

Committee name: Audit

Committee date: 21/03/2023

Report title: Risk Management Update

Portfolio: Councillor Kendrick, cabinet member for resources

Report from: Interim Chief Finance Officer (S151)

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 Q3 2022/23 corporate risk register; this information would have been considered by the cabinet on 8 February as part of the Q3 Assurance report. The report forms part of the twice-yearly updates to the audit committee on risk management, enabling the committee to fulfil its oversight function.

Q3 2022 Corporate Risk Register

3. 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 3. The current Corporate Risk Register summary is shown below.
4. Most risks are static although four are improving, including the risk associated with long term financial planning which, with the proposed budget and MTFS is now indicating a balanced position is possible without the need to use reserves. That risk alongside those associated with housing regulation are now not considered to be red risks.
5. There remain a number of risks which have been rated as red indicating that specific consideration needs to be considered to take actions which are intended to reduce the impact of the identified risk.
6. 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**.

Role of Audit Committee

7. 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

8. The corporate risk register has been reviewed by the Corporate Leadership Team. It was also considered by Cabinet on 8 February 2023.
9. 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

Risk (inc reference)	Directorate	Q3 2022/23		Current direction	Last Review Date
		Residual risk score	Target risk score		
CORP01 Council Funding Medium - Long Term	Exec Dir - Corporate & Commercial Services	12	8	Improving	13/01/2023
CORP03 Health & safety in the workplace	Exec Dir - Development & City Services	12	8	Static	23/01/2023
CORP06 Failure to respond to a critical, business continuity or emergency planning event	Chief Executive	12	6	Static	23/01/2023
CORP07 Cyber security	Exec Dir - Community Services	15	15	Static	18/01/2023
CORP08 Data Protection compliance	Exec Dir - Community Services	12	8	Static	06/01/2023
CORP09 Failure to fulfil statutory or legislative responsibilities - safeguarding	Exec Dir - Community Services	15	12	Static	30/01/2023
CORP12 Contract management - governance	HoS - Legal & Procurement	9	6	Static	03/01/2023
CORP13 The Council's approach to waste and recycling becomes financially, environmentally and contractually unsustainable	Exec Dir - Development & City Services	12	4	Static	23/01/2023
CORP14 Health and safety and compliance in council homes and buildings	Exec Dir - Community Services	20	4	Static	30/01/2023

		Q3 2022/23			
Risk (inc reference)	Directorate	Residual risk score	Target risk score	Current direction	Last Review Date
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 & City Services	12	8	Static	23/01/2023
CORP16 Implementation of the Election Act	Chief Executive	12	4	Improving	03/01/2023
CORP17 Failure to deliver acceptable levels of performance in regulatory services	Exec Dir - Development & City Services	12	8	Static	23/01/2023
CORP18 Failure to address Natural England advice on Nutrient Neutrality (NN)	Exec Dir - Development & City Services	20	10	Improving	23/01/2023
CORP19 Housing regulation	Exec Dir - Community Services	12	9	Improving	23/01/2023
CORP20 Cost of living (COL) crisis has a negative impact on the city and the council	Exec Dir - Community Services	20	12	Static	12/01/2023
CORP21 Equality impacts due to climate change	Exec Dir - Community Services	16	12	Static	12/01/2023
CORP23 Impact of economic downturn on key council suppliers	Exec Dir - Corporate & Commercial Services	16	8	Static	03/01/2023

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.

10. 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

11. 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

12. There are no alternative options to this report.

Reasons for the decision/recommendation

13. 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)

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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



Audit Committee 21 March 2023

Risk Register Update - Appendix 1 Corporate Risk Register

Risk (inc reference)	Directorate	Q2 2022/23		Q3 2022/23		Current direction	Last Review Date
		Residual risk score	Target risk score	Residual risk score	Target risk score		
CORP01 Council Funding Medium - Long Term	Exec Dir - Corporate & Commercial Services	25	8	12	8	Improving	13/01/2023
CORP03 Health & safety in the workplace	Exec Dir - Development & City Services	12	8	12	8	Static	23/01/2023
CORP06 Failure to respond to a critical, business continuity or emergency planning event	Chief Executive	12	6	12	6	Static	23/01/2023
CORP07 Cyber security	Exec Dir - Community Services	15	15	15	15	Static	18/01/2023
CORP08 Data Protection compliance	Exec Dir - Community Services	12	8	12	8	Static	06/01/2023
CORP09 Failure to fulfil statutory or legislative responsibilities - safeguarding	Exec Dir - Community Services	15	12	15	12	Static	30/01/2023
CORP12 Contract management - governance	HoS - Legal & Procurement	9	6	9	6	Static	03/01/2023
CORP13 The Council's approach to waste and recycling becomes financially, environmentally and contractually unsustainable	Exec Dir - Development & City Services	12	4	12	4	Static	23/01/2023
CORP14 Health and safety and compliance in council homes and buildings	Exec Dir - Community Services	20	4	20	4	Static	30/01/2023
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 & City Services	12	8	12	8	Static	23/01/2023
CORP16 Implementation of the Election Act	Chief Executive	15	4	12	4	Improving	03/01/2023
CORP17 Failure to deliver acceptable levels of performance in regulatory services	Exec Dir - Development & City Services	12	8	12	8	Static	23/01/2023
CORP18 Failure to address Natural England advice on Nutrient Neutrality (NN)	Exec Dir - Development & City Services	25	10	20	10	Improving	23/01/2023
CORP19 Housing regulation	Exec Dir - Community Services	20	9	12	9	Improving	23/01/2023
CORP20 Cost of living (COL) crisis has a negative impact on the city and the council	Exec Dir - Community Services	20	12	20	12	Static	12/01/2023
CORP21 Equality impacts due to climate change	Exec Dir - Community Services	16	12	16	12	Static	12/01/2023
CORP23 Impact of economic downturn on key council suppliers	Exec Dir - Corporate & Commercial Services	16	8	16	8	Static	03/01/2023

REF CORP01

Council Funding Medium - Long Term


NORWICH
City Council

Current risk description
Continued reductions in the Council's sources of funding over the medium term

Date raised	01/06/2020
Last review date	13/01/2023

Residual Risk			
	Impact	Likelihood	Score
Q4	4	4	16
Q1	4	4	16
Q2	5	5	25
Q3	4	3	12
Q4			0

Target Risk		
Impact	Likelihood	Score
4	2	8
4	2	8
4	2	8
4	2	8
		0

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

Risk owner
Exec Dir - Corporate & Commercial Services
Service area
Finance, Audit & Risk

Current risk direction
Improving

Progress	Publication Exempt?
ON TRACK	N

Background to this risk
Following a period of austerity in excess of a decade, economic conditions are now increasing demand and costs and the level of government funding is uncertain

Triggers
Council fails to identify and plan for enough savings over the medium term
Non-delivery of identified savings
New national funding arrangements reduce government funding (Fairer Funding, Business Rates Retention, New Homes Bonus)
Economic uncertainty increase volatility on business rates and council tax
Risk of inflation on costs and pension deficit increases
Lack of capital resources to fund the council's asset base – implications
National finances deteriorate adding to saving pressures to be met from government departments including for Local Government

Main impacts
Council's financial position goes into deficit, reducing confidence in financial strength and governance
Unplanned use of reserves reducing capacity and flexibility and compromising stability
Section 114 notice
Government intervention
Failure to deliver Council Plan
Adverse comments by poorer perception of Council by stakeholders
Overspends arising from activity not in service plans


Council Funding Medium - Long Term

Control / mitigation (action required)	Control update frequency	Control status (RAG)	Date of next update	Update on progress of control / mitigation	Control / 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	Jan-23	Budget monitoring position reviewed by CLT with management action implemented to correct variances	Exec Dir - Corporate & Commercial Services
Future Shape Norwich established as transformation vehicle for longer term budget proposals with initial reporting to Cabinet on high value projects	QUARTERLY	G	Apr-23	Programme of work agreed and being taken forward supported by Design Authority	Exec Dir - Community Services
SLT budget sessions scheduled for June 2022 to identify additional proposals for savings	MONTHLY	G		Budget sessions held and information provided to inform 2023/24 budget setting and MTFS processes.	Chief Executive
A cabinet report will be prepared identifying the impact of higher inflationary pressures to the Council's budget		G		Report prepared and considered in July 2022 as part of budget development	Exec Dir - Corporate & 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			Jul-22		HoS - Property & Economic Development
Recruitment panel implemented to review all requests for new posts and extensions	MONTHLY	G	Apr-23	Panel has met fortnightly	HoS - HR & Organisational Development
Identification of proposals to close any budget gaps		G	Feb-23	Saving proposals and/ or additional income proposals have been identified and agreed for consultation that, if all agreed and implemented will enable a balanced budget to be set for 2023/24 and the MTFS period to 2027.	HoS - Finance, Audit & Risk
Analysis of provisional LGFS and Autumn budget papers	QUARTERLY	A	Apr-23	The initial analysis suggests that position for 2023/24 and 2024/25 is reasonably stable. Significant uncertainty exists thereafter particularly as it coincides with a possible general election.	HoS - Finance, Audit & Risk

REF CORP03

Health & safety in the workplace


NORWICH
City Council

Current risk description

Poor H&S management leads to risks to our employees, general public, buildings and spaces.

Date raised

01/05/2020

Last review date

23/01/2023

Residual Risk

	Impact	Likelihood	Score
Q4	4	3	12
Q1	4	3	12
Q2	4	3	12
Q3	4	3	12
Q4			0

Target Risk

Impact	Likelihood	Score
4	2	8
4	2	8
4	2	8
4	2	8
		0

Primary Corporate Priority

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

Risk owner

Exec Dir - Development & City Services

Service area

Multiple Service Areas

Background to this risk

The Council has a statutory to protect the H+S of its employees and the public in the discharge of its function. Poor H+S practice poses a considerable reputation and financial risk and can also increase risks to the staff and public (note risks in relation to Council buildings are covered separately in the risk registered)

Current risk direction

Static



Progress

ON TRACK

Publication Exempt?

N

Triggers

A health & safety breach occurs in respect of an employee, contractor or member of the public using a City Council owned asset

Main impacts

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

REF CORP03

Health & safety in the workplace


NORWICH
City Council

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 now prepared - Implementation of being taken forward by H+S board	QUARTERLY	G	Apr-23	Tendering exercise completed and contract awarded. Review commence Sept 2022 and completed by Nov. Recommendations considered by H+S board and action plan agreed. Additional resources now brought in to oversee delivery of the plan.	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). Production of revised policy is part of agreed action plan.	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 CORP06


NORWICH
City Council

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

Current risk description

Ability for services to get back up and running in the event of an emergency situation

Date raised

01/04/2020

Last review date

23/01/2023

Residual Risk

	Impact	Likelihood	Score
Q4	4	3	12
Q1	4	3	12
Q2	4	3	12
Q3	4	3	12
Q4			0

Target Risk

Impact	Likelihood	Score
2	3	6
2	3	6
2	3	6
2	3	6
		0

Primary Corporate Priority

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

Risk owner

Chief Executive

Service area

Planning & Regulatory Services

Background to this risk

Norwich City Council is a member of Norfolk Resilience Forum and has a statutory to respond in the event of civil emergency

Current risk direction

Static



Progress

SLIPPED

Publication Exempt?

N

Triggers

Occurrence of a significant event:

- 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

Main impacts

Loss of service delivery across the Council

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



Insufficient staff representation across strategic, tactical and operational levels to ensure resilience, effective response and enable full engagement within Norfolk Resilience Forum (NRF) structures


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

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	QUARTERLY	G	Apr-23	BCSG TofR updated and has met. However, programme of meetings for 2023 needs to be put in place and report back to CLT on progress in Q4 22/23	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 (cyber attack) and Llma (power outages)	QUARTERLY	A	Apr-23	Training on CBCP completed. Ongoing. Some service areas still missing. HofS to pick up with individual managers where necessary Still to do (dependent on item 2). Outcome from exercises to be reported back to CLT in Q4. Also will pick up actions below.	HoS - Planning & Regulatory Services
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 					


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

Date raised 01/06/2020

Last review date 18/01/2023

Residual Risk

	Impact	Likelihood	Score
Q4	5	3	15
Q1	5	3	15
Q2	5	3	15
Q3	5	3	15
Q4			0

Target Risk

Impact	Likelihood	Score
5	3	15
5	3	15
5	3	15
5	3	15
		0

Primary Corporate Priority

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

Risk owner

Exec Dir - Community Services

Service area

Customers, IT & Digital

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

Current risk direction

Static


Progress

ON TRACK

Publication Exempt?

N

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 installed, unpatched software in operation, misconfigured IT assets

The supply chain service connecting to the council is poorly managed/configured and becomes the weak spot allowing the attack

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

Customer services severely disrupted

Loss of IT systems (such as web services, email, payments, public access, corporate information etc) for several days, weeks, months or for ever

Non-compliance with Payment Card Industry (PCI) standards which results in financial fines

Political & reputational risk

ICO fines

Financial impact of prolonged IT shutdown

Non-compliance with Public Sector Network (PSN) which results in possible loss of DWP information affecting the Benefits Service



Procurement of a hosted solution that doesn't protect the council's information or systems or introduces vulnerabilities.

Staff morale
May lead to loss of data, corruption of data, loss of service, ICO fines, reputational risk



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 & Digital
Address the vulnerabilities identified from the IT Health Assessment		G	Jul-22	COMPLETED	HoS - Customers, IT & Digital
Monitor the security products to ensure they are fit for purpose		G	N/A	On-going activity	HoS - Customers, IT & Digital
Technical solutions deployed - firewalls, Web application, anti-virus etc	ANNUALLY	G		On-going activity	HoS - Customers, IT & Digital
Independent assessment of IT environment	ANNUALLY	G	Dec-22	Complete. ITHC (IT Health Check) assessment has been	HoS - Customers, IT & Digital
Address the new vulnerabilities identified from new IT Health Assessment	QUARTERLY	G	Mar-23	Working on the items that have been flagged in the ITHC	HoS - Customers, IT & Digital
Membership of NCSC, CiSP, Cyber Sharing platforms & tools deployed	ANNUALLY	G	Jul-23	Ongoing attendance for early warnings	HoS - Customers, IT & Digital
Staff awareness and training	ANNUALLY	G	Jul-23	Mandatory training has been supplied. Ongoing awareness campaigns periodically	HoS - Customers, IT & Digital
Ensure before procurements are made for hosted solutions that suppliers provide suitable responses to the NCSC 14 Cloud Principles.	ANNUALLY	G	Jul-23	Work with Procurement to ensure that Cloud Principle responses obtained at the earliest point of tenders.	HoS - Customers, IT & Digital

REF CORP08

Data Protection compliance


NORWICH
City Council

Current risk description
Please add description here

Date raised	01/06/2020
Last review date	06/01/2023

Residual Risk			
	Impact	Likelihood	Score
Q4	4	3	12
Q1	4	3	12
Q2	4	3	12
Q3	4	3	12
Q4			0

Target Risk		
Impact	Likelihood	Score
4	2	8
4	2	8
4	2	8
4	2	8
		0

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

Risk owner
Exec Dir - Community Services
Service area
Customers, IT & Digital

Current risk direction
Static 

Progress	Publication Exempt?
ON TRACK	N

Background to this risk
The UK's Data Protection legislation places legal requirements on the council. If we do not comply with these we are at risk of financial penalty and reputational damage.

Triggers
Non-compliance with Data Protection legislation
Breaches of personal data or businesses/politically sensitive material
Non-compliance with transparency legislation and transparency legislation

Main impacts
Regulatory & Legal - regulatory action from the Information Commissioner's Office (ICO), a notice from the Monitoring Officer or litigation. 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



Data Protection compliance

Control / mitigation (action required)	Control update frequency	Control status (RAG)	Date of next update	Update on progress of control / mitigation	Control / Mitigation Owner
Staff awareness. Organisational measures required to ensure staff are adequately aware of their responsibilities and trained accordingly.	QUARTERLY	G	Apr-23	1 - Mandatory e-learning is provided to all new staff via Learning Pool and a refresh is required every two years. This is supplemented by an annual communications strategy. The LearningRoom platform on which the training is hosted is due to expire in Feb 2022 - no message from HR on the replacement plan.	HoS - Customers, IT & Digital
Corporate policies, procedures and guidance. To ensure organisational measure are in place to comply with legislation and Codes of Conduct.	QUARTERLY	G	Apr-23	c/f - A 'Transparency and Publication' Policy is currently in draft. c/f - The 'Appropriate Policy Document' is published on Norwich.gov but further work required to identify areas where NCC processes criminal data as a 'Competent Authority'. All policies will be reviewed on an annual or bi-annual basis once published.	HoS - Customers, IT & Digital
Accountability. Record of Processing Activities (ROPA) and Information Asset Register (IAR) are accurate, maintained and communciated.	QUARTERLY	G	Apr-23	c/f - It is recognised that the Records of Processing Activity register requires a review to better reflect our current processes. This is scheduled to commence in Q2 2022. Whilst a legal requirement this offers little useful application or risk assurance.	HoS - Customers, IT & Digital



Data Protection compliance

<p>Embed Data Retention practices.</p> <p>It is recognised that the Council holds a lot more data, including personal data, that is no longer required. This is a breach of the storage limitation principle.</p> <p>Now that the Retention Schedule has been revised, services will need supporting in disposing of data that should not longer be held.</p>	QUARTERLY	A	Apr-23	<p>c/f - Retention entries for Planning and RIPA to be reviewed.</p> <p>c/f - Civica disposal work continues.</p> <p>New - ERP Migration work includes removal of historic data</p> <p>c/f - Disposal / archiving of paper records to commence. Incl. clearance of clocktower rooms, LGF Safe & Room 49.</p>	HoS - Customers, IT & Digital
<p>NEW:</p> <p>CCTV Compliance.</p> <p>The Council does not currently adhere to the Commissioner's guidance in our use of CCTV. Different service areas are at different levels of maturity.</p>	QUARTERLY	A	Apr-23	<p>New - IG Team nominated to monitor CCTV compliance but the responsibility for compliance remains with Services.</p>	HoS - Customers, IT & Digital



Failure to fulfil statutory or legislative responsibilities - safeguarding

Current risk description				Date raised	01/04/2020
Norwich City Council has a duty to promote the welfare of and to safeguard all children and vulnerable adults from harm				Last review date	30/01/2023

Residual Risk				Target Risk		
	Impact	Likelihood	Score	Impact	Likelihood	Score
Q4	5	3	15	4	3	12
Q1	5	3	15	4	3	12
Q2	5	3	15	4	3	12
Q3	5	3	15	4	3	12
Q4			0			0

Primary Corporate Priority			Risk owner	
5 - Norwich City Council is in good shape to serve the city			Exec Dir - Community Services	
			Service area	
			Housing & Community Safety	

Current risk direction		Background to this risk	
Static		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	


Progress	Publication Exempt?
ON TRACK	N

Failure to fulfil statutory or legislative responsibilities - safeguarding

Triggers	Main impacts
Lack of understanding the statutory and legislative responsibilities	Financial costs in compensation & fines
Lack of awareness of legislative changes and new legislation	Intervention if complete failure
Failure to implement statutory duties and responsibilities	Acting illegally
Lack of required skills knowledge and experience of key officers tasked to fulfil statutory or legislative responsibilities	Harm, abuse, accident or death linked to failure of the council to act within safeguarding arrangements
Insufficient organisational capacity	Wrong decision being made
Ineffective procedures and processes	Negative impact on the council's reputation
Lack of clarity of roles and ownership of legislative responsibilities (H&S, safeguarding, equality etc)	Being held to account by overseeing organisations (eg children safeguarding) maybe included in reputation
Delegation of responsibilities where services are with a contractor	

Control / mitigation (action required)	Control update frequency	Control status (RAG)	Date of next update	Update on progress of control / mitigation	Control / Mitigation Owner
Undertake Safeguarding Audit	ANNUALLY	G	Mar-23	Safeguarding Audit scoped and underway	Early Intervention and Community Safety Manager
Embed learning across council teams	ANNUALLY	G	Oct-23	Share review findings from 2022/23	Early Intervention and Community Safety Manager
Review corporate processes and role requirements regarding organisational DBS checks	ANNUALLY	A	Mar-23	Forms part of Safeguarding Audit	HoS - HR and Organisational Development



Current risk description							Date raised		01/08/2020			
Ineffective management of contracts leads to poor service delivery							Last review date		03/01/2023			
Residual Risk				Target Risk			Primary Corporate Priority			Risk owner		
	Impact	Likelihood	Score	Impact	Likelihood	Score	1 - People live well and independently in a diverse and safe city			HoS - Legal & Procurement		
Q4	3	3	9	2	3	6				Service area		
Q1	3	3	9	2	3	6				Legal & Procurement		
Q2	3	3	9	2	3	6						
Q3	3	3	9	2	3	6						
Q4			0			0	Background to this risk					
Current risk direction							Progress		Publication Exempt?			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
Static							ON TRACK	N				
Triggers							Main impacts					
Resourcing of contract management and training inadequate							Third party relationships and contracts not managed appropriately causing:					
Clarity of service area accountability & roles and responsibilities poor							- contract value not realised / obligations not carried out					
Contract managers not fully aware of the risks to service delivery in their contracts							- poor performance					
Inadequate SLA / KPIs / MI identified in tender / contracts documents with lack of escalation of contract issues							- 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	G	Sep-22	Completed	HoS - Legal & Procurement
Implementation of the contract accounting module of the new ERP system to help improve management of contract spend	QUARTERLY	A	Sep-23	It has been identified this would be an additional module for implementing, and therefore will need to be subject to an additional business case. If warranted, implementation would now be planned for September 2023 at the earliest.	HoS - Legal & Procurement
Participation in the DHLUC contract management pioneer commercial specialist review to identify next steps	QUARTERLY	G	Mar-23	Due to the Council's engagement with the contract management pioneer programme, enhancing internal skillsets, the Council has been selected to be part of the commercial specialist review. This will entail an independent review to discuss what further action the Council may wish to take and potential support to achieving this. DHLUC have indicated this will take place in late Jan / early February. If limited further action is identified we will consider de-escalating this risk.	HoS - Legal & Procurement
Reconciliation between Business Continuity Plans and contract register and plans to identify potentially significant suppliers	QUARTERLY	R	Mar-23	This has been raised further in respect of the new risk relating to supplier failure	HoS - Legal & Procurement
Establishment of contract management practitioner group to support dissemination of best practice within the organisation	QUARTERLY	G	Mar-23	Completed, first events to take place in January 2023 with schedule of events during the year circulated	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

Contractual arrangements for collecting and managing our waste do not address emerging financial, environmental and regulatory challenges

Date raised

01/05/2021

Last review date

23/01/2023

Residual Risk

	Impact	Likelihood	Score
Q4	4	3	12
Q1	4	3	12
Q2	4	3	12
Q3	4	3	12
Q4			0

Target Risk

Impact	Likelihood	Score
2	2	4
2	2	4
2	2	4
2	2	4
		0

Primary Corporate Priority

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

Risk owner

Exec Dir - Development & City Services

Service area

Environment Services

Background to this risk

It is a key statutory function of the Council to deal with household waste. It has a long term contract in place for waste collection but is exposed to the market in terms of its recycle. New legislation may drive waste management practice and costs

Current risk direction

Static



Progress

ON TRACK

Publication Exempt?

N

Triggers

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 contract with NEWS, and our response to the proposals in the proposed Environment Bill

Main impacts

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

REF CORP13

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


NORWICH
City 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	QUARTERLY	G	Apr-23	Cabinet has approved extension of contract with Biffa until 2031. Contract extension in the process of being finalised in liaison with Biffa and nplaw	HoS - Environment Services
Waste Strategy to be reviewed to address financial, regulatory and climate challenges	QUARTERLY	A	Mar-23	Work will not start on new Waste Strategy until Q1 2023	HoS - Environment Services
Recycling Processing Contracts in place for all recycling materials (Food Waste, Garden Waste and Comingled Recyclate (Blue Bin)	ANNUALLY	A	Jul-23	Cabinet has approved extension of NEWS contract until 2027 in November 2021. New arrangements have now been implemented but need to settle down and shared understanding gained of operation Cabinet approved new Garden Waste processing contract with TMA in July 2022	HoS - Environment Services



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

Date raised 01/10/2021

Last review date 30/01/2023

Residual Risk

	Impact	Likelihood	Score
Q4	5	4	20
Q1	5	4	20
Q2	5	4	20
Q3	5	4	20
Q4			0

Target Risk

	Impact	Likelihood	Score
	2	2	4
	2	2	4
	2	2	4
	2	2	4
			0

Primary Corporate Priority

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

Risk owner

Exec Dir - Community Services

Service area

Building Safety & Compliance

Current risk direction

Static



Progress

ON TRACK

Publication Exempt?

N

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

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

Emergence of further Health, Safety and Compliance matters as data is validated and through transfer of JV

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

Risk of serious detriment to tenants and leaseholders

Regulator of Social Housing takes enforcement action against 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
Increase contractor capacity	QUARTERLY	G	Mar-23	Ongoing work with Procurement. Further contractors procured to carry out compliance functions. Further procurement ongoing to put in place long term contractors	HoS - Asset Management
Data validation in preparation for transfer to NEC (Housing system)	MONTHLY	A	Mar-23	Initial work completed. Post transfer validation continues	Housing Operations Director
Undertake a full review of compliance policies and procedures	QUARTERLY	A	Dec-22	Resources in place. Work commenced and program agreed. Priority compliance policies completed. Work ongoing	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	A	Mar-23	Interim senior team in place and will remain until permanent staff recruited later in 2022/23	Exec Dir - Community Services
Review and implement changes to the structure of the compliance function	QUARTERLY	A	Mar-23	Restructure consultation underway. New structure to be in	HoS - Asset Management
Appointed contractors are competent to undertake compliance works	ANNUALLY	G	Dec-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	Dec-22	Review completed and new processes are in place resulting in ease of access. This action will now be closed.	HoS - Housing and Community Safety
Non-housing compliance mapping, maintenance review and remedial actions	QUARTERLY	A	Dec-22	Resources identified and work ongoing	HoS - Property & Economic Development

REF CORP15


NORWICH
City Council

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
Loss of public subsidy to enable the development of this significant regeneration site


Date raised	Q4 21/22
Last review date	23/01/2023

Residual Risk			
	Impact	Likelihood	Score
Q4	4	3	12
Q1	4	3	12
Q2	4	3	12
Q3	4	3	12
Q4			0

Target Risk		
Impact	Likelihood	Score
4	2	8
4	2	8
4	2	8
4	2	8
		0

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

Risk owner
Exec Dir - Development & City Services
Service area
Planning & Regulatory Services

Current risk direction
Static 

Progress	Publication Exempt?
ON TRACK	N

Background to this risk
Norwich City Council secured £15m on Housing Infrastructure Funding to assist with delivery of the Anglia Square regeneration. Following the Secretary of State's decision to call-in the application for his own determination, and his subsequent decision to refuse it contrary to his inspector's recommendation, the scheme cannot be built in accordance with the timetable agreed in the HIF contract. There is therefore a risk that the

Triggers
Failure to be able to draw down £15m of funding previously secured from HE in order to assist delivery of Anglia Square redevelopment
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
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

Main impacts
Threat to the redevelopment of Anglia Square – continued blight on northern city centre
New housing and commercial development not delivered – needs remain unmet
Loss of future council tax and business rates income to council
Reputational risk to council through failure to draw down allocated funding

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



NORWICH
City Council

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 definition of eligible infrastructure for HIF funding		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	A	Apr-23	In progress. HE being kept informed of progress. Latest update given was following cabinet's approval of interim approach to nutrient neutrality. This is being used to inform consultation on Anglia Square in relation to Nutrient neutrality. Application remains on track for possible determination in Spring. HE still keen to support but main contact leaving issues with WH contact with CTN now	HoS - Planning & Regulatory Services



Implementation of the Election Act

Current risk description

In April 2022, the Elections Act received Royal Assent. Aspects of the Act, most notably Voter ID, will come into effect for the first time at the May 2023 elections.

Date raised 25/07/2022

Last review date 03/01/2023

Residual Risk

	Impact	Likelihood	Score
Q4	3	4	12
Q1	3	4	12
Q2	3	5	15
Q3	3	4	12
Q4			0

Target Risk

Impact	Likelihood	Score
2	2	4
2	2	4
2	2	4
2	2	4
		0

Primary Corporate Priority

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

Risk owner

Chief Executive

Service area

Legal & Procurement

Current risk direction

Improving



Progress

ON TRACK

Publication Exempt?

N

Background to this risk

The most significant change driven by the Act is the introduction of Voter ID. The secondary legislation to implement Voter ID has been laid in parliament but is yet to be finalised. Whilst the Council can (and has) undertaken planning for the Act where it is possible to do so, there is reliance on central government in relation to the necessary systems to support those who do not have existing valid ID. It is expected that Councils and their software suppliers will have access to these systems soon.

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



Implementation of the Election 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	Mar-22	The Council is taking an active role in both the cabinet office and association of electoral administrators implementation and lobbying teams. Officers are regularly attending briefings	HoS - Legal & Procurement
Once the government system is available to enable those without current valid ID, take necessary steps to implement locally	QUARTERLY	R	Mar-22	We are effectively on standby between the elections team, IT team and software suppliers (Democracy Counts) to take the necessary steps once the government system is released.	HoS - Legal & Procurement
Delivery of the elections project plan including the communications plan	QUARTERLY	A	Mar-22	We are already progressing with the elections project plan, which has included briefings for key individuals involved in the elections on the changes. We appreciate the criticality of communicating changes however until the legislation finalises acceptable ID, and we can confirm to people how to register for ID if they do not have it, then we have to have some caution in our communication approaches	HoS - Legal & Procurement

REF CORP17


NORWICH
City Council

Failure to deliver acceptable levels of performance in regulatory services

Current risk description

Failure to provide statutory services to an adequate standard resulting in harm to residents/visitors and businesses in Norwich

Date raised

26/01/2022

Last review date

23/01/2023

Residual Risk

	Impact	Likelihood	Score
Q4	4	4	16
Q1	4	4	16
Q2	4	3	12
Q3	4	3	12
Q4			0

Target Risk

Impact	Likelihood	Score
4	2	8
4	2	8
4	2	8
4	2	8
		0

Primary Corporate Priority

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

Risk owner

Exec Dir - Development & City Services

Service area

Planning & Regulatory Services

Current risk direction

Static



Progress

ON TRACK

Publication Exempt?

N

Background to this risk

There are a number of backlogs and outdated processes in regulatory services that are in need of addressing. Following a peer review the head of service is working to deliver an improvement plan

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



Failure to deliver acceptable levels of performance in regulatory services

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 , full business case for digitalisation of services, process review, and policy amends now being taken forward	QUARTERLY	G	Apr-23	Consultation on restructure for Planning and Reg services completed in Q3. Response to it delayed due to absence on HofS. This is expected to be resolved through following return to work. In the meantime good progress has been made in addressing backlogs and temporary resources	HoS - Planning & Regulatory Services
Backlogs being monitored for improvement	QUARTERLY	A	Apr-23	FOOD: 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 will 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	HoS - Planning & Regulatory Services
				LICENSING: A dedicated officer (agency) has been brought in to deal with backlogs in taxi licences. All applications where the necessary information has been received have been processed and any where information is outstanding, e.g. medical checks, have been chased. This service is priority 2 for review of use of IT to streamline processes	



Failure to deliver acceptable levels of performance in regulatory services

				<p>HMO LICENSING: 1 dedicated officer adding all applications into 1 system. 1 dedicated officer clearing out duplicate processes. 2 dedicated officers processing applications. backlogs reducing further. New policy adopted so new renewals will be processed in accordance with new tiered scheme and increased fees to be charged.</p>	
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Failure to address Natural England advice on Nutrient Neutrality (NN)

Current risk description

The determination of planning applications continues to be held up with resulting negative impacts on economy of Norwich and housing delivery.

Date raised 13/06/2022

Last review date 23/01/2023

Residual Risk

	Impact	Likelihood	Score
Q4	5	5	25
Q1	5	5	25
Q2	5	5	25
Q3	5	4	20
Q4			0

Target Risk

Impact	Likelihood	Score
2	5	10
2	5	10
2	5	10
2	5	10
		0

Primary Corporate Priority

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

Risk owner

Exec Dir - Development & City Services

Service area

Planning & Regulatory Services

Current risk direction

Improving



Progress

ON TRACK

Publication Exempt?

N

Background to this risk

Natural England introduced new guidance in March 2022 which requires most development in Norwich to be able to demonstrate it is nutrient neutral in order for planning approval to be issued. The result of this has been the inability of the Council to grant and new planning permissions for homes and other forms of overnight accommodation since this date.

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



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

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	Apr-23	Mapping complete. Calculator published by authorities. New project manager brought in to help drive process. Written Ministerial Statement (WMS) and Natural England (NE) letters received late July - no change but citing Government led scheme to deliver mitigation; needs more exploration. NE meeting us on a regular basis (fortnightly). Agreed to use of calculator. Possible short-term solution identified through installation of water efficiency measures in City Council owned housing stock. Paper approved by Cabinet in December 22 agreeing approach to apportionment of credits. Porcoess now the subject of detailed engagement with natural england. If successful may be able to release planning consents using	HoS - Planning & Regulatory Services

REF CORP19

Housing regulation


NORWICH
City Council

Current risk description

Norwich City Council 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

Date raised 01/10/2020

Last review date 23/01/2023

Residual Risk

	Impact	Likelihood	Score
Q4	4	5	20
Q1	4	5	20
Q2	4	5	20
Q3	3	4	12
Q4			0

Target Risk

Impact	Likelihood	Score
3	3	9
3	3	9
3	3	9
3	3	9
		0

Primary Corporate Priority

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

Risk owner

Exec Dir - Community Services

Service area

Multiple Service Areas

Background to this risk

The Regulator for Social Housing (RSH) 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 RSH 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

Current risk direction

Improving	
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Progress

ON TRACK	N
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Publication Exempt?

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 and as expected by the Regulator of Social Housing

Main impacts

Under new powers, the 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	Mar-23	Continual progress in addressing service under performance. All areas of overdue work showing improvement. Works are nearing BAU levels.	HoS - Asset Management
Mitigation measures actioned from poor performance	QUARTERLY	G	Mar-23	Action plan in place to manage delivery supported by technical expertise. Action plan monitored on a monthly basis with weekly compliance meetings to review progress. Updates feed thought Compliance Delivery Group to	HoS - Asset Management
Meeting with the regulator to update on progress	MONTHLY	G	Mar-23	Monthly meetings with the Regulator to assess progress in acheiving the improvement plan. Meeting continue in a positive manner	HoS - Asset Management
Compliance Board in place	MONTHLY	G	Mar-23	Meetings in place and attended by Members and Executive officers. Independent experts board members recruited in August and attending meetings	HoS - Asset Management
Preparation for new regulatory requirements	QUARTERLY	A	Nov-22	To be mapped and actions identified	HoS - Housing and Community Safety
Voluntary Undertaking produced	QUARTERLY	G	Mar-23	Voluntary indertaking produced and agreed with RSH. Performance to be monitored on monthly basis.	HoS - Asset Management
Independent Consultancy Procurred to undertake 3rd party audit of adherence to compliance improvement	MONTHLY	G	Mar-23	Procuremnet process carried out. Consultant award October 22. Mobilisation will take place in October. Action ongoing consultatnt have commenced 1st phase of review in January 23	HoS - Asset Management

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

Date raised 18/07/2022

Last review date 12/01/2023

Residual Risk

	Impact	Likelihood	Score
Q4	4	4	16
Q1	4	4	16
Q2	4	5	20
Q3	4	5	20
Q4			0

Target Risk

Impact	Likelihood	Score
3	4	12
3	4	12
3	4	12
3	4	12
		0

Primary Corporate Priority

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

Risk owner

Exec Dir - Community Services

Service area

Strategy, Engagement & Culture

Current risk direction

Static



Progress

ON TRACK

Publication Exempt?

N

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

Triggers

Rising cost of living
Uncertainty around benefits uprating (average earnings level proposal)

Inflation level

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



Cost of living (COL) crisis has a negative impact on the city and 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
Cost of Living officer group developing joined-up response to COL crisis	QUARTERLY	G	Apr-23	Additional funding identified to provide additional support via external partners. Comms plan in place. Monthly meetings continuing. Initial COL directory created for frontline officers is now published. Members have been briefed and will receive a councillor support pack for use when talking to residents.	HoS - Strategy, Engagement and Culture
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	G	Apr-23	<p>Providing additional funding for SWA service, in response to growing demand, through HWP and COMF. Next quarterly FIC meeting 03/02. Next NCAN partnership meeting 25/01. Standing item on City Vision Partnership agenda, next meeting 16/01.</p> <p>Shared directory of FIC and NCC contacts in place for ease of contact to discuss exceptional cases. HoS for Strategy, engagement and culture meeting FIC lead partner, NCLS, on 18/01 to further understand financial pressures and explore other solutions that the council can support/enable/influence.</p>	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	G	Apr-23	Regular meeting with CA debt team. Multi service area approach through monthly debt meetings, DHP panel, and concerns flagged at COL meetings. Ongoing vulnerability meetings. NCAN referrals and budget and money advice support from internal teams.	HoS - Strategy, Engagement and Culture
Sustainable warmth programme	QUARTERLY	G	Apr-23	The strategy and action plan are complete and were adopted in October 2022 (Cabinet 19th Oct) - sets out approach to emergency support for energy payments and reduction in fuel poverty longer term. Ongoing monitoring of delivery.	HoS - Strategy, Engagement and Culture

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

Existing funding streams	QUARTERLY	G	Apr-23	Discretionary housing payment (DHP) pot is exhausted. Household Support Fund (HSF 3) being allocated at pace. Norfolk Assistance Scheme (NAS continues but there are lead times for applicants receiving funds. DHP panel in place looking at risk and alternatives to lack of funding. DHP policy for 2023/24 under review to ensure funds are allocated in such a way that as many as people as possible can be helped - looking at online tools to help with application and allocation process (we already have the module, just needs to be reviewed and switched on as part of the DHP policy review process. ready for 1 April 2023.)	HoS - Strategy, Engagement and Culture
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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)

Date raised 01/06/2022

Last review date 12/01/2023

Residual Risk

	Impact	Likelihood	Score
Q4	4	4	16
Q1	4	4	16
Q2	4	4	16
Q3	4	4	16
Q4			0

Target Risk

Impact	Likelihood	Score
3	4	12
3	4	12
3	4	12
3	4	12
		0

Primary Corporate Priority

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

Risk owner

Exec Dir - Community Services

Service area

Strategy, Engagement & Culture

Current risk direction

Static



Progress

ON TRACK

Publication Exempt?

N

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

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



Equality impacts due to climate change

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	R	Apr-23	Work is underway to draft the strategy and action plan with public consultation due post May elections 2023 - resource issues have impacted delivery date which is now Q2 2023/24	Head of Strategy, engagement & culture
Policy/strategy - Develop and implement the new affordable warmth strategy, ensuring recognition of inequalities	QUARTERLY	G	Apr-23	The strategy and action plan are complete and were adopted in October 2022 (Cabinet 19th Oct). Ongoing monitoring of delivery.	Head of Strategy, engagement & culture
Policy/strategy - Develop and implement the new environmental statement, ensuring recognition of inequalities	QUARTERLY	A	Apr-23	Documents have been drafted and tested with HoS - Session took place with CLT on 16 November to test level of ambition - further drafting of documents following Scrutiny discussion on 19 Jan - attending CEEEP on 14 Feb to update on the current position - timeline for completion to be confirmed thereafter, taking account of pre-election period.	Head of Strategy, engagement & culture
Policy/strategy - Develop and implement the new biodiversity strategy ensuring recognition of inequalities	QUARTERLY	G	Apr-23	Final strategy adopted by Cabinet in November 2022 - action plan to be implemented and monitored.	Head of Strategy, engagement & culture



Equality impacts due to climate change

Policy/strategy - Develop and implement a new retrofitting strategy for council owned assets ensuring recognition of inequalities	QUARTERLY	A	Apr-23	The environmental strategy team have produced a high-level carbon reduction plan for housing, which sets out estimated carbon emissions and principles for improvements to council owned homes. The latest Housing Revenue Account business plan has provided an allocation of £290m for retrofitting to ensure that Norwich City Council homes are net zero by 2050. Also working with asset management service area to estimate emissions from non-housing council owned buildings and these will be included in the Council's Climate Action Plan which will be published during 2023.	Head of Asset Management
Financial - Grant funding secured to improve the energy efficiency of properties across the city etc Cosy City	QUARTERLY	G	Apr-23	Work is ongoing to secure external funding to improve the condition of housing stock across the city (all tenures) - delivery work is underway.	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	Apr-23	The Climate Commission's Community Empowerment task group is continuing to run engagement events providing education and advice on matters relating to energy and climate change. The City Council is also in the process of developing a city-wide Climate Action Plan which will position the Council as a leader/coordinator in the city. The plan will aim to influence and advise residents, businesses and other organisations to ensure emissions reductions and an awareness of climate issues in the City.	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	G	Apr-23	Delivered additional funding to a number of projects and the Financial Inclusion Consortium - see also Corporate risk CORP20 Cost of living (COL) crisis has a negative impact on the city and the council for more information on measures implemented	Head of Strategy, engagement & culture



Equality impacts due to climate change

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	A	Apr-23	Timeline around wider service review has been delayed, but the relevant teams are involved in the COLC and EDI officer working groups as well as external partnership working and so join up is being delivered.	Head of Strategy, engagement & culture
Working practices - Work with Norwich Climate Commission to address climate justice issues	QUARTERLY	G	Apr-23	£25k funding awarded to the commission to help with community engagement/awareness events/campaigns/research etc. Now the commission is better established, there has been a change in co-chair, with our exec director of community services stepping down with the current vice chair (Anthony Hudson from Hudson Architects) taking over. Anthony is involved in the commission, city vision partnership and business leaders climate group. Environmental strategy team will continue to provide secretariat and local authority linkage going forward. The Climate Commission's Community Empowerment task group is continuing to run engagement events providing education and advice on matters relating to energy and climate change. The target audience for these are predominantly those from suffering from fuel poverty.	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	G	Apr-23	To be considered as part of the Norwich Health and Wellbeing Partnership strategy workshop on 17 Jan which will look to develop a set of actions under the themes: physical and mental health and wellbeing; social and economic wellbeing; and community resilience and voice.	Head of Strategy, engagement & culture



Impact of economic downturn on key council suppliers

Current risk description

The current economic conditions increases the risk of a key supplier to the Council failing, or suppliers experiencing financial difficulties and therefore seeking to vary contracts to change their inherent risk profile

Date raised

18/10/2022

Last review date

03/01/2023

Residual Risk

	Impact	Likelihood	Score
Q4	N/A	N/A	N/A
Q1	N/A	N/A	N/A
Q2	4	4	16
Q3	4	4	16
Q4			0

Target Risk

Impact	Likelihood	Score
N/A	N/A	N/A
N/A	N/A	N/A
4	2	8
4	2	8
		0

Primary Corporate Priority

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

Risk owner

Exec Dir - Corporate & Commercial Services

Service area

Legal & Procurement

Current risk direction

Static



Progress

ON TRACK

Publication Exempt?

N

Background to this risk

The economic outlook has deteriorated significantly in recent weeks which can have a significantly detrimental impact on suppliers, including inflation in their own supply chains, increased interest rates and deteriorating exchange rates.

Triggers

Supplier failure - key supplier enters administration

Supplier seeks to exit market or amend terms of contract

Supplier experiences problems in their own supply chain delaying delivery of Council projects or deteriorating quality of service

Main impacts

Inadequate or poor service to residents as a result of problems with suppliers leading to dissatisfaction

Pressure on the organisation as a result of needing to focus on finding new suppliers or amending contract terms

Potential increased risks to organisation of suppliers wishing to change risk profile of contracts or look for up-front expenditure

Control / mitigation (action required)	Control update frequency	Control status (RAG)	Date of next update	Update on progress of control / mitigation	Control / Mitigation Owner
Regular checks on key suppliers to identify their financial resilience and potential areas of risk to the Council	QUARTERLY	G	Mar-23	Checks were undertaken on major suppliers (>500k contracts) as at the end of September. At the time of update we are going to be shortly commencing the checks for as at 31/12/22.	HoS - Legal & Procurement
Specific action taken with services where supplier is identified at risk	QUARTERLY	G	Mar-23	Following the quarterly checks, those areas where suppliers were identified as significant risk are having meetings to identify steps to be taken	HoS - Legal & Procurement
Awareness and identification with staff of steps that need to be taken to manage supplier risk	QUARTERLY	G	Mar-23	Following the quarterly checks for the end of December period, we will be issuing communications to contract managers to inform them of the current overall position and where specific risks may lie	HoS - Legal & Procurement
Contract managers to update business continuity plans with respect the risks of supplier failure	QUARTERLY	A	Mar-23	We have highlighted to contract managers the need to ensure that this is a key component of risk management and will be discussing progress with the Emergency Planning Manager	HoS - Legal & Procurement
Monitoring of supplier behaviour and requests	QUARTERLY	G	Mar-23	We have established a process for any concerns related to supplier activity to be reported. This will be monitored to assess extent of supplier risk	HoS - Legal & Procurement