

Corporate Risk Register

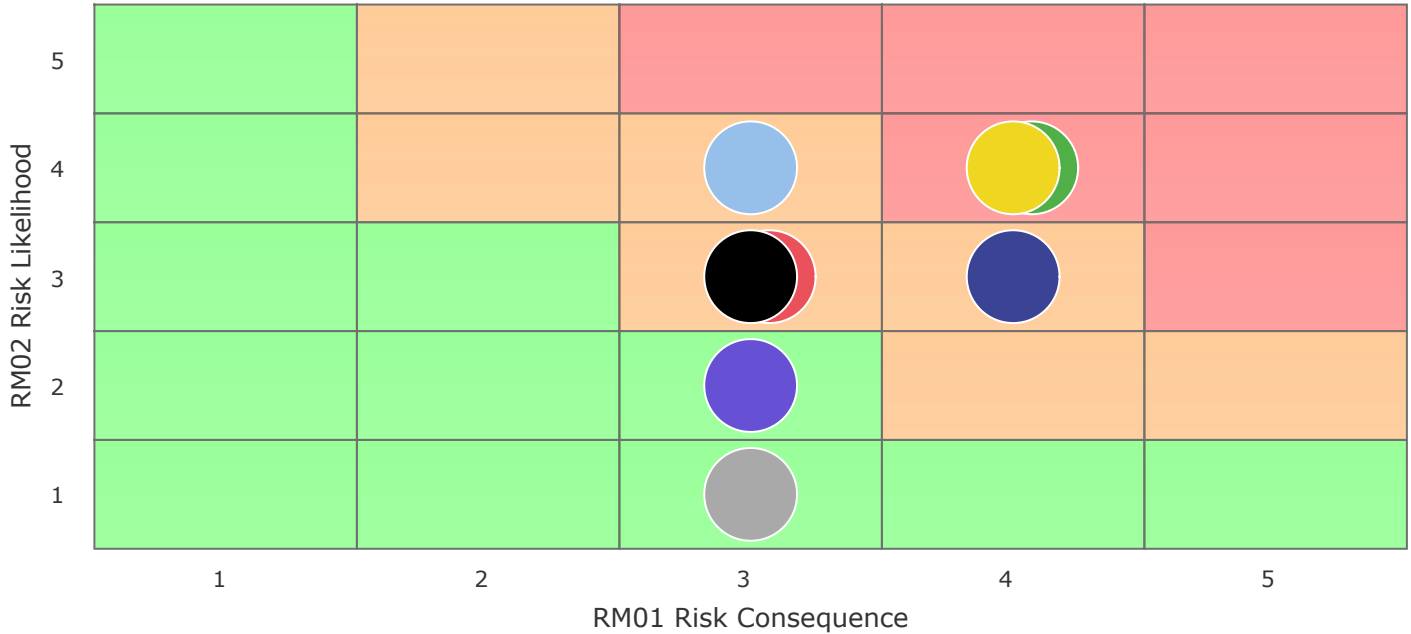
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Corporate Risk Register

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

The overall risk profile for the Council has remained largely the same. Three strategic risk scores have gone up, three down and two the same. This is a reflection of the dynamic situation affecting the country and the Council. Factors that have had influence on these changes include the cost of living crisis, inflationary pressures in the form of increased costs, wages and construction supplies and costs.

Key factors relating to strategic risk areas included;

- SR 001 Financial (including credit & counterparty) – The cost of inflation continues to rise and has risen to 11.1% (November 2022). This will add cost pressures for the authority in respect of pay settlement, energy cost rises and other commodity purchase. This will also impact significant contracts currently and in future years. These pressures are being kept under regular review and reported with mitigation quarterly. The results of the Autumn Budget Statement will be integrated into future budgets.
- SR 002 Operational - The authority hosted a Cost of Living summit event on 3 November 2022, from which an action plan is being developed. This anticipates further demand being placed on Council services including; housing and homelessness advice, applications for benefit and hardship support and the Council being asked to provide practical and financial assistance to food banks, food hubs and energy support programmes.
- SR 005 Environmental and Social - The Council launched an alternative calculator for the assessment of nutrient neutrality. The alternative calculator will reduce required mitigation by between 30 to 50 percent. This will ensure that development proposals are more viable and can be delivered. In addition, revised mapping has been issued which removes North Walsham from the area requiring mitigation. North Walsham is a key strategic centre. North Norfolk was selected by DEFRA as one of two local authorities for the Coastal Transition Accelerator Programme (CTAP) to investigate, develop, deliver and learn new approaches to support communities to transition away from coastal erosion. This Programme replaces the Flood Coast Resilient Innovation Programme (Resilient Coast) in North Norfolk which was in preparation last year. This new programme provides a significant opportunity to develop local initiatives from which the learning can be transferred to other local authorities and shape the future national approach to coastal change management.
- SR 006 Governance - A new Director for Resources and Section 151 officer has been appointed with effect from 21 November 2022 thereby strengthening the statutory officer team. 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. After clarification of the treatment of infrastructure assets by CIPFA at a national level the Council's 2019/20 accounts were finally signed off on 30 September 2022.
- SR 007 - During the period September to November 2022 the Council received some negative customer comment around the introduction of new waste and recycling collection rounds which initially saw a higher number of missed bins and incomplete rounds than would normally be the case. The introduction of any new system requires a bedding in period and the Council's contractor advised in their programme that this might take up to twelve weeks, This issue was raised at Full Council on 16 November 2022 when improvement over the previous eight weeks were reported and the situation continues to be monitored. High numbers of calls to the Council's contact centre during this period saw response times lengthen although this situation is now returning to normal levels.
- The council produced and circulated to all households its second edition of the

Outlook publication promoting the Council's services and support for its communities, with a four page Cost of Living feature, in November 2022. In terms of wider corporate reputation delivery of the North Walsham Heritage Action Zone project continues with the Market Place improvement programme which will see some disruption in the town centre during the construction phase.

- SR 008 – Corporate project related risks – North Walsham High Street Heritage Action Zone - The fixed budget for the project (with substantial external funding), in the face of inflationary pressures since the scheme was conceived in 2020, has meant that the scheme has had to be tailored to fit. Further funding is therefore required in order to complete the improvements to the satisfaction of the Council and local stakeholders. A report recommending this is going to Cabinet on 5 December 2022.

Risk scoring key

Corporate Risks

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

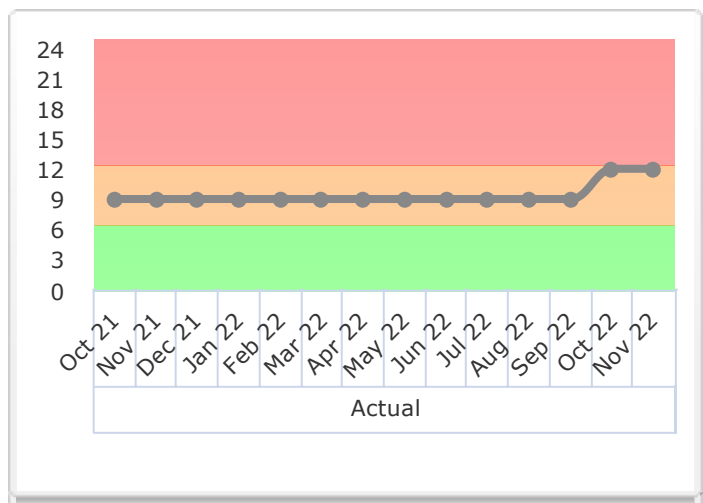
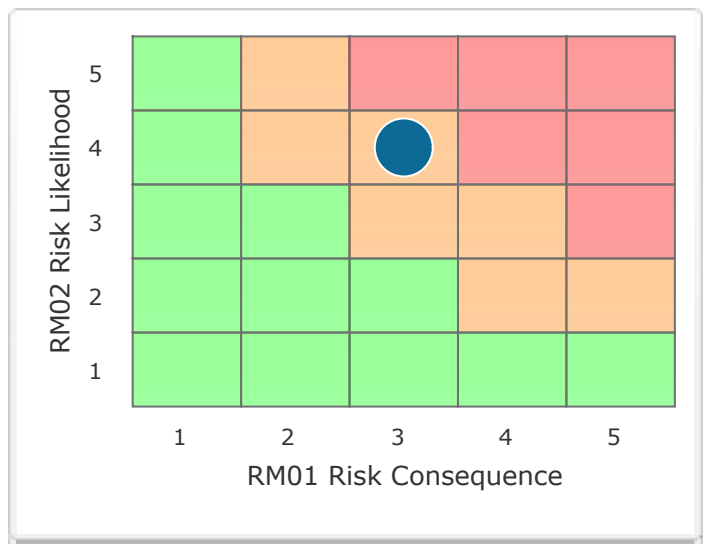
Impact Type	Catastrophic 5	Critical 4	Moderate 3	Marginal 2	Negligible 1
Objectives	The key objectives in the Corporate Plan will not be achieved.	One or more Key Objectives in the Corporate Plan will not be achieved.	Significant impact on the success of the Corporate Plan.	Some impact on more than one 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.</p> <p>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

		31/10/2022
SR 001 Financial (including credit & counterparty) : Status	Score	12.00
	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. The Bank of England base rate has now increased to 3.00% and the impact of these changes on the Council's investment returns will be assessed.</p> <p>Similarly the cost of inflation continues to rise and has risen to 11.1% (November 2022). This will add cost pressures for the authority in respect of pay settlement, energy cost rises and other commodity purchase. This will also impact significant contracts currently and in future years. These pressures are being kept under regular review and reported with mitigation quarterly.</p>













		31/10/2022
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	4
	Target	2
	Direction of change	↑✗

SR 001 Financial (including credit & counterparty)


Associated Corporate Risks

		31/10/2022
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. Any changes due to announcements in the autumn statement on 17 November 2022 will be incorporated into budgets.

Control, Contingency & Mitigating Actions

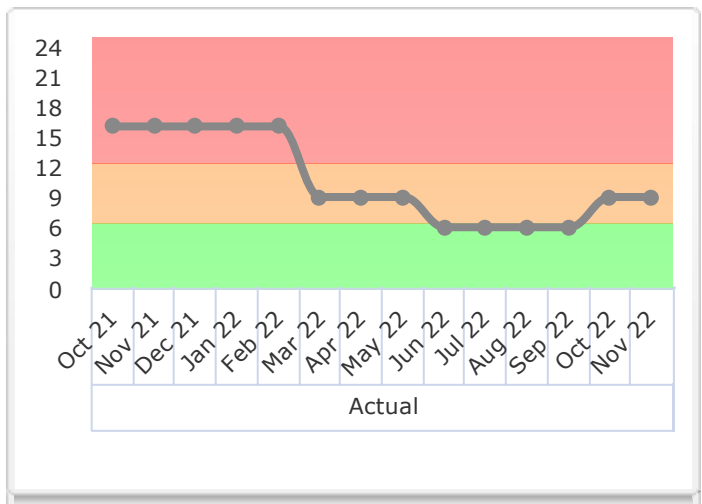
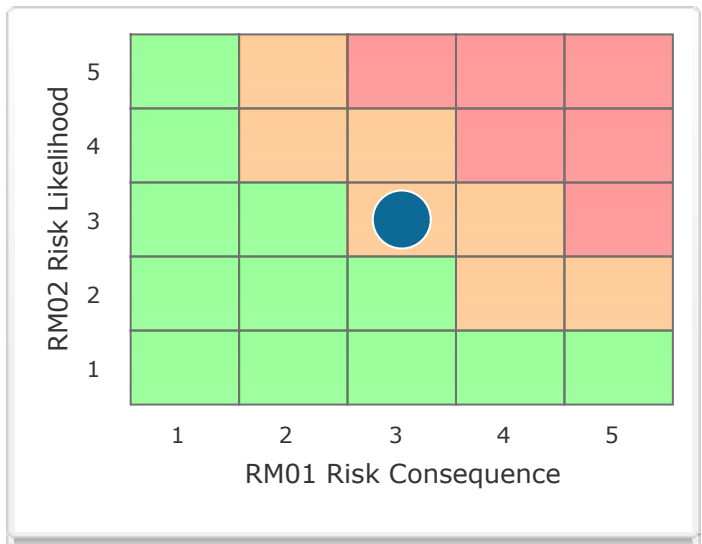
Implemented		
	Responsible	Sep 22
<input checked="" type="checkbox"/> Annual review of the Council's reserves	Alison Chubbock	
<input checked="" type="checkbox"/> Balanced budget agreed	Alison Chubbock	
<input checked="" type="checkbox"/> Budget Process / Budget Monitoring	Lucy Hume	
<input checked="" 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"/> 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		Sep 22
<input checked="" type="checkbox"/> Monitoring impact of the business rates retention	Blocked	Alison Chubbock	Performance	
			Comments	

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

31/10/2022		
SR 002 Operational : Status	Score	9.00
	Target	4.00
	Performance	●
	Direction of change	↗
	Comments	<p>Preparations for forthcoming winter response in terms of adverse weather and storm surge events were the subject of a workshop in 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. The authority hosted a Cost of Living summit event on 3 November 2022, from which an action plan is being developed. This anticipates further demand being placed on Council services including; housing and homelessness advice, applications for benefit and hardship support and the Council being asked to provide practical and financial assistance to food banks, food hubs and energy support programmes.</p>

31/10/2022		
SR 002 Operational : RM01 Risk Consequence	Score	3
	Target	2
	Direction of change	↑ X
SR 002 Operational : RM02 Risk Likelihood	Score	3
	Target	2
	Direction of change	→

SR 002 Operational

Associated Corporate Risks

		31/10/2022
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 current threat level remains high. Recent IT staffing issues require additional mitigation to maintain the protections in place to ensure continued high level of countermeasures.
CR 009 Poor Procurement : Status	Score	6.00
	Target	4.00
	Performance	★
	Direction of change	➔
	Comments	
CR 013 Emergency event : Status	Score	12.00
	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 was a winter assurance workshop in October. A separate group looking at industrial action which might affect Norfolk Resilience Forum partners and NNDC by extension.
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	Sep 22
<input checked="" type="checkbox"/> Adequate budget provision both from revenue and capital to support R&M works and capital investment	Cara Jordan	✔
<input checked="" type="checkbox"/> Adequate staff or appropriately qualified external contractor support	Cara Jordan	✔

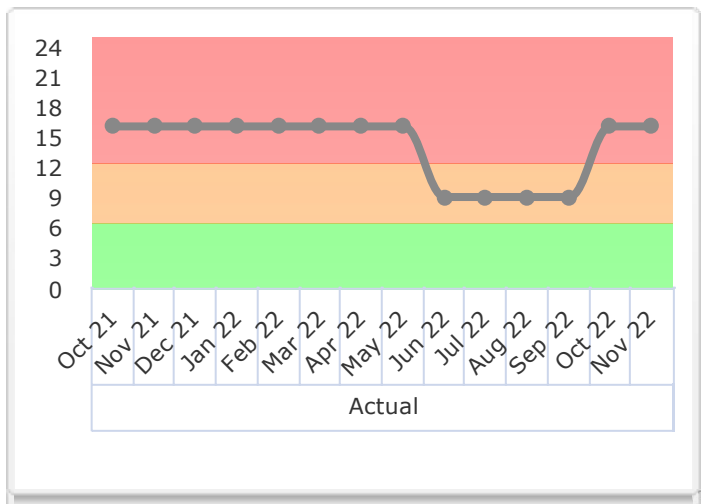
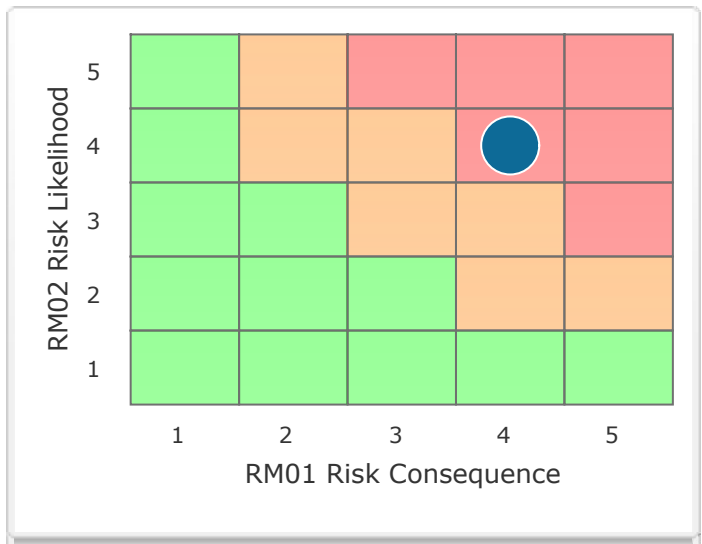
	Responsible	Sep 22
<input checked="" type="checkbox"/> Asset Condition Surveys	Cara Jordan	✔
<input checked="" type="checkbox"/> Business cases for commercialisation of assets to deliver future income and efficiencies	Alison Chubbock	✔
<input checked="" type="checkbox"/> Compliance policies in place and up to date	Cara Jordan	✔
<input checked="" type="checkbox"/> Compliance works undertaken in a timely fashion	Cara Jordan	✔
<input checked="" type="checkbox"/> Procure a Strategic Development Partner	Cara Jordan	✔
<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	✔
<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	✔

	Responsible	Sep 22
<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		Sep 22
<input checked="" type="checkbox"/> Production and approval of the Asset Management Plan	In Progress	Renata Garfoot	Performance	●
			Comments	Documents have been reviewed and drafted awaiting updated financial information to be included.
<input checked="" type="checkbox"/> CC 002 ER1 Review Emergency Response Plan	In Progress	Alison Sayer	Performance	●
			Comments	Ongoing consideration of amendments to the ERP due to: <ul style="list-style-type: none"> • revisions to the Norfolk Emergency Response Guidance (Oct) • additions to response around National Power Outages (Oct) and • additions to the National Risk Register (received Nov) Review is on schedule.
<input checked="" type="checkbox"/> Develop 'People Strategy'	In Progress	James Claxton	Performance	●
			Comments	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

		31/10/2022
SR 003 Macroeconomic : Status	Score	16.00
	Target	12.00
	Performance	▲
	Direction of change	↗
	Comments	<p>Following the Chancellor's Autumn Statement on 17 November 2022 which said the country faces difficult times ahead with a recession lasting into 2024, high inflation and anticipated rising unemployment we have to expect that the challenging economic circumstances will have an impact on the performance of the North Norfolk economy and therefore on demand for many council services. The Council held a cost of living summit on 3 November 2022 to understand across the public and voluntary sectors demand for services and support and will closely monitor service demand and implications for the Council's finances which will be reflected in preparation of the 2023/24 budget.</p>

		31/10/2022
SR 003 Macroeconomic : RM01 Risk Consequence	Score	4
	Target	3
	Direction of change	↑X
SR 003 Macroeconomic : RM02 Risk Likelihood	Score	4
	Target	4
	Direction of change	↑X



Associated Corporate Risks

		31/10/2022
CR 026 Impact of economic fluctuations on the North Norfolk economy : Status	Score	15.00
	Target	4.00
	Performance	▲
	Direction of change	→
	Comments	Whilst the economy has adjusted to the impact of the pandemic there are a number of legacies that still cause concern. Labour supply shortages and inflationary pressures continue to impact on a wide variety of sectors in the local economy, which impacts on economic growth prospects.

Control, Contingency & Mitigating Actions

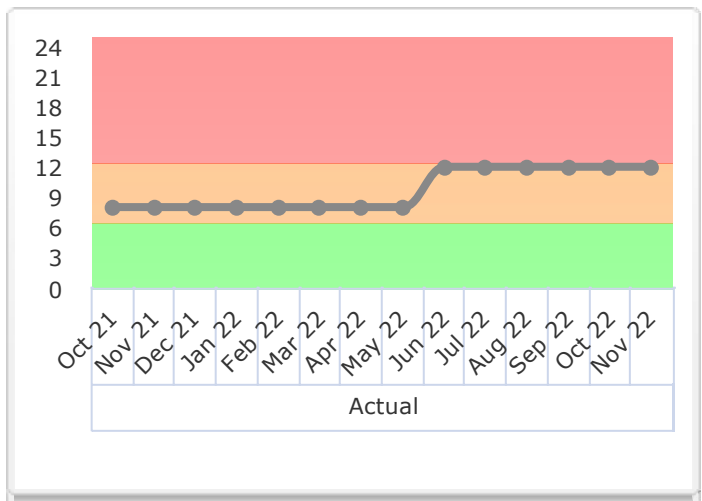
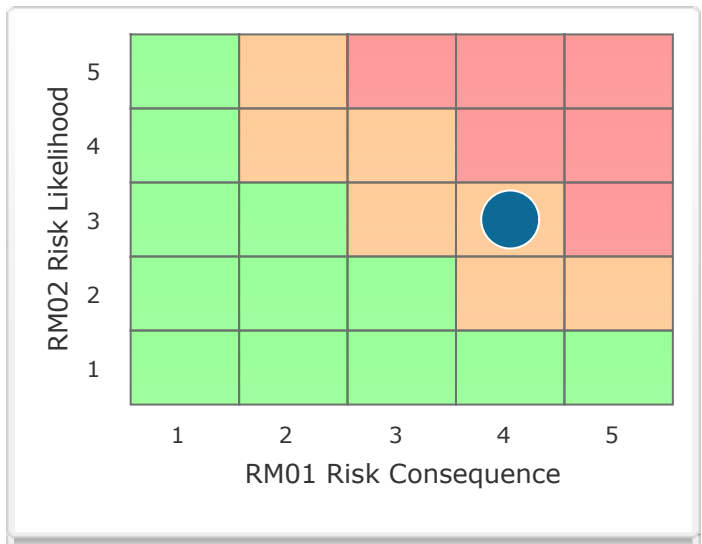
Implemented		
	Responsible	Sep 22
<input checked="" type="checkbox"/> Business Survey	Stuart Quick	✔
<input checked="" type="checkbox"/> Corporate Planning / Service Planning	Helen Thomas	✔
<input checked="" type="checkbox"/> Fund Management advice from Arlingclose	Lucy Hume	✔
<input checked="" type="checkbox"/> 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	Performance	Sep 22
<p> 2.2.1 Economic Growth Strategy (2020 - 2023)</p>	In Progress	Stuart Quick	<p>Performance</p> <hr/> <p>Comments</p>	<p style="text-align: center;"></p> <p>Work is presently underway to develop a new 'online' platform, which will facilitate and enable a more modern, fluid and responsive approach to economic support delivery, particularly during this challenging climate for businesses and communities.</p> <p>The intention is to maintain effective methods of supporting the local economy and responding to the existing and changing needs of local businesses through the following activities.</p> <ul style="list-style-type: none"> • Preparing and analysing evidence relating to local economic context and business needs, including contextual data and that gathered through surveys and business engagement; • Establishing a new digital 'hub' for engaging with the local business community. This will act as an interactive portal for businesses to access information and respond to relevant initiatives; • Developing schemes under the anticipated UKSPF and REPF (once established by Government) and administering the consequential business support/grant initiatives. This will also include the project development with Levelling Up Funds, if the submitted bids are successful); • Utilising, adapting and managing the Council's (business) estate (i.e. NNDC owned business premises) to help respond to demand for premises; and • Continuing to engage with the local visitor and hospitality sector via Visit North Norfolk and to develop collaborative marketing campaigns, itineraries etc. and sector support; • Liaising with, and where necessary helping to facilitate, organisations that represent commercial enterprises (chambers of trade, business forums, federations and groups) at the town, District and County level to establish and share best practice, foster collaboration and resilience.

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

		31/10/2022
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. In the Chancellor's Autumn Statement on 17 November 2022 it was suggested that a Norfolk County Deal might be announced imminently and local partners are awaiting that statement at the current time.</p> <p>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 and is developing a prospectus to spend that money for submission to Government by the end of November.</p> <p>The Council also submitted Levelling Up applications for projects at Fakenham and Cromer the outcome of which is now anticipated before the end of December 2022.</p> <p>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>

		31/10/2022
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

		31/10/2022
CR 027 Strategic financial and performance management : Status	Score	12.00
	Target	4.00
	Performance	●
	Direction of change	↑x
	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. Cabinet agreed at its meeting on 6 September 2022 to allocate the 2021/22 surplus of £615,740 to general reserves to offset anticipated overspend in the 2022/23 budget as a result of rapidly rising inflation. A report to Cabinet on 7 November 2022 on period 6 budget statement anticipated a year end overspend of £909,235 which would mean a further draw on reserves if this was to be the outcome at year end.

Control, Contingency & Mitigating Actions

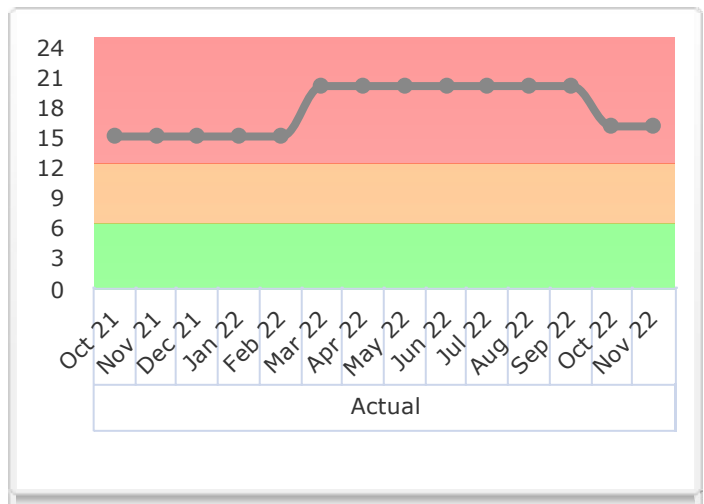
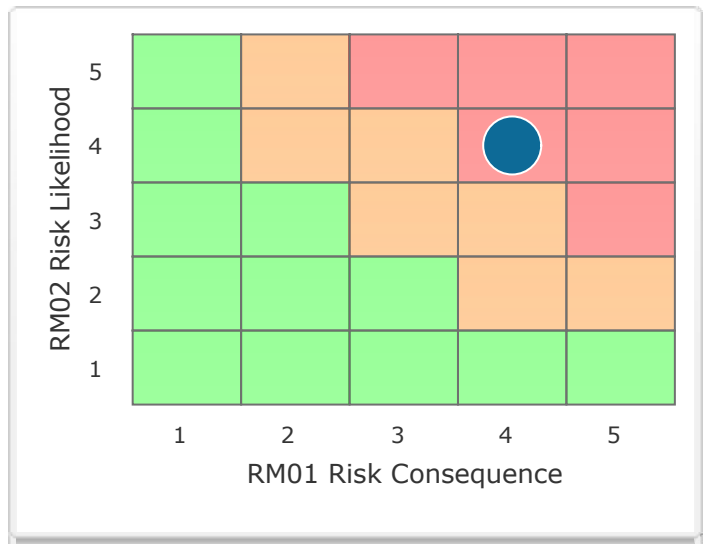
Implemented		
	Responsible	Sep 22
<input checked="" type="checkbox"/> Annual review of the Council's reserves	Alison Chubbock	✔
<input checked="" type="checkbox"/> Budget Process / Budget Monitoring	Lucy Hume	✔
<input checked="" type="checkbox"/> Corporate Planning / Service Planning	Helen Thomas	✔
<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		Sep 22
<input checked="" type="checkbox"/> Emerging Local Plan	In Progress	Mark Ashwell	Performance	
			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. There is increasing confidence that mitigation proposals will be delivered by mid 2023 and further delays in Plan submission are now unlikely. Subject to consideration of public consultation responses it is hoped that the Plan will be submitted by Feb 2023.

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

		31/10/2022
SR 005 Environment & Social : Status	Score	16.00
	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> <p>The Council launched an alternative calculator for the assessment of nutrient neutrality. The alternative calculator will reduce required mitigation by between 30 to 50 percent. This will ensure that development proposals are more viable and can be delivered. In addition, revised mapping has been issued which removes North Walsham from the area requiring mitigation. North Walsham is a key strategic centre.</p>

		31/10/2022
SR 005 Environment & Social : RM01 Risk Consequence	Score	4
	Target	2
	Direction of change	↓✓
SR 005 Environment & Social : RM02 Risk Likelihood	Score	4
	Target	2
	Direction of change	→

 Associated Corporate Risks

		31/10/2022
CR 002 Flooding, erosion and loss of assets and delivery of services : Status	Score	20.00
	Target	12.00
	Performance	▲
	Direction of change	➔
	Comments	Coastal and Climate risk remain high for North Norfolk and over time will increase based on climate change forecasts. NNDC has invested in coastal protection and management over a long period of time, however, with aging infrastructure, depleting beaches and sea level rise, erosion remains a primary risk for our coast. The Council continues to invest in erosion risk management measures including maintenance of existing assets and capital schemes where it is viable to do so. In many locations it is not possible to prevent erosion and there is a need to seek ways to support communities and individuals to transition away from risk. North Norfolk was selected by DEFRA as one of two local authorities for the Coastal Transition Accelerator Programme (CTAP) to investigate, develop, deliver and learn new approaches to support communities to transition away from coastal erosion. This Programme replaces the Flood Coast Resilient Innovation Programme (Resilient Coast) in North Norfolk which was in preparation last year. This new programme provides a significant opportunity to develop local initiatives from which the learning can be transferred to other local authorities and shape the future national approach to coastal change management.
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. The Council launched an alternative calculator for the assessment of nutrient neutrality. The alternative calculator will reduce required mitigation by between 30 to 50 percent. This will ensure that development proposals are more viable and can be delivered. In addition, revised mapping has been issued which removes North Walsham from the area requiring mitigation. North Walsham is a key strategic centre.

 Control, Contingency & Mitigating Actions

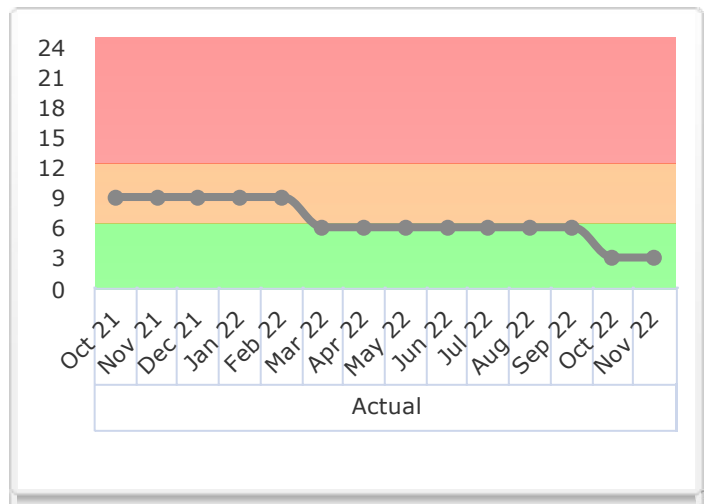
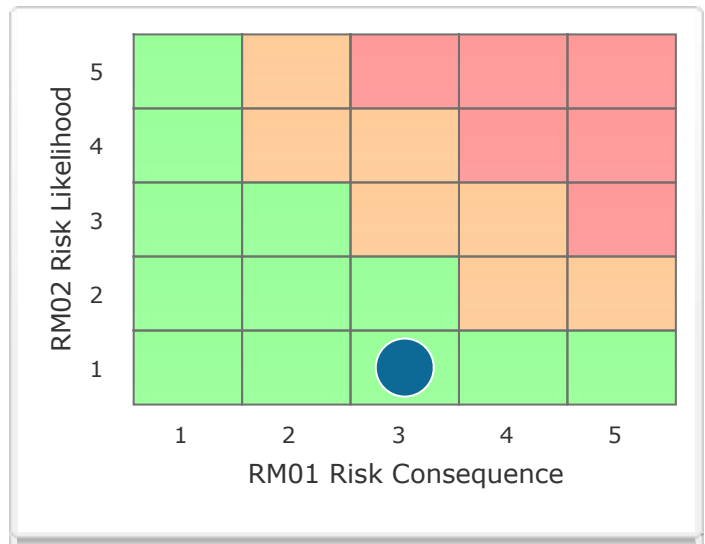
Implemented		
	Responsible	Sep 22
<input checked="" type="checkbox"/> 4.3.1 Baseline carbon audit and carbon reduction action plan	Robert Young	★
<input checked="" type="checkbox"/> Bacton and Walcott coastal management scheme	Rob Goodliffe	✔
<input checked="" type="checkbox"/> Coastal Monitoring	Rob 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	Sep 22	
<input checked="" type="checkbox"/> CM 002 Refurbish coastal defences at Mundesley	In Progress	Tamzen Pope	Performance	●	
			Comments	Mundesley detailed design has been received and is being reviewed by NNDC and Balfour Beatty (as part of the Pre-Construction contract). MMO consultation has delayed the completion of the Environment Statement - revised proposal to be provided by Mott MacDonald this week. MMO licence application and planning application will be submitted once the Environment Statement has been received. Documents to apply for additional funding are being developed following conversations with the Environment Agency.	
<input checked="" type="checkbox"/> CM 016 10 year capital programme	In Progress	Tamzen Pope	Performance	★	
			Comments	Works are progressing on Cromer and Mundesley. Development of other projects on our 10 year capital programme are being planned however have not yet started.	

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

31/10/2022		
SR 006 Governance : Status	Score	3.00
	Target	4.00
	Performance	★
	Direction of change	↓
	Comments	<p>A new Director for Resources and Section 151 officer has been appointed with effect from 21 November 2022 thereby strengthening the statutory officer team.</p> <p>Full Council, at its meeting on 16 November 2022, resolved that the Local Government Association should be appointed to undertake a review of the Council's constitution over the period December 2022 to May 2023.</p>

		31/10/2022
SR 006 Governance : RM01 Risk Consequence	Score	3
	Target	2
	Direction of change	→
SR 006 Governance : RM02 Risk Likelihood	Score	1
	Target	2
	Direction of change	↓

SR 006 Governance

Associated Corporate Risks

		31/10/2022
CR 028 Governance failures : Status	Score	4.00
	Target	4.00
	Performance	★
	Direction of change	↓
	Comments	<p>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. After clarification of the treatment of infrastructure assets by CIPFA at a national level the Council's 2019/20 accounts were finally signed off on 30 September 2022.</p> <p>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. The Council's new permanent Director for Resources and Section 151 officer, Tina Stankley, took up her appointment with effect from 21 November 2022, strengthening the Council's statutory officer appointments.</p>

Control, Contingency & Mitigating Actions

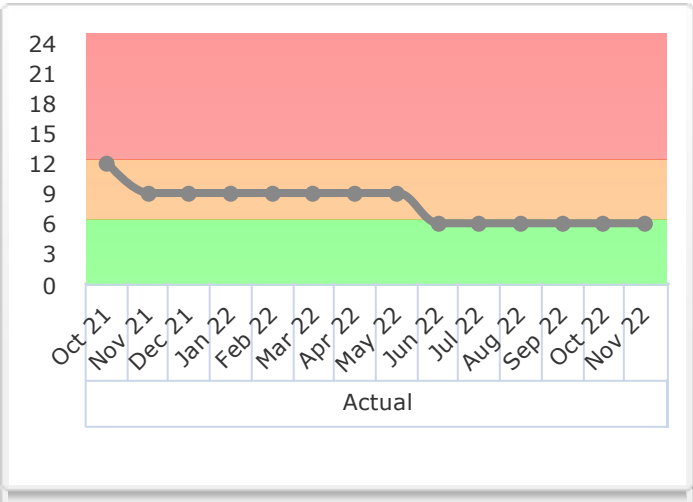
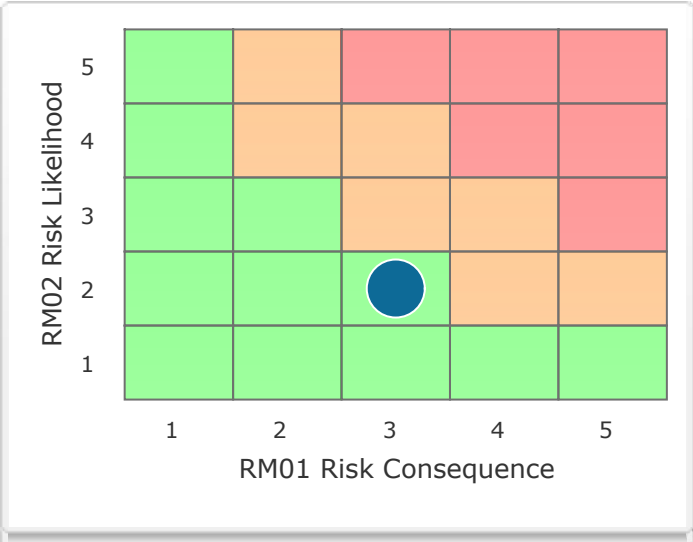
Implemented		
	Responsible	Sep 22
<input checked="" type="checkbox"/> Annual Assurance Statements	Alison Chubbuck	✔
<input checked="" type="checkbox"/> Annual Audit Report	Lucy Hume	✔
<input checked="" type="checkbox"/> Annual Governance Statement 2019/20 supported by assurance framework	Alison Chubbuck	✔
<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	✔

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

		31/10/2022
SR 007 Reputation : Status	Score	6.00
	Target	4.00
	Performance	★
	Direction of change	➔
	Comments	<p>During the period September to November 2022 the Council received some negative customer comment around the introduction of new waste and recycling collection rounds which initially saw a higher number of missed bins and incomplete rounds than would normally be the case. The introduction of any new system requires a bedding in period and the Council's contractor advised in their programme that this might take up to twelve weeks, This issue was raised at Full Council on 16 November 2022 when improvement over the previous eight weeks were reported and the situation continues to be monitored. High numbers of calls to the Council's contact centre during this period saw response times lengthen although this situation is now returning to normal levels. The council produced and circulated to all households its second edition of the Outlook publication promoting the Council's services and support for its communities, with a four page Cost of Living feature, in November 2022. In terms of wider corporate reputation delivery of the North Walsham Heritage Action Zone project continue with the Market Place improvement programme which will see some disruption in the town centre during the construction phase.</p>

		31/10/2022
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

This report does not contain any data

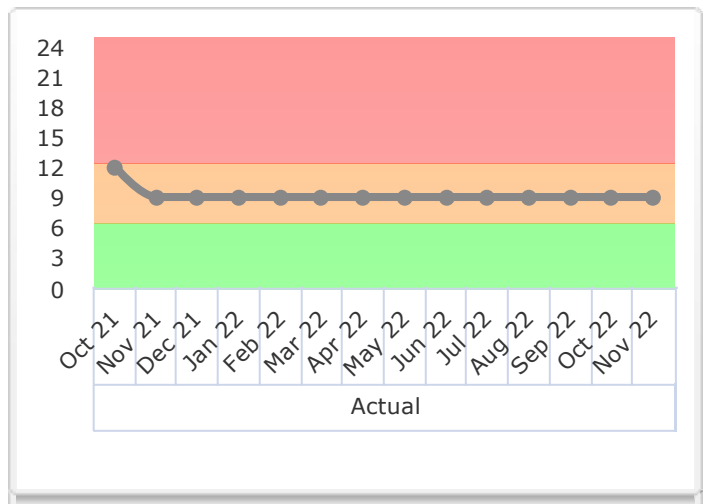
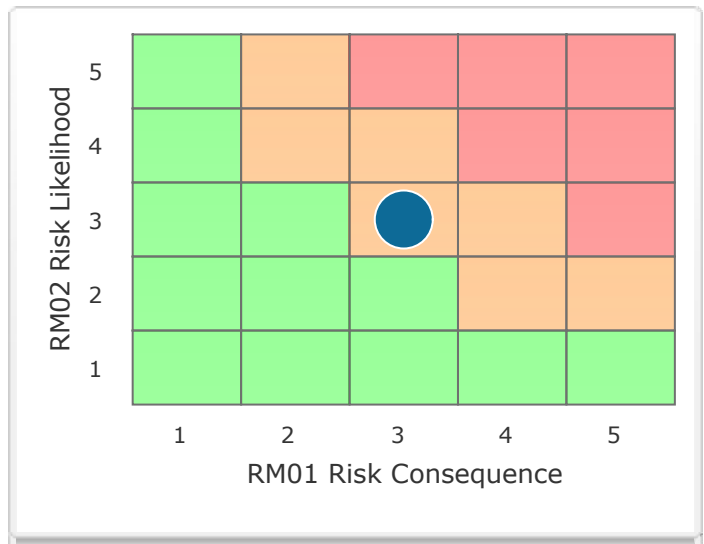
Control, Contingency & Mitigating Actions

Implemented		
	Responsible	Sep 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
This report does not contain any data

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

		31/10/2022
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 continues with the Market Place improvement programme 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>

31/10/2022		
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

		31/10/2022
CR 030 Sheringham Leisure Centre : Status	Score	6.00
	Target	4.00
	Performance	★
	Direction of change	➔
	Comments	The final account remains to be settled. Information from the construction company is awaited before the final accounts can be agreed.
CR 032 Fakenham new roundabout - Delivery of highway infrastructure (roundabout) on A148 : Status	Score	9.00
	Target	6.00
	Performance	●
	Direction of change	➔
	Comments	<p>Increased costs over recent months has lead to this scheme not being able to be delivered during 2022. Positive discussions have been held with the applicant and their representatives and a way forward identified.</p> <p>Existing Controls Emerging Local Plan</p> <ul style="list-style-type: none"> • Stakeholders monthly meeting • Regular dialogue with Norfolk County Council • Liaising with NNDC Chief Executive • Keeping ward Members informed • Funding opportunities explored • Applications to carry over existing funding being submitted (November 2022). <p>Further action to achieve target risk score</p> <ul style="list-style-type: none"> • Close liaison with stakeholders in exploring potential funding opportunities. • Continued input and financial support in relation to design to ensure that infrastructure is able to be delivered during 2023.
CR 033 North Walsham High Street Heritage Action Zone - project incomplete : Status	Score	6.00
	Target	4.00
	Performance	★
	Direction of change	➔
	Comments	<p>Existing Controls</p> <ul style="list-style-type: none"> • Project Board • Procedures for management • Project risk register • Pre purchased materials • De scoped the scheme • Value engineered • Professional advisors <p>The fixed budget for the project (with substantial external funding), in the face of inflationary pressures since the scheme was conceived in 2020, has meant that the scheme has had to be tailored to fit. Further funding is therefore required in order to complete the improvements to the satisfaction of the Council and local stakeholders. A report recommending this is going to Cabinet on 5 December 2022.</p>



Control, Contingency & Mitigating Actions

Implemented

	Responsible	Sep 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

	Stage	Responsible		Sep 22
<input checked="" type="checkbox"/> Emerging Local Plan	In Progress	Mark Ashwell	Performance	●
			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. There is increasing confidence that mitigation proposals will be delivered by mid 2023 and further delays in Plan submission are now unlikely. Subject to consideration of public consultation responses it is hoped that the Plan will be submitted by Feb 2023.