

Corporate Risk Register

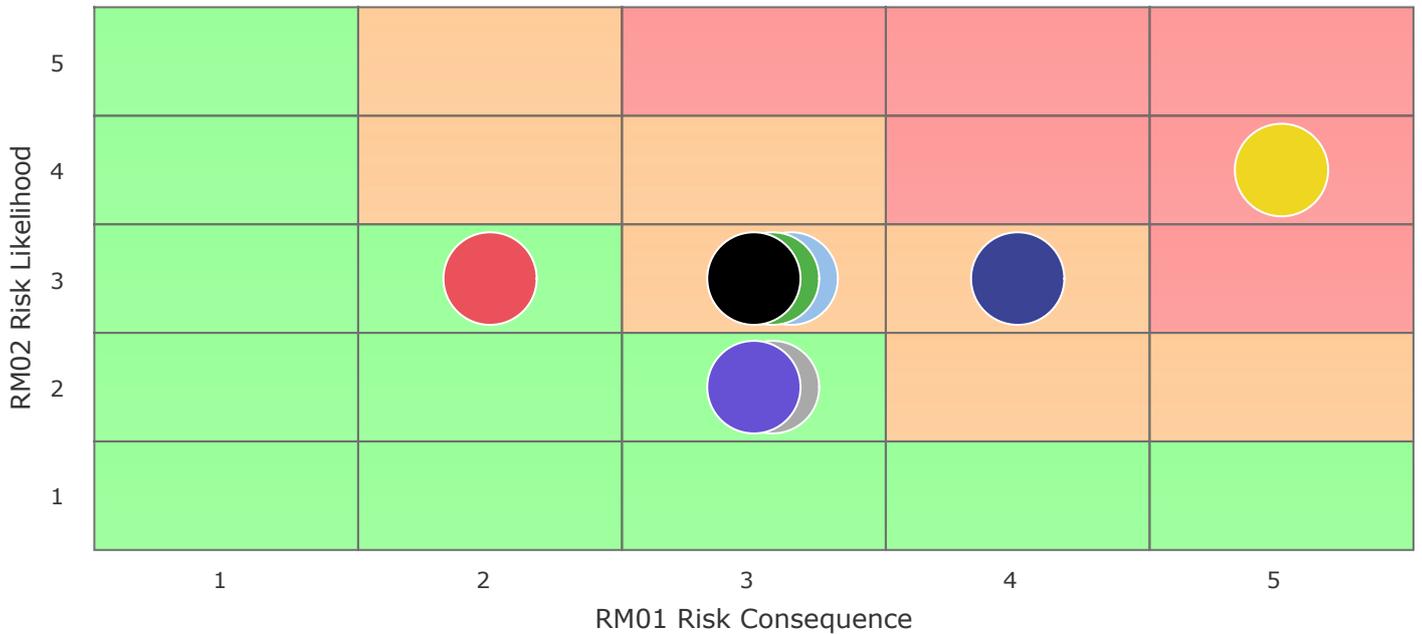
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Corporate Risk Register

Strategic Risk Matrix



- SR 001 Financial (including credit & counterparty)
- SR 002 Operational
- SR 003 Macroeconomic
- SR 004 Strategic
- SR 005 Environment & Social
- SR 006 Governance
- SR 007 Reputation
- SR 008 Corporate project related risks

Corporate Risk Register (CRR) overview update for Governance, Risk & Audit Committee (GRAC) – September 2022

The last update to the Risk Management Policy and Framework was approved by the Governance, Risk and Audit Committee (GRAC) in June 2020 and will be reviewed and updated over the next few months and reported to GRAC at its meeting in March 2023.

The policy sets the framework for the Council's Corporate Risk Register (CRR) which monitors and tracks the Council's most significant risks. Responsibility for coordinating the CRR and the risk management framework currently sits jointly with the statutory officers.

The Council's approach to risk, its risk appetite and risk tolerance has a significant part to play in terms of supporting both the Corporate Plan and the Medium Term Financial Strategy (MTFS). Without a robust risk management framework, the Council is at risk of failing to deliver its corporate objectives and meeting its financial targets required to ensure we have a sustainable financial position in the future.

The levels of risk which the Council is willing to accept will have a direct bearing on the types of projects that Members are willing to take forward. The Council's financial position remains quite healthy at the present time. However, the current high level of inflation and the implications this has in terms of cost control, particularly in respect of construction projects, energy costs and pay settlement, alongside growing demand for services and potentially reduced income, will require careful monitoring in the short to medium term.

Risk scoring key

Corporate Risks

Each corporate risk (a similar matrix is used for service risks) will be assessed against the following criteria:

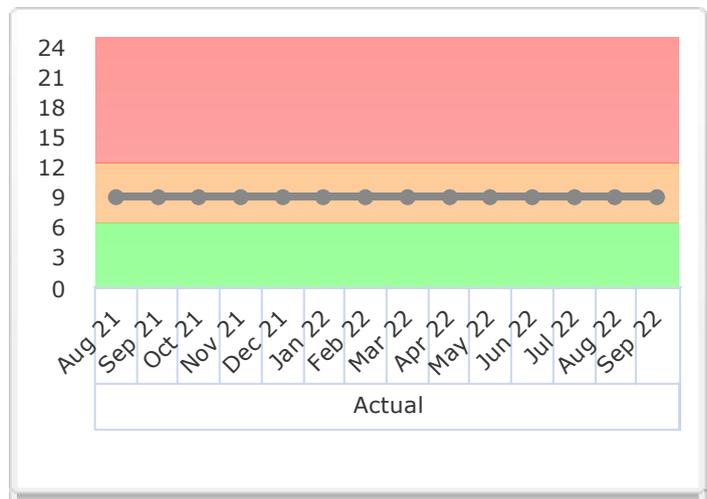
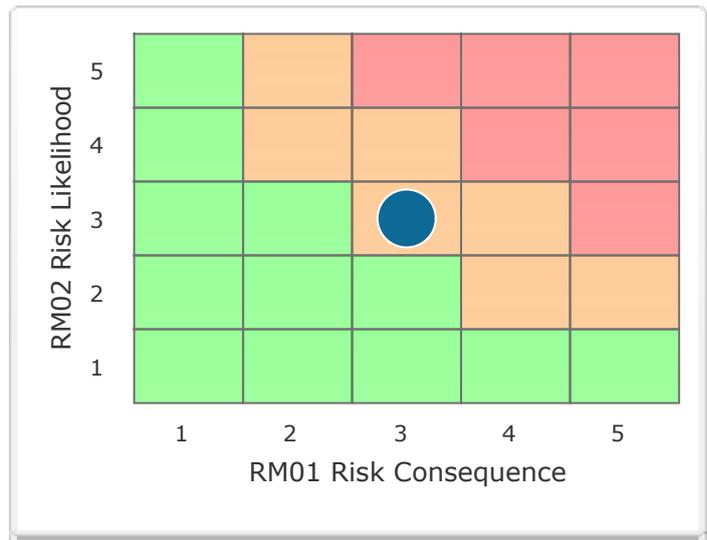
Impact Type	Catastrophic 5	Critical 4	Moderate 3	Marginal 2	Negligible 1
Objectives	The key objectives in the Corporate Plan will not be achieved.	One or more Key Objectives in the Corporate Plan will not be achieved.	Significant impact on the success of the Corporate Plan.	Some impact on more than one Service.	Insignificant impact on more than one Service.
Financial Impact (Loss)	Over £1.5m	£500K - £1.5m	£300K - £500K	£20K - £300K	£0-20K

Likelihood ratings and dimensions are tabled below:

Grade	Likelihood	Probability	Timing
5	Very High	Over 90%	Within six months
4	High	60 - 90%	Within a year
3	Moderate	40 - 60%	Within 1 to 2 years
2	Low	10 - 40%	Probably within 15 years
1	Very Low	below 10%	Probably over 15 years

SR 001 Financial (including credit & counterparty)

Responsibility	Resources
Risk Description	<p>FINANCIAL: related to the financial position and investment of the Council's assets and cash flow, market volatility, currency etc. Credit and Counterparty: related to investments, loans to institutions and individuals and counterparties in business transactions.</p> <p>Risk - that the Council's expenditure in a financial year is likely to exceed the resources (including sums borrowed) available to it to meet that expenditure.</p> <p>Effect - the Chief Finance Officer has to issue a Section 114 report to Full Council to report an unbalanced budget.</p>
Risk Category	<ul style="list-style-type: none"> ■ A Financial ■ C Credit and counterparty
Risk Response	Treat



Latest Update

		31/08/2022
SR 001 Financial (including credit & counterparty) : Status	Score	9.00
	Target	4.00
	Performance	●
	Direction of change	➔
	Comments	<p>The 2022/23 budget and Medium Term Financial Strategy (MTFS) were approved by Full Council on 23 February 2022 including the final ratification and agreement of council tax levels.</p> <p>The Bank of England base rate has now increased to 1.75% and the impact of these changes on the Council's investment returns will be assessed.</p> <p>Similarly the cost of inflation has risen to circa 10% and will see cost pressures for the authority rise in respect of pay settlement, energy cost rises and other commodity purchase. This may also impact significant contracts. These pressures will also be kept under regular review and reported with mitigation quarterly.</p>

31/08/2022

SR 001 Financial (including credit & counterparty) : RM01 Risk Consequence	Score	3
	Target	2
	Direction of change	➔
SR 001 Financial (including credit & counterparty) : RM02 Risk Likelihood	Score	3
	Target	2
	Direction of change	➔

SR 001 Financial (including credit & counterparty)

Associated Corporate Risks

		31/08/2022
CR 015 Medium Term Financial Plan : Status	Score	12.00
	Target	4.00
	Performance	●
	Direction of change	➔
	Comments	The budget setting process for 2023/24 has started and this will reflect changes to costs and income as a result of inflation and other pressures. We are anticipating a 2 year local government funding settlement. However, this will not be known until around December 2022.

Control, Contingency & Mitigating Actions

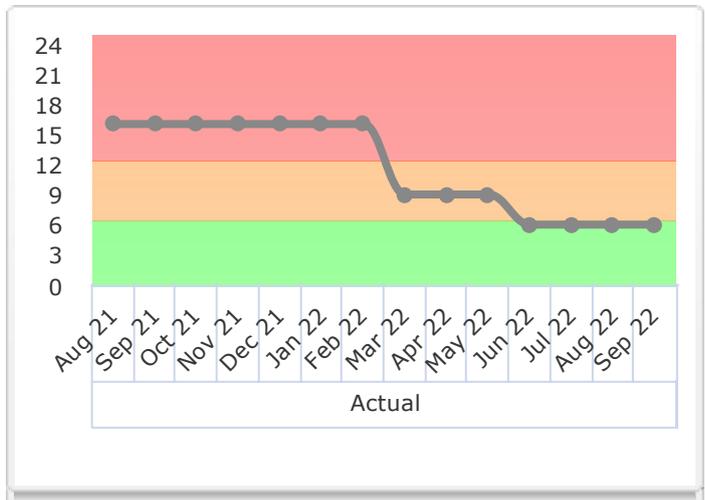
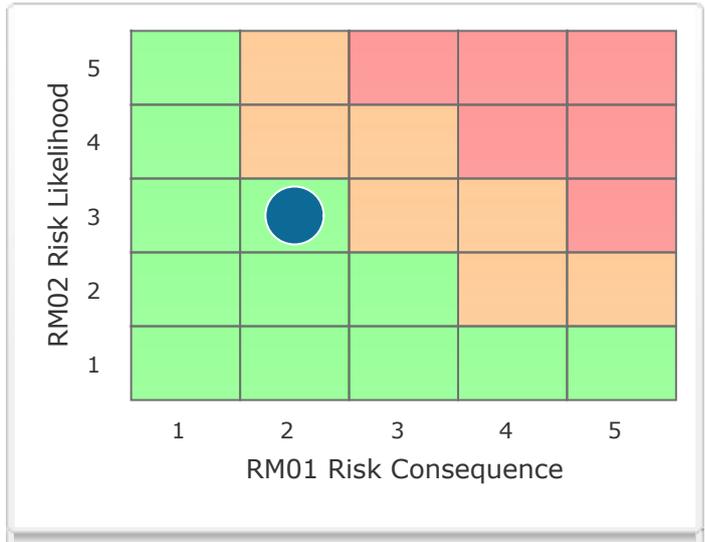
Implemented		
	Responsible	Jun 22
<input checked="" type="checkbox"/> Annual review of the Council's reserves	Alison Chubbock	✔
<input checked="" type="checkbox"/> Balanced budget agreed	Alison Chubbock	✔
<input checked="" type="checkbox"/> Budget Process / Budget Monitoring	Lucy Hume	✔
<input checked="" type="checkbox"/> Business cases for commercialisation of assets to deliver future income and efficiencies	Alison Chubbock	✔
<input checked="" type="checkbox"/> Corporate Planning / Service Planning	Helen Thomas	✔
<input checked="" type="checkbox"/> Growth forecasting models	Alison Chubbock	✔
<input checked="" type="checkbox"/> Lobbying Central Government	Steve Blatch	✔
<input checked="" type="checkbox"/> Medium Term Financial Strategy	Alison Chubbock	✔
<input checked="" type="checkbox"/> Policy Work	Steve Blatch	✔
<input checked="" type="checkbox"/> Project Management Plans	Alison Chubbock	✔
<input checked="" type="checkbox"/> Reporting - New legislation and consultation	Helen Thomas	✔
<input checked="" type="checkbox"/> Timely agreement of the annual Localised Council Tax Support Scheme	Alison Chubbock	✔
<input checked="" type="checkbox"/> Utilisation of the New Homes Bonus grant within the base budget for 2018/19 onwards	Alison Chubbock	✔

Outstanding

		Stage	Responsible	Performance	Jun 22
<input checked="" type="checkbox"/> Monitoring impact of the business rates retention	Blocked	Alison Chubbock	Performance		●
			Comments	No further updates have been received around the Fair Funding Review or a revised Business Rates Retention scheme or the future of New Homes Bonus. It is likely that we will see a two year Settlement based on an announcement by Michael Gove earlier in the year for 2023-24 and 2024-25, but this won't be known until the provisional local government settlement announcement, expected November/December this year. This continues to add significant uncertainty around the future funding of Local Government and continues to be a risk to our Medium Term Financial Plan.	

SR 002 Operational

Responsibility	Resources
Risk Description	<p>OPERATIONAL: related to operational exposures within its organisation, its counterparties, partners and commercial interests.</p> <p>Risk - operational issues prevent or hinder the achievement of the Council's aims.</p> <p>Effect - the Council does not achieve it's operational or strategic aims.</p>
Risk Category	D Operational
Risk Response	Treat



Latest Update

		31/08/2022
SR 002 Operational : Status	Score	6.00
	Target	4.00
	Performance	★
	Direction of change	➔
	Comments	<p>Operational risk related to Covid-19 are no longer affecting the delivery of Council services. There are some concerns around the sustainability of some placements under the Homes for Ukraine scheme as we approach the end of initial six month arrangement. The council has managed the response to the death of Her Majesty Queen Elizabeth II with no significant impact on service provision. Preparations for forthcoming winter response in terms of adverse weather and storm surge events will be the subject of a workshop arranged for October. Some uncertainty exists around the demands that might be placed on the authority in respect of any partnership response due to the cost of living crisis and high energy costs.</p>

SR 002 Operational : RM01 Risk Consequence	Score	2
	Target	2
	Direction of change	→
SR 002 Operational : RM02 Risk Likelihood	Score	3
	Target	2
	Direction of change	→

Associated Corporate Risks

		31/08/2022
CR 001 Deteriorating/ underused property assets : Status	Score	6.00
	Target	4.00
	Performance	★
	Direction of change	➔
	Comments	
CR 008 Loss of Information : Status	Score	16.00
	Target	2.00
	Performance	▲
	Direction of change	➔
	Comments	The ability to have skilled and experienced cyber security professionals within the infrastructure team is essential to mitigating the current elevated threat levels. Maintaining the resource available to deliver this work is increasingly difficult in light of continued growth in workload and the constraints of public sector pay levels.
CR 009 Poor Procurement : Status	Score	6.00
	Target	4.00
	Performance	★
	Direction of change	➔
	Comments	
CR 013 Emergency event : Status	Score	9.00
	Target	4.00
	Performance	●
	Direction of change	➔
	Comments	There is a risk of concurrent incidents in the coming months which will stretch Civil Contingencies team and NNDC when they arise. This has been addressed by Winter preparedness group and there will be a winter assurance workshop in October.
CR 024 People Resources : Status	Score	4.00
	Target	4.00
	Performance	★
	Direction of change	➔
	Comments	
CR 025 Contract failure : Status	Score	12.00
	Target	4.00
	Performance	●
	Direction of change	➔
	Comments	

Control, Contingency & Mitigating Actions

Implemented		
	Responsible	Jun 22
<input checked="" type="checkbox"/> Adequate budget provision both from revenue and capital to support R&M works and capital investment	Alison Chubbock	✔

	Responsible	Jun 22
<input checked="" type="checkbox"/> Adequate staff or appropriately qualified external contractor support	Alison Chubbock	✔
<input checked="" type="checkbox"/> Asset Condition Surveys	Alison Chubbock	✔
<input checked="" type="checkbox"/> Business cases for commercialisation of assets to deliver future income and efficiencies	Alison Chubbock	✔
<input checked="" type="checkbox"/> Compliance policies in place and up to date	Alison Chubbock	✔
<input checked="" type="checkbox"/> Compliance works undertaken in a timely fashion	Alison Chubbock	✔
<input checked="" type="checkbox"/> Procure a Strategic Development Partner	Alison Chubbock	✔
<input checked="" type="checkbox"/> Production and approval of the Asset Management Plan	Renata Garfoot	★
<input checked="" type="checkbox"/> 3.1.2 Review and refine our Customer Strategy	Stuart Harber	✔
<input checked="" type="checkbox"/> Communications plan around the programme to ensure buy-in	Sean Kelly	✔
<input checked="" type="checkbox"/> Develop and Implement a Communications Strategy	Joe Ferrari	✔
<input checked="" type="checkbox"/> Digital Transformation progress reports provided to Cabinet & O&S	Sean Kelly	✔
<input checked="" type="checkbox"/> ICT Strategy	Sean Kelly	✔
<input checked="" type="checkbox"/> Maintain technical competence	James Claxton	✔
<input checked="" type="checkbox"/> Market Pay Review report	James Claxton	✔
<input checked="" type="checkbox"/> PSN Code of Connection compliance	Sean Kelly	✔
<input checked="" type="checkbox"/> Review of recruitment practices	Phillip Rowson	✔
<input checked="" type="checkbox"/> Review Pay Policy	James Claxton	✔
<input checked="" type="checkbox"/> Review relocation policy	James Claxton	✔
<input checked="" type="checkbox"/> Certified Security Professional Training	Kate Wilson	✔
<input checked="" type="checkbox"/> Data Protection training	Cara Jordan	✔
<input checked="" type="checkbox"/> GDPR compliance framework	Cara Jordan	✔
<input checked="" type="checkbox"/> Implement data security protocols	Sean Kelly	✔
<input checked="" type="checkbox"/> Information Risk Policy and Role Description	Sean Kelly	✔
<input checked="" type="checkbox"/> IT Monitoring	Sean Kelly	✔
<input checked="" type="checkbox"/> IT Security Policies	Sean Kelly	✔
<input checked="" type="checkbox"/> Regular 3rd party data protection and integrity testing	Sean Kelly	✔
<input checked="" type="checkbox"/> Regular audits of IT security arrangements	Sean Kelly	✔
<input checked="" type="checkbox"/> Advice for external suppliers	Alison Chubbock	✔
<input checked="" type="checkbox"/> Joint procurement protocol and opportunities for joint/shared procurement with other authorities	Alison Chubbock	✔
<input checked="" type="checkbox"/> Procurement Framework	Alison Chubbock	✔
<input checked="" type="checkbox"/> Procurement responsibility assigned	Alison Chubbock	✔
<input checked="" type="checkbox"/> Procurement Strategy	Alison Chubbock	✔
<input checked="" type="checkbox"/> Budget Process / Budget Monitoring	Lucy Hume	✔
<input checked="" type="checkbox"/> Business Continuity Planning	Alison Sayer	✔
<input checked="" type="checkbox"/> CC 001 Consideration of COVID-19 implications	Alison Sayer	✔
<input checked="" type="checkbox"/> Complete critical services' Business Continuity Plans (BCP)	Alison Sayer	✔
<input checked="" type="checkbox"/> Corporate Business Continuity key role training	Alison Sayer	✔
<input checked="" type="checkbox"/> Corporate Planning / Service Planning	Helen Thomas	✔

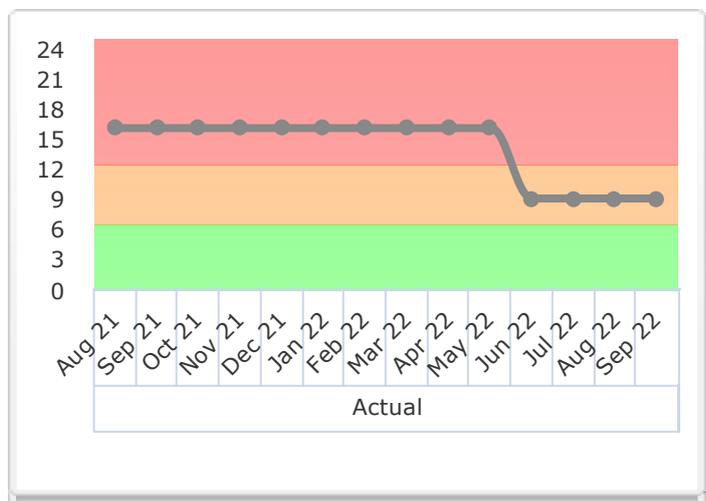
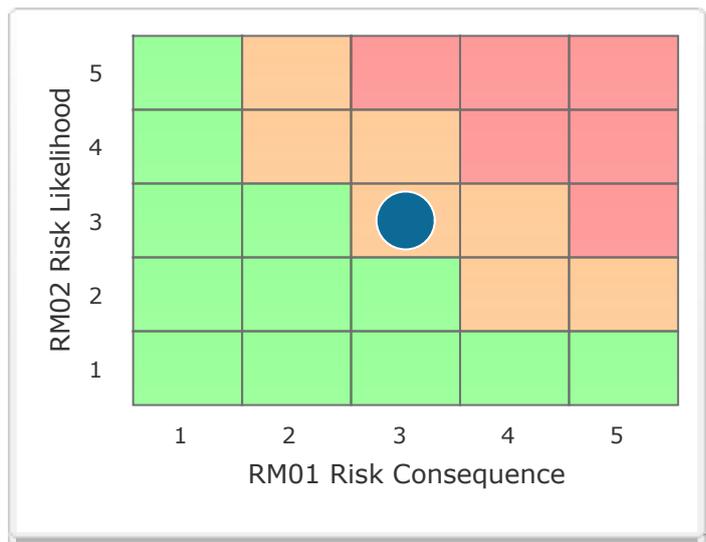
	Responsible	Jun 22
<input checked="" type="checkbox"/> Corporate Policies and Procedures	Alison Sayer	✔
<input checked="" type="checkbox"/> Create and issue adverse weather guidance	Alison Sayer	✔
<input checked="" type="checkbox"/> Emergency Response & Recovery Planning	Alison Sayer	✔
<input checked="" type="checkbox"/> Employment Policies	James Claxton	✔
<input checked="" type="checkbox"/> Refresh the project management framework	Kate Rawlings	✔
<input checked="" type="checkbox"/> Apprenticeship programme	James Claxton	✔
<input checked="" type="checkbox"/> Check-in process	James Claxton	✔
<input checked="" type="checkbox"/> Employee Referral Scheme	James Claxton	✔
<input checked="" type="checkbox"/> New Ways of Working - Policy Creation	James Claxton	✔
<input checked="" type="checkbox"/> Procurement Officer post established	Alison Chubbock	✔

Outstanding

	Stage	Responsible		Jun 22
<input checked="" type="checkbox"/> Review and update of Web Strategy	Cancelled	Sean Kelly	Performance	
			Comments	~
<input checked="" type="checkbox"/> CC 002 ER1 Review Emergency Response Plan	In Progress	Alison Sayer	Performance	●
			Comments	Needs to be reviewed because of the publication of the revised Norfolk Emergency Response Guidance - due imminently. Review scheduled to be completed before 31 March 2023.
<input checked="" type="checkbox"/> Develop 'People Strategy'	In Progress	James Claxton	Performance	●
			Comments	The HR Team is now fully resourced and the HR Manager has a draft version that needs some input from CLT.

SR 003 Macroeconomic

Responsibility	Resources
Risk Description	<p>MACROECONOMIC: related to the growth or decline of the local economy, interest rates, inflation and to a lesser degree, the wider national and global economy amongst others.</p> <p>Risk - national/global recession resulting in business failure and unemployment.</p> <p>Effect - increased requirement for benefits, housing, council tax support, business advice and support.</p>
Risk Category	B Macroeconomic
Risk Response	Treat



Latest Update

		31/08/2022
SR 003 Macroeconomic : Status	Score	9.00
	Target	12.00
	Performance	●
	Direction of change	➔
	Comments	<p>Public concern remains about the rising cost of living although this may be tempered by the recent Government announcement of an energy cap of £2,500 for an average household and additional support for vulnerable people and families and £400 payment to households over the winter and capping the unit rates for businesses for six months.</p> <p>The Council will monitor Council Tax and Business Rates collection rates to assess the impact of rising cost inflation on both residents and businesses.</p>

SR 003 Macroeconomic : RM01 Risk Consequence	Score	3
	Target	3
	Direction of change	→
SR 003 Macroeconomic : RM02 Risk Likelihood	Score	3
	Target	4
	Direction of change	→

Associated Corporate Risks

		31/08/2022
CR 026 Impact of economic fluctuations on the North Norfolk economy : Status	Score	15.00
	Target	4.00
	Performance	▲
	Direction of change	→
	Comments	

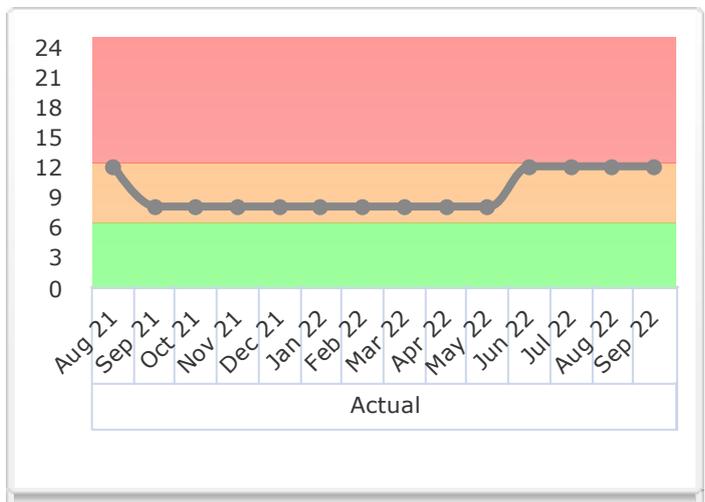
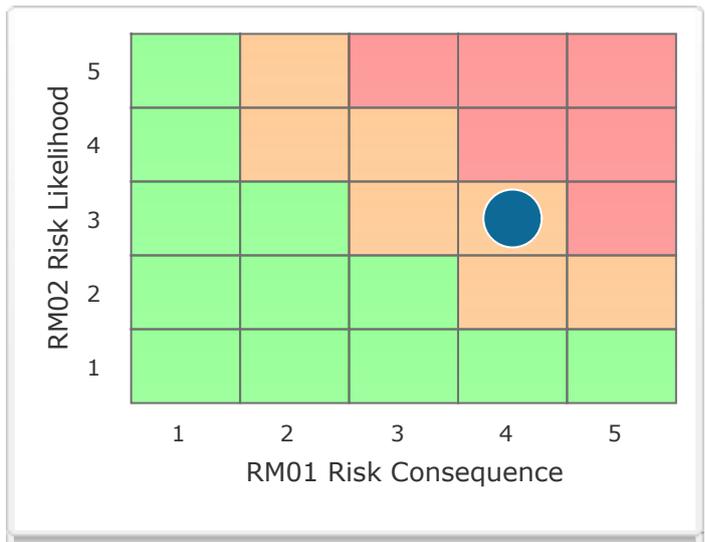
Control, Contingency & Mitigating Actions

Implemented			
	Responsible	Jun 22	
<input checked="" type="checkbox"/> Business Survey	Stuart Quick	✔	
<input checked="" type="checkbox"/> Corporate Planning / Service Planning	Helen Thomas	✔	
<input checked="" type="checkbox"/> Fund Management advice from Arlingclose	Lucy Hume	✔	
<input checked="" type="checkbox"/> HS 003 - Monitor the need for temporary accommodation and ensure suitable provision	Graham Connolly	✔	
<input checked="" type="checkbox"/> Medium Term Financial Strategy	Alison Chubbock	✔	
<input checked="" type="checkbox"/> Operation of the Council Tax Hardship Fund	Trudi Grant	✔	
<input checked="" type="checkbox"/> Treasury Management Strategy	Lucy Hume	✔	

Outstanding				
	Stage	Responsible		Jun 22
<input checked="" type="checkbox"/> 2.2.1 Economic Growth Strategy (2020 - 2023)	In Progress	Stuart Quick	Performance	★
			Comments	

SR 004 Strategic

Responsibility	Resources
Risk Description	<p>STRATEGIC: key initiatives undertaken by the Council such as significant purchases, new ventures, commercial interests and other areas of organisational change deemed necessary to help the Council meet its goals.</p> <p>Risk - Corporate Plan and Projects may not be delivered within agreed timescales or budget.</p> <p>Effect - objectives not delivered, poor use of council financial resources.</p>
Risk Category	E Strategic
Risk Response	Treat



Latest Update

31/08/2022

SR 004 Strategic : Status	Score	12.00
	Target	4.00
	Performance	
	Direction of change	➔
	Comments	<p>Following the publication of the Government's Levelling Up White Paper in early February discussions have taken place between partners in Norfolk and DLUHC about the powers, functions and finances which might be made available to the County in any County Deal developed and agreed over the period to October 2022. A key issue for North Norfolk in any County Deal agreed will be to ensure that the needs of our rural district are appropriately considered and hopefully met. The Council submitted its local investment plan for its allocation of funds under the UK Shared Prosperity Fund at the end of July and is awaiting authority to spend. The Council has since been advised that it is also to receive £1.45m through the Rural England Prosperity Fund for the 2023/24 and 2024/25 financial years.</p> <p>The Council also submitted Levelling Up applications for projects at Fakenham and Cromer the outcome of which is anticipated before the end of October. Until we know the outcome of the bids the Council is unable to plan the expenditure or understand the affordability of proposals in the context of rising inflation.</p>

31/08/2022

SR 004 Strategic : RM01 Risk Consequence	Score	4
	Target	2
	Direction of change	➔
SR 004 Strategic : RM02 Risk Likelihood	Score	3
	Target	2
	Direction of change	➔

Associated Corporate Risks

		31/08/2022
CR 027 Strategic financial and performance management : Status	Score	9.00
	Target	4.00
	Performance	●
	Direction of change	➔
	Comments	The impact of the current inflationary and economic environment are likely to put pressure on our services such as; temporary accommodation, contract inflation, pay awards and utilities costs. However, the Council is planning to set aside prior years underspend to help offset cost pressures in financial year 2022/23.

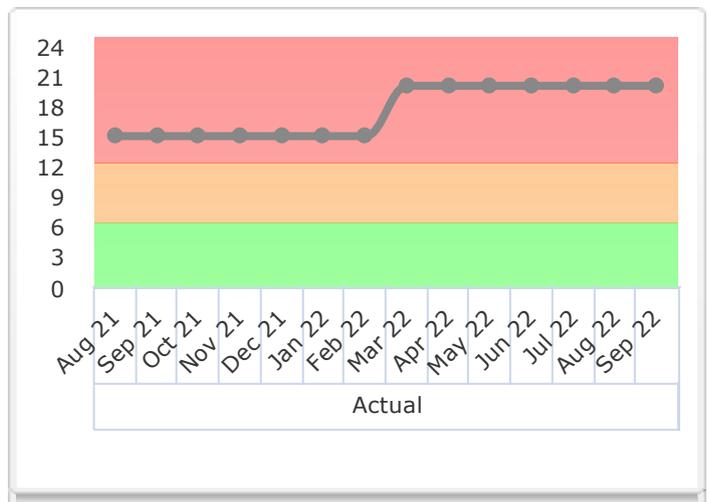
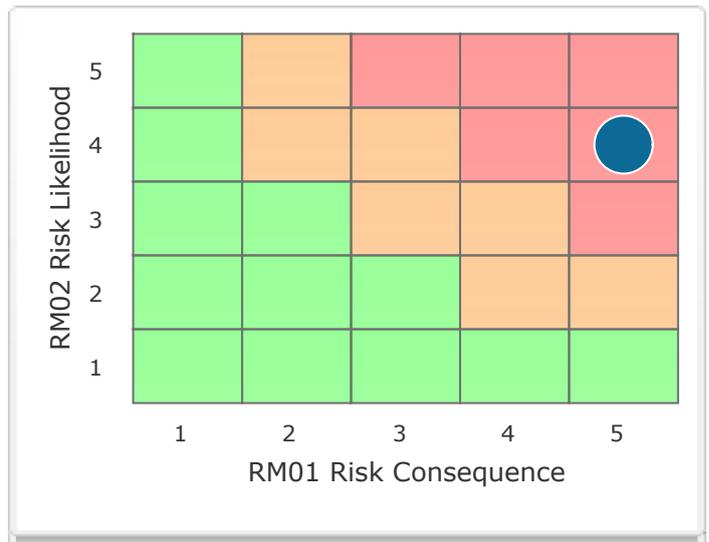
Control, Contingency & Mitigating Actions

Implemented		
	Responsible	Jun 22
<input checked="" type="checkbox"/> Annual review of the Council's reserves	Alison Chubbock	✔
<input checked="" type="checkbox"/> Budget Process / Budget Monitoring	Lucy Hume	✔
<input checked="" type="checkbox"/> Corporate Planning / Service Planning	Helen Thomas	✔
<input checked="" type="checkbox"/> Medium Term Financial Strategy	Alison Chubbock	✔
<input checked="" type="checkbox"/> Refresh the project management framework	Kate Rawlings	✔
<input checked="" type="checkbox"/> Review the Corporate Plan 2019-23 post Covid-19	Steve Blatch	✔

Outstanding			
	Stage	Responsible	Jun 22
<input checked="" type="checkbox"/> Emerging Local Plan	In Progress	Mark Ashwell	<p>Performance ●</p> <p>Comments Nutrient neutrality continues to delay submission of the plan. County wide mitigation strategies are in preparation but are unlikely to be available until after the spring of 2023.</p>

SR 005 Environmental and Social

Responsibility	Resources
Risk Description	<p>ENVIRONMENTAL AND SOCIAL: related to the environmental and social impact of the Council's strategy and interests.</p> <p>Risk - Council fails to take into account changing environmental and social needs.</p> <p>Effect - strategic objectives don't reflect environmental and social issues.</p>
Risk Category	F Environmental & Social
Risk Response	Treat



Latest Update

		31/08/2022
SR 005 Environment & Social : Status	Score	20.00
	Target	4.00
	Performance	▲
	Direction of change	➔
	Comments	<p>The Council has an Environmental Charter in place and approved the Net Zero Strategy and accompanying Climate Action Plan at Full Council on 23 February 2022. The strategy identifies how we will meet our aspiration of achieving net-zero carbon emissions by 2030. Progress delivering the goals of the strategy and the action plan will be reported to Cabinet every six months.</p> <p>On 16 March 2022 councils in Norfolk, including NNDC, received a letter from Natural England, advising of concerns around new development impacting negatively on water quality in the Wensum and Bure/ Broads river catchments referred to as Nutrient Neutrality. This will have a significant impact on the local construction industry, rates of housing growth and 5 year housing land supply issues. In July there was a ministerial announcement made proposing a national scheme of mitigation and discussions are therefore taking place between Natural England and Norfolk local authorities about working collaboratively through the Duty to Cooperate Framework to develop a shared response to this challenging issue before the end of 2022..</p>

		31/08/2022
SR 005 Environment & Social : RM01 Risk Consequence	Score	5
	Target	2
	Direction of change	➔
SR 005 Environment & Social : RM02 Risk Likelihood	Score	4
	Target	2
	Direction of change	➔

Associated Corporate Risks

		31/08/2022
CR 002 Flooding, erosion and loss of assets and delivery of services : Status	Score	20.00
	Target	12.00
	Performance	▲
	Direction of change	→
	Comments	
CR 010 Housing Delivery : Status	Score	9.00
	Target	4.00
	Performance	●
	Direction of change	→
	Comments	Nutrient neutrality guidance from Natural England was issued on 16 March 2022. The guidance has impacts on housing delivery. Short term measures to enable housing delivery to continue are to be announced in September 2022, with development of longer term mitigation to be delivered in early 2023. There is a probability of this risk to escalate when reviewed in the next quarter.

Control, Contingency & Mitigating Actions

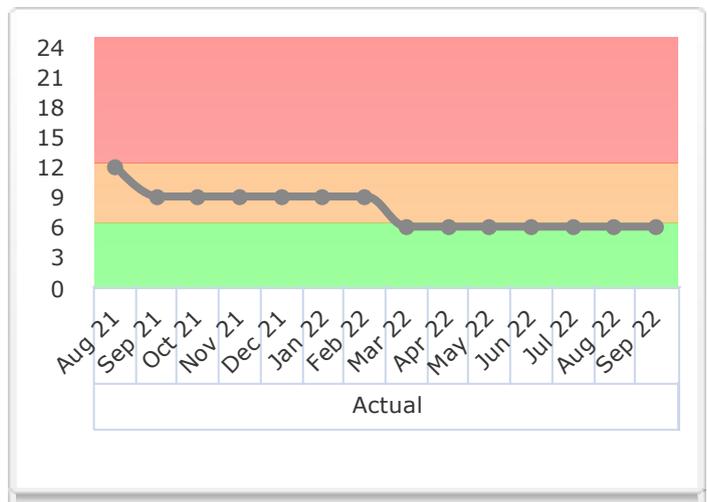
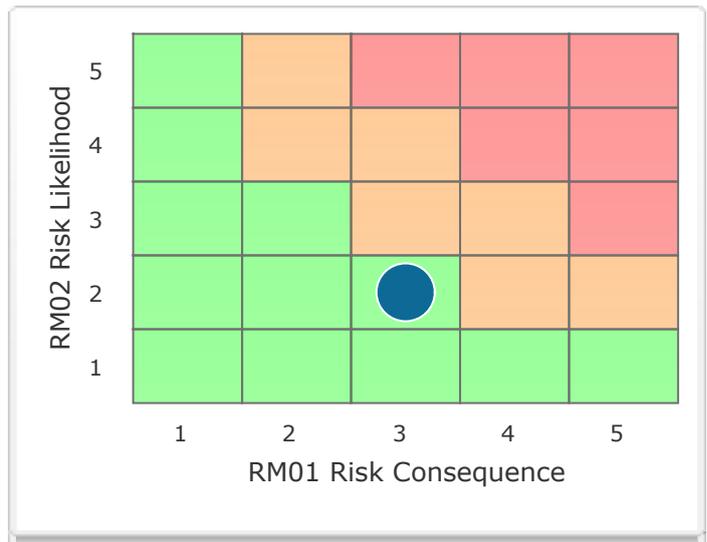
Implemented		
	Responsible	Jun 22
<input checked="" type="checkbox"/> 4.3.1 Baseline carbon audit and carbon reduction action plan	Robert Young	★
<input checked="" type="checkbox"/> Bacton and Walcott coastal management scheme	Rob Goodliffe	✔
<input checked="" type="checkbox"/> Coastal Monitoring	Rob Goodliffe	✔
<input checked="" type="checkbox"/> Coastal Partnership East set up	Rob Goodliffe	✔
<input checked="" type="checkbox"/> Control of coastal management schemes through procurement and regular checking	Rob Goodliffe	✔
<input checked="" type="checkbox"/> Corporate Planning / Service Planning	Helen Thomas	✔
<input checked="" type="checkbox"/> DEFRA funding of capital schemes	Rob Goodliffe	✔
<input checked="" type="checkbox"/> Environment Forum	Robert Young	✔
<input checked="" type="checkbox"/> Health & Safety checking and monitoring	Rob Goodliffe	✔
<input checked="" type="checkbox"/> Procurement practices	Alison Chubbock	✔
<input checked="" type="checkbox"/> Repairs & Maintenance Programme	Rob Goodliffe	✔
<input checked="" type="checkbox"/> Shoreline Management Plan (SMP)	Rob Goodliffe	✔
<input checked="" type="checkbox"/> The Pathfinder Project	Rob Goodliffe	✔
<input checked="" type="checkbox"/> 1.2.1 Formulate a new Housing Strategy	Graham Connolly	✔
<input checked="" type="checkbox"/> 1.4.1 Developing and implementing a new Homelessness and Rough Sleepers Strategy and Action Plan	Lisa Grice	✔
<input checked="" type="checkbox"/> 1.5.1 Investigate ways to support and assist affordable housing providers	Graham Connolly	✔
<input checked="" type="checkbox"/> Community Housing Fund	Graham Connolly	✔
<input checked="" type="checkbox"/> Enhance Housing Association delivery	Graham Connolly	✔
<input checked="" type="checkbox"/> Housing Strategy implementation	Robert Young	✔
<input checked="" type="checkbox"/> HS 003 - Monitor the need for temporary accommodation and ensure suitable provision	Graham Connolly	✔
<input checked="" type="checkbox"/> Increased Focus	Nicky Debbage	✔
<input checked="" type="checkbox"/> Internal planning protocol	Phillip Rowson	✔
<input checked="" type="checkbox"/> Local Development Framework (LDF) policies	Mark Ashwell	✔
<input checked="" type="checkbox"/> Local Investment Plan	Nicky Debbage	✔
<input checked="" type="checkbox"/> Monitor Brexit and its potential impact on the ability to deliver and acquire homes as a home owner	Alison Chubbock	✔
<input checked="" type="checkbox"/> Partnership work with Registered Providers	Graham Connolly	✔
<input checked="" type="checkbox"/> Use of capital	Nicky Debbage	✔

Outstanding

		Stage	Responsible	Jun 22	
<input checked="" type="checkbox"/> CM 002 Refurbish coastal defences at Mundesley	In Progress	Tamzen Pope	Performance	●	
			Comments	Mundesley detailed design progress has been delayed due to MMO consultation issues. Now due to be completed in September 2022. Pre construction phase contract has now been signed and works progressing. Project is being developed and will be delivered in conjunction with the Cromer Phase 2 scheme to maximise efficiencies.	
<input checked="" type="checkbox"/> CM 016 10 year capital programme	In Progress	Tamzen Pope	Performance	★	
			Comments	10 year capital programme has been drafted. Programme has been developed utilising the SCAPE framework for a number of schemes including Cromer and Mundesley as well as initial investigations for Beeston Bump, Sheringham and Overstrand	
<input checked="" type="checkbox"/> 1.3.1 Develop a business case for a housing company	Cancelled	Nicky Debbage	Performance		
			Comments	~	
<input checked="" type="checkbox"/> HO 007d Production of SLA	In Progress	Wendi Creelman	Performance	★	
			Comments	Already working very closely with RPs's round rent arrears and forward thinking to prevent homelessness will be working to produce a SLA - this will be picked up by the service development officer	

SR 006 Governance

Responsibility	Resources
Risk Description	<p>GOVERNANCE: related to ensuring that prudence and careful consideration sit at the heart of the Council's decision-making, augmented by quality independent advice and appropriate checks and balances that balance oversight and efficiency.</p> <p>Risk - Council acts outside established procedures or unlawfully.</p> <p>Effect - risk of litigation/reputational risk to Council/poor decision making.</p>
Risk Category	G Governance
Risk Response	Treat



Latest Update

		31/08/2022
SR 006 Governance : Status	Score	6.00
	Target	4.00
	Performance	★
	Direction of change	➔
	Comments	An interim Section 151 officer has been appointed from the end of June following the departure of the previous post holder. Recruitment is currently being progressed for a permanent appointment.

SR 006 Governance : RM01 Risk Consequence	Score	3
	Target	2
	Direction of change	➔
SR 006 Governance : RM02 Risk Likelihood	Score	2
	Target	2
	Direction of change	➔

Associated Corporate Risks

		31/08/2022
CR 028 Governance failures : Status	Score	6.00
	Target	4.00
	Performance	★
	Direction of change	↓
	Comments	The Council received its annual audit results report letter for 2019/20 from external auditors Ernst & Young in February 2022. The report contained a number of recommendations to strengthen the Council's governance arrangements and these were addressed in full in a management response, discussed and agreed by GRAC at its meeting on 30 March 2022. An interim Section 151 officer has been appointed at the Council following the departure of the previous post holder. Such position is required under section 151 of the Local Government Act 1972 and must be an officer that is suitably qualified. Recruitment is currently being progressed for a permanent replacement.

Control, Contingency & Mitigating Actions

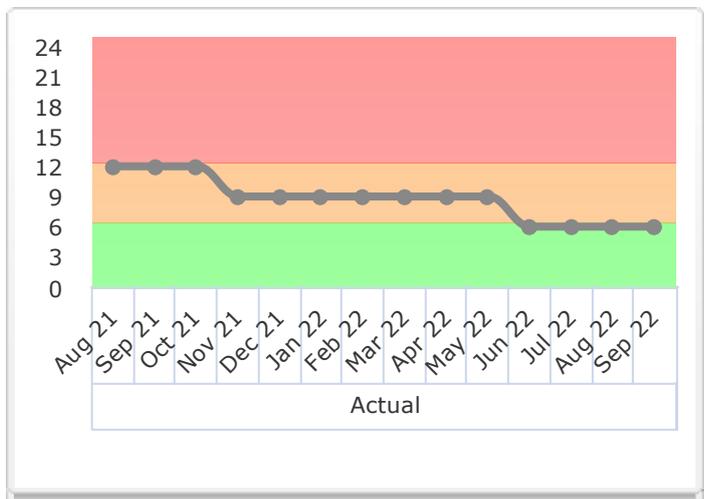
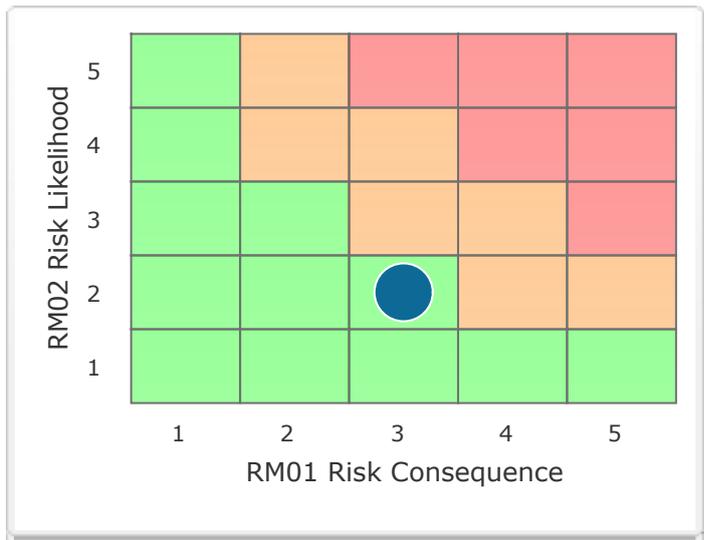
Implemented		
	Responsible	Jun 22
<input checked="" type="checkbox"/> Annual Assurance Statements	Alison Chubbuck	✔
<input checked="" type="checkbox"/> Annual Audit Report	Lucy Hume	✔
<input checked="" type="checkbox"/> Annual Governance Statement 2019/20 supported by assurance framework	Alison Chubbuck	✔
<input checked="" type="checkbox"/> Annual Governance Statement 2020/21 supported by assurance framework	Alison Chubbuck	✔
<input checked="" type="checkbox"/> Audit programme	Lucy Hume	✔
<input checked="" type="checkbox"/> Clear robust corporate governance framework	Renata Gifford	✔
<input checked="" type="checkbox"/> Committee report templates	Emma Denny	✔
<input checked="" type="checkbox"/> Constitution/Standing Orders/Scheme of Delegations	Cara Jordan	✔
<input checked="" type="checkbox"/> Corporate Planning / Service Planning	Helen Thomas	✔
<input checked="" type="checkbox"/> Head of Internal Audit assurance	Alison Chubbuck	✔
<input checked="" type="checkbox"/> Member/ Officer Protocol	Emma Denny	✔
<input checked="" type="checkbox"/> Monitoring Officer actions to ensure governance risk is minimised	Cara Jordan	✔
<input checked="" type="checkbox"/> Monitoring Officer Report	Cara Jordan	✔
<input checked="" type="checkbox"/> Operation of Overview and Scrutiny Committee	Emma Denny	✔
<input checked="" type="checkbox"/> Operation of Standards Committee	Emma Denny	✔
<input checked="" type="checkbox"/> Section 151 Officer actions to ensure governance risk is minimised	Alison Chubbuck	✔

Outstanding

This report does not contain any data

SR 007 Reputation

Responsibility	Resources
Risk Description	<p>REPUTATION: related to the Council's dealings and interests, and the impact of adverse outcomes on the Council's reputation and public perception.</p> <p>Risk - Council's reputation is adversely affected.</p> <p>Effect- reduced public confidence.</p>
Risk Category	H Reputational
Risk Response	Treat



Latest Update

		31/08/2022
SR 007 Reputation : Status	Score	6.00
	Target	4.00
	Performance	★
	Direction of change	➔
	Comments	<p>The Council are moving forward with the Quality of Life and Engagement Strategies, and progressing its significant programme of improvement to public toilet provision including the provision of additional Changing Places facilities.</p> <p>In June the council produced and circulated to all households the Outlook publication promoting the Councils services and support for its communities, with the publication being well received. In terms of wider corporate reputation delivery of the North Walsham Heritage Action Zone project moves into a significant phase of Market Place improvement which will see some disruption in the town centre during the construction phase.</p>

SR 007 Reputation : RM01 Risk Consequence	Score	3
	Target	2
	Direction of change	→
SR 007 Reputation : RM02 Risk Likelihood	Score	2
	Target	2
	Direction of change	→

Associated Corporate Risks

		31/08/2022
CR 029 Poor reputation of the Council in the Community : Status	Score	4.00
	Target	4.00
	Performance	★
	Direction of change	➔
	Comments	Closed risk as a duplicate of the Strategic level risk. This will not appear in future Corporate Risk Registers.

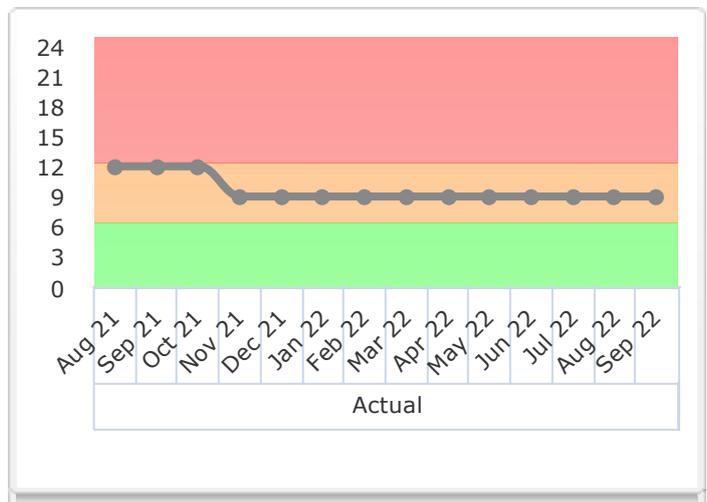
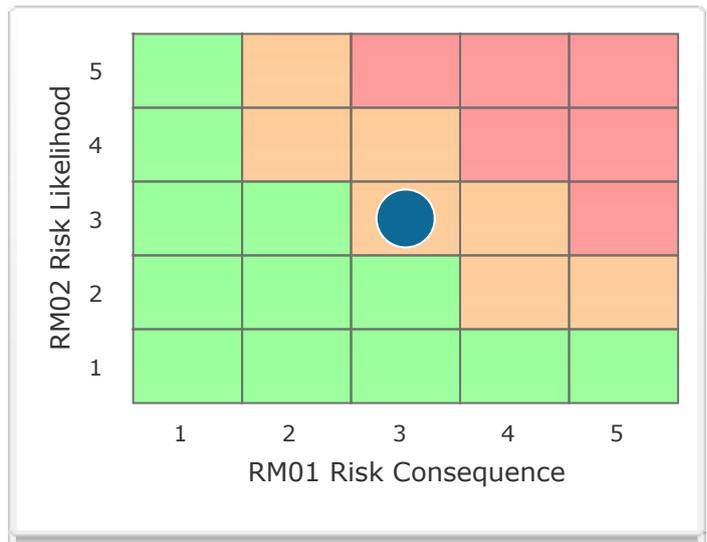
Control, Contingency & Mitigating Actions

Implemented		
	Responsible	Jun 22
<input checked="" type="checkbox"/> 3.1.2 Review and refine our Customer Strategy	Stuart Harber	✔
<input checked="" type="checkbox"/> Clear robust corporate governance framework	Renata Garfoot	✔
<input checked="" type="checkbox"/> Develop and Implement a Communications Strategy	Joe Ferrari	✔

Outstanding				
	Stage	Responsible		Jun 22
<input checked="" type="checkbox"/> Review and update of Web Strategy	Cancelled	Sean Kelly	Performance	
			Comments	~

SR 008 Corporate project related risks

Responsibility	Resources
Risk Description	CORPORATE PROJECT RELATED RISKS: Related to individual corporate project risks
Risk Category	I Projects
Risk Response	Treat



Latest Update

		31/08/2022
SR 008 Corporate project related risks : Status	Score	9.00
	Target	4.00
	Performance	●
	Direction of change	➔
	Comments	<p>A project completion review is to be conducted in respect of The Reef Leisure Centre project which is to report in January 2023.</p> <p>Delivery of the North Walsham Heritage Action Zone project moves into a significant phase of Market Place improvement which will see some disruption in the town centre during the construction phase. This will be closely monitored and appropriate mitigation measures developed as a response.</p>

SR 008 Corporate project related risks : RM01 Risk Consequence	Score	3
	Target	2
	Direction of change	→
SR 008 Corporate project related risks : RM02 Risk Likelihood	Score	3
	Target	2
	Direction of change	→

SR 008 Corporate project related risks

Associated Corporate Risks

		31/08/2022
CR 030 Sheringham Leisure Centre : Status	Score	6.00
	Target	4.00
	Performance	★
	Direction of change	↗
	Comments	The final account needs to be settled within a year of completion. Information from the construction company is awaited before the final accounts can be agreed.

Control, Contingency & Mitigating Actions

Implemented		
	Responsible	Jun 22
<input checked="" type="checkbox"/> Operation of Overview and Scrutiny Committee	Emma Denny	✔
<input checked="" type="checkbox"/> Project management & reporting procedures - Sheringham Leisure Centre	Robert Young	✔

Outstanding
This report does not contain any data