



NORWICH City Council

Committee name: Audit

Committee date: 21/11/2023

Report title: Risk Register

Portfolio: Councillor Kendrick, Cabinet member for resources

Report from: Head of Finance, Audit & Risk (Interim)

Wards: All wards

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Purpose

To provide an update on the Risk Register.

Recommendation:

It is recommended that the Audit Committee review the report and to note any comments.

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 meets the Norwich City Council is in good shape to serve the city priority.

Report Details

1. The Audit Committee reviews the risk register for completeness and to ensure that there are appropriate governance and controls over risks of the authority.
2. Due to the timing of the Audit Committee meeting, they will be provided with the quarter 2 risks. The attached report at Appendix 1 will be considered at Cabinet on 15 November 2023.
3. There is an exempt item, which will be provided separately.

Consultation

4. Not applicable for this report.

Implications

Financial and Resources

5. There are no specific financial implications from this report.

Legal

6. There are no specific legal implications arising from this report.

Statutory Considerations

Consideration:	Details of any implications and proposed measures to address:
Equality and Diversity	Not applicable for this report.
Health, Social and Economic Impact	Not applicable for this report.
Crime and Disorder	Not applicable for this report.
Children and Adults Safeguarding	Not applicable for this report.
Environmental Impact	Not applicable for this report.

Risk Management

Risk	Consequence	Controls Required
Failure to have an appropriately managed risk register would lead to the council not managing risks appropriately.	If risks materialised and were not mitigated against, the council might find itself in financial difficulties.	Progress against risks is reported regularly.

Other Options Considered

7. Not applicable for this report.

Reasons for the decision/recommendation

8. The Committee should ensure that the council has strong governance over its risks management.

Background papers:

None

Appendices:

Appendix 1 Risk Register

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Committee name: Cabinet

Committee date: 15/11/2023

Report title: 2023/24 Quarter 2 – Risk Register

Portfolio: Councillor Kendrick, cabinet member for resources

Report from: Interim Chief Finance Officer

Wards: All wards

OPEN PUBLIC ITEM

Purpose

This report provides an update to the council's corporate risk register based on the position for quarter two (September 2023).

Recommendation:

It is recommended that the cabinet notes the identified risks and the direction of travel.

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 meets the Norwich City Council is in good shape to serve the city corporate aim.

Introduction and background

1. Heads of Service and other risk owners were asked to update their directorate and corporate registers to reflect the position at the end of quarter (September 2023)
2. The current Corporate Risk Register summary is shown at Appendix A.
3. The position at the end of quarter 1 (up to 30 June) was reported to Cabinet in September. This identified a number of changes to the corporate risk register at that point. There have not been significant changes in the Council's risk profile at the end of this quarter.
4. There are three risks contained within the exempt Appendix, one of which is showing an improved position in this quarter.
5. The risk environment in which the council operates remains relatively high risk as the financial environment is challenging both in terms of the economic and the funding. The government have recently confirmed that the local government financial settlement will be confirmed shortly before Christmas, which is likely to fall after Cabinet receives its medium term financial planning update in December.
6. The quarter 1 report highlighted the situation over nutrient neutrality. At that time, it was understood the government would be seeking to amend the Levelling Up and Regeneration Bill to resolve the nutrient neutrality challenge. This amendment was defeated, and so was not included in the final Levelling Up and Regeneration Act. The risk related to nutrient neutrality therefore remains unchanged at this stage.
7. The council keeps a watching brief on all key risk areas. In that same vein, the Council is also in the process of updating its risk management policy to ensure that risks are properly managed and that there is adequate guidance.

Consultation

There has been no specific consultation on these proposals.

Implications

Financial and resources

8. 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.
9. There are no proposals in this report that would reduce or increase resources.

Legal

10. Identification and consideration of its corporate risks is an important governance function of the cabinet to ensure that appropriate action is being taken to ensure the Council takes lawful decisions and mitigates exposure to risk. The audit committee also exercises similar oversight and collectively this is designed to ensure that the council understands and is in a position to respond to risks as they arise.

Statutory considerations

Consideration	Details of any implications and proposed measures to address:
Equality and Diversity	N/A
Health, Social and Economic Impact	N/A
Crime and Disorder	N/A
Children and Adults Safeguarding	N/A
Environmental Impact	N/A

Risk management

Risk	Consequence	Controls required
This is the risk register	Not managing risks would put the council at significant risks as noted within the report.	Risk Register

Other options considered

11. As the report is primarily for information no other options have been considered.

Reasons for the decision/recommendation

12. It is important for the Cabinet to understand the council's financial performance and to highlight corrective actions where significant variances are apparent.

Background papers: None

Appendices: None

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Appendix A

Risk (inc reference)	Q1 2023/24		Q2 2023/24		Current direction	Last Review Date
	Residual risk score	Target risk score	Residual risk score	Target risk score		
CORP01 Council Funding Medium - Long Term	12	8	12	8	Static	12/10/2023
CORP03 Health & safety in the workplace	12	8	12	8	Static	11/10/2023
CORP06 Failure to respond to a critical, business continuity or emergency planning event	12	6	12	6	Static	11/10/2023
CORP07 Cyber security	15	15	15	15	Static	08/11/2023
CORP09 Failure to fulfil statutory or legislative responsibilities - safeguarding	15	12	15	12	Static	31/10/2023
CORP12 Contract management - governance	9	6	9	4	Static	21/09/2023
CORP14 Health and safety and compliance in council homes and buildings	15	4	15	4	Static	30/09/2023
CORP15 Failure to draw down £15m of Housing Infrastructure Fund (HIF) money previously secured from Homes England (HE) to assist with the delivery of Anglia Square.	12	8	12	8	Static	11/10/2023
CORP17 Failure to deliver acceptable levels of performance in regulatory services	12	8	12	8	Static	11/10/2023
CORP18 Failure to address Natural England advice on Nutrient Neutrality (NN)	15	10	15	10	Static	11/10/2023
CORP19 Housing regulation	12	9	12	9	Static	30/09/2023
CORP20 Cost of living (COL) crisis has a negative impact on the city and the council	20	12	20	12	Static	03/10/2023
CORP21 Climate Change risk to Council and its residents	16	12	16	12	Static	05/10/2023
CORP23 Impact of economic downturn on key council suppliers	12	8	12	8	Static	21/09/2023
CORP24 Temporary and Supported Accommodation - Reducing the Housing Benefit Subsidy gap	15	12	15	12	Static	20/09/2023