

AUDIT, RISK AND STANDARDS COMMITTEE



URN:

Report Title: Corporate Risk Register

Report to: Management Team

Audit, Risk and Standards Committee

Date of meeting: 10 July 2023

Responsible Director / Officer: Corporate Risk Officer

EXECUTIVE SUMMARY / INTRODUCTION

This report asks the Audit, Risk and Standards Committee to review the Corporate Risk Register to determine whether the register correctly reflect the risks affecting the Authority.

RECOMMENDATIONS:

It is recommended that the Audit, Risk and Standards Committee review the latest Corporate Risk Register.

1. Introduction

- 1.1 The Audit, Risk and Standards Committee is responsible for monitoring the arrangements in place for the identification, monitoring, and management of strategic and operational risk.
- 1.2 The Audit, Risk and Standards Committee last reviewed the register in January 2023.
- 1.3 This report informs the Audit, Risk and Standards Committee of the current corporate risk position.

2. Work to Date / Proposal

- 2.1 The Corporate Risk Register was last reviewed by Management Team in June 2023.
- 2.2 The risk matrix below shows how the risks identified in the Corporate Risk Register are distributed. There are currently 28 risks included on the Corporate Risk Register. The risks considered to be outside the Councils risk appetite have action plans in place to mitigate or reduce the risk. The risks that fall within the risk appetite or acceptable have action plans in place to reduce the risk further.
- 2.3 Since presenting the Corporate Risk Register to the Audit, Risk and Standards Committee in January 2023 there has been two new risks added to the register in response to the change in the governance arrangements from the committee system to cabinet and one in relation to the new wholly owned company set up to deliver the services previously delivered by Great Yarmouth Borough Services:

Two risks have been added to the register:

23 – Breach of Cabinet System

25 – Management and Monitoring of Subsidiary Companies

Two Risks have been removed from the register:

- Emergence of new strain of Covid
- Creation of Local Authority Subsidiary Company for Operational Services - Great Yarmouth Services Limited

RISK MATRIX

Likelihood	5			7b – Cyber Security 5b – Impact of inflation rise	
	4		3 – Incident Management - Flood Risk 18b – Sufficient resources and resilience to ensure effective contract management 20 – Tree, open and play spaces Management	5a - Local/National Economy 12a – Workforce Capacity 22 – IT systems capability and interaction	1 – Financial Stability 4b – Coastal Erosion
	3	19 – Change Management	6 – Compliance with General Data Protection Regulations (UK GDPR) 7a - Information Security 8 - Data quality 11 – Management of Major Projects 12b – Capacity and Resilience of the Control Centre 13 – Changes in government policies 16 - Infrastructure not being able to meet demand 21 – Loss of Reputation 23 – Change to Cabinet System	17 - Business improvement in the major leisure facilities under delivers 18a – Sufficient resources and resilience to ensure effective procurement 26 – Failure to reduce Carbon footprint / failure to embrace sustainability and mitigate the impact of climate change 27 – Confidential Risk 28 – Confidential Risk	2 – Cost of Living Crisis 4a– Flood and Coastal Management 17 – BT upgrade network & Caister exchange upgrade
	2		9 - Event Management – for large scale events held in the Borough 24 - Gaps in Insurance cover - insurers reducing cover in place with the result that Council assets may not be adequately covered	10a - Business Continuity 14 - Delivery of long-term strategic objectives 15 - Lack of community cohesion / community tensions 25 – Management and Monitoring Subsidiary Companies	10b Business Continuity – National Power Outages 10c – Business Continuity – Rolling Power Outages
	1				
	1	2	3	4	5

Impact

Likelihood – 5 Very Likely, 4 Likely, 3 Fairly Likely, 2 Unlikely, 1 Very unlikely

Impact – 5 Severe, 4 Significant, 3 Moderate, 2 Minor, 1 Negligible

Risk Rating Actions:

Very High 20 - 25	Risk outside risk appetite. Action required to reduce rating to an acceptable level
High 10 - 16	Risk outside risk appetite. Action required to maintain or reduce rating.
Medium 5 - 9	Acceptable with some mitigating and contingency planning. Routine reviews should be carried out to ensure there is no change which makes them more severe
Very Low 1 - 4	Within risk appetite but kept under review. No further action required unless risk become more severe

3. Impact / Next Steps

- 3.1 The Corporate Risk Officer will present the Corporate Risk Register after its next review by Management Team in six months.

4. Financial Implications

- 4.1 See attached Corporate Risk Register.

5. Risk Implications

- 5.1 See attached Corporate Risk Register.

6. Legal Implications

- 6.1 See attached Corporate Risk Register.

7. Conclusions

- 7.1 The Corporate Risk Register currently reflects the risks affecting the Authority and where applicable action plans have been put in place to reduce the current scores and risk affecting the Authority.

8. Background Papers

Areas of consideration: e.g. does this report raise any of the following issues and if so how have these been considered/mitigated against?

Consultations	Comment
Monitoring Officer Consultation:	
Section 151 Officer Consultation:	
Existing Council Policies:	
Equality Issues/EQIA assessment:	



CORPORATE RISK REGISTER

Risk Rating Actions:

Very High 20 - 25	Risk outside risk appetite. Action required to reduce rating to an acceptable level
High 10 - 16	Risk outside risk appetite. Action required to maintain or reduce rating.
Medium 5 - 9	Acceptable with some mitigating and contingency planning. Routine reviews should be carried out to ensure there is no change which makes them more severe
Very Low 1 - 4	Within risk appetite but kept under review. No further action required unless risk become more severe

Last Review:	CRG May 2023	Audit, Risk & Standards July 2023
Review Date:	July 2023	
Review By:		

Impact and Likelihood Matrix Explanation
Risks are rated by two factors:
IMPACT - the impact to the business of the identified risk should it be realised
LIKELIHOOD - the likelihood that a risk will become a business issue

		IMPACT OF RISK				
		1	2	3	4	5
		Negligible	Minor	Moderate	Significant	Severe
LIKELIHOOD OF RISK	5	Very Likely	Medium 5	High 10	High 15	Very High 20
	4	Likely	Very Low 4	Medium 8	High 12	Very High 20
	3	Fairly Likely	Very Low 3	Medium 6	High 9	High 15
	2	Unlikely	Very Low 2	Medium 4	Medium 8	High 10
	1	Very Unlikely	Very Low 1	Very Low 2	Very Low 3	Medium 5

DIRECTION OF TRAVEL	
↔	No change to current risk rating
←	Current risk rating has reduced
→	Current risk rating has increased

Risk ID No	Risk	Risk Owner	Description of Risk	Impacts	Action Plan	Current Rating			
						Likelihood	Impact	Risk Rating	Direction of Travel
1	Financial sustainability	ELT	Unknowns about the future funding for Local Government including the operation of the business rates retention scheme	Inability to effectively plan for the medium to long term	Review of the Medium Term Financial Strategy when the outcomes of the Fair Funding Review and review of the Business Rates Retention Scheme are announced.	4	5	20	Very High
			Longer term reliance on reserves not sustainable	Unplanned reductions to services and quality of delivery	Continued review of reserves and balances to manage cashflow, unexpected events and use of reserves to deliver longer term benefits				↔
			Increased volatility from external funding including business rates and council tax	Annual budgets exceeded and greater reliance on the use of reserves Resources diverted from services	Continued maintenance of the Medium Term Financial Strategy and delivery of the themes of the business strategy Member workshops and engagement as part of the budget and MTFs preparations				
			Reduced income from Joint Ventures	Annual savings and new income streams not achievable	Monitoring and scrutiny of all JV operations and Subsidiary Companies				
			Significant reduction in Central Government funding	Changes to existing income streams	Continue to pro-actively respond to central government funding consultations				
				Recyclable tonnage income / fail to get good rates for product	Active member of the Norfolk Waste Partnership (NWP)				
			Reduced income from recycling credits	Lack of market for recyclates					



Risk ID No	Risk	Risk Owner	Description of Risk	Impacts	Action Plan	Current Rating			
						Likelihood	Impact	Risk Rating	Direction of Travel
				Removal or changes to recycling credits Increased funding to support NEWS and MRF Inability to deliver strategic objective	Levelling up funding and possible constraints due to current economic climate				
2	Cost Of Living Crisis	ELT	Reduction in spending / budget decisions of partner organisations Consultation around spending reduction Housing related support cuts Devolution	Unfunded activity / funding opportunities Resources diverted from services Services have to be reduced / withdrawn Inability to deliver strategic objectives Increased demand placed on borough council services Unmet demand	Working with partners to redesign and streamline service delivery / share resources Working together to build capacity of communities Understanding and responding to proposals Understanding funding requirements and protecting spend	3	5	15	High ↔
3	Incident Management - Flood Risk	Head of Environment and Sustainability, Head of Property & Asset Management, Executive Director - Major Projects, Head of Growth & Capital	Potential of flooding and tidal surge event in the short term and long term More frequent flooding and tidal surges due to climate change Failure of flood barriers Surface water flooding	Disruption of commercial activity Health and safety issues Inability to deliver services Additional demands on resources to undertake post event inspections and repairs to coastal assets Potential of additional support from the Council adding to the demands of the team	Emergency Response Plan / Recovery Plan Emergency Response Plan. Numbers of rest centre managers have declined and proving difficult to recruit replacements. Will impact capability to support rest centres if multiple sites are opened. Proposal being prepared on how best to recruit rest centre managers. Norfolk Strategic Flood Alliance established - emerging strategy under consideration. Action Plan in place. Monitor weather regularly / EA flood warning system. Communities at risk of flood given risk warnings and updates ahead of flood issues occurring Liaising and working with partners and other organisations / agencies Surface Water Management Plan - work underway with County to refresh	4	3	12	High ↔
4a	Flood and Coastal Management	Head of Environment and Sustainability, Head of Property & Asset Management. Executive Director - Major Projects & Head of Growth & Capital Projects	Failure of flood and coastal defences Major flooding and Tidal Surge event Sea Level Rise / Climate Change Deterioration of assets and changes in beach processes Extending the length of river frontage for which the Council have responsibility – current proposal of de-manning by the Environment Agency Limited availability for resources and finance for maintenance and repairs	Impact on economy and increased business development for the Borough Reducing economic potential for the area Impact on infrastructure across the borough Health and Safety Risk to life or loss of public or private property, infrastructure and assets Lack of resources to fund maintenance on watercourses transferred from EA control Loss of environmental asset Resources and financial implications to council for clear up	Working with businesses to improve awareness. Long term plan to review, repair and renew flood defences Facilitation of community groups to work with coastal areas in relation to adaptations Mott Macdonald Economic Business case is well established and agreed for river / flood defences to draw in/ attract funding Local Plan Part 2 - addresses relocation schemes & future development. emerging policy re: new development and flood risk adopted in December 2021 Long term plan to review, repair and renew flood defences – engaging with Coastal Partnership East and the Environment Agency. EA and Suffolk and Norfolk Resilience Forum EA funding - covers tidal and coastal Emerging Environmental Net Zero Strategy	3	5	15	High ↔

Risk ID No	Risk	Risk Owner	Description of Risk	Impacts	Action Plan	Current Rating			
						Likelihood	Impact	Risk Rating	Direction of Travel
4b			Increased costs in construction and recruitment Single point of failure	Reputational risk dependent in event drivers and also Council's reaction and actions to the event Resilience of teams significantly reduced due to response work Changes expectations of community and members	Managing reputation and media and comms across council Monitoring weather / surge reports and engagement with partners / agencies. Emergency response plans Defra funding				
	Coastal Erosion	Head of Property and Asset Management & Head of Environment and Sustainability	Erosion of cliffs and dunes Sea Level Rise / Climate Change Deterioration of assets and changes in beach processes Limited availability for resources and finance for maintenance and repairs Increased costs in construction and recruitment Members of the public are injured whilst on or near coastal asset or land Single point of failure	Impact on economy and increased business development for the Borough Reducing economic potential for the area Impact on infrastructure across the borough. Number of properties at immediate risk with further properties being lost in the short medium and long term Health and Safety - possible health implications Unsafe coastline resulting in danger of life and Loss of property, infrastructure and assets. People displaced and having to seek alternative accommodation, impacting on housing services Impact on visitors/tourism in area, with coastal paths/beach closed for safety purposes and unattractive coastline. Loss of environmental asset Resources and financial implications to council for clear up and service provisions / resilience of teams significantly reduced due to response work Reputational damage Changes expectations of community and members	There is currently very limited national assistance to facilitate adaptation and no duty for local authorities to fulfil this roll. However, Government Policy and the EA strategy now identify the need to adapt and transition Working with businesses to improve awareness Analysis of monitoring data to assist with identification of change and locations at risk with reporting of data with homeowners on current situation and ongoing liaison with property owners at imminent risk Facilitation of community groups to work with coastal areas in relation to adaptations Short term options for coastal erosion Emerging Environmental Net Zero Strategy Emergency planning framework in place to deal with major incidents Ongoing discussion with national government for assistance with adaptation and regular updating of erosion mapping. Development of approaches and investigation of funding approaches to enable resourcing for adaptation. Managing reputation and media and comms across council	4	5	20	Very High ↔
5a	Local/National Economy	CEO	Downturn in national / local economy Issue of Welfare Reform National Policy - changes to benefit - universal credit rolled out Supply chain shortages due to conflict Increased cost of living, fuel shortages, construction costs, materials, plant and resource availability and hyper inflation	Increased workload for Council staff (Benefits/ Economic development/ homelessness) Increase in bad debts Major projects put on hold and inability to meet requirements of capital programme Downturn in housing market Uncertainty lead to a downturn in economy	Strong local economy (town deal and future high street successful funding) Corporate planning Monitoring basket of key indicators Communications Strategy Great Yarmouth Economic Growth Strategy review Monitoring current inflationary pressures	4	4	16	High ↔
5b	Impact of inflation rise	Management Team	Increased demand for Council services Increased food costs Increased costs for goods and services	Increased costs, increased demand for services, scarcity of labour, scarcity of goods and supplies or other operational impacts which impair the Councils ability to deliver services for people within the borough Community unrest Increased Joblessness and Homelessness	Budget monitoring and project forecasting - review all budgets and project contingency Homelessness funding	5	4	20	Very High ↔

Risk ID No	Risk	Risk Owner	Description of Risk	Impacts	Action Plan	Current Rating			
						Likelihood	Impact	Risk Rating	Direction of Travel
			Financial hardship cases due to energy cap and rising in energy and food costs / loss of household income		Government support and funding / Household Support fund				
6	Compliance with UK General Data Protection Regulations (UK GDPR)	Management Team	Data breaches of personal information	All staff must comply with the new regulations from 25th May 2018. Data Protection Policy, Data Protection Impact Assessment Policy & Record Management Policy must be reviewed annually and updated where necessary. All requests for information must contain a Privacy Notice or a link to a Privacy Notice on our website	Publication Data Protection Policy and creation of Records Management Policy, Data Impact Assessment Policy and Breach Notification Procedure. Quarterly reports to ELT on data breaches and highlighting any serious breaches.	3	3	9	Medium
		Head of Legal & Governance	Staff not completing their Data Protection training	Fines and costs	GDPR training provided to all staff and members and repeated annually. GDPR training also forms part of new starter induction. HR required to be informed of any recruitment to add to eLearning system and all temporary staff and consultants required to complete training				↔
		Executive Director - Resources	Some computer systems are not compliant with the new regulations regarding data deletion	Reputational damage / bad publicity resulting from Data Breaches	Procurement process has begun to replace or upgrade the non compliant computer systems. As part of this data records will be reviewed and those outside of their retention securely deleted				
		Management Team	Records outside of their retention are retained at various offsite locations	Insurance claims	A methodical review of offsite records has commenced, this is being carried out in a controlled manner with the support and oversight of the Data Protection Officer. Work in this area has had to be paused due to the Covid pandemic, redeployment of staff and lack of resources. Work commenced to progress in April / May 2023 with the aim of completing by end of October 2023.				
		Management Team	Capacity to undertake data cleansing and deletion.		Agile working policy covers / considers working from home and data protection.				
7a	Information Security	Management Team, IMT Manager & Head of Legal & Governance	Good management, protection of information	DWP refuse to correspond with GYBC electronically. Loss of capability to handle Housing Benefits and other issues	Security Policy and Digital Strategy. Information Security manager in post	3	3	9	Medium
			Number of cases of lost information by public and private bodies Need to attain criteria set by government to retain information flow with DWP (Department Works Pensions)	Information lost/mislaid therefore loss of reputation and potential legal claim	PSN Compliant / Accepted by DWP computer security (PSN) – Annual renewal Realisation that information includes paper, people and computer Monthly Governance Board meetings - data sharing policy with NHS to share NHS and GP data. Further works to comply with NHS data security tool kit				↔
7b	Cyber Security	Management Team, IMT Manager & Head of Legal & Governance	Cyber threats upon the Council's systems - data / systems hacked	Data could be shared for criminal use etc. Breaches of GDPR and non-compliance with policies and procedures	IT security procedures and IT security policy. Ensuring third parties security measures meets required standards. Investigation / follow up process into Cyber breaches internally and externally	5	4	20	Very High
			Increase cyber attach treat due to current conflict in Ukraine	Loss of IT Systems and Loss of Information	LGA Grant for Cyber Security and Cyber training				↔
			Services not recovered within reasonable timescale due to inadequate business continuity plans or loss of resilient capacity	Unable to deliver basic business services. Inability to recover to agreed service levels within agreed timescales	Information Technology Investment Group / Risk is a standing item on the agenda				
			Third Party supplier security meets required standards	Financial implications	Annual Cyber Security Health check undertaken by NCC				
8	Data quality	Management Team, IMT Manager & Head of Legal & Governance	Records not maintained accurately or securely	Inaccurate data used for decision making	IT security procedures and IT Security Policy Data Management & Data quality action plan and Data Cleansing	3	3	9	Medium ↔

Risk ID No	Risk	Risk Owner	Description of Risk	Impacts	Action Plan	Current Rating			
						Likelihood	Impact	Risk Rating	Direction of Travel
9	Event Management - for large scale events held in the borough by a third party on Council Land	Head Marketing & Communications	Failure of event / duty of care	Cancellation / suspension of event	ESAG Group (Police, Highways, Ambulance Service, Fire Service, Coastguard and key GYBC staff), ESAG website and ESAG email address - ensure that we work together effectively through the ESAG structure to support the planning of large scale events and ensure we respond effectively if anything goes wrong	2	3	6	Medium
		Head of Environment and Sustainability Head of Property and Assets		Major incident Reputational damage / bad publicity	Event Management Plan, Event Guidance and Guide to Councillors Member & Officer Groups Involvement / consultation of key officers. External support to assist with the delivery of major events Engagement of stakeholders Online Event Notification form and centralised mailbox				↔
10a	Business Continuity	Management Team	Loss of facilities (flooding, fire etc) Loss of IT systems Loss of reputation Loss of staff time and system functionality Loss of staff (fuel strike, industrial action, single point of failure etc) Loss of temporary accommodation provider Ukraine war Energy outages / Fuel Strike	Service delivery impaired Inability to pay creditors/benefits Relocation of services Resilience of teams significantly reduced due to response work Range of providers	Business Impact Assessments / 3rd Party Service Agreement Information Technology Investment Group The Loop - web-based programme and external provider Insurance Capability exists for staff to work from home and support key services Additional resource from NCC and monthly meetings with NCC to discuss SLA Business Continuity plans updated to included Agile Working The UK have a range of reliable sources for oil imports. The UK is a significant producer of both crude oil and petroleum products, and holds oil stocks in the unlikely event of a major oil supply disruption. The Government has contingency plans in place to mitigate residual risks.	2	4	8	Medium ↔
10b	Business Continuity - National Power Outages	Management Team	Severe weather disrupting power transmission	7 days to recover -disruption to communications, vulnerable residents, community care, loss of key services and impact on NHS	The government undertook a programme of exercises at LRFs and a national exercise in March 2023 The NRF managed a local workstream to understand how to address the key risks (communication, vulnerable residents, community care, how to manage a response without communications, loss of key services, NHS) alongside the national exercise. GYBC resilient office identified at Wherry Way, recommendations made to implement emergency comms, refuelling process for generator and updated access for response staff. Paper prepared for Management Team with recommendations. Once approved recommendations will be implemented including response plan and training. NRF resilience group created comms process	2	5	10	High ↔
10c	Business Continuity - Rolling Power Outages	Management Team	Rolling Power outages due to cold winter and disrupted supply	Disruption to community care, communications, emergency response and key services	Multi agency response to support the community Business Continuity template reviewed to include section on power loss	2	5	10	High ↔

Risk ID No	Risk	Risk Owner	Description of Risk	Impacts	Action Plan	Current Rating			
						Likelihood	Impact	Risk Rating	Direction of Travel
11	Management of Major Projects	ELT	<p>Failure to deliver project or project overspend / over running</p> <p>Resourcing and capacity - failure to deliver project and obtain funding</p> <p>The impact of increases to inflation, current issues with the supply chain and material prices e.g. steel, could have an impact on the delivery of key projects and contingency budget</p> <p>Reduced opportunities to effectively manage and achieve financial requirements of assets.</p> <p>Funding withdrawn due to programme delays</p> <p>Project governance not in place</p> <p>Failure to comply with funding agreement / conditions</p>	<p>Cancellation / suspension of project</p> <p>Reputational damage / bad publicity</p> <p>Financial impact on Council to ensure delivery of programmes and projects including affordability in medium/long term.</p> <p>Failure to met regeneration</p> <p>Failure to met government and other external funders guidelines for spending / reduced or cancellation of funding</p>	<p>Involvement / consultation of key officers</p> <p>Strengthen project management internally and external project support for the management of significant project</p> <p>Business Case and Risk Register / risk logs completed, monitored and updated. Review of contingency budgets and plans</p> <p>Suite of documents created for setting up &, delivering and monitoring projects. Agreed governance structure for management of project</p> <p>Guidance on how to access assistance from Project Team and relevant service areas consulted at the outset</p> <p>Dedicated officer to manage the risk / issue and governance of all projects going forward, which can be followed / implemented by other team members.</p> <p>Understanding funding requirements and protecting spend</p> <p>Strong local economy</p>	3	3	9	Medium ↔
12a	Workforce Capacity	Management Team	<p>Departure of key individual</p> <p>Insufficient staff to undertake work / single point of failure</p> <p>Difficulty of recruitment / failure to recruit staff of suitable expertise and calibre</p> <p>Skills shortage / gaps in knowledge</p> <p>Staff workload levels increased due to impact of responding to major incident and maintaining business as usual.</p> <p>Lack of resource to deliver Health & Safety</p> <p>Failure to comply with Health & Safety legislation and corporate approach not consistently applied</p>	<p>Skills lost</p> <p>Negative impact on capacity of other staff</p> <p>Lack of delivery of service objectives</p> <p>Buying in of consultancy/temporary staff</p> <p>Fines and costs</p> <p>Increased demand for services and scarcity of labour / Delays in delivery of services</p> <p>Increased sickness absence</p> <p>Reduced productivity</p>	<p>Recruitment drive to fully staff and up resource new programmes of work</p> <p>BC Plan for single points of failure</p> <p>Workforce Planning - Organisational Development Plan, personal reviews and succession planning</p> <p>Business Strategy</p> <p>Agile working Policy. Emerging Health and Wellbeing Flexible Working Policy</p> <p>Monitoring of workload of staff at service, team and individual level. Additional short term staff resource (where possible) / Prioritisation of tasks / Risk Based approach</p> <p>Creation of Health & Safety Co-Ordinators. Partnership arrangements for Resilience Officer to improve resilience in these key areas. .</p> <p>Employee Support Scheme and other wellbeing support</p> <p>Maximisation of external funding to support service delivery</p>	4	4	16	High ↔
12b	Capacity and Resilience of the Control Centre	Executive Director - People & Head Of Strategic Housing	<p>Loss of staff due to sickness and resignation to deliver Control Centre Service and Out of Hours Service</p>	<p>Insufficient staff to deliver the service safely.</p> <p>Shifts left uncovered</p> <p>Emergency alarm calls go unanswered, risk to health and life of residents reliant on the service.</p>	<p>Cover from within existing team, however not sustainable owing to high staff absence.</p> <p>Recruitment to fully staff. Training will be required to be provided to those recruited</p> <p>Temporary short-term cover from wider housing team with previous knowledge of the service.</p>	3	3	9	Medium ↔

Risk ID No	Risk	Risk Owner	Description of Risk	Impacts	Action Plan	Current Rating			
						Likelihood	Impact	Risk Rating	Direction of Travel
				Pressure on health, social care & welfare services Issues with equality of access to services Increased crime rates and an increase in hate crime	Targeted work with the police and other partners to address new and emerging issues relating to housing enforcement, domestic abuse, community tensions and ASB Household Support Fund Community Marshal Team - to support GYBC and other Partners within the locality board with out reach work for health and equalities Community Champion Programme and Community Voices - multi cultural and faith network - monthly meeting talking shop to understand issue in the community				
16	Infrastructure not being able to meet demand	Head of Growth & Capital Projects & CEO	New development (commercial and housing)	Increased traffic congestion Lack of services (education/health/social) Stalling of further investment Compliance with Natural England requirements that development in some catchments cannot proceed if it increases levels of nutrients. Development can only proceed if 'nutrient neutral'.	Local Plan / Infrastructure Plan Ongoing engagement with partner organisations for funding e.g. New Anglia LEP, National Highways, Clinical Commissioning Group, Anglian Water, Environment Agency, Norfolk CC etc Local Plan Core Strategy adopted and Local plan Part 2 adopted GY Transport & Infrastructure Steering Group established and meet regularly Part of Norfolk Growth Group to discuss infrastructure issues across county & strategic planning framework	3	3	9	Medium 
17	BT upgrade network from analogue to digital by 31st December 2025 Caister exchange due to be upgraded 2nd August 2022 https://www.openreach.com/upgrading-the-UK-to-digital-phone-lines	Executive Director - People & Head Of Strategic Housing	Community Alarms 600 wired analogue alarms deployed in the borough of which 70 are in Caister. Unclear whether analogue alarms plugged into a hub will work plus hubs do not have battery back-up. Demand for digital alarms outstripping current supply for some providers. Plus, issues with suppliers obtaining some components required to manufacture the alarms make obtaining alarms difficult. Sheltered Housing 33 sheltered sites totalling 945 properties that rely on analogue phone lines for the hard-wired warden call system. Two sheltered sites in Caister totalling 70 properties. The central dialler (Rack) on each of the 33 sites will need upgrading including installing battery back-up to ensure the service can be maintained. GYBC Housing Stock and Council Buildings	Risk of emergency alarm call failing when the client presses the alarm in an emergency to request help. Assistive technology connected the alarm would also not work. Risk to client's health and wellbeing. Reputational risk, leading to a decline in cut in the service will impact revenue as number of clients could decline.	Capital bid to purchase additional units over 2-year period to replace all wired analogue alarms. Waive standing orders to procure direct from a framework. Both Chiptech Go and Legrand are on the ESPO framework. The council deploys only digital GSM alarms now, which work off the mobile network and have built in battery back-up of 36 hours. Write to community alarm customers in the Caister area advising of the planned BT upgrade and support that the service can provide. Prioritising Caister to replace wired analogue alarms with GSM digital alarms as more become available. Temporary staff resource to support with distribution of the new digital GSM alarms Access to the BT Stop Sell list which lists the areas that are digital and where BT will Stop providing analogue lines and instead Sell fibre. Capital bid to upgrade sheltered housing racks. Trialling digital alarms from an alternative provider, with a view to placing an order. This provider has more stock availability than the current provider	3	5	15	High 

Risk ID No	Risk	Risk Owner	Description of Risk	Impacts	Action Plan	Current Rating			
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		Head of Property and Asset Management	Emergency phonelines in lifts rely on an analogue phone line	If power goes out there is a risk that any one trapped in a lift may be unable to use the dedicated alarm call to raise a call to allow them to be rescued and communicate with the Control Centre pending their rescue	City Fibre meeting to improve infrastructure in the borough				
18a	Sufficient resources and resilience to ensure effective procurement.	Head of Legal & Governance (Monitoring Officer)	Corporate procurement approach not consistently adopted Services delivered on behalf of the Council not provided as expected by large/significant contracts / partnerships	Benefits of procurement strategy not realised Efficiency savings not made or contract fail Procured service not value for money / poor Ensure compliance with legislation / regulations and Councils processes and procedures Adverse impact on service delivery and consequential publicity and reputational damage Statutory requirements not met	Engagement of Procurement Specialist consultant Adherence to new Contract Standing Orders Procurement Strategy has been updated and partially implemented - training and awareness how we can build additional objectives and values and development of guidance on The Loop Procurement Strategy has been updated and partially implemented - training and awareness how we can build additional objectives and values etc Management Team training to be delivered on new procurement bill and appropriate use of frameworks Publication of transparency requirements for procurement of contracts and internal publication. Review of contract management and procedures.	3	4	12	High ↔
18b	Sufficient resources and resilience to ensure effective contract management	Management team	Failure to managed contract performance and corporate approach not consistently adopted Contracts not managed / used to full potential and financial benefits not received by the Council Contracts not able to be terminated / reviewed before contract end date Contractor / business failure unable to deliver contract	Increase budgets Contract disputes / Partners not engaged and bad relations Penalties and costs Reputational damage if not managed effectively Services not delivered efficiently	Staff training and guidance on The Loop Consistent management and publication of Contract Register. Review of Contracts Register to ensure accurate and up to date Contract standing orders contains a section on Contract Management Performance monitoring and reporting to ensure good service quality and better value for money Appropriate governance principals and risk management in place - Risk Register Consideration of dedicated contract management roles within services to improve accountability & capacity for managing major contracts. Role of contract manager defined. Increased ownership and accountability on officer leading on particular contract. Ensure lead officers on contract are supported and given mechanisms to manage contracts effectively	4	3	12	High ↔
19	Change Management	Head of Organisational Development	Key changes managed ineffectively	Service delivery is affected during implementation Staff resource needed to undertake review Council fails to capitalise on opportunity Targets not achieved Funding is missed	Business Strategy and Change Management Policy Application of a formal programme management framework Monitoring of project plan Ongoing assessment of the project risks Organisation Development Plan	3	2	6	Medium ↔

Risk ID No	Risk	Risk Owner	Description of Risk	Impacts	Action Plan	Current Rating			
						Likelihood	Impact	Risk Rating	Direction of Travel
				Resources wasted Significant increase in construction costs, materials, plant and resource availability and hyper inflation Loss of key staff & staff morale	Departmental Managers Meetings Equalities and Diversity Inclusion Strategy and delivery Plan Staff Engagement Group and programme				
20	Tree, open and play spaces management	Director of Operational Services, Head of Environment and Sustainability & Head of Property & Asset Management	Failure to managed tree inspection and land management	Insurance claims and increased insurance premiums Clarity on ownership of land across the Borough Budget / maintenance requirements	A review of current inspection policy to ensure compliance with best practice To include all amenity land within the Concerto Asset Database to provide a comprehensive database of ownership. Tree Strategy currently being reviewed - trees are being inspected but policy needs to be reviewed and formally adopted by GYBC Trees for city funding - maintenance funding for three years and Market Place public realm funding	4	3	12	High ↔
21	Loss of Reputation	ELT / Head of IT, Marketing & Comms	Lack of transparency in decision-making process Factually incorrect or negative media reporting Inability to attract investment	Lack of trust from residents Loss of confidence from investors and key partners - project delivery Lack of sense of pride in the Place - don't managing flooding or finances	Clear and accurate Cabinet and Committee reports with recorded decisions available in the public domain Maintenance of a timely and effective relationship with representatives of the media/press. Clear communications plans in place to promote the council's Corporate Priorities & also for projects. Transparent stakeholder engagement incl. planning and evidence-gathering. Risk associated with joint ventures and other council funded partners. Understanding funding requirements and monitoring spend and delivery	3	3	9	Medium ↔
22	IT systems capability and interaction	Management Team IMT Manager	Some system will no longer be supported / maintained by the IT provider. Therefore has become unfit for purpose and causing service interruptions and issues	System costs are disproportionately costly based on functionality of system Upgrades costly Week in arrears - loss of possession cases due to the way information is held Service interruptions and issues - resource implications No document management - required to use two systems - increased risk of error Increase functionality Systems don't talk together Reduced productivity, increased timescales for completing tasks.	Aware of limitations of systems Procurement of new systems Internal processes to manage Using as effectively as can and aware of weaknesses Sub marketing testing Road map / action plan of systems to be addressed and detailed business cases presented for approval to the IT Investment Group Digital transformation and strategy Flexibility within home/office arrangements to minimise impact on productivity	4	4	16	High ↔
24	Gaps in Insurance cover - insurers reducing cover in place with the result that Council assets may not be adequately covered	Executive Director - Resources	Reduced level or removal of cover provided by insurers	Increased self insurance and insurance reserve	Updated MTFs to earmark funds for self insurance including re-allocations to the insurance reserve.	2	3	6	Medium

Risk ID No	Risk	Risk Owner	Description of Risk	Impacts	Action Plan	Current Rating			
						Likelihood	Impact	Risk Rating	Direction of Travel
			Inadequate or no insurance cover could have significant financial implications, dependent on the value of the asset and the extent of the damage / loss. Impact on increased financial risk to the Council due to the removal or reduced level of cover	Increased project costs	Annual review of insurance cover Consultation with insurers for all major projects / development and business activities				↔
26	Failure to reduce the Carbon footprint of the Council as an organisation and Housing Stock Failure to embrace sustainability and mitigate the impact of climate change	Executive Director - People & Head of Environment and Sustainability	Unable to effectively meet commitments identified with Carbon Reduction Plan including key milestones resulting in the Council not meeting its own carbon emissions target as being Net Zero by 2035. Not effectively encouraging communities, businesses and individuals to mitigate their own contribution to and adapt to climate change Not able to meet the council's commitment to reduce its carbon footprint and be at Net Zero by 2035. Unable to out in place internal initiatives & support external partners, local groups & community-led projects to positively impact on the Climate, Biodiversity and Waste Challenges set-out in the Great Yarmouth Sustainability Strategy	Negative impact on the Council's reputation Long term impact on the environment, economy, communities, biodiversity, health & wellbeing. Communities not supported effectively or encouraged to reduce carbon emissions Future benefits and opportunities to embed carbon reduction in supply chains not fully achieved. Negative impact on staff and member morale Negative impact on confidence of partners	Partnership working with other authorities and organisations via the Norfolk Climate Change Partnership (NCCP). Embed carbon reduction/Net Zero in all council policies, plans and procurements/supply chain Ensure adequate staff resources to co-ordinate and lead on direction of travel corporately. Climate Change Officer recruited - role to include monitoring of carbon footprint Increased flexibility of working procedures and review of policies including home working and remote meetings. Collaboration with staff and key stakeholders including working with New Anglia LEP and Norfolk CC. Joint member and officer groups to influence County decisions Increased understanding and working with communities and businesses via the facilitation of a Great Yarmouth Sustainability Forum. Strategic plans in development setting out actions and what is to be delivered Increased understanding and working with communities and businesses via the facilitation of a Great Yarmouth Sustainability Forum. GY Transport infrastructure group - drive to more sustainable transport - e-scooter, walking, cycling buses - drive to improve the network Great South East Net Zero - funded by central government - Working with public sector organisations and their stakeholders to support the development and financing of local energy projects Review of assets - feasibility study	3	4	12	High ↔
CONFIDENTIAL RISKS									
27						3	4	12	High ↔
28						2	4	8	Medium

Risk ID No	Risk	Risk Owner	Description of Risk	Impacts	Action Plan	Current Rating			
						Likelihood	Impact	Risk Rating	Direction of Travel
									↔
CORPORATE RISKS RECOMMENDED TO BE ADDED									
23	Breach of Cabinet System	Head of Legal & Governance (Monitoring Officer)	Decisions could be challenged Unlawful decision or key decisions not considered Underestimating a key decision Deadline and time table difficult to or not meet Misunderstanding of new system	Longer lead in time for reports Delay in decisions if deadline not met	Training provided to key staff and management Key decision procedure - explains what and how to do it. Report deadline included on forward plan published on SharePoint Scrutiny provided a check and balance element Re-design of website and new report templates Lessons learnt exercise to be undertaken to understand what has worked well and where improvements can be made.	3	3	9	Medium
25	Monitoring of Subsidiary Companies	ELT			Reports to Cabinet	2	4	8	Medium
25a	Equinox Enterprises Limited and Equinox Property Holdings Limited		Failure to comply with obligations to Council and meeting own statutory obligations Failure to communicate and consult with key stakeholders Failure to deliver service	Fines and costs Adverse impact on service delivery with consequential publicity and reputational damage. Increased budgets Reputational damage if not managed effectively Significant financial implications and statutory requirements not met.	Board meetings Monitoring of accounts and performance				
25b	Great Yarmouth Services Limited		Failure to comply with obligations to Council and meeting own statutory obligations Breach of Teckal regulations Failure to comply with legislation Failure to communicate and consult with key stakeholders Failure to deliver service	Fines and costs Adverse impact on service delivery with consequential publicity and reputational damage. Increased budgets Reputational damage if not managed effectively Significant financial implications and statutory requirements not met.	Governance structure - separation of duties Board meetings Reports to Cabinet Monitoring of accounts and performance				
CORPORATE RISKS RECOMMENDED FOR REMOVAL									
	Emergence of new strain of Covid	ELT	Impact on service delivery and residents Impact on acute and primary health	Disruption to service delivery including potential of staff absence and increased workloads	Agile working, ability to respond and reprioritise Booster programmes / NHS App deleted Collaborative working with key stakeholders	2	2	4	Very Low
	Creation of Local Authority Subsidiary Company for Operational Services - Great Yarmouth Services Limited	Executive Director - People & Director of Operational Services	Failure to comply with legislation Failure to communicate and consult with key stakeholders Failure to deliver service	Fines and costs Adverse impact on service delivery with consequential publicity and reputational damage. Significant financial implications and statutory requirements not met. Increased budgets Reputational damage if not managed effectively	Project Manager and HR Manager Appointed Various working groups created and meet on periodic basis / as and when required Quarterly meetings with trade unions Reporting to Committee and ELT Workstreams for branding - IT and Legal Consideration for resourcing required by GYBC to deliver contract Engagement of services for specialist advice some outstanding issues to resolve being looked at officer and company board level	2	4	8	Medium