considered to be having sufficient impact to allow the risk to be managed at a directorate level.
 7. The risks associated with the council's funding over the medium to long term shows as a worsening position as continuing inflationary pressures are seen with the Consumer Price Inflation index rising above 10%, whilst contract management governance and the failure to be able to draw down on the £15m housing infrastructure fund both have an improved risk position.

Role of Audit Committee

8. CIPFA's Position Statement on Audit Committees in Local Authorities and Police identifies the following core functions in relation to oversight of risk management arrangements:
 - ensuring there is assurance over the governance of risk and top-level ownership and accountability
 - keeping up to date with the organisation's risk profile and the effectiveness of risk management actions
 - monitoring the effectiveness of risk management arrangements and supporting the development of good risk management practice.

Consultation

9. The corporate risk register has been reviewed by the Corporate Leadership Team. The risk register was also considered by Cabinet on 14 September 2022.
10. This report forms part of the twice-yearly updates to the Audit Committee on risk management, enabling the committee to fulfil its oversight function.

Table 1: Summary of Corporate Risk Register

		Q1 2022/23			
	Directorate	Current residual risk score	Target risk score	Current direction	Review Date
CORP01 Council Funding Medium - Long Term	Exec Dir - Corporate and Commercial Services	16	8	Worsening	01/08/2022
CORP02 Commercialisation (investment property, Norwich Regeneration Ltd (NRL) and other commercial income sources)	Exec Dir - Corporate and Commercial Services	8	8	Static	01/08/2022
CORP03 Health & safety in the workplace	Exec Dir - Development and City Services	12	8	Static	31/07/2022
CORP04 Further waves of COVID 19	Chief Executive	12	9	Static	30/06/2022
CORP05 Impact of Brexit	Chief Executive	12	8	Static	30/06/2022
CORP06 Failure to respond to a critical, business continuity or emergency planning event	Chief Executive	12	6	Static	31/07/2022
CORP07 Cyber Security	Exec Dir - Community Services	15	15	Static	26/07/2022
CORP08 Data Protection Compliance	Exec Dir - Corporate and Commercial Services	12	8	Static	30/06/2022

		Q1 2022/23			
	Directorate	Current residual risk score	Target risk score	Current direction	Review Date
CORP09 Failure to fulfil statutory or legislative responsibilities – safeguarding	Exec Dir - Community Services	15	12	Static	27/07/2022
CORP11 Antisocial behaviour (ASB) - moved down to Community Services Register as CS14	Exec Dir - Community Services	9	6	Moved to Directorate Register	27/07/2022
CORP12 Contract management - governance	Exec Dir - Corporate and Commercial Services	9	6	Improving	25/07/2022
CORP13 The Council's approach to waste and recycling becomes financially, environmentally and contractually unsustainable	Exec Dir - Development and City Services	12	4	Static	30/06/2022
CORP14 Health and safety and compliance in council homes and buildings	Exec Dir - Community Services	20	8	Static	28/07/2022
CORP15 Failure to be able to draw down £15m of Housing Infrastructure Fund (HIF) money previously secured from Homes England (HE) and under contract to assist with the delivery of Anglia Square leading to failure for successful redevelopment of this key city centre site	Exec Dir - Development and City Services	12	8	Improving	28/07/2022
CORP16 Implementation of the Election Act	Exec Dir - Corporate and Commercial Services	12	4	Static	25/07/2022

		Q1 2022/23			
	Directorate	Current residual risk score	Target risk score	Current direction	Review Date
CORP17 Failure to deliver acceptable levels of performance in regulatory services	Exec Dir - Development and City Services	16	8	Static	31/07/2022
CORP18 Failure to address Natural England advice on Nutrient Neutrality (NN)	Exec Dir - Development and City Services	25	10	N/A	31/07/2022
CORP19 Housing regulation	Exec Dir - Community Services	20	9	Static	27/07/2022
CORP20 Cost of living (COL) crisis has a negative impact on the city and the council	Exec Dir - Community Services	16	12	Static	18/07/2022
CORP21 Equality impacts due to climate change	Exec Dir - Community Services	16	12	Static	18/07/2022

Implications

Financial and resources

Any decision to reduce or increase resources or alternatively increase income must be made within the context of the council's stated priorities, as set out in its Corporate Plan 2022-26 and budget.

11. There are no proposals in this report that would reduce or increase resources and all risk management activities are currently carried out within approved and available budget provision.

Legal

12. There are no legal implications arising from this report.

Statutory considerations

Consideration	Details of any implications and proposed measures to address:
Equality and diversity	No direct implications
Health, social and economic impact	No direct implications
Crime and disorder	No direct implications
Children and adults safeguarding	No direct implications
Environmental impact	No direct implications

Risk management

Risk	Consequence	Controls required
The full corporate risk register is provided as an appendix to the report. Risk owners, CLT, Cabinet and the audit committee all have key roles to play in the oversight and management of corporate risks	A failure to manage risk appropriately brings a range of potential implications for the council including financial and other losses and reputational damage	Maintenance and oversight of the council's core risks is an important control to the successful management of risks

Other options considered

13. There are no alternative options to this report.

Reasons for the decision/recommendation

14. This report forms part of the twice-yearly updates to the audit committee on risk management, enabling the committee to fulfil its oversight function.

Background papers:

None

Appendices:

Appendix 1: Corporate Risk Register

Exempt Appendix 2: Corporate Risk Register Risks (commercially sensitive)

Contact Officer: Name: Neville Murton Tel: 01603 987766

Email address: nevillemurton@norwich.gov.uk



If you would like this agenda in an alternative format, such as a larger or smaller font, audio or Braille, or in a different language, please contact the committee officer above.

Risk scoring matrix

Impact	Very High	5	5	10	15	20	25
	High	4	4	8	12	16	20
	Medium	3	3	6	9	12	15
	Low	2	2	4	6	8	10
	Negligible	1	1	2	3	4	5
			1	2	3	4	5
			Very rare	Unlikely	Possible	Likely	Very Likely
			Likelihood				

Risk direction key



Appendix 1

REF CORP01 Council Funding Medium - Long Term



Current risk description	Risk owner	Service area
Continued reductions in the Council's sources of funding over the medium term	Exec Dir - Corporate and Commercial Services	Finance, Audit & Risk

Current Residual Risk			Target Risk			Progress	Risk direction		
Impact	Likelihood	Score	Impact	Likelihood	Score	On track / Limited / Slipped / New / No progress	ON TRACK	Worsening	
4	4	16	4	2	8				
								Date raised	01/06/2020
								Last updated	01/08/2022

Background to this risk	Primary Corporate Priority
Following a period of austerity in excess of a decade, economic conditions are now increasing demand and costs and the level of governemnt funding is uncertain	5 - Norwich City Council is in good shape to serve the city

Triggers	Main impacts
Council fails to identify and plan for enough savings over the medium term	Council's financial position goes into deficit, reducing confidence in financial strength and governance
Non-delivery of identified savings	Unplanned use of reserves reducing capacity and flexibility and compromising stability
New national funding arrangements reduce government funding (Fairer Funding, Business Rates Retention, New Homes Bonus)	Section 114 notice
Economic uncertainty increase volatility on business rates and council tax	Government intervention
Risk of inflation on costs and pension deficit increases	Failure to deliver Council Plan
Lack of capital resources to fund the council's asset base	Adverse comments by poorer perception of Council by stakeholders
	Overspends arising from activity not in service plans

Control / mitigation (action required)	Control update frequency	Control status (RAG)	Date of next update	Update on progress of control / mitigation	Contol / Mitigation Owner
Financial performance and all budget proposals are monitored on a monthly basis; management action agreed by CLT in response to projected position	MONTHLY	G	Jul-22	Regular budget monitoring is in place and effectively reported to DMT, CLT and Cabinet as appropriate.	Exec Dir - Corporate and Commercial Services
Future Shape Norwich established as transformation vehicle for longer term budget proposals with initial reporting to Cabinet on high value projects		A	Jul-22	Team established and operating though FSN Board	Exec Dir - Community Services
SLT budget sessions scheduled for June 2022 to identify additional proposals for savings		G	Jul-22	Sessions delivered as planned.	Chief Executive

Control / mitigation (action required)	Control update frequency	Control status (RAG)	Date of next update	Update on progress of control / mitigation	Control / Mitigation Owner
A cabinet report will be prepared identifying the impact of higher inflationary pressures to the Council's budget		G	Jul-22	Cabinet report presented to July Cabinet	Exec Dir - Corporate and Commercial Services
A wide-ranging asset review taking into account operational need, investment properties and disposals has commenced. Changes to the treasury, borrowing and Minimum Revenue Provision regulations will need to be considered		A	Jul-22	Asset review commenced with external support being procured to provide additional capacity and expertise.	HoS - Property & Economic Development

REF

CORP02

Commercialisation (investment property, Norwich Regeneration Ltd (NRL) and other commercial income sources)


NORWICH
City Council

Current risk description

Commercial ventures require a different skill set to manage control and report to a range of stakeholders e.g. Boards

Risk owner

Exec Dir - Corporate and
Commercial Services

Service area

Finance, Audit & Risk

Current Residual Risk

Impact	Likelihood	Score
4	2	8

Target Risk

Impact	Likelihood	Score
4	2	8

Progress

On track/ Limited / Slipped / No progress	ON TRACK
---	----------

Risk direction

Static



Date raised

01/06/2020

Last updated

01/08/2022

Background to this risk

The council has established different vehicles to deliver some of its services or deliver its vision. These include Wholly Owned Companies.

Primary Corporate Priority

5 - Norwich City Council is in good shape to serve the city

Triggers

Lack of depth of skills and knowledge to manage commercial activities (reliance on several key staff)

Nutrient Neutrality impact on NRL business plan (see risk 18 for further information)

Main impacts

NRL – losses in the company result in additional revenue costs to the General Fund

Non-delivery of budgeted income levels to support General Fund

Ineffective management of the property portfolio leads to reducing income and poor use of assets

Control / mitigation (action required)	Control update frequency	Control status (RAG)	Date of next update	Update on progress of control / mitigation	Control / Mitigation Owner
Following Cabinet approval, new and revised structures will be put in place for the management of all non-HRA properties			Jul-22		Exec Dir - Development and City Services
Produce a new asset management strategy			Jul-22		Exec Dir - Development and City Services

REF **CORP03**
Health & safety in the workplace



Current risk description	Risk owner	Service area
Breach of regulations or H&S incident	Exec Dir - Development and City Services	Planning & Regulatory Services

Current Residual Risk			Target Risk			Progress	Risk direction		
Impact	Likelihood	Score	Impact	Likelihood	Score	On track/ Limited / Slipped / No progress	Static		Date raised
4	3	12	4	2	8				01/05/2020
									Last updated
									31/07/2022

Background to this risk	Primary Corporate Priority
The council has a duty to comply with all relevant H&S legislation to safeguard its employees and other people including the general public.	5 - Norwich City Council is in good shape to serve the city


Triggers	Main impacts
A health & safety breach occurs in respect of an employee, contractor or member of the public using a City Council owned asset	Serious injury or death to the person/people involved in the breach
	Significant cost to the Council
	HSE or other regulator investigation and potentially serious outcomes, e.g. corporate manslaughter
	Reputational damage

Control / mitigation (action required)	Control update frequency	Control status (RAG)	Date of next update	Update on progress of control / mitigation	Control / Mitigation Owner
Peer review of CH&S functions to be undertaken - HoS - P&RS and EH&PPM to write scope and seek tenders - Review completed - Improvement plan to be drafted - Implementation of Improvement plan	QUARTERLY	G	Jul-22	Tendering exercise completed. Due to award contract w/c 1st August. Review to commence August 2022	HoS - Planning & Regulatory Services
Review of CH&S Policy and Performance Standards	ANNUALLY	G	Jul-22	COMPLETED - Interim policy agreed by CLT (08/06/2022)	Environmental Health & Public Protection Manager
Completion of Internal Audit of CH&S (Employees related only)		G	Jul-22	COMPLETED	HoS - Finance, Audit and Risk

REF CORP04
Further waves of COVID 19



Current risk description	Risk owner	Service area
Continued waves of infection impact the council's ability to operate normally	Chief Executive	Multiple Service Areas

Current Residual Risk			Target Risk			Progress		Risk direction			
Impact	Likelihood	Score	Impact	Likelihood	Score	On track/ Limited / Slipped / No progress		Static		Date raised	01/06/2020
4	3	12	3	3	9					Last updated	30/06/2022

Background to this risk	Primary Corporate Priority
The COVID 19 pandemic has impacted worldwide resulting in a range of measures to stem its spread such as lockdowns and immunisation. The scale of the pandemic has impacted service delivery and support mechanisms and further waves are inevitable; the scale of these further waves has been mitigated by the government's vaccination programme but still has potential to cause service disruption.	5 - Norwich City Council is in good shape to serve the city

Triggers	Main impacts
Adverse impacts associated with further restrictions and pressures associated with COVID 19 that will have on the city, council and local services	Lack of government funding to support local businesses resulting in local business failures
	Economic uncertainty increase volatility on business rates and council tax
	Insufficient government funding to local authorities to support the delivery of additional COVID 19 related activities and uncertainly in forward planning
	Financial pressure due to downturn in income leading to financial instability
	Increase in unemployment
	Increase in claims for benefits and consequential impact on staff workloads
	Impact of staff absences on essential services including the council
	Longer term health inequality increases for deprived neighbourhoods

Control / mitigation (action required)	Control update frequency	Control status (RAG)	Date of next update	Update on progress of control / mitigation	Control / Mitigation Owner
Ensure the council retains information from previous covid waves to enable implementation of services again should the need present			Jul-22		Exec Dir - Community Services

Control / mitigation (action required)	Control update frequency	Control status (RAG)	Date of next update	Update on progress of control / mitigation	Contol / Mitigation Owner
Working with health colleagues in UK Health Security Agency (UKHSA), Office for Health Improvement & Disparities (OHID) and local Clinical Commissioning Groups (CCG) to review the longer term ambitions to reduce health inequality in deprived neighbourhoods, establishing the Health and Wellbeing Partnership			Jul-22		Exec Dir - Community Services
Forward use of COVID data			Jul-22		Exec Dir - Community Services
Internal processes			Jul-22		Exec Dir - Community Services
Communications			Jul-22		Exec Dir - Community Services

Triggers	Main impacts
Continued uncertainty over the nature of the UK's exit from European Union	Public disorder events
Risks associated with potential no deal scenario	Food availability (panic buying/stockpiling) - increased prices for food and fuel
	Possible disruption to fuel supplies
	Staffing issues (EU nationals)
	Inclement weather may have increased impacts
	Flood season September – April (impacts on coastal districts – provision of mutual aid)
	Staffing resilience managing concurrent events (eg COVID, Brexit, severe weather)
	Potential political developments (elections/referendums) – these would place increased pressure on some district councils
	Increases in environmental crimes i.e. fly tipping etc (as advised by the Environment Agency)
	Significant impact in cost of labour and resources


Control / mitigation (action required)	Control update frequency	Control status (RAG)	Date of next update	Update on progress of control / mitigation	Contol / Mitigation Owner
Monitor the situation, awaiting further government guidance			Jul-22		Emergency Planning Manager
Information sharing through Norwich Resilience Forum (NRF)			Jul-22		Emergency Planning Manager
Participation in NRF Brexit planning meetings			Jul-22		Emergency Planning Manager

REFCORP06

Failure to respond to a critical, business continuity or emergency planning event



Current risk description	Risk owner	Service area
Unexpected events may occur that either impact the council directly or require a corporate response across the city area or wider	Chief Executive	Planning & Regulatory Services

Current Residual Risk			Target Risk			Progress		Risk direction			
Impact	Likelihood	Score	Impact	Likelihood	Score	On track/ Limited / Slipped / No progress		Static		Date raised	01/04/2020
4	3	12	2	3	6					Last updated	31/07/2022

Background to this risk	Primary Corporate Priority
The potential incidents requiring a response are wide ranging and emergency planning or business continuity plans need to be both flexible and maintained currently.	5 - Norwich City Council is in good shape to serve the city

Triggers
Occurrence of a significant event: <ul style="list-style-type: none">- Loss City Hall- Denial of access to City Hall- ICT failure temporary- Cyber attack- Contractor collapse- Supply chain failure- Severe weather events- Loss of power- Sea level rise- Fuel shortages- Communications failure- Pandemic
Insufficient staff representation across strategic, tactical and operational levels to ensure resilience, effective response and enable full engagement within Norfolk Resilience Forum (NRF) structures

Main impacts

Control / mitigation (action required)	Control update frequency	Control status (RAG)	Date of next update	Update on progress of control / mitigation	Control / Mitigation Owner
Reinstatement of Business Continuity Steering Group (BCSG), agreement of ToFR and attendees		G	Jul-22	COMPLETE - BCSG reinstated with first meeting on 17/03/2022	HoS - Planning & Regulatory Services
<ul style="list-style-type: none"> - SLT training on Corporate Business Continuity Plan (CBCP) - Review all service area Business Impact Assessments (BIAs) and Business Continuity Plans (BCPs) - Review CBCP Complete all actions identified in Mean Arrows Exercise Report including (but not exhaustive): <ul style="list-style-type: none"> - Use of Lakenham Office as WAR location - Develop Corporate induction training for new starters - Communications and IT emergency response strategy to be defined including OOH - Cyber Incident Response plan to be prepared - Recruit additional loggists 	QUARTERLY	A	Jul-22	Work on-going.	HoS - Planning & Regulatory Services

Current risk description

Cyber risk is the likelihood of suffering negative disruptions to sensitive data, finances, or council operations. Common cyber risks are ransomware, phishing, malware, data leak, insider threat, supply chain and nation state cyber attack and all are associated with events that could result in a data breach.

Risk owner

Exec Dir - Community Services

Service area

Customers, IT & digital

Current Residual Risk

Impact	Likelihood	Score
5	3	15

Target Risk

Impact	Likelihood	Score
5	3	15

Progress

On track/ Limited / Slipped / No progress	ON TRACK
---	----------

Risk direction

Static



Date raised	01/06/2020
Last updated	26/07/2022

Background to this risk

With the rise in cyber attacks on the public sector and the substantial fallout from successful attacks (loss of services for months, ICO penalties, reputational damage, loss of residents information) this risk has been raised to become visible on the corporate register.

Primary Corporate Priority

5 - Norwich City Council is in good shape to serve the city

Triggers

- Email containing ransomware.
- A website delivers malware or redirects to an infected website
- A weakness (vulnerability) in the IT environment is exploited by an attacker e.g. user credentials have been obtained, remote access to the network, malicious software
- The supply chain service connecting to the council is poorly managed/configured and
- A disgruntled employee
- Lack of staff awareness and training in relation to cyber security
- Physical access gained to the network switches, devices (usb/bluetooth)
- Failure to address the recommendations of IT Health assessments in a timely fashion

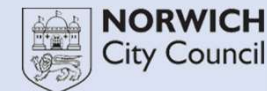
Main impacts

- The cyber attack on a local authority in NE of England is estimated to have cost £10m
- Loss of IT systems (such as web services, email, payments, public access, corporate information etc) for several days, weeks, months or for ever.
- Customer services severely disrupted
- Financial impact of prolonged IT shutdown
- Political & reputational risk
- ICO fines
- Non-compliance with Payment Card Industry (PCI) standards which results in financial fines
- Non-compliance with Public Sector Network (PSN) which results in possible loss of DWP information affecting the Benefits Service
- Staff morale

Control / mitigation (action required)	Control update frequency	Control status (RAG)	Date of next update	Update on progress of control / mitigation	Control / Mitigation Owner
Review the need to insure against cyber security attacks		G	-	COMPLETED - Brokers identified which provide cyber attack insurance; information about current security provided to them	HoS - Customers, IT and Digital

Control / mitigation (action required)	Control update frequency	Control status (RAG)	Date of next update	Update on progress of control / mitigation	Control / Mitigation Owner
Address the vulnerabilities identified from the IT Health Assessment		G	Jul-22	Completed.	HoS - Customers, IT and Digital
Monitor the security products to ensure they are fit for purpose		G	n/a	On-going activity	HoS - Customers, IT and Digital
Technical solutions deployed - firewalls, Web application, anti-virus etc		G		On-going activity	HoS - Customers, IT and Digital
Independent assessment of IT environment	ANNUALLY		Dec-22	ITHC assessment being procured	HoS - Customers, IT and Digital
Membership of NCSC, CiSP, Cyber Sharing platforms & tools deployed	ANNUALLY		Dec-22	Ongoing attendance for early warnings	HoS - Customers, IT and Digital
Staff awareness and training	ANNUALLY	G	Dec-22	Mandatory training has been supplied. Ongoing awareness campaigns periodically	HoS - Customers, IT and Digital

REF **CORP08**
Data Protection Compliance



Current risk description
Adherence to data protection legislation is an important safeguard for data held and used by the council

Risk owner
Exec Dir - Corporate and Commercial Services

Service area
Customers, IT & digital

Current Residual Risk		
Impact	Likelihood	Score
4	3	12

Target Risk		
Impact	Likelihood	Score
4	2	8

Progress
On track/ Limited / Slipped / No progress

Risk direction
Static

Date raised	01/06/2020
Last updated	30/06/2022

Background to this risk
Please add description here

Primary Corporate Priority
5 - Norwich City Council is in good shape to serve the city

Triggers
Technical or procedural non-compliance with UK Data Protection legislation
Unauthorised access to, loss or disclosure of personal data

Main impacts
Regulatory / financial penalties - the Information Commissioner's Office (ICO) can impose fines of up to £17.5 million or 4% of the total annual worldwide turnover in the preceding financial year, whichever is higher
Legal action - data subjects can bring compensation claims based on material or non-material damage including distress for non-compliance
Political & reputational damage

Control / mitigation (action required)	Control update frequency	Control status (RAG)	Date of next update	Update on progress of control / mitigation	Control / Mitigation Owner
Review Data Protection / Information Assurance policies			Jul-22		HoS - Customers, IT and Digital
Review Data Protection / Information Assurance processes and documentation			Jul-22		HoS - Customers, IT and Digital
Embed Data Retention practices			Jul-22		HoS - Customers, IT and Digital

REF **CORP09**
Failure to fulfil statutory or legislative responsibilities - safeguarding



Current risk description

Norwich City Council has a duty to promote the welfare of and to safeguard all children and vulnerable adults from harm.

Risk owner

Exec Dir - Community Services

Service area

Housing & Community Safety

Current Residual Risk

Impact	Likelihood	Score
5	3	15

Target Risk

Impact	Likelihood	Score
4	3	12

Progress

On track/ Limited /
Slipped
/ No progress

Risk direction

Static



Date raised

01/04/2020

Last updated

27/07/2022

Background to this risk

Norwich City Council considers that all children and adults, whatever their age, culture, gender, origin, sexual orientation, skills, ability and beliefs have the right to protection from abuse. We have a duty to promote the welfare of all and safeguard them from harm as far as reasonably possible. It is the council's responsibility to do this by raising awareness to all employees and providing training to relevant officers across the organisation and council members on safeguarding children and vulnerable adults so they understand their safeguarding responsibilities.

Primary Corporate Priority

5 - Norwich City Council is in good shape to serve the city

Triggers

Lack of understanding the statutory and legislative responsibilities
Lack of awareness of legislative changes and new legislation
Failure to implement statutory duties and responsibilities
Lack of required skills knowledge and experience of key officers tasked to fulfil statutory or legislative responsibilities
Insufficient organisational capacity
Ineffective procedures and processes
Lack of clarity of roles and ownership of legislative responsibilities (H&S, safeguarding, equality etc)
Delegation of responsibilities where services are with a contractor

Main impacts

Financial costs in compensation & fines
Intervention if complete failure
Acting illegally
Negative impact on the council's reputation
Wrong decision being made
Harm, abuse, accident or death linked to failure of the council to act within safeguarding arrangements
Being held to account by overseeing organisations (eg children safeguarding) maybe included in reputation

Control / mitigation (action required)	Control update frequency	Control status (RAG)	Date of next update	Update on progress of control / mitigation	Control / Mitigation Owner
Review risks, impact, mitigations, ownership and actions	ANNUALLY	G	Jul-22	Completed June 2022	HoS - Housing and Community Safety
Increase officer confidence in information sharing and understanding of when and how to do so appropriately	QUARTERLY	G	Jul-22	Safeguarding meet bimonthly and review case learning and cascade good practice	Early Intervention and Community Safety Manager

Control / mitigation (action required)	Control update frequency	Control status (RAG)	Date of next update	Update on progress of control / mitigation	Control / Mitigation Owner
Safeguarding policy and risk assessment embedded into contractors' and sub contractors' policy and practice	ANNUALLY	G	Oct-22	Discussions between safeguarding co-ordinator and procurement to agree standard requirements in contractors.	Strategic Procurement Manager
Maintain safeguarding champion knowledge, understanding, confidence	MONTHLY	G	Aug-22	Safeguarding train the trainer planned in September and learning from case reviews take place monthly	Early Intervention and Community Safety Manager
Embed learning across council teams	ANNUALLY	G	Oct-22	Safeguarding trainer the trainer planned in September and review of e-learning completion and relevance underway	Early Intervention and Community Safety Manager
Review corporate processes and role requirements regarding organisational DBS checks	QUARTERLY	A	Oct-22	Corporate task and finish group to be established to review current processes and requirements	HoS - HR and Organisational Development

REF

CORP11

Antisocial behaviour (ASB) - moved down to Community Services Register as CS14


NORWICH
City Council

Current risk description	Risk owner	Service area
Failure to adequately manage risk to residents affected by antisocial behaviour	Exec Dir - Community Services	Housing & Community Safety

Current Residual Risk			Target Risk			Progress	Risk direction		
Impact	Likelihood	Score	Impact	Likelihood	Score	On track/ Limited / Slipped / No progress	Moved to Directorate Register	Date raised	Last updated
3	3	9	2	3	6			01/10/2020	27/07/2022

Background to this risk

Norwich City Council has obligations under the Antisocial Behaviour Act 2003 which requires local authorities who let homes and other social landlords to prepare and publish policies and procedures for dealing with antisocial behaviour.

Primary Corporate Priority

1 - People live well and independently in a diverse and safe city

Triggers	Main impacts
Failure to adequately manage risk to residents affected by antisocial behaviour	Death or serious injury to resident
	Mental wellbeing of resident being impacted
	Escalation of issues leading to increased service demand and/or cost

Control / mitigation (action required)	Control update frequency	Control status (RAG)	Date of next update	Update on progress of control / mitigation	Control / Mitigation Owner
Successful recruitment to new team so it is fully staffed		G	Jul-22	Completed	Early Intervention and Community Safety Manager
New ASB team trained on and conversant with ASB risk assessment procedures		G	Jul-22	Completed	Early Intervention and Community Safety Manager
Development and implementation of new Community Safety Strategy		A	Oct-22	In progress	Early Intervention and Community Safety

REF **CORP12**
Contract management - governance



Current risk description
Ineffective management of contracts leads to poor service delivery

Risk owner
Exec Dir - Corporate and Commercial Services

Service area
Legal & Procurement

Current Residual Risk		
Impact	Likelihood	Score
3	3	9

Target Risk		
Impact	Likelihood	Score
2	3	6

Progress	
On track/ Limited / Slipped / No progress	ON TRACK

Risk direction	
Improving	

Date raised	01/08/2020
Last updated	25/07/2022

Background to this risk
This risk grew in prominence during 2021 following the identification of concerns relating to the management of specific contracts. Additional mitigating actions have been undertaken to reduce the risk scoring, with further actions identified.

Primary Corporate Priority
5 - Norwich City Council is in good shape to serve the city

Triggers
Resourcing of contract management and training inadequate
Clarity of service area accountability & roles and responsibilities poor
Contract managers not fully aware of the risks to service delivery in their contracts
Inadequate SLA/KPIs/MI identified in tender/contracts documents with lack of escalation of contract issues

Main impacts
Third party relationships and contracts not managed appropriately causing:
- contract value not realised / obligations not carried out
- poor performance
- financial loss / poor value for money
- legislative requirements not met / regulatory / legal fine or censure
- reputational impact
- lack of visibility of supplier performance

Control / mitigation (action required)	Control update frequency	Control status (RAG)	Date of next update	Update on progress of control / mitigation	Control / Mitigation Owner
Re-development of contract procedures and associated guidance and support to enable the development of better contracts, facilitating more effective management	QUARTERLY	A	Sep-22	The procurement team have undertaken a workshop to identify areas for development, with an agreed action plan in place	HoS - Legal & Procurement

Control / mitigation (action required)	Control update frequency	Control status (RAG)	Date of next update	Update on progress of control / mitigation	Control / Mitigation Owner
Implementation of the contract management module of the new ERP system to help improve management of contract spend	QUARTERLY	A	Sep-22	We are currently seeking clarification from the new system supplier on the module	HoS - Legal & Procurement
Reconciliation between Business Continuity Plans and contract register and plans to identify potentially significant suppliers	QUARTERLY	R	Dec-22	It is intended to undertake a reconciliation between BCP records and contract management plans to assist in identifying other potentially significant contracts. This work will start in Q3	HoS - Legal & Procurement
Establishment of contract management practitioner group to support dissemination of best practice within the organisation	QUARTERLY	A	Oct-22	It is intended to establish this group with the aim of meeting for the first time in the autumn	HoS - Legal & Procurement

REF

CORP13

The Council's approach to waste and recycling becomes financially, environmentally and contractually unsustainable


NORWICH
City Council

Current risk description	Risk owner	Service area
New box	Exec Dir - Development and City Services	Environment Services

Current Residual Risk			Target Risk			Progress	Risk direction		
Impact	Likelihood	Score	Impact	Likelihood	Score	On track/ Limited / Slipped / No progress	Static		Date raised
4	3	12	2	2	4				01/05/2021
									Last updated
									30/06/2022

Background to this risk	Primary Corporate Priority
Please add description here	5 - Norwich City Council is in good shape to serve the city

Triggers	Main impacts
The Council's Waste Management services operate in a highly regulated environment. This regime covers the type of collection services that must be provided to households and businesses, and how material can be processed. There are a number of policy and contractual challenges that the Council must address between now and 2024, including the review of the collection contract with Biffa, our recycling processing with NEWS, and our response to the proposals in the proposed Environment Bill	Risk to service delivery as a result of appropriate contracts not being in place
	Service becomes financially unsustainable
	Services provided do not comply with new regulatory regime
	Council cannot deliver the objectives of the Environment Strategy as they relate to waste minimisation
	Significant reputational impact on the Council

Control / mitigation (action required)	Control update frequency	Control status (RAG)	Date of next update	Update on progress of control / mitigation	Control / Mitigation Owner
Contract strategy for Biffa to be developed and agreed by CLT			Jul-22		HoS - Environment Services
Waste Strategy to be reviewed to address financial, regulatory and climate challenges			Jul-22		HoS - Environment Services

REF **CORP14**
Health and safety and compliance in council homes and buildings



Current risk description
Norwich City Council has identified a series of weaknesses in its management of health and safety compliance in its Council homes and Buildings.

Risk owner
Exec Dir - Community Services

Service area
Building Safety & Compliance

Current Residual Risk		
Impact	Likelihood	Score
5	4	20

Target Risk		
Impact	Likelihood	Score
4	2	8

Progress	
On track/ Limited / Slipped / No progress	ON TRACK

Risk direction	
Static	

Date raised	01/10/2021
Last updated	28/07/2022

Background to this risk
The Health and Safety Executive sets out the health and safety requirements which must be observed by landlords in order to keep their residents safe. NCC have failed to ensure key health and safety requirements have been maintained and there are a significant number of overdue inspections and

Primary Corporate Priority
3 - Norwich has the infrastructure and housing it needs to be a successful city

Triggers
The council fails to meet its statutory, legislative, and regulatory requirements in relation to Health, Safety and Compliance
The council fails to return its homes and buildings to full compliance within an acceptable period.

Main impacts
Risk of serious detriment to tenants and leaseholders
Regulator of Social Housing takes enforcement action against the council
Planned programmes of work to council homes are delayed to ensure H & S and compliance work is prioritised
Cost increase in relation to contract works, insurance and management of homes
Emergence of further Health, Safety and Compliance matters as data is validated and through transfer of JV

Control / mitigation (action required)	Control update frequency	Control status (RAG)	Date of next update	Update on progress of control / mitigation	Control / Mitigation Owner
Increase contractor capacity	Quarterly	G	Oct-22	Ongoing work with Procurement	HoS - Asset Management
Data validation in preparation for transfer to NEC (Housing system)	Monthly	A	Oct-22	Initial work completed. Post transfer validation continues	Housing Operations Director
Undertake a full review of compliance policies and procedures	Quarterly	A	Oct-22	Resources in place. Work commenced and program agreed	HoS - Asset Management
NCC have resources in place with the competences and skills to manage compliance before, during and after the transfer of the service	Quarterly	G	Oct-22	Interim senior team in place and will remain until permanent staff recruited later in 2022/23	Exec Dir - Community Services

Control / mitigation (action required)	Control update frequency	Control status (RAG)	Date of next update	Update on progress of control / mitigation	Control / Mitigation Owner
Review and implement changes to the structure of the compliance function following the transfer of the service into the council	Quarterly	A	Oct-22	Initial work completed. Proposals to be considered by CLT in August	HoS - Asset Management
Appointed contractors are competent to undertake compliance works	Annually	G	Oct-22	Checks carried out at procurement stage	HoS - Building Safety and Compliance
Undertake end to end review to provide clarity of Housing roles in achieving swift access to properties to undertake compliance works	Quarterly	G	Oct-22	Review undertaken and changes to processes in progress.	HoS - Housing and Community Safety
Develop the NEC IT to capture and manage on-going compliance data. Develop the systems and reporting to add value to the compliance management process	Quarterly	A	Oct-22	NEC upgrade in July 2022 will provide greater functionality. Further development of the system required.	HoS - Building Safety and Compliance
Non-housing compliance mapping, maintenance review and remedial actions	Quarterly	A	Oct-22	Resources identified and work ongoing	

REF CORP15

Failure to be able to draw down £15m of Housing Infrastructure Fund (HIF) money previously secured from Homes England (HE) and under contract to assist with the delivery of Anglia Square leading to failure for successful redevelopment of this key city centre site

Current risk description	Risk owner	Service area
New box	Exec Dir - Development and City Services	Planning & Regulatory Services

Current Residual Risk			Target Risk			Progress	Risk direction		
Impact	Likelihood	Score	Impact	Likelihood	Score	On track/ Limited / Slipped / No progress	ON TRACK	Improving	
4	3	12	4	2	8				31/07/2022

Background to this risk	Primary Corporate Priority
Please add description here	3 - Norwich has the infrastructure and housing it needs to be a successful city

Triggers	Main impacts
Failure to be able to draw down £15m of funding previously secured from HE in order to assist delivery of Anglia Square redevelopment	Threat to the redevelopment of Anglia Square – continued blight on northern city centre
HIF funding needs to be spent by March 2024 at latest. Current HE advice is this means not only being drawn down by the Council from HE but also being able to evidence delivery of eligible infrastructure before payments are drawn down	New housing and commercial development not delivered – needs remain unmet
Following refusal of previous planning application for the site timetable is challenging insofar as a revised application is due to be submitted in March 2022. Earliest possible planning decision issued likely to be Autumn 2022. Start on site prior to 2023 unlikely	Loss of future council tax and business rates income to council
	Reputational risk to council through failure to draw down allocated funding

Control / mitigation (action required)	Control update frequency	Control status (RAG)	Date of next update	Update on progress of control / mitigation	Control / Mitigation Owner
Commission detailed advice on state aid rules post Brexit and		G	-	Completed	Exec Dir - Development and City Services
Commissioning independent viability assessment and programme review. Funded through Homes England Capacity Fund (secured £40k)		G	-	Completed	HoS - Planning & Regulatory Services
HoS - P&RS meeting Outpost artists to consider relocation options		G	-	Completed	HoS - Planning & Regulatory Services
Community Review Panel		G	-	Completed	HoS - Planning & Regulatory Services
Design review panel		G	-	Completed	HoS - Planning & Regulatory Services
Write to Homes England following receipt of Natural England (NE) advice on Nutrient Neutrality to see if all of HIF can be extended	QUARTERLY	G	Jul-22	In progress. HE taken paper to board re extending some HIF spend to March 2025.	HoS - Planning & Regulatory Services

REF **CORP16**
Implementation of the Election Act



Current risk description
In April 2022, the Elections Act received Royal Assent. The timing of implementation is yet to be confirmed but could impact on the operation of the 2023 elections

Risk owner
Exec Dir - Corporate and Commercial Services

Service area
Legal & Procurement

Current Residual Risk		
Impact	Likelihood	Score
3	4	12

Target Risk		
Impact	Likelihood	Score
2	2	4

Progress	
On track/ Limited / Slipped / No progress	ON TRACK

Risk direction	
Static	

Date raised	25/07/2022
Last updated	25/07/2022

Background to this risk
The most significant change driven by the Act is the introduction of Voter ID. The government are yet to issue secondary legislation or confirm expectations as to how this will operate. There are also other changes to processes used during elections, which altogether, as highlighted by the Association of Electoral Administrators and the LGA, present the risk that successful delivery of the 2023 elections could be compromised.

Primary Corporate Priority
5 - Norwich City Council is in good shape to serve the city

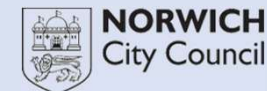
Triggers
Secondary legislation issued confirming responsibilities for management of Voter ID
Confirmation on timetables for implementing the Act
Holding of 2023 elections under the requirements of the Elections Act 2022

Main impacts
Lack of clarity on roles and responsibilities leading up to the election or failure to implement requirements appropriately could cause voter disenfranchisement, dissatisfaction, reputational damage and potential challenge to election results
Additional expectations on the authority could place an unnecessary burden on the specialist elections staff, especially if new burdens funding received is not proportionate to the effort required to implement the act

Control / mitigation (action required)	Control update frequency	Control status (RAG)	Date of next update	Update on progress of control / mitigation	Control / Mitigation Owner
Engagement in national developments regarding the elections act and continued support to lobbying for effective implementation	QUARTERLY	G	Sep-22	The Council is taking an active role in both the cabinet office and association of electoral administrators implementation and lobbying teams	HoS - Legal & Procurement

Control / mitigation (action required)	Control update frequency	Control status (RAG)	Date of next update	Update on progress of control / mitigation	Control / Mitigation Owner
Once key requirements are clear from secondary legislation and guidance, development and delivery of a comprehensive implementation plan (including communications plan)	QUARTERLY	R	Sep-22	Due to the lack of clarity currently available on the roles and expectations on local authorities, we cannot develop the implementation plan. It is now expected this information will be forthcoming in September / October	HoS - Legal & Procurement

REF **CORP17**
Failure to deliver acceptable levels of performance in regulatory services



Current risk description
New box


Risk owner
Exec Dir - Development and City Services

Service area
Planning & Regulatory Services

Current Residual Risk		
Impact	Likelihood	Score
4	4	16

Target Risk		
Impact	Likelihood	Score
4	2	8

Progress
On track/ Limited / Slipped / No progress

Risk direction
Static 

Date raised	26/01/2022
Last updated	31/07/2022

Background to this risk
Please add description here

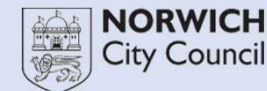
Primary Corporate Priority
3 - Norwich has the infrastructure and housing it needs to be a successful city

Triggers
Large backlogs of applications needing to be addressed
Failure to avert avoidable harm to public
Increased challenge/complaint re: decisions made
Failure to comply with Private Hire vehicle compliance standards

Main impacts
Reputational harm - restricted ability to charge
Reputational harm - potential legal risks
Failure to maximise income

Control / mitigation (action required)	Control update frequency	Control status (RAG)	Date of next update	Update on progress of control / mitigation	Control / Mitigation Owner
Regulatory services improvement plan to be drafted, to include full business case for digitalisation of services, process review, and policy amends	QUARTERLY	A	Jul-22	Business case drafted. SIP timetable being prepared.	HoS - Planning & Regulatory Services
Backlogs being monitored for improvement	QUARTERLY	A		<p>FOOD:</p> <p>The team is achieving the milestone targets set by the Food Standards Agency (FSA) Covid Recovery Plan for the inspection of higher risk food businesses etc. However by March 2023 there will still be a significant backlog of overdue inspections of lower risk premises (current estimate approx. = 750). This reflects the National picture and is recognised by the FSA who are now undertaking a fundamental review of the current inspection model.</p> <p>LICENSING:</p> <p>A dedicated officer (agency) has been brought in to deal with backlogs in taxi licences. This service is priority 2 for review of use of IT to streamline processes.</p> <p>HMO LICENSING:</p> <p>1 dedicated officer adding all applications into 1 system. 1 dedicated officer clearing out duplicate processes. 2 dedicated officers processing applications. backlogs very slowly reducing but due to ineffiicent use of IT this servcie is priority 1 for addressing use of systems to alleviate issues. New policy adopted so new renewals will be processed in accordance with new tiered scheme.</p>	HoS - Planning & Regulatory Services

REF **CORP18**
Failure to address Natural England advice on Nutrient Neutrality (NN)



Current risk description
New box

Risk owner
Exec Dir - Development and City Services

Service area
Planning & Regulatory Services

Current Residual Risk		
Impact	Likelihood	Score
5	5	25

Target Risk		
Impact	Likelihood	Score
2	5	10

Progress
On track/ Limited / Slipped / No progress

Risk direction

Date raised	13/06/2022
Last updated	31/07/2022

Background to this risk
Please add description here

Primary Corporate Priority
3 - Norwich has the infrastructure and housing it needs to be a successful city

Triggers
Sustained period when planning decisions cannot be issued due to lack of identified mitigation
Large backlogs of applications needing to be determined once mitigation strategy identified
Loss of staff due to uncertainty over decision making ability

Main impacts
Impact on deliverability of large strategic schemes: Anglia Square / East Norwich
Failure to maximise income
Staff morale drops
Impact on Norwich Regeneration Ltd (NRL) applications and company finances
Potential impact on Government performance indicators if developers do not agree Extension Of Time (EOT) – special measures

Control / mitigation (action required)	Control update frequency	Control status (RAG)	Date of next update	Update on progress of control / mitigation	Control / Mitigation Owner
Ensure consultants produce the following immediate outputs: 1. Catchment mapping 2. New NN calculators for 2 catchments 3. Short-term mitigation package	QUARTERLY	G	Jul-22	Mapping almost complete. Calculations due to be 'adopted' by authorities by end of August. New project manager brought in to help drive process. WMS and NE letters received late July - no change but citing Gvt led scheme to deliver mitigation. Needs more exploration.	HoS - Planning & Regulatory Services

Current risk description

Norwich City Council has self reported its failure in relation to the Consumer Standard for Homes and has received a regulatory supervision notice. The council is required to take action to remedy the breach within an agreed timescale

Risk owner

Exec Dir - Community Services

Service area

Multiple Service Areas

Current Residual Risk

Impact	Likelihood	Score
4	5	20

Target Risk

Impact	Likelihood	Score
3	3	9

Progress

On track/ Limited / Slipped / New / No progress	
---	--

Risk direction

Static



Date raised

01/10/2020

Last updated

27/07/2022

Background to this risk

The Regulator for Social Housing sets standards that must be achieved in managing social housing. Failure to achieve these standards will lead to regulatory action. Norwich City Council has self reported its failure in relation to the Consumer Standard for Homes and has received a regulatory supervision notice. The Regulator of Social Housing promotes a viable, efficient and well-governed social housing sector able to deliver and maintain homes of appropriate standard that meets a range of needs. The Consumer Standards set by the Regulator apply to all social housing providers and set out the regulators expectations. Failure to meet those standards can result in sanctions and action must be taken to remedy the breach within an agreed timescale.

Primary Corporate Aim

3 - Norwich has the infrastructure and housing it needs to be a successful city

Triggers

The council fails to meet its statutory, legislative, and regulatory requirements in

The council fails to return its homes and buildings to full compliance within an acceptable period and as expected by the Regulator of Social Housing

Main impacts

Under new powers Regulator may review sanction including management arrangement of stock

Impacts on funding bids for government resources

Reputational damage in sector

Serious risk of harm to residents

Control / mitigation (action required)	Control update frequency	Control status (RAG)	Date of next update	Update on progress of control / mitigation	Control / Mitigation Owner
Quarterly performance reporting	QUARTERLY	A	01/10/2022	Continual progress in addressing service under performance. All	HoS - Asset Management
Mitigation measures actioned from poor performance	QUARTERLY	G	01/10/2022	Action plan in place to manage delivery supported by technical	HoS - Asset Management
Meeting with Regulator to update on progress	MONTHLY	G	31/08/2022	Monthly meetings with the Regulator to assess progress in	HoS - Asset Management
Compliance Board in place	MONTHLY	G	01/10/2022	Meetings in place and attended by members and Executive	HoS - Asset Management
Preparation for new regulatory requirements	QUARTERLY	R	01/12/2022	To be mapped and actions identified	HoS - Housing and Community Safety

REF

CORP20

Cost of living (COL) crisis has a negative impact on the city and the council


NORWICH
City Council

Current risk description

The cost of living crisis: increases financial, social and health inequalities for Norwich residents; reduces the effectiveness of council services as demand increases; and reduces council income, so further limiting our ability to deliver for the city

Risk owner

Exec Dir - Community Services

Service area

Strategy, engagement & culture

Current Residual Risk

Impact	Likelihood	Score
4	4	16

Target Risk

Impact	Likelihood	Score
3	4	12

Progress

On track/ Limited / Slipped / New / No progress	
---	--

Risk direction

Static



Date raised

18/07/2022

Last updated

18/07/2022

Background to this risk

The cost of living crisis will continue to affect Norwich residents, particularly those already struggling financially. We know inflation and energy costs will continue to rise, so the impact will become more widespread and more extreme over the winter

Primary Corporate Aim

1 - People live well and independently in a diverse and safe city

Triggers

Rising cost of living

Main impacts

Increased debt, hunger, health problems and homelessness for city residents

Increased demand on services (council and voluntary, community & social enterprise (VCSE) led), leading to reduced effectiveness/speed as teams have to deal with greater volumes

Reduced income to the council, as people are unable to pay what they owe

Increased dilapidation to council properties where tenants are unable to pay for heating

Increased pressure on council and VCSE staff, including emotional pressures where we cannot provide all the help that people need

Control / mitigation (action required)	Control update frequency	Control status (RAG)	Date of next update	Update on progress of control / mitigation	Control / Mitigation Owner
Cost of Living officer group developing joined-up response to COL crisis	QUARTERLY	A	Oct-22	Early scoping complete and Exec Dir of CS briefed 18/07. Developing plans further to brief CLT in August	HoS - Strategy, Engagement and Culture

Control / mitigation (action required)	Control update frequency	Control status (RAG)	Date of next update	Update on progress of control / mitigation	Control / Mitigation Owner
Grant-funding for Social Welfare Advice (SWA) service from Financial Inclusion Consortium (FIC). Quarterly FIC meetings with partners to discuss current issues relating to debt, welfare benefits and housing, sharing knowledge and working to maximise income/reduce debt	QUARTERLY	A	Oct-22	Seeking additional funding for SWA service, in response to growing demand. Next quarterly FIC meeting 29/07. Attending Norfolk Community Advice Network (NCAN) workshop on COL on 10/08	HoS - Strategy, Engagement and Culture
Joined-up approach to debt including non-commercial debt policy, multi-service area debt meetings to review policies and identify opportunities; vulnerability meetings and debt-management flags; specialist money advice team in place; regular reporting on levels of debt; keeping debt collection practices under review	QUARTERLY	A	Oct-22	Budgeting advisor recruited July 2022 - start date TBC	HoS - Strategy, Engagement and Culture
Affordable warmth programme	QUARTERLY	A	Oct-22	New sustainable warmth strategy in development. Seeking additional funding (and potentially greater join up with other hardship funding) for emergency help with energy costs. Continuing to seek external funding to pay for energy efficiency measures in residents' homes	HoS - Strategy, Engagement and Culture
Existing funding streams	QUARTERLY	A	Oct-22	Working to maximise impact of and streamline access to existing funding, most notably discretionary housing payment (DHP), Household Support Fund (HSF) and Norfolk Assistance Scheme (NAS). DHP funding £200k less than last FY (when we added £100k from reserves) and is going fast. HSF Phase 2 has significant constraints on what it can be spent on. Working with the county council to streamline access to NAS	HoS - Strategy, Engagement and Culture

REF

CORP21

Equality impacts due to climate change



Current risk description

People affected by inequality are likely to suffer disproportionately more from the adverse effects of climate change and inequality is likely to increase (similar to COVID 19)

Risk owner

Exec Dir - Community Services

Service area

Strategy, engagement & culture

Current Residual Risk

Impact	Likelihood	Score
4	4	16

Target Risk

Impact	Likelihood	Score
3	4	12

Progress

On track/ Limited /
Slipped / New
/ No progress

Risk direction

Static



Date raised

01/06/2022

Last updated

18/07/2022

Background to this risk

Disadvantaged groups are likely to have an increased exposure to the adverse effects of climate change. This increased exposure is likely to lead to increased susceptibility to damages caused by climate change. Disadvantaged groups are less likely to have the relative ability to cope with and recover from damages they suffer

Primary Corporate Aim

1 - People live well and independently in a diverse and safe city

Triggers

Extreme hot and cold weather, flooding, high winds and infestation leading to a range of events affecting our communities

Main impacts

Financial - increased costs on already stretched finances due to increased use of energy and water (fans, showers, heating, dehumidifiers etc) and increased reliance on benefits and foodbanks if unable to work due to extreme weather

Financial - increase in re-housing costs, property repair, decant costs

Financial - inadequate building insurance and/or contents insurance to replace household items or make significant repairs following flooding

Health - inadequate ventilation (especially in old housing stock/tower blocks) leading to poor physical and mental health or death

Health - food shortages due to infrastructure failure – tarmac melting, buckled rail tracks, flooding

Control / mitigation (action required)	Control update frequency	Control status (RAG)	Date of next update	Update on progress of control / mitigation	Control / Mitigation Owner
Policy/strategy - Develop and implement the new Equality diversity and inclusion (EDI) strategy, ensuring recognition of climate change	QUARTERLY	G	Oct-22	Work is underway to draft the strategy and action plan with final strategy being adopted by April 2023	Head of Strategy, engagement & culture
Policy/strategy - Develop and implement the new affordable warmth strategy, ensuring recognition of inequalities	QUARTERLY	G	Oct-22	Work is underway to draft the strategy and action plan with final strategy being adopted by October 2022	Head of Strategy, engagement & culture
Policy/strategy - Develop and implement the new environmental statement, ensuring recognition of inequalities	QUARTERLY	G	Oct-22	Work is underway to draft the strategy and action plan with final strategy being adopted by October 2022	Head of Strategy, engagement & culture

Policy/strategy - Develop and implement the new biodiversity strategy ensuring recognition of inequalities	QUARTERLY	G	Oct-22	Work is underway to draft the strategy and action plan with final strategy being adopted by November 2022	Head of Strategy, engagement & culture
Policy/strategy - Develop and implement a new retrofitting strategy for council owned assets ensuring recognition of inequalities	QUARTERLY	R	Oct-22	Not in place	Head of Asset Management
Policy/strategy - Develop and implement a new retrofitting strategy for council homes ensuring recognition of inequalities	QUARTERLY	R	Oct-22	Not in place	Head of Housing & Community Safety
Financial - Grant funding secured to improve the energy efficiency of properties across the city etc Cosy City	QUARTERLY	G	Oct-22	Work is ongoing to secure external funding to improve the condition of housing stock across the city (all tenures)	Head of Strategy, engagement & culture
Awareness/Engagement - consider how we best educate people on how they can plan for climate change throughout the year, in partnership with Norwich Climate Commission	QUARTERLY	G	Oct-22	The commission is finalising its workplan - will link in with Community Empowerment task group later in 2022	Head of Strategy, engagement & culture
Working practices - Cost of living crisis (COLC) group established overseeing existing financial inclusion measures such as Non-commercial debt policy and commissioned social welfare advice service and considering further action - will also consider the impact of climate change events that may impact on people's finances	QUARTERLY	R	Oct-22	Work underway to identify and pilot possible interventions	Head of Strategy, engagement & culture
Working practices - Organisational structures in place to consider issues affecting those who are marginalised by socio economic and environmental issues (specialist support, affordable warmth, food poverty, digital inclusion, financial inclusion etc)	QUARTERLY	G	Oct-22	These teams are involved in the COLC and EDI officer working groups as well as external partnership working	Head of Strategy, engagement & culture
Working practices - Work with Norwich Climate Commission to address climate justice issues	QUARTERLY	R	Oct-22	The commission is finalising its workplan - will link in with Community Empowerment task group later in 2022	Head of Strategy, engagement & culture
Working practices - Work with health and wellbeing partners to identify measures that can be put in place in cases of climate change events for those most affected, especially by extreme heat and cold weather conditions	QUARTERLY	R	Oct-22	To be considered as part of the Norwich Health and wellbeing Partnership workplan by December 2022	Head of Strategy, engagement & culture