

Norwich City Council

Risk		01. Failure to fulfil statutory or legislative responsibilities, including safeguarding							
Likelihood	5						Risk Owners Director of People and Neighbourhoods Current Score 15 Target Score Previous Score	Last Review 15/01/2020 Next Review 01/07/2020	
	4								
	3					X			
	2						Triggers 1. Lack of understanding the statutory and legislative responsibilities. 2. Lack of awareness of legislative changes and new legislation 3. Failure to implement statutory duties and responsibilities. 4. Lack of required skills knowledge and experience of key officers tasked to fulfil statutory or legislative responsibilities. 5. Insufficient organisational capacity. 6. Ineffective procedures and processes. 7. Lack of clarity of roles and ownership of legislative responsibilities (H&S, safeguarding, equality etc.) 8. Delegation of responsibilities where services are with a contractor.	Likelihood Factors (Vulnerability)	Potential Consequences • Financial costs in compensation and 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 (e.g. children safeguarding) maybe included in reputation.
	1								
		1	2	3	4	5			
		Consequence							

Controls	Adequacy	Critical Success
Communication strategy to ensure implementation	Good	
Corporate governance group in place to oversee compliance	Good	
Legal services in place to provide support	Good	
Positive approach for checking compliance to legislations	Good	
Professional leads identify legal requirements	Reasonable	
Quality assurance process in place for contracted services.	Good	

Action Plans	Responsibility	Target Date

Suitably trained and qualified staff and mandatory reading of key documents for all officers	Good	
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Risk Path: New Norwich City Council/Norwich City Council

Risk Category:

Linked Objective(s):

Risk		02. Failure to deliver corporate plan objectives: Great neighbourhoods housing and local environments; Inclusive economy; Live well														
Likelihood	5						Risk Owners	Chief Executive	Current Score	12	Last Review	15/01/2020				
	4								Target Score		Next Review	01/07/2020				
	3				X		Triggers	<ul style="list-style-type: none"> 1. Ineffective performance and programme management. 2. Ineffective corporate planning, and not aligned with budget and resource restraints. 3. Unexpected event occurring, i.e. delayed the process or using resources. 4. Time pressures. 5. Change(s) in government policy. 6. Fraud and corruption. 	Likelihood Factors (Vulnerability)		Potential Consequences					
	2												<ul style="list-style-type: none"> • Lack of information from central government about future funding. • Uncertainty of direction of central government. 		<ul style="list-style-type: none"> • Key priorities for the city are not delivered. • Need to cut non statutory services. • Adverse public opinion and decline in Councils' reputation. • Projects/work completed to a lower quality. • Negative impact on outcomes for citizens. • Negative performance ratings for the council . 	
	1															
		1	2	3	4	5										
Consequence																

Controls	Adequacy	Critical Success
Corporate planning and service planning aligned with budget setting to ensure resources are in place to deliver priorities.	Good	
Effective performance and programme management This includes: • Monthly budget meetings to be able to adjust budgets in advance. • Aiming to underspend to keep reserves up and have availability for unforeseen spending.	Good	
Effective preparation for changes in plan/government policy This includes constant monitoring of government decisions and their lobbying.	Good	
Effective transformation programme to ensure savings are delivered.	Good	
Regular review of corporate plan, medium term financial strategy and other key policies and strategies.	Good	

Action Plans	Responsibility	Target Date

Risk Path: New Norwich City Council/Norwich City Council

Risk Category:

Linked Objective(s):

Risk		03. Failure to deliver responsive financial planning														
Likelihood	5						Risk Owners	Chief finance officer	Current Score	12	Last Review	15/01/2020				
	4												Target Score		Next Review	01/07/2020
	3				X											
	2						Triggers	Likelihood Factors (Vulnerability)	Potential Consequences							
	1									<p>1 Failure to achieve savings as a result of insourcing JV.</p> <p>2 Reduced levels of funding by central government and/or restrictions on the ability to raise funding locally.</p> <p>3 Failure to address in year and medium term financial pressures in a sustainable way.</p> <p>4 Funding insufficient to resource demand and associated plans.</p> <p>5 Increased levels of demand over and above that which is capable of being funded (e.g. increased population, changes in demographics, legislative changes, local expectations and priorities).</p> <p>6 Major failure of IT and/or key systems.</p> <p>7 Inefficient Commissioning cycle including:</p> <ul style="list-style-type: none"> o Identification of service need and analysis o Ineffective option appraisal/ business case/ financial modelling. <p>8 Fraud and corruption.</p> <p>9 Housing rents change.</p> <p>10 Commercial property investment strategy is challenged by central government and restrictions imposed.</p> <p>11 Commercial property investments do not make the return required by the strategy.</p> <p>12 NRL doe snot meet its financial and business plan targets.</p>	<ul style="list-style-type: none"> oChange in local political direction and priorities oUnclear potential impact of BREXIT on the wider economy, the local environment, the national agenda and public service. oPressure by Stakeholders to add to the scope 	<p>1Councils financial position goes into deficit, reducing confidence in financial strength and governance</p> <p>2Unplanned use of reserves reducing capacity and flexibility and compromising stability.</p> <p>3Section 114 notice.</p> <p>4Government intervention.</p> <p>5Failure to deliver the Council Plan.</p> <p>6Adverse comments by and poorer perception of NoCC by stakeholders.</p> <p>7Overspends arising from activity not in service plans.</p> <p>8Key business systems are unavailable or insufficient for business need.</p> <p>9Key contracts failing to deliver expected VfM.</p> <p>10Litigation.</p>				
		1	2	3	4	5										
		Consequence														

Controls	Adequacy	Critical Success
	Good	
1Financial Governance Framework oThis includes financial procedure rules, contract management procedure rules, budget setting process and monitoring and close-down.	Good	
2Accountability for budget delivery	Good	

Action Plans	Responsibility	Target Date

<ul style="list-style-type: none"> oColleagues recognise and embrace their personal accountability for delivering on time, to standard and within budget and deliver their savings/income objectives. oAccountability letters issued to all budget managers. 		
<p>3Budget Development</p> <ul style="list-style-type: none"> oDeliverable proposals are generated. Those with significant lead-in times or require a change in policy are sufficiently worked up before being subject to political scrutiny and approval. 	Good	
<p>4Budget monitoring, forecasting and reporting</p> <ul style="list-style-type: none"> oRegular monitoring of revenue and capital budget forecasts is undertaken - with corrective action identified and taken to mitigate overspends/underfunding/reduced income at the earliest opportunity oMonthly reports to CLT and quarterly reports to Cabinet (?) on revenue and capital budget forecasts. oExternal Audit oInternal Audit opinion 	Good	
<p>5Revenue Generation</p> <ul style="list-style-type: none"> oDebt Recovery Policy 	Good	

Risk Path: New Norwich City Council/Norwich City Council

Risk Category:

Linked Objective(s):

Risk		04. Failure to deliver services with/from partners										
Likelihood	5						Risk Owners	Director of resources	Current Score	12	Last Review	15/01/2020
	4											
	3				X		Triggers	Likelihood Factors (Vulnerability)	Potential Consequences			
	2									1LGSS, NPS Norwich, NpLaw, Norwich Norse environmental and building, CNC building control partners not delivering. 2Poor relationship management 3Partnerships not managed effectively and key service outcomes not achieved 4Contracts not managed effectively due to lack of contract management skills 5Contracts not flexible enough to meet council changing requirements 6Partner organisation becomes insolvent	oChange of strategic direction of partner organisation oChange in political direction	oThe council does not get VfM oBenefits of partner and contract arrangement not realised oConstant negotiation around the service delivery agreement oSpecification not adhered to oServices not provided at an acceptable level oCustomer and staff complaints oUnable to deliver corporate plan performance levels
	1											
			1	2	3	4	5					
Consequence												

Controls	Adequacy	Critical Success
1Governance structure is in place to manage the individual partnership agreements (eg NPS Norwich Board, LGSS liaison group, NP Law Board, all major contracts have strategic and operational governance arrangements with officer and member representation	Good	
2A contract and business relationship management toolkit has been deployed. This aims to create consistency of management of both financial and performance objectives and monitoring and management of all economic, social and environmental issues associated with the service	Good	
3Regular reviews of joint ventures	Good	
4Internal Audit reviews	Good	
5Partnership Risk Registers	Good	
6Business Continuity plans for key partners/contractors	Good	

Action Plans	Responsibility	Target Date
1. Bringing Services back in house	Anton Bull	01/04/2020
2. Renegotiation with NPLaw	Anton Bull	01/04/2020

7Exit strategy	Good	
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Risk Path: New Norwich City Council/Norwich City Council

Risk Category:

Linked Objective(s):

Risk		05. Failure to respond to a critical, business continuity or emergency planning event				
Likelihood	5					
	4					
	3				X	
	2					
	1					
		1	2	3	4	5
Consequence		Risk Owners		Director of resources	Current Score	12
					Target Score	
					Previous Score	
		Triggers		Likelihood Factors (Vulnerability)		Potential Consequences
		1 Occurrence of a significant event: oLoss of City Hall oICT failure oContractor collapse oSevere weather events – storms, heatwaves, strong winds oFlooding oSea level rise oFuel shortages oCommunications failure oPandemic oLoss of power 2 The council, businesses and members of the public in the city will also be at risk from the local effects of climate change in the medium to long term.		Wider effects of climate change		1.Council unable to function 2.Increase in demand on Council services. 3.Vulnerable Service Users unable to access services 4.Reputational Damage

Controls	Adequacy	Critical Success
1The council is a member of the Norfolk Resilience Forum, which has produced a Norfolk Community Risk Register	Good	
10Insurance policies	Good	
2Business continuity team with access to resources; action plans have been used to deal with actual total City Hall IT failure; alternative site for customer contact team; disaster recovery plan.	Good	
3The council has a major emergency management strategy and emergency planning room established at City Hall. Approach has also been used to test business continuity in the event of the main works contractor changing.	Good	

Action Plans	Responsibility	Target Date
Review of Business Continuity Plan	Anton Bull	31/03/2020

4Flu pandemic plan.	Good	
5Adaptations to protect the council from the local effects of climate change and address the causes are covered by corporate strategies such as the environmental strategy, together with team plans.	Good	
6A business continuity management policy and framework was approved by cabinet 25 June 2014.	Good	
7A business impact analysis for each service is signed off by the head of service and directors.	Good	
8Overall business continuity plan reviewed by CLT.	Good	
9Periodic business continuity exercises, and lessons learnt communicated through BMG.	Good	

Risk Path: New Norwich City Council/Norwich City Council

Risk Category:

Linked Objective(s):

Risk		06. Failure to change at the pace required and adapt to change															
Likelihood	5											Risk Owners		Current Score Target Score Previous Score		Last Review Next Review	01/07/2020
	4												Triggers		Likelihood Factors (Vulnerability)		
	3																
	2																
	1																
		1	2	3	4	5	Consequence										

Controls	Adequacy	Critical Success
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Action Plans	Responsibility	Target Date
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Risk Path: New Norwich City Council/Norwich City Council
Risk Category:
Linked Objective(s):



Risk		07. Lack of adequate skills and capacity															
Likelihood	5											Risk Owners		Current Score		Last Review	01/07/2020
	4													Target Score		Next Review	
	3											Triggers		Likelihood Factors (Vulnerability)			
	2													Potential Consequences			
	1																
			1	2	3	4	5	Consequence									

Controls	Adequacy	Critical Success
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Action Plans	Responsibility	Target Date
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Risk Path: New Norwich City Council/Norwich City Council
Risk Category:
Linked Objective(s):

