



**Finance, Resources, Audit and Governance Committee  
24 March 2023**

## **Strategic Risk Update**

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**Portfolio:** Governance and Efficiency

**Ward(s) Affected:** None

### **Purpose of the Report:**

The purpose of this report is to provide an overview of the current position of the Strategic Risk Register and approach for South Norfolk Council.

### **Recommendations:**

1. Review and endorse the Strategic Risk Register for the Council.

## **1 SUMMARY**

- 1.1 This report provides the committee with an update and overview of the current position in terms of strategic risk for South Norfolk Council.

## **2 BACKGROUND**

- 2.1 The Risk Management Policy sets out the approach for the Council in terms of how it will identify, manage, reduce and mitigate risks of all levels to the organisation.
- 2.2 To facilitate the management of risk throughout the organisation, the Council maintains a system of risk registers. The risks are identified through the Corporate Leadership Team's (CLT) assessment of the risks to the delivery of the Council's Strategic Plan and Delivery Plan. The Strategic Risk Register records the strategic risks faced by the Council. Attached to this report is the latest update of the Strategic Risk Register.
- 2.3 The Strategic Risk Register forms part of the Council's quarterly (reported formally to Cabinet three times a year in Q2, Q3 and Q4) performance, risk and finance reports. The Strategic Risk Register is a document which is reviewed on a regular basis and subject to change depending upon the current circumstances in which the Council is operating.
- 2.4 As set out in the Policy, Cabinet has ultimate responsibility for:
- Setting the culture for risk management at the Council
  - Approving the Policy
  - For developing and approving Risk Appetite
- 2.5 Detailed oversight of the risk management process is delegated to the Finance, Resources, Audit and Governance Committee, who are responsible for scrutinising the scope and effectiveness of the risk management systems in place.
- 2.6 In developing the Strategic Risk Register, CLT (including Assistant Directors in conjunction with Portfolio Holders) are responsible for identifying, evaluating and reporting on significant strategic risk faced by the Council. Strategic risks are risks that are significant in size, impact and duration and could impact on the performance of the Council as a whole. This may include operational risks escalated from particular services to the leadership level due to the potential scale of their impact.
- 2.7 Risks in the Strategic Risk Register are assessed for both their likelihood (on a scale of 1-5) and their impact if they were to happen (on a scale of 1-5), which are then combined to give each risk a severity score. Once all ongoing and planned mitigating actions are taken in consideration, each risk's "residual severity score" is recorded. The higher the severity score, the more significant the risk is.

2.8 Alongside the Strategic Risk Register, each directorate across the Council manages their Directorate Risk Registers. Directorate Risk Registers detail the more operational risks to the organisation and are the responsibility of the Director and Assistant Directors in that directorate to manage. If a risk on a Directorate Risk Register scores a high severity score above our risk appetite as a council, this will be escalated to the Strategic Risk Register and reported to Cabinet and the Committee. There is also support, guidance and templates on identifying and managing risk (including project risk) available on our internal intranets for staff.

### **3 CURRENT POSITION/FINDINGS**

- 3.1 During Q3 22/23, CMLT have reviewed and updated the Strategic Risk Register to ensure we are managing the risks effectively and that we are taking the right action to prevent the risk from escalating and ultimately reduce the risk where possible. As part of reviewing the register, CMLT have taken into consideration:
- Whether risks are still relevant
  - Any emergent risks which have been identified
  - Whether the likelihood and impact of risks has changed
  - Whether controls which are in place are still effective
- 3.2 Since the risk register was last seen by the committee there have been no new risks identified and added to the register.
- 3.3 There is 1 strategic risk that has been removed from the Strategic Risk register:
- SNC GE3 – Regulatory Function – this has been de-escalated from the Strategic Risk Register to the Directorate Risk register as the risk is now within the appetite of the council.
- 3.4 There are 2 strategic risks that have had their risk scores reduced:
- SNC P1 - Nutrients Neutrality advice impacts – as progress has been made on mitigating actions
  - SNC P2 – Gypsy and Traveller sites - as progress towards consultation is being made
- 3.5 There are 2 strategic risks that have been merged into strategic risk SNC S14 – Housing stock - as all the measures are in regard to the demand and pressures on housing stock:
- SNC S13 – Ukrainian refugees
  - SNC S15 – Cost of Living
- 3.6 The below heatmap provides an overview of the current risk register with the risks which are being managed at a strategic level. A full version of the Strategic Risk Register can be found in appendix 1, alongside a summary of the key changes to the risks since the last committee meeting.

Risk Scoring Matrix		1	2	3	4	5
		Insignificant	Minor	Moderate	Significant	Severe
5	Expected					
4	Highly Likely				SNCP1 – Nutrients Neutrality Impacts (risk score reduced to 4x4) SNCGE1 – Leisure Memberships (no change) SNCM11 – One Team Capacity and Capability (no change)	
3	Likely			SNCM9 – Collaborative Working (no change)	SNCM6 – Reform and Devolution (no change) SNCSI2 – Energy costs and disruption (no change)	SNCM12 – Cyber Attack (no change)  SNCSI4 – housing demand
2	Not Likely					SNCM1 – Financial (no change) SNCP2 Gypsy/Traveller site identification (reduced to 5x2)
1	Rare					

3.7 Following the internal audit position statement on risk management we are commencing a whole council approach to risk management training. There will be tailored training available for every level of the council. Currently the risk management modules on our training platform Skillsgate are being updated with the aim to roll these out council wide to all staff, managers, and Members. A new training package is currently being formulated specifically for managers and project managers in the identification and evaluation of project-level risk.

#### 4 PROPOSED ACTION

4.1 The Strategic Risk Register, alongside the Directorate Risk Registers will continue to be managed and reviewed into the next quarter.

#### 5 OTHER OPTIONS

5.1 None.

#### 6 ISSUES AND RISKS

6.1 **Resource Implications** – each risk has associated resources aligned to each action.

6.2 **Legal Implications** – no implications.

6.3 **Equality Implications** – no implications.

6.4 **Environmental Impact** – no implications.

6.5 **Crime and Disorder** – no implications.

6.6 **Risks** – no implications.

## **7 RECOMMENDATIONS**

1. Review and endorse the Strategic Risk Register update for the Council.

# **South Norfolk Council – Strategic Risk Register**

**Last reviewed – February 2023**



## South Norfolk Council – Strategic Risk Management

The risk appetite of the Council is outlined by a risk appetite statement as set out below:

***South Norfolk and Broadland are both dynamic, innovative and commercially minded Council's that empower staff to make well-rounded decisions and take proportionate risks within our boundaries based on intelligence, reason and insight, seizing opportunities to enhance the wellbeing of our communities, economy and staff, reimagining the role of local government.***

The statement outlines the Council's approach to risk appetite and is accompanied by a risk scoring matrix (see below) which indicates whether the combined risk likelihood and impact score is above the appetite of the Council. The appropriate approach for managing the risk is then highlighted depending on the combined score.

Any risk with a combined score of 10-25 is outside the risk appetite and action must be taken to reduce the score down to an acceptable level to protect the achievement of the Council's strategic aims and objectives. The following pages of this report sets out the current Strategic Risks to the Council, their current risk scores and the actions being taken to reduce the scores.

Risk Scoring Matrix		1	2	3	4	5
		Insignificant	Minor	Moderate	Significant	Severe
5	Expected	Medium 5	Medium 10	High 15	Very High 20	Very High 25
4	Highly Likely	Low 4	Medium 8	High 12	High 16	Very High 20
3	Likely	Low 3	Medium 6	Medium 9	High 12	High 15
2	Not Likely	Very Low 2	Low 4	Medium 6	Medium 8	Medium High 10
1	Rare	Very Low 1	Very Low 2	Low 3	Low 4	Medium 5
<b>Very High 20-25</b>		Risks scored here represent a severe threat to the delivery of the Council's objectives and service delivery and are outside of the risk appetite of the Council. Risks scored at this level should be treated as a priority and should either be reduced to a score within tolerance or removed. Reporting on progress will be required at Cabinet/Audit Committee and at CMLT until risk level is reduced to tolerance.				
<b>High/Medium High 10-16</b>		Risks scored here represent a significant threat to the delivery of the Council's objectives and service delivery and are outside the risk appetite. Action is required to reduce the rating to a score within tolerance. Reporting on progress is required at Cabinet/Audit Committee and CMLT until risk level is reduced to tolerance.				
<b>Medium 5-10</b>		Risks scored here represent a moderate threat to the delivery of the Council's objectives and service delivery and are within the risk appetite of the Council with some proportionate mitigation and regular monitoring required. These risks can be managed at operational/service level but regular management review of assurance on control effectiveness should occur. Routine reviews should also be carried out to ensure there is no change.				
<b>Low 3-4</b>		Risks here represent a minor threat to the delivery of the Council's objectives and service delivery and are within the risk appetite. Review required to ensure risk score does not change/increase, however these risks can be managed at operational/service level.				
<b>Very Low 1-2</b>		Risks scored here represent an insignificant threat to the delivery of the Council's objectives/service delivery and are within the risk appetite. No further action is required.				


## Key Changes to Strategic Risks



The most recent review of the strategic risk register has generated the following changes:

Risk Ref	Risk Score Change	Risk description change	Risk consequence change	Risk mitigations change	Risk owner change	New Strategic Risk	Commentary
SNCM1				Yes			
SNCM6							
SNCM9							Additional mitigating action added
SNCM11							
SNCGE1							
SNCGE3							Risk to be de-escalated to the Place Directorate Risk Register as the risk score is within our risk appetite.
SNCM12							
SNCSI2							
SNCP1	Yes	Yes	Yes	Yes			Likelihood score reduced as some decisions are starting to be released and good progress is being made towards a longer term mitigation strategy.  Risk has been updated to include the risk impact on Big Sky.
SNCSI3							This risk has been folded into SNCSI4. The Ukraine programme is embedded into the Council and is part of core business. The main risk from the programme is associated with SNCSI4 therefore these risks has been merged.
SNCSI4		Yes	Yes	Yes			This risk now incorporates cost of living and Ukraine risks due to the main strategic risk to the Council from both these issues being the increased demand on housing services which this risk covers.
SNCP2	Yes						Risk score reduced from 15 to 10 as progress towards consultation is being make
SNC I15							This risk has been folded into SNCSI4. Whilst the cost of living remains an issue, the strategic risk to the Council is increased demand on housing services, therefore the risks have been combined.




## Strategic Risk Register


						Risk with existing Controls							Current Risk		
Objective	Ref	Risk description	Existing Controls	Likelihood	Impact	Severity score	Risk Response	Planned mitigating actions	Risk Owner	Delivery timescales	Likelihood	Impact	Severity score	Within Risk Appetite?	Comments and progress on actions during Quarter 3
Moving with the times, working smartly and collaboratively	<b>SNC M1</b>	<p><b>Risk</b> - Financial - The Council fails to anticipate and respond to large scale changes in the external environment that impacts on our ability to deliver our MTFP.</p> <p><b>Consequence</b> - A negative impact on the Council's finances, either from reductions in income or funding, or from increased cost pressures.</p>	<p>Medium Term Financial Plan (MTFP) budget process and scenario planning.</p> <p>Quarterly review of performance and risks to the organisation.</p> <p>Regular Horizon Scanning.</p> <p>CMLT relationship building and liaison with key stakeholders such as central Government departments and professional bodies.</p> <p>Implementing Broadland/South Norfolk Collaboration.</p> <p>Active Membership of different groups such as the DCN, LGA, RSN etc.</p>	2	5	<b>10</b>	<b>Reduce</b>	<ol style="list-style-type: none"> <li>Lobby government for adequate funding, acknowledging impact on costs &amp; demand of cost of living rises.</li> <li>Respond to Government Consultations to ensure any potential impact on the Council finances is conveyed to Government.</li> <li>Feed into any relevant networks e.g LGA and DCN to influence policy creation.</li> <li>Ensure local MPs are aware of the Council financial position and potential impact of any forthcoming Government policies as part of the regular MP briefings.</li> <li>Continued regular horizon scanning and policy updates to CMLT and management team to ensure we stay abreast of changes and are able to have influence.</li> <li>Regular monitoring of our current position and</li> </ol>	<b>Director of Resources</b>	<ol style="list-style-type: none"> <li>Prior to Autumn budget</li> <li>As appropriate when consultations open</li> <li>As Appropriate</li> <li>At regular MP Briefings</li> <li>Monthly</li> <li>Quarterly</li> </ol>	2	5	<b>10</b> 	<b>No</b>	<p><b>No change to the risk score</b></p> <ol style="list-style-type: none"> <li>Requirement to continue to lobby for a multi-year settlement in future &amp; recognition that cost of living rise will squeeze council budgets as both costs &amp; demand for services increase.</li> <li>As appropriate when consultations open.</li> <li>As Appropriate.</li> <li>At regular MP Briefings.</li> <li>Monthly horizon scanning and policy reports are developed for CMLT.</li> <li>Completed on a quarterly basis.</li> </ol>


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								reporting to Members.							
Moving with the times, working smartly and collaboratively	<b>SNC M6</b>	<p><b>Risk</b> - The Council fails to take advantage and act quickly and proactively on the opportunities of Local Government Reform and devolution.</p> <p><b>Consequence</b> - Failure to achieve potential for greater devolved funding and/or decision making to the region and the benefits this would bring for residents and businesses in our area.</p>	<p>Regular Horizon Scanning.</p> <p>Active Membership of different groups such as the DCN, LGA, RSN etc</p> <p>Implementing Broadland/South Norfolk Collaboration.</p> <p>Quarterly review of performance and risks to the organisation.</p> <p>CMLT relationship building and liaison with key stakeholders such as central Government departments and professional bodies.</p>	3	4	<b>12</b>	<b>Reduce</b>	<ol style="list-style-type: none"> <li>1. Review the outcomes of the Devolution White Paper when it is released.</li> <li>2. Continued regular horizon scanning and policy updates to CMLT, management team and Members to ensure we stay abreast of changes and are able to have influence.</li> <li>3. Lobby MPs on specific policy issues and the implications for our residents.</li> <li>4. Work with our partners where appropriate to present a collaborative response to political changes.</li> <li>5. Respond to the Deal for Norfolk consultation</li> </ol>	<b>Director of Resources</b>	<ol style="list-style-type: none"> <li>1. Through 22/23</li> <li>2. Amend approach during Q1/2 22/23</li> <li>3. Continue through 22/23</li> <li>4. Continue to implement through 22/23.</li> <li>5. Relocate Jan 2023</li> <li>6. Minimise costs Q2/3 &amp; Dispose of site Q3</li> </ol>	3	3	<b>9</b> 	<b>No</b>	<p><b>No change to the risk score</b></p> <ol style="list-style-type: none"> <li>1. Transformation guides and toolkits continue to be developed and cascaded to teams through Connect. We have also introduced Improvement Apprenticeships across the transformation network to drive forward projects.</li> <li>2. New resource had been recruited to (Project Management Officer Lead) to take forward the project and programme office approach. Programme portfolios for Transformation now taking shape.</li> <li>3. The joint Finance and Income systems have been implemented and are now being embedded, although work continues training, processes and procedures. Work continues the implementation of the Idox project covering planning, food &amp; licensing, environmental health and elements of waste.</li> <li>4. The Customer Services Strategy and Charter has been approved by Cabinet and is in the process of being implemented.</li> <li>5 / 6 The agreement by both Councils to purchase and move to a single office at the Horizon Centre will deliver significant savings together with cultural and environmental benefits. The closure of South Norfolk House &amp; temporary relocation to Thorpe Lodge has assisted in minimising costs during the transition period.</li> </ol>
Moving with the times, working	<b>SNC M9</b>	<p><b>Risk</b> - The Council is unable to take advantage of the benefits and</p>	<p>Transformation approach (SPARK) and programme of work in place based on the</p>	3	4	<b>12</b>	<b>Reduce</b>	<ol style="list-style-type: none"> <li>1. Embed the SPARK transformation</li> </ol>	<b>Director of Resources</b>	<ol style="list-style-type: none"> <li>1. Through 22/23</li> </ol>	3	3	<b>9</b> 	<b>No</b>	<p><b>No change to risk score</b></p> <ol style="list-style-type: none"> <li>1. Transformation guides and toolkits continue to be developed and cascaded to teams through Connect.</li> </ol>

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smartly and collaboratively		<p>opportunities from collaborative working with Broadland Council and other key partners through autonomous policy decision-making.</p> <p><b>Consequence</b> - Failure to achieve efficiency savings through economies of scale and increased chance of not delivering the collaboration Feasibility Roadmap.</p>	<p>collaboration roadmap.</p> <p>ICT/Digital Strategy in place which aligns systems and transformation to deliver a First-Class Customer Service, with increased resilience, while enabling efficiencies and savings to be realised at the same time.</p> <p>Customer Service Strategy developed and agreed by Council which sets out our approach to enhancing and providing a consistent customer service.</p> <p>CTCF committee has Member oversight and steering of the collaboration programme.</p> <p>Regular updates and briefings to CMLT (6 weekly) and CTCF on the collaboration.</p> <p>Collaboration costs and savings tracked half yearly.</p>					<p>programme across the organisation.</p> <p>2. Establish a corporate Programme and Projects Office to provide support to the Project Programmes, to ensure that we manage our resources efficiently to deliver the collaboration roadmap.</p> <p>3. Following agreement of ICT/Digital Strategy, business cases to be developed and taken through for approval for each IT system.</p> <p>4. Implementation of the Customer Service Strategy.</p> <p>5. Purchase and relocation to a single office at the Horizon Centre.</p> <p>6. Minimise office costs during transition to the Horizon Centre and Disposal of South Norfolk House.</p>		<p>2. Amend approach during Q1/2 22/23</p> <p>3. Continue through 22/23</p> <p>4. Continue to implement through 22/23.</p> <p>5. Relocate Jan 2023</p> <p>6. Minimise costs Q2/3 &amp; Dispose of site Q3</p>						<p>We have also introduced Improvement Apprenticeships across the transformation network to drive forward projects.</p> <p>2. New resource had been recruited to (Project Management Officer Lead) to take forward the project and programme office approach. Programme portfolios for Transformation now taking shape.</p> <p>3. The joint Finance and Income systems have been implemented and are now being embedded, although work continues on training, processes and procedures. Work continues on the implementation of the Idox project covering planning, food &amp; licensing, environmental health and elements of waste.</p> <p>4. The Customer Services Strategy and Charter has been approved by Cabinet and is in the process of being implemented.</p> <p>5 / 6 The agreement by both Councils to purchase and move to a single office at the Horizon Centre will deliver significant savings together with cultural and environmental benefits. The closure of South Norfolk House &amp; temporary relocation to Thorpe Lodge has assisted in minimising costs during the transition period.</p>
Moving with the times, working smartly and collaboratively	<b>SNC M11</b>	<p><b>Risk</b> - Capability and capacity does not meet organisational requirements.</p> <p><b>Consequence</b> - Poor standards of service</p>	<p>Four-year Strategic Plan developed and in place which sets out the ambitions for the Council over the coming years.</p>	4	4	<b>16</b>	<b>Reduce</b>	<p>1. Scope and develop a talent management programme.</p> <p>2. Build our own talent - Develop projects to consider</p>	<p><b>1 - 4 Chief of Staff</b></p> <p><b>5 - 6 Director of Resources</b></p>	<p>1. April 2022 - March 2023</p> <p>2. March 2021 - completed strategy, ongoing placements are</p>	4	4	<b>16</b>	<b>No</b>	<p><b>No change to risk score</b></p> <p>1. This work will continue into the next financial year and be part of an updated OD Strategy, likely to be completed by September 2023.</p> <p>2. BAU</p>	

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		delivery, service disruption, slow or minimal transformation and inability to meet savings targets as a result. This could also lead to budget underspends if the lack of capacity leads to projects being delayed.	<p>Delivery Plan for the Council developed and in place which sets out the detailed projects and BAU for the Council in the coming year to 2022.</p> <p>Management/ Leadership Training and Development in progress.</p> <p>Regular Budget Monitoring.</p>					<p>our use and opportunities of apprenticeships, internships, career placement, graduates etc.</p> <p>3. Succession planning to ensure capacity is maintained.</p> <p>4. Implement successful recruitment campaigns particularly in service areas where there are specific needs for skills which are hard to recruit to or shortage of resource available (e.g. nationally). Agile Working Policy enables a broader approach to recruitment.</p> <p>5. Amendments to programme and project management processes to improve how we manage our capacity to deliver.</p> <p>6. Additional financial monitoring of key projects.</p> <p>7. Delivery of agile working approach and cultural shift to better attract and retain talent.</p> <p>8. Local authority benchmarking across the region and wider to ensure</p>	<b>7 - 9 Chief of Staff</b>	<p>now BAU</p> <p>3. April 2022 - March 2023</p> <p>4. New recruitment approach trialled summer 2021 through apprenticeships. This is to be reviewed and rolled out across the board for all appointments.</p> <p>5. Amend approach during Q1/2 22/23</p> <p>6. From Aug 22.</p> <p>7. June 2022 onwards, formal policy before moving to the Horizon Centre Jan 2023.</p> <p>8. Data submission and access available August 2022.</p>					<p>3. This work will need to continue into the new financial year, as succession planning will be part of the year end discussions.</p> <p>4. BAU</p> <p>5. New resource had been recruited to (Project Management Officer Lead) to take forward the project and programme office approach.</p> <p>6. New governance structure is in operation with a reviewed guidance to project management documents. Dedicated resource secured for embedding and enhancing project and programme management skills</p> <p>7. BAU</p> <p>8. Information through local benchmarking is progressing slowly and other avenues are being explored</p>

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								pay and benefits on a role specific basis remain comparable and competitive.							
Growing the Economy/ Supporting individuals and empowering communities	<b>SNC GE1</b>	<p><b>Risk</b> – The Council is unable maintain memberships and income levels at its Leisure Centres as a consequence of Covid-19.</p> <p><b>Consequence</b> – Membership levels decrease. Expenditure levels exceed income levels and the commercial viability of the service decreases.</p>	<p>Detailed Covid-19 procedures in place</p> <p>Regular contact with existing members</p> <p>Marketing campaigns to increase membership</p> <p>Review of existing member offer and pricing structures</p> <p>Budget monitoring</p>	4	5	<b>20</b>	<b>Reduce</b>	<p>1. Provide a range of incentives to encourage existing and new members to return</p> <p>2. Delivery of the savings through reduced staff resources and utility costs</p> <p>3. Look for further income generating opportunities and review of membership offer</p>	<b>Assistant Director Community Services</b>	All timelines are in line with the Leisure Recovery Plan to March 2024	4	4	<b>16</b> 	<b>No</b>	<p><b>No change to risk score</b></p> <p>1 and 3 - The service continues to provide a range of incentives and marketing campaigns in conjunction with TA6 to encourage membership take up. A review of the future pricing structure is underway for implementation from April 2023. and a new more interactive website is being developed.</p> <p>2. The increase in utility costs, particularly electricity has continued to have a negative impact upon expenditure currently projected to be in the order of c£150k by Q4 but the installation of solar panels will help to reduce the impacts.</p>
Growing the Economy	<b>SNC GE3</b>	<p><b>Risk</b> - Failure to provide a regulatory function that meets the demand and statutory requirements arising from a fast-changing external environment. Big resignation, labour market is shrinking, employee driven labour market.</p> <p><b>Consequence</b> - Detrimental impact on local businesses and residents, including unmanageable demands on council services.</p>	<p>Two councils staffing resources provide resilience.</p> <p>Regular horizon scanning and professional networking.</p> <p>Recruitment to apprenticeships within regulatory services to provide additional support.</p> <p>Regular response to consultations to ensure we play an active influencing role in changing regulatory policies.</p>	4	3	<b>12</b>	<b>Reduce</b>	<p>1. Collaborate locally and nationally to ensure a collective response and optimised sharing of burdens is available in the event that sudden re-training or changes in resource deployment become necessary.</p> <p>Understand One Team demographic and succession plan accordingly i.e invest in skills development in area which has an aging workforce (long term). Offer skills development for mid careers movers (short/med term). Apply Hybrid</p>	<b>Assistant Director Regulatory</b>	<p>1. Ongoing - short/med/long term solutions</p> <p>2. Ongoing over five-year minimum qualifying period, 21/22 to 26/27.</p> <p>3. Raised currently for CMLT consideration.</p> <p>4. Proposed for reporting in Q4 21/22 (Licensing service review) and Q3 22/23 (Food &amp; Safety service review).</p> <p>5. Ongoing</p>	3	3	<b>9</b>	<b>Yes</b>	<p><b>Risk to be de-escalated to the Place Directorate Risk Register as the risk score is within our risk appetite.</b></p>


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Objective	Ref	Risk description	Existing Controls	Likelihood	Impact	Severity score	Risk Response	Planned mitigating actions	Risk Owner	Delivery timescales	Likelihood	Impact	Severity score	Within Risk Appetite?	Comments and progress on actions during Quarter 3
								Working Policy to positively attract Talent from any region to assist with skills shortages (short term). 2. Optimise development of environmental health, planning, surveyor apprentices to help secure future workforce. 3. Identify scope for market supplements to enhance ability to attract professional recruits, and to help retain existing staff. (Equally applies to Regulatory and Planning professionals). 4. Temporary contractor support secured, and service reviews planned for Licensing (in 21/22) and Food & Safety regulation (in 22/23). 5. Temporary additional resources secured over short term (22/23) for Community Protection to help meet exceptional demand.							
Moving with the times, working smartly and collaboratively	<b>SNC M12</b>	<b>Risk</b> - There is a heightened threat of a cyber-attack in the current climate due to the volatile situation in Ukraine and the	Geo-blocking of traffic originating from black-listed countries.  Timely application of security updates to all	3	5	<b>15</b>	<b>Reduce</b>	1. Ensure the effectiveness of the Controls - commission a third-party review of the Council's security	<b>Director of Resources</b>	<b>Ongoing</b>	3	5	<b>15</b> 	<b>No</b>	<b>No change to the risk score</b> 1. Final version of the cyber maturity assessment report received and reviewed by the ICT and Digital Manager and summary findings and action plan presented to CMLT

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Objective	Ref	Risk description	Existing Controls	Likelihood	Impact	Severity score	Risk Response	Planned mitigating actions	Risk Owner	Delivery timescales	Likelihood	Impact	Severity score	Within Risk Appetite?	Comments and progress on actions during Quarter 3
		<p>potential for state-sponsored attacks to NATO members, including the UK.</p> <p><b>Consequence</b> - A successful cyber-attack could render the ICT infrastructure and line of business systems unusable for a protracted period of time, significantly impacting the Council's ability to function.</p>	<p>software and firmware</p> <p>Ensuring Anti-Virus software updated and functioning</p> <p>Monitoring of adherence to security policy ensuring there are no exceptions</p>					<p>posture</p> <p>2. Review the organisation structure to ensure clear accountability for the effective implementation of security controls and the day to day monitoring and management of security events</p> <p>3. Raise awareness of the risk of cyber-attack with the business and the importance of adhering to the security policy</p> <p>4. Ensure ICT staff adequately trained and skilled to apply security controls and manage security events</p> <p>5. Ensure Members are aware of Cyber-security risks through the completion of SkillGate</p>							2. An existing vacant post within the IT Structure to create a dedicated CISO role. Role is out to advert with interviews scheduled by the end of Jan
Supporting individuals and empowering communities/ Growing the Economy	<b>SNC SI2</b>	<p><b>Risk</b> – Increasing energy costs for leisure and depot, plus unsecure or disruption to supply of fuel (gas/diesel/HVO)</p> <p><b>Consequence</b> – Increase costs of operating the facilities and risk to be able to deliver the waste operations</p>	Energy supplies purchased through ESPO framework agreements and established relationship with fuel supplier	5	4	<b>16</b>	<b>Reduce</b>	<p>1. Purchase of 31K storage tank at depot 200% increase in fuel storage - 3 weeks supply</p> <p>2. Diversification of fuel types being used in vehicles to include HVO</p> <p>3. Regular</p>	<b>Assistant Director Community Services</b>	<p>1. March 2022</p> <p>2. Ongoing</p> <p>3. Ongoing</p> <p>4. Ongoing</p> <p>5. Ongoing - survey completed, procurement commencing, estimated delivery by the end of the calendar year</p>	3	4	<b>12</b> 	No	<p><b>No change to the risk score</b></p> <p>The costs of diesel and electricity have continued to remain stable across the quarter, while electricity costs will remain high between Oct to March 2023, the unit costs, will then reduce down to pre-inflated levels. The project to install solar panels on the leisure centres is progressing and will help to reduce electricity costs from April 2023.</p>

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								<p>discussion with suppliers to understand current position in market, availability and costs</p> <p>4. Develop contingencies to be able to transport staff into depot if there are fuel shortages</p> <p>5. Investigating installation of PCVs on roofs of leisure centres to reduce reliance upon external electricity supplies</p>							
Protecting and improving our natural and built environment, whilst maximising quality of life	<b>SNC P1</b>	<p><b>Risk</b> – Nutrients Neutrality advice impacts all planning decisions for overnight accommodations.</p> <p><b>Consequence</b> – Potential adverse impact upon the ability to demonstrate delivery of sites in Five Year Land Supply leading to speculative development pressures outside of the affected catchment area.</p> <p>Council's own Development Company (Big Sky) cannot continue to</p>	Working with NE and key stakeholders to understand the implications and potential mitigation measures.	5	4	<b>20</b>	<b>Reduce</b>	<p>1. Lobbying Govt to suspend Housing Delivery Test and housing land supply</p> <p>2. Working with partners and stakeholders on mitigation measures</p> <p>3. Regular briefing for members</p> <p>4. Regular engagement with applicants</p> <p>5. Regular monitoring of position</p> <p>6. Big Sky models scenarios around the impact on its finances &amp; informs the Council, however sales are strong on all phases to date &amp; the company are</p>	<b>Director of Place</b>	1. Ongoing, via PAS and other organisations	4	4	<b>16</b> ↓	<b>No</b>	<p><b>Risk score reduced from 20 to 16</b></p> <p><b>1. Ongoing. We continue to meet</b> with local MPs to raise these points. Changes to the housing delivery test and housing land supply are currently being consulted upon as part of the changes to the NPPF.</p> <p>2. Good progress being made by consultants in identifying the nutrient load. Long term mitigation strategy expected in Feb 23. Regular meetings are held with all interested parties to progress short term mitigation options and NE are actively looking at mitigation in Norfolk area. Approvals are being progressed for the establishment of a Joint Venture.</p> <p>3. Portfolio Holders and Leaders are regularly updated at scheduled fortnightly/weekly catch ups</p> <p>4. Regular contact and update meetings with strategic site promoters. Some developers are now coming</p>



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		build out at Cringleford, impacting profits and ability to repay Council loans, although most loans are secured on assets apart from working capital.						looking into how they can offset.							forward with their own mitigation schemes. 5. Ongoing 6. Ongoing
Supporting individuals and empowering communities/Growing the Economy	SNC S13	<p><b>Risk-</b> The safeguarding and welfare of Ukrainian refugees arriving in South Norfolk and Broadland. The reputational risk and extra strain on Council services if placements breakdown.</p> <p><b>Consequence-</b> Besides reputational risk to the Councils and the extra pressure on already strained temporary accommodation services, there is potential for Ukrainians to be abused intentionally or unintentionally by host families and suffer further displacement and loss.</p>	<p>Housing suitability and welfare visits are being undertaken prior to the Ukrainian family arriving to ensure suitability to prevent these breakdowns.</p> <p>Temporary accommodation options are being investigated and agreed for emergency accommodation in the event of placement breakdown and lack of contact with Home Office prior to Visas being granted.</p> <p>Email address provided to send placement failures to alert the Home Office to lack of suitable placement.</p> <p>A list of visiting officers is being compiled with the intention of getting priority fuel for those officers undertaking visits to ensure they can be carried out.</p> <p>Requested MPs assistance with pushing</p>	4	5	20	Reduce	<p>1. Regular updates, actions and discussion at Internal Steering Group, Bronze Group and wider County groups to ensure the most affective joined-up approach is being taken.</p> <p>2. Keep track of updates and information from the Home Office.</p> <p>3. Additional staffing and temporary accommodation resources put in place, with the money made available by Govt, to manage additional demand on the housing, benefits and housing standards and communities teams</p>	Director of People and Communities	<p>1. Ongoing</p> <p>2. Ongoing</p> <p>3. In place</p>	3	5	15	No	The Ukraine programme is embedded into the Council and is part of core business. The main risk from the programme is associated with SNCSI4 and these risk has been merged.

Objective						Risk with existing Controls	Current Risk						Comments and progress on actions during Quarter 3		
Objective	Ref	Risk description	Existing Controls	Likelihood	Impact	Severity score	Risk Response	Planned mitigating actions	Risk Owner	Delivery timescales	Likelihood	Impact	Severity score	Within Risk Appetite?	Comments and progress on actions during Quarter 3
			for information from the Home Office.  Keeping up to date with Home Office information and guidance.												
Supporting individuals and empowering communities	<b>SNC S14</b>	<p><b>Risk -</b> There is insufficient private and social housing stock to meet the demand on the Council, and temporary accommodation</p> <p><b>Consequence -</b> Unable to provide a housing throughput which results in blockages to temporary accommodation. This will result in increased costs and poorer outcomes for vulnerable residents. This will also have an impact on our partners and the wider system such as care leaver and the system will rapidly become silted up.</p>	<p>Well managed allocation policy, and clear banding guidelines.</p> <p>Online form to allow early access to support, including linking to help hub infrastructure.</p> <p>Current team resources in place and funded.</p> <p>Housing enablement partnership in place to consider options to increase additional stock.</p>	4	5	<b>20</b>	<b>Reduce</b>	<ol style="list-style-type: none"> <li>Maintain current staff resource levels, which is being worked through in customer journey report.</li> <li>Additional funding to provide temporary accommodation to ensure adequate emergency options are available to residents (completed)</li> <li>TA review looking at future housing options including buying more property which will offset longer term costs. (completed)</li> <li>More strategic approach to future housing strategy and delivery, including being confident to explore new and different options.</li> <li>Manage housing register more closely to reflect reality and demand alongside support.</li> <li>Long term move on plan for Ukraine residents in place.</li> </ol>	<b>Assistant Director of Individuals and Families</b>	<ol style="list-style-type: none"> <li>Staff resource in place by April 2023.</li> <li>In place from Oct 2022 (completed)</li> <li>Report due Nov/Dec 22(completed)</li> <li>Ongoing</li> <li>Ongoing.</li> <li>Ongoing..</li> </ol>	3	5	<b>15</b> 	<b>No</b>	<p><b>No change to risk score</b></p> <p>Report agreed in Q2, a project board and action plan will be set up in Q3 to take project forward. This measure now incorporates cost of living and Ukraine risks due to the main corporate risk to the Council from both these issues is the increased demand on housing services which this risk covers</p>

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								7. Cost of living demand monitored.							
Protecting and improving our natural and built environment, whilst maximising quality of life / Growing the Economy	<b>SNC P2</b>	<p><b>Risk-</b> The inability to find Gypsy and Traveller sites to meet the need and enable the Greater Norwich Local Plan to be found sound</p> <p><b>Consequence-</b> The local plan will not be found sound which leaves the Council without an adopted local plan and open to speculative development</p>	Working with Greater Norwich partners to identify appropriate G&T sites.	4	5	<b>20</b>	<b>Reduce</b>	1. Continue to work with partners to find suitable sites	<b>Assistant Director Planning</b>	1. Ongoing	2	5	<b>10</b> ↓	<b>No</b>	<b>Risk score reduced from 15 to 10</b> 1. G&T sites proposals are expected to be agreed for consultation by the end of January. Inspectors have accepted Partnerships proposed process which should enable adoption in or around Q4 2023/24.
Supporting individuals and empowering communities	<b>SNC S15</b>	<p><b>Risk - As a</b> consequence of the cost of living crisis, there may be a significantly increased demand for council services</p> <p><b>Consequence -</b> This could lead to service areas becoming overwhelmed meaning the council is unable to support residents in need with both statutory and discretionary support.</p>	<p>One Team staffing resource provides resilience</p> <p>A programme manager is in post to manage the council's humanitarian and community response to the cost-of-living crisis.</p>	4	5	<b>20</b>	<b>Reduce</b>	1. We are currently looking at options to maintain supernumerary staffing levels in the housing team utilising external funding, to support possible Ukraine placement breakdowns. 2. An options appraisal on methods to provide for the projected levels of required temporary accommodation sustainably is being conducted. 3. We are proactively targeting and prioritising support for those	<b>Assistant Director Individuals and Families</b>	1. Q4 2022 2. Q4 2022 3. Ongoing 4. Ongoing	3	4	<b>12</b>	<b>No</b>	<b>This risk is folded into SNCSI4. Whist cost of living remains an issue, the strategic risk to the Council is increased demand on housing services</b>

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								estimated to be most greatly affected by hardship using council data (the 'LIFT' - Low Income Family Tracker) 4. The council officer team is providing place leadership to partners to ensure complementary and effective collective use of resources in other statutory and voluntary sector agencies.							

### De-escalated/closed risks in 22/23

Risk Ref	Reason risk was de-escalated/closed	Quarter risk was de-escalated/closed
SNC A1 Risk - Our ICT Infrastructure fails due to running old infrastructure at near capacity with intention of increasing the load. Delay in our new Infrastructure project due to global shortage in switches.	Risk was closed due to mitigating actions being implemented.	Quarter 1 22/23
SNC SI1 Risk - The Council is unable to respond effectively to further waves of the Covid-19 Pandemic.	Risk was de-escalated to People and Communities Directorate Risk Register as it is within our risk appetite.	Quarter 1 22/23
SNC GE3 Risk - Failure to provide a regulatory function that meets the demand and statutory requirements arising from a fast-changing external environment. Big resignation, labour market is shrinking, employee driven labour market.	Risk de-escalated to the Place Directorate Risk Register as the risk score is within our risk appetite.	Quarter 3 22/23