

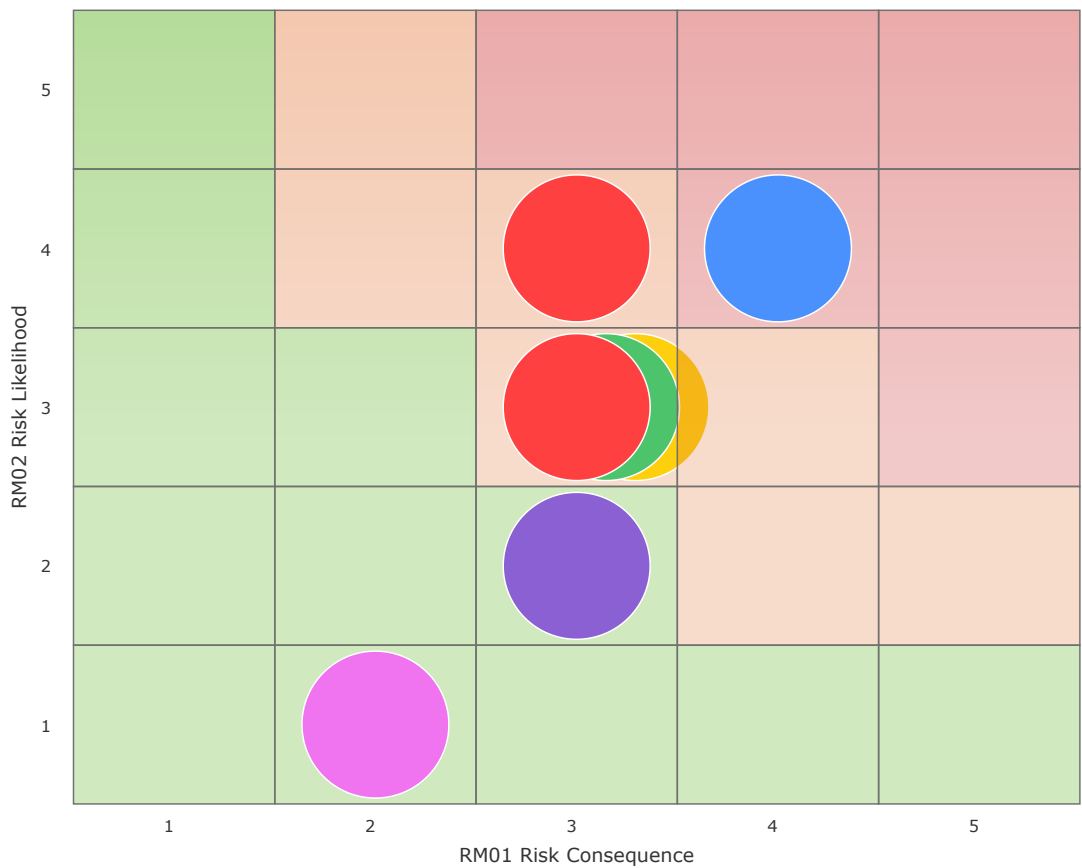
# Corporate Risk Register

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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



## Overview

Since last reporting Cabinet has been presented with the first budget monitoring report for 2023/24 and it indicates that the year end outturn position is likely to be on or around budget (Period 4 is predicting a year end position of a £25k overspend). The financial sustainability of the Council is a major risk but this currently appears to be stable. One of the most considerable risks is due to the uncertainty around future funding. Another major area of concern is with the demand led budget for Temporary Accommodation, which as a service area is at highest risk of overspending, but this is being closely monitored by officers. This has also been raised as an issue at a national level by several Councils.



# Risk scoring key

## Corporate Risks

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

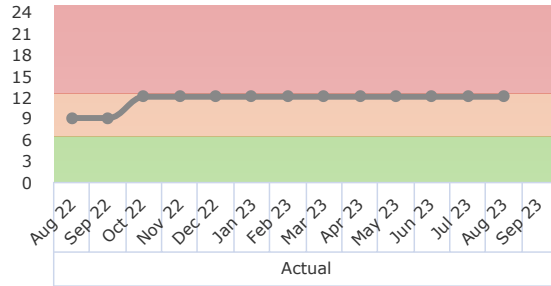
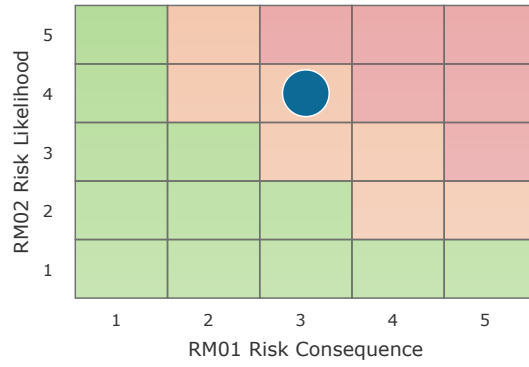
Impact Type	Catastrophic 5	Critical 4	Moderate 3	Marginal 2	Negligible 1
<b>Objectives</b>	The key objectives in the Corporate Plan will not be achieved.	One or more Key Objectives in the Corporate Plan will not be achieved.	Significant impact on the success of the Corporate Plan.	Some impact on more than one Service.	Insignificant impact on more than one Service.
<b>Financial Impact (Loss)</b>	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"> <li>■ A Financial</li> <li>■ C Credit and counterparty</li> </ul>
Risk Response	Treat



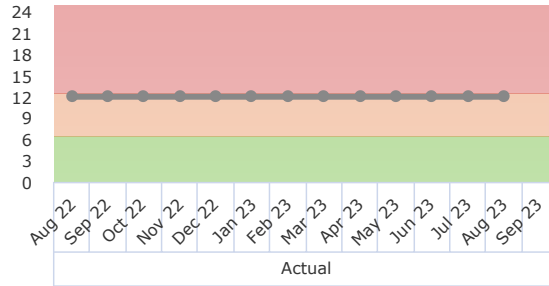
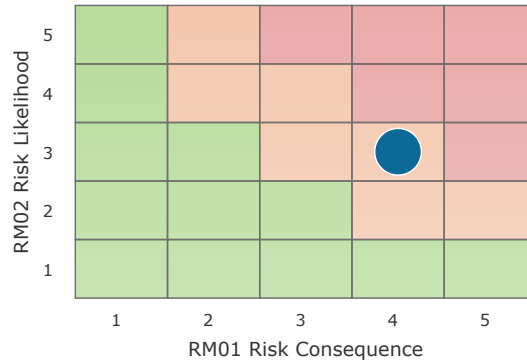
### Latest Update

31/08/2023		
SR 001 Financial (including credit & counterparty) : Status	Score	12.00
	Target	4.00
	Performance	<span style="color: orange;">●</span>
	Direction of change	➔
	Comments	

31/08/2023		
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	➔

## CR 015 Medium Term Financial Plan

Responsibility	Finance
Risk Description	Forecast funding reductions and shift to local financing from business rates, council tax and new homes bonus - reduced funding to fund current service levels and produce a balanced budget. Use of reserves is not sustainable strategy to bridge income/expenditure funding gaps in the medium to long term.
Risk Category	<ul style="list-style-type: none"> <li>■ A Financial</li> <li>■ C Credit and counterparty</li> </ul>
Risk Response	Treat



## Latest Update

31/08/2023		
CR 015 Medium Term Financial Plan : Status	Score	12.00
	Target	4.00
	Performance	●
	Direction of change	➡
	Comments	There remains a great deal of uncertainty in terms of predicting local government funding over the medium term. Work will begin in September to produce the Medium Term Financial Plan (MTFP) with the intention being to report to Cabinet with a first draft of the MTFP at the 5 December 2023 meeting. This will give the Council more time to consider any action that needs to be taken if forecasting of a budget gap or an unbalanced budget.

31/08/2023		
CR 015 Medium Term Financial Plan : RM01 Risk Consequence	Score	4
	Target	2
	Direction of change	➡
CR 015 Medium Term Financial Plan : RM02 Risk Likelihood	Score	3
	Target	2
	Direction of change	➡

## Control, Contingency & Mitigating Actions

Implemented			
	Responsible		Jun 23
<input checked="" type="checkbox"/> Annual review of the Council's reserves	Tina Stankley	Performance	✔
<input checked="" type="checkbox"/> Balanced budget agreed	Tina Stankley	Performance	✔
<input checked="" type="checkbox"/> Budget Process / Budget Monitoring	Jeny Carroll	Performance	✔
<input checked="" type="checkbox"/> Business cases for commercialisation of assets to deliver future income and efficiencies	Tina Stankley	Performance	✔
<input checked="" type="checkbox"/> Corporate Planning / Service Planning	Helen Thomas	Performance	✔
<input checked="" type="checkbox"/> Growth forecasting models	Tina Stankley	Performance	✔
<input checked="" type="checkbox"/> Lobbying Central Government	Steve Blatch	Performance	✔

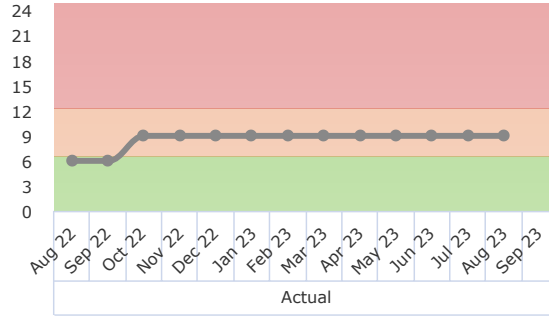
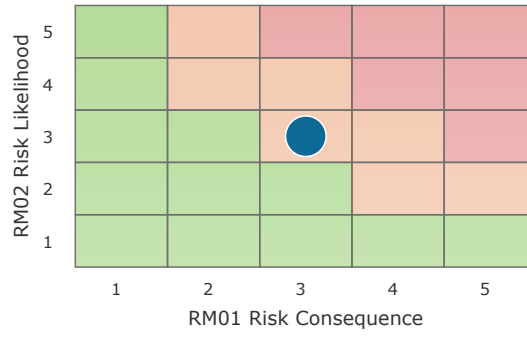
	Responsible		Jun 23
<input checked="" type="checkbox"/> Medium Term Financial Strategy	Tina Stankley	Performance	✔
<input checked="" type="checkbox"/> Monitoring impact of the business rates retention	Tina Stankley	Performance	✔
<input checked="" type="checkbox"/> Policy Work	Steve Blatch	Performance	✔
<input checked="" type="checkbox"/> Reporting - New legislation and consultation	Helen Thomas	Performance	✔
<input checked="" type="checkbox"/> Timely agreement of the annual Localised Council Tax Support Scheme	Tina Stankley	Performance	✔
<input checked="" type="checkbox"/> Utilisation of the New Homes Bonus grant within the base budget for 2018/19 onwards	Tina Stankley	Performance	✔

#### Outstanding

This report does not contain any data

## 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

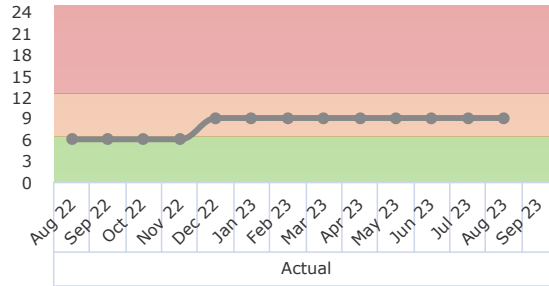
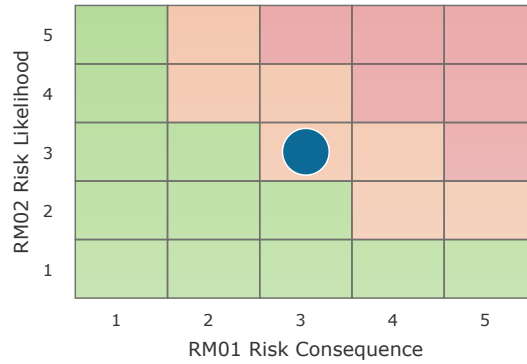
31/08/2023		
SR 002 Operational : Status	Score	9.00
	Target	4.00
	Performance	●
	Direction of change	➡
	Comments	Whilst the score has remained the same there is an emerging risk of potential strikes as the Unions are pressing Local Government for a better pay deal for its members.

31/08/2023		
SR 002 Operational : RM01 Risk Consequence	Score	3
	Target	2
	Direction of change	➡
SR 002 Operational : RM02 Risk Likelihood	Score	3
	Target	2
	Direction of change	➡



## CR 001 Deteriorating/ underused property assets

Responsibility	<ul style="list-style-type: none"> <li>■ Property Services</li> <li>■ Estates and Assets</li> </ul>
Risk Description	Deteriorating/ underused property assets - loss of revenue / legal liability/ increased maintenance costs/ not achieving value for money/reputational risk/capital commitment.
Risk Category	D Operational
Risk Response	



## Latest Update


31/08/2023		
CR 001 Deteriorating/ underused property assets : Status	Score	9.00
	Target	4.00
	Performance	●
	Direction of change	➡
	Comments	There are a few known issues which need to be resolved and will incur significant cost. Some of these issues were hoped to be addressed with a successful bid for levelling up funding, however, we were unsuccessful in the second round. We are expecting an announcement of a round three funding programme and we will submit an updated bid and are hopeful of being successful as we are a priority 1 authority for this funding. Without the funding we will have to look to borrow to address the issues with these assets that are important community facilities.

31/08/2023		
CR 001 Deteriorating/ underused property assets : RM01 Risk Consequence	Score	3
	Target	2
	Direction of change	➡
CR 001 Deteriorating/ underused property assets : RM02 Risk Likelihood	Score	3
	Target	2
	Direction of change	➡

## Control, Contingency & Mitigating Actions

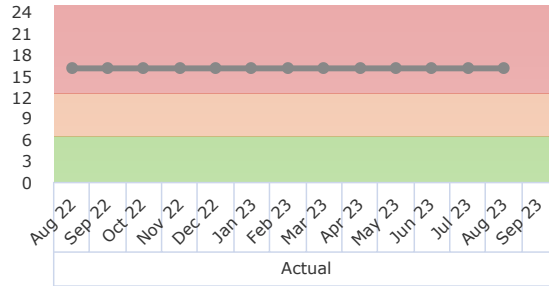
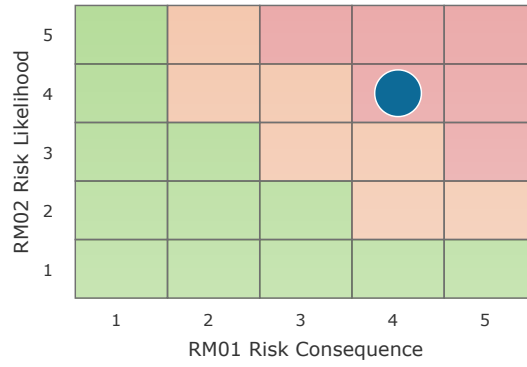
Implemented			
	Responsible		Jun 23
<input checked="" type="checkbox"/> Adequate budget provision both from revenue and capital to support R&M works and capital investment	Cara Jordan	Performance	✔
<input checked="" type="checkbox"/> Adequate staff or appropriately qualified external contractor support	Cara Jordan	Performance	✔
<input checked="" type="checkbox"/> Asset Condition Surveys	Cara Jordan	Performance	✔
<input checked="" type="checkbox"/> Business cases for commercialisation of assets to deliver future income and efficiencies	Tina Stankley	Performance	✔
<input checked="" type="checkbox"/> Compliance policies in place and up to date	Cara Jordan	Performance	✔

		Responsible	Jun 23
<input checked="" type="checkbox"/>	Compliance works undertaken in a timely fashion	Cara Jordan	Performance 
<input checked="" type="checkbox"/>	Procure a Strategic Development Partner	Cara Jordan	Performance 

Outstanding				
		Stage	Responsible	Jun 23
<input checked="" type="checkbox"/>	Production and approval of the Asset Management Plan	In Progress	Renata Garfoot	Performance 
			Comments	The Plan is to be reviewed against the Councils emerging new Corporate Plan following the recent elections and may require additional amendments to ensure it is fully aligned with the new Council priorities.
			Due Date	30/07/2020

## CR 008 Loss of Information

Responsibility	Organisational Resources
Risk Description	Loss of information assets - reputational (hacking/theft), operational disruption, impact on customers.
Risk Category	D Operational
Risk Response	Treat



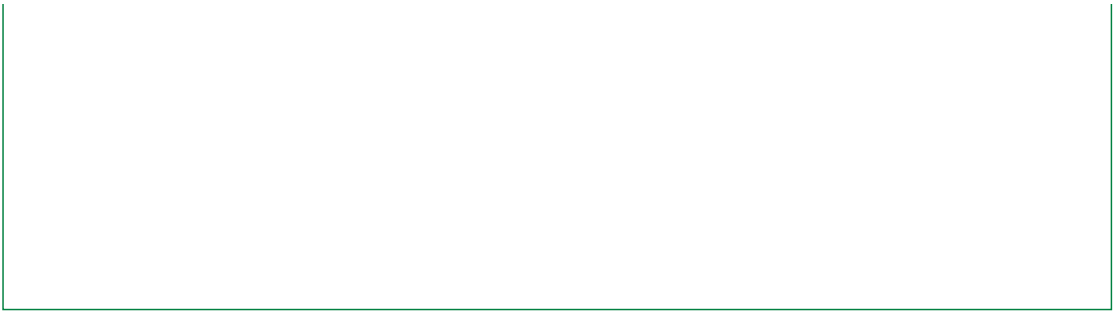
## Latest Update

31/08/2023		
CR 008 Loss of Information : Status	Score	16.00
	Target	4.00
	Performance	▲
	Direction of change	➡
	Comments	Cyber Awareness training is planned for staff and Members starting autumn 2023.

31/08/2023		
CR 008 Loss of Information : RM01 Risk Consequence	Score	4
	Target	2
	Direction of change	➡
CR 008 Loss of Information : RM02 Risk Likelihood	Score	4
	Target	2
	Direction of change	➡

## Control, Contingency & Mitigating Actions

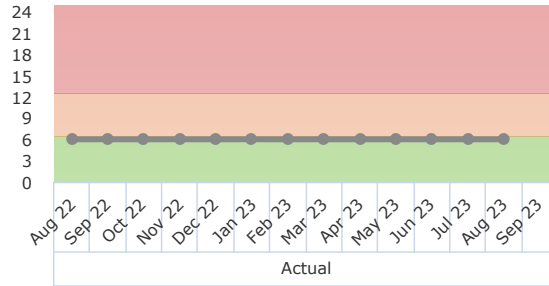
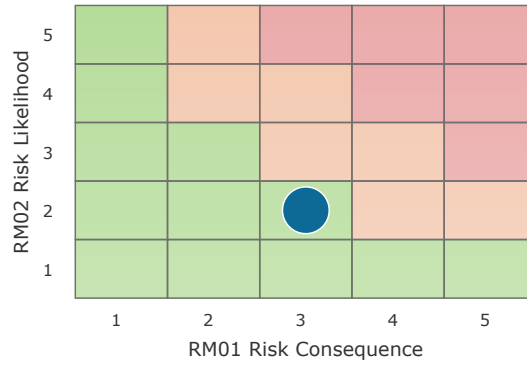
Implemented			
	Responsible		Jun 23
<input checked="" type="checkbox"/> Certified Security Professional Training	Kate Wilson	Performance	✔
<input checked="" type="checkbox"/> Data Protection training	Cara Jordan	Performance	✔
<input checked="" type="checkbox"/> GDPR compliance framework	Cara Jordan	Performance	✔
<input checked="" type="checkbox"/> ICT Strategy	Sean Kelly	Performance	✔
<input checked="" type="checkbox"/> Implement data security protocols	Sean Kelly	Performance	✔
<input checked="" type="checkbox"/> Information Risk Policy and Role Description	Sean Kelly	Performance	✔
<input checked="" type="checkbox"/> IT Monitoring	Sean Kelly	Performance	✔
<input checked="" type="checkbox"/> IT Security Policies	Sean Kelly	Performance	✔
<input checked="" type="checkbox"/> PSN Code of Connection compliance	Sean Kelly	Performance	✔
<input checked="" type="checkbox"/> Regular 3rd party data protection and integrity testing	Sean Kelly	Performance	✔
<input checked="" type="checkbox"/> Regular audits of IT security arrangements	Sean Kelly	Performance	✔



Outstanding				
	Stage	Responsible		Jun 23
<input checked="" type="checkbox"/>	Review and update of Web Strategy	Cancelled	Sean Kelly	
			Performance	
			Comments	~
			Due Date	31/12/2020

## CR 009 Poor Procurement

Responsibility	Property Services
Risk Description	Poor Procurement - poor value for money, poor strategic and operational outcomes, legal challenge, loss of public confidence, lack of transparency.
Risk Category	D Operational
Risk Response	Treat



## Latest Update

31/08/2023		
CR 009 Poor Procurement : Status	Score	6.00
	Target	4.00
	Performance	★
	Direction of change	➡
	Comments	The procurement officer is doing a lot of work reviewing the contracts we have and that end of contract processes are followed correctly, as well as supporting new procurements.

31/08/2023		
CR 009 Poor Procurement : RM01 Risk Consequence	Score	3
	Target	2
	Direction of change	➡
CR 009 Poor Procurement : RM02 Risk Likelihood	Score	2
	Target	2
	Direction of change	➡



## Control, Contingency & Mitigating Actions

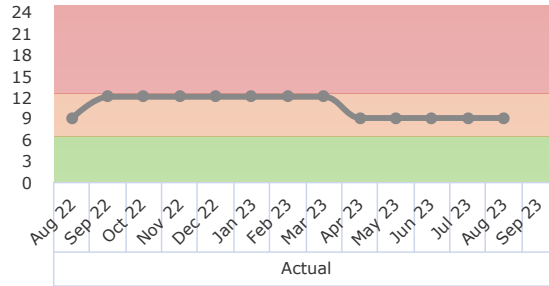
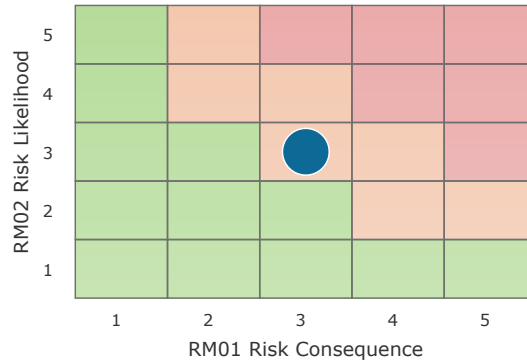
Implemented			
	Responsible		Jun 23
<input checked="" type="checkbox"/> Advice for external suppliers	Tina Stankley	Performance	✔
<input checked="" type="checkbox"/> Joint procurement protocol and opportunities for joint/shared procurement with other authorities	Tina Stankley	Performance	✔
<input checked="" type="checkbox"/> Procurement Framework	Tina Stankley	Performance	✔
<input checked="" type="checkbox"/> Procurement responsibility assigned	Tina Stankley	Performance	✔
<input checked="" type="checkbox"/> Procurement Strategy	Tina Stankley	Performance	✔

**Outstanding**

This report does not contain any data

## CR 013 Emergency event

Responsibility	Civil Contingencies
Risk Description	Context Any Internal or external event that has a significant impact on the ability of the Council to deliver services.
Risk Category	D Operational
Risk Response	Treat



## Latest Update

31/08/2023		
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 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.

31/08/2023		
CR 013 Emergency event : RM01 Risk Consequence	Score	3
	Target	2
	Direction of change	➡
CR 013 Emergency event : RM02 Risk Likelihood	Score	3
	Target	2
	Direction of change	➡



## Control, Contingency & Mitigating Actions

Implemented			
	Responsible		Jun 23
<input checked="" type="checkbox"/> Budget Process / Budget Monitoring	Jeny Carroll	Performance	✔
<input checked="" type="checkbox"/> Business Continuity Planning	Alison Sayer	Performance	✔
<input checked="" type="checkbox"/> CC 001 Consideration of COVID-19 implications	Alison Sayer	Performance	✔
<input checked="" type="checkbox"/> Complete critical services' Business Continuity Plans (BCP)	Alison Sayer	Performance	✔
<input checked="" type="checkbox"/> Corporate Business Continuity key role training	Alison Sayer	Performance	✔
<input checked="" type="checkbox"/> Corporate Planning / Service Planning	Helen Thomas	Performance	✔
<input checked="" type="checkbox"/> Corporate Policies and Procedures	Alison Sayer	Performance	✔
<input checked="" type="checkbox"/> Create and issue adverse weather guidance	Alison Sayer	Performance	✔

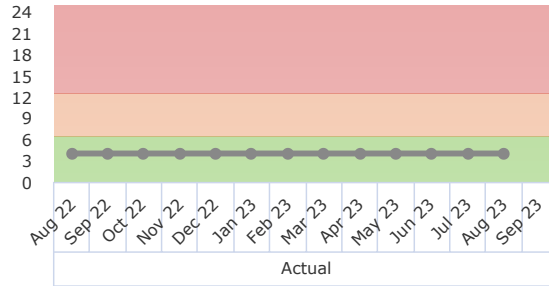
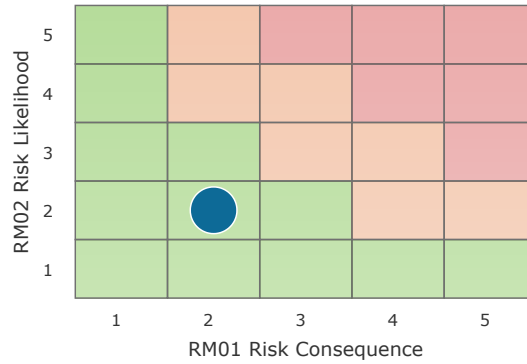
		Responsible	Jun 23
<input checked="" type="checkbox"/>	Emergency Response & Recovery Planning	Alison Sayer	Performance
<input checked="" type="checkbox"/>	Employment Policies	James Claxton	Performance
<input checked="" type="checkbox"/>	Refresh the project management framework	Kate Rawlings	Performance

Outstanding				
		Stage	Responsible	Jun 23
<input checked="" type="checkbox"/>	CC 002 ER1 Review Emergency Response Plan	In Progress	Alison Sayer	Performance
			Comments	
			Due Date	30/04/2021



## CR 024 People Resources

Responsibility	Human Resources
Risk Description	Failure to retain and recruit adequately trained and experienced staff- negative impact on corporate plan, business transformation, planning performance and delivery etc.
Risk Category	D Operational
Risk Response	Treat



## Latest Update

31/08/2023		
CR 024 People Resources : Status	Score	4.00
	Target	4.00
	Performance	★
	Direction of change	➡
	Comments	The level of risk to the organisation remains unchanged. The most recent Office for National Statistics (ONS) figures reported 1.1million vacancies across the UK. In order for the organisation to remain competitive and relevant when recruiting people it is anticipated that the authority will move forward with procurement of recruitment software.

31/08/2023		
CR 024 People Resources : RM01 Risk Consequence	Score	2
	Target	2
	Direction of change	➡
CR 024 People Resources : RM02 Risk Likelihood	Score	2
	Target	2
	Direction of change	➡

## Control, Contingency & Mitigating Actions

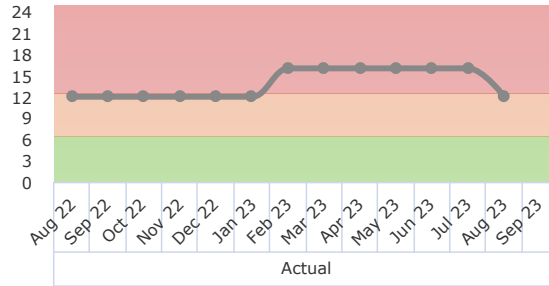
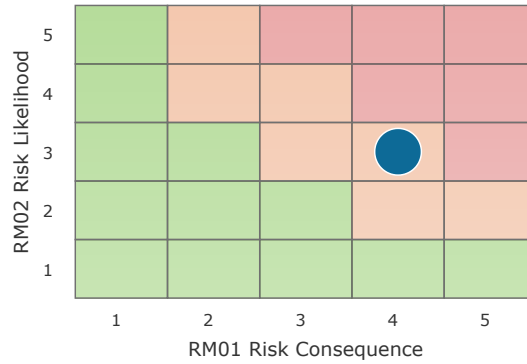
Implemented			
	Responsible		Jun 23
<input checked="" type="checkbox"/> Apprenticeship programme	James Claxton	Performance	✔
<input checked="" type="checkbox"/> Check-in process	James Claxton	Performance	✔
<input checked="" type="checkbox"/> Corporate Planning / Service Planning	Helen Thomas	Performance	✔
<input checked="" type="checkbox"/> Employee Referral Scheme	James Claxton	Performance	✔
<input checked="" type="checkbox"/> HR 006 New Ways of Working - Policy Creation	James Claxton	Performance	✔
<input checked="" type="checkbox"/> Market Pay Review report	James Claxton	Performance	✔

		Responsible	Jun 23
<input checked="" type="checkbox"/>	Review Pay Policy	James Claxton	Performance
<input checked="" type="checkbox"/>	Review relocation policy	James Claxton	Performance

Outstanding			
		Responsible	Jun 23
<input checked="" type="checkbox"/>	HR 007 Develop 'People Strategy'	James Claxton	Performance ?
			Comments
			Due Date 31/07/2022

## CR 025 Contract failure

Responsibility	Finance
Risk Description	<p>Context The Council has a number of contracts for service delivery.</p> <p>Cause Failure of a contractor</p> <p>Consequence increased costs and operational disruption</p>
Risk Category	D Operational
Risk Response	Treat



## Latest Update

31/08/2023		
CR 025 Contract failure : Status	Score	12.00
	Target	4.00
	Performance	●
	Direction of change	↕
	Comments	All indicators are that our waste and cleansing contract is in a stable place, our income continues to increase as residents and businesses take up our waste collection services. The increase in collection has necessitated the purchase of two additional vehicles to cope with the the demand. This is our biggest contract which would have the most impact if it failed however, the service continues to develop and customers grow.

31/08/2023		
CR 025 Contract failure : RM01 Risk Consequence	Score	4
	Target	2
	Direction of change	➡
CR 025 Contract failure : RM02 Risk Likelihood	Score	3
	Target	2
	Direction of change	↕

## Control, Contingency & Mitigating Actions

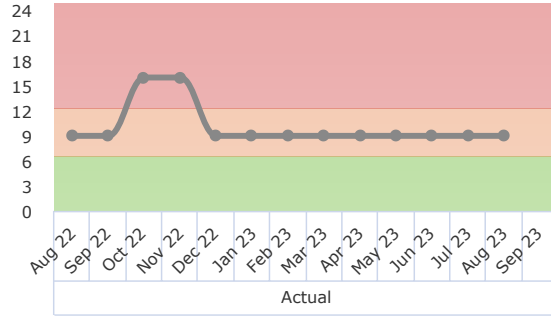
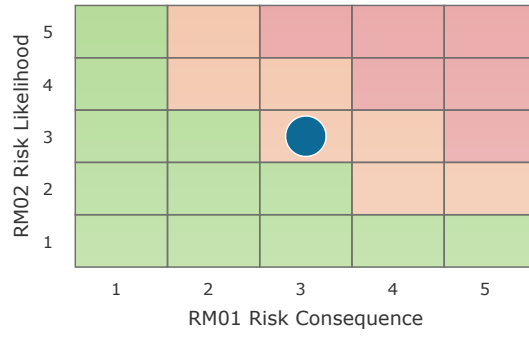
Implemented			
	Responsible		Jun 23
<input checked="" type="checkbox"/> Advice for external suppliers	Tina Stankley	Performance	✔
<input checked="" type="checkbox"/> Joint procurement protocol and opportunities for joint/shared procurement with other authorities	Tina Stankley	Performance	✔
<input checked="" type="checkbox"/> Procurement Framework	Tina Stankley	Performance	✔
<input checked="" type="checkbox"/> Procurement Officer post established	Tina Stankley	Performance	✔
<input checked="" type="checkbox"/> Procurement Strategy	Tina Stankley	Performance	✔

**Outstanding**

This report does not contain any data

## 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



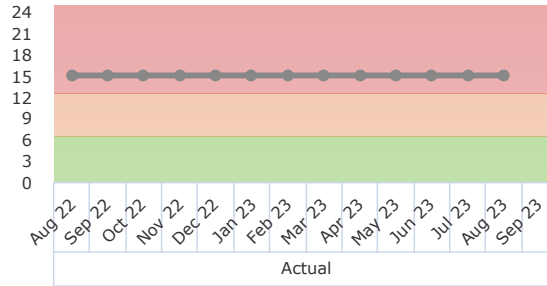
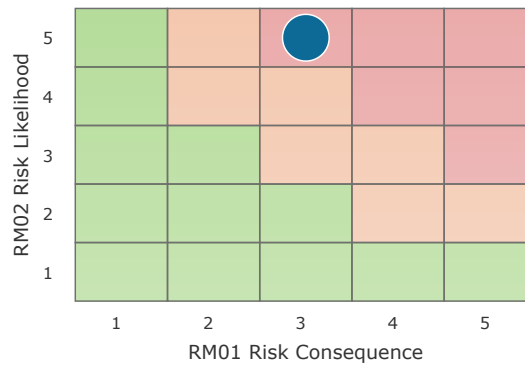
### Latest Update

31/08/2023	
SR 003 Macroeconomic : Status	Score 9.00
	Target 12.00
	Performance <span style="color: orange;">●</span>
	Direction of change <span style="color: black;">➔</span>
Comments	The poor macroeconomic position doesn't seem to be easing at all. The rate of inflation has reduced slightly but is still at a

31/08/2023		
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	➔

## CR 026 Impact of economic fluctuations on the North Norfolk economy

Responsibility	Sustainable Growth
Risk Description	Local Economic position- impact on NNDR, revenue streams, higher demand for services, business failure, increased unemployment and deprivation.  National Economic position - central government funding challenges.  Global Economic position - potential negative impact on council investments resulting in reduced income.
Risk Category	B Macroeconomic
Risk Response	Treat



### Latest Update

31/08/2023		
CR 026 Impact of economic fluctuations on the North Norfolk economy : Status	Score	15.00
	Target	4.00
	Performance	▲
	Direction of change	➡
	Comments	There remains concern about the wider economic health of the area. Whilst North Norfolk's market and resort towns seem to be managing, there are undoubtedly a number of 'highly leveraged' businesses operating and the pressures of inflation, wage inflation, fuel costs and reduced household income will begin to impact, unless the context changes soon.

31/08/2023		
CR 026 Impact of economic fluctuations on the North Norfolk economy : RM01 Risk Consequence	Score	3
	Target	2
	Direction of change	➡
CR 026 Impact of economic fluctuations on the North Norfolk economy : RM02 Risk Likelihood	Score	5
	Target	2
	Direction of change	➡

### Control, Contingency & Mitigating Actions

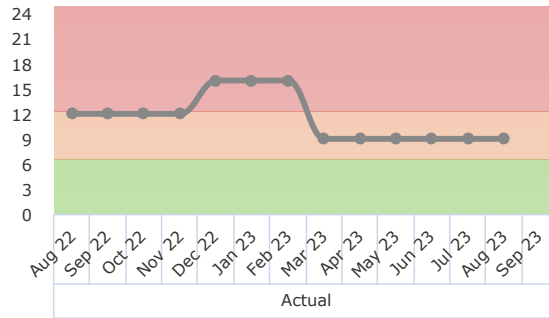
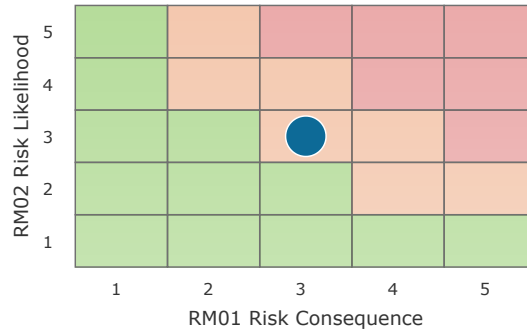
Implemented			
	Responsible		Jun 23
<input checked="" type="checkbox"/> Business Survey	Stuart Quick	Performance	✔
<input checked="" type="checkbox"/> Corporate Planning / Service Planning	Helen Thomas	Performance	✔
<input checked="" type="checkbox"/> Fund Management advice from Arlingclose	Tina Stankley	Performance	✔
<input checked="" type="checkbox"/> HS 003 - Monitor the need for temporary accommodation and ensure suitable provision	Graham Connolly	Performance	✔
<input checked="" type="checkbox"/> Medium Term Financial Strategy	Tina Stankley	Performance	✔
<input checked="" type="checkbox"/> Operation of the Council Tax Hardship Fund	Trudi Grant	Performance	✔
<input checked="" type="checkbox"/> Treasury Management Strategy	Tina Stankley	Performance	✔



Outstanding				
	Stage	Responsible		Jun 23
☑ 2.2.1 Economic Growth Strategy 2020 - 2023	In Progress	Stuart Quick	Performance	★
			Comments	A Project Inception Document has been produced and agreed by the Portfolio Holder for Sustainable Growth. This outlines the various elements that will be delivered by this work, including evidence gathering and consultation. A final document will be produced for adoption by the Council in early 2024.
			Due Date	30/04/2023

## 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

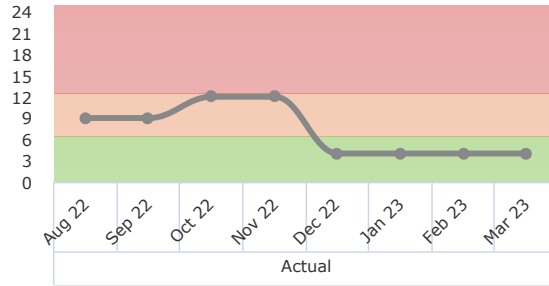
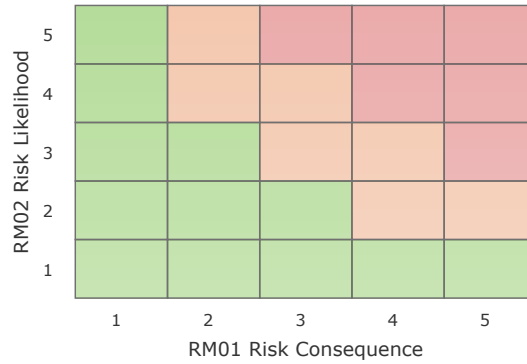
31/08/2023	
SR 004 Strategic : Status	Score 9.00
	Target 4.00
	Performance <span style="color: orange;">●</span>
	Direction of change <span style="color: black;">➔</span>
Comments	There is a strong indication that there may be a third round of Levelling up funding being announced soon. If this is the case and the Council is successful then this would bring about much needed regeneration in Cromer and Fakenham. This would have a positive impact on reducing the Strategic Risk if it happens.

31/08/2023		
SR 004 Strategic : RM01 Risk Consequence	Score	3
	Target	2
	Direction of change	➔
SR 004 Strategic : RM02 Risk Likelihood	Score	3
	Target	2
	Direction of change	➔



## CR 027 Strategic financial and performance management

Responsibility	Resources
Risk Description	The Council's income/expenditure challenges may put at risk some of the work streams identified in the Corporate Plan.  Poor performance management leading to not knowing whether outcomes have been met.
Risk Category	E Strategic
Risk Response	Treat



### Latest Update

31/08/2023		
CR 027 Strategic financial and performance management : Status	Score	n/r
	Target	n/r
	Performance	<<
	Direction of change	>>
	Comments	This area of risk is being addressed elsewhere by other corporate risks and improvement to performance management. Therefore, this risk has been closed.

31/08/2023		
CR 027 Strategic financial and performance management : RM01 Risk Consequence	Score	n/r
	Target	n/r
	Direction of change	>>
CR 027 Strategic financial and performance management : RM02 Risk Likelihood	Score	n/r
	Target	n/r
	Direction of change	>>



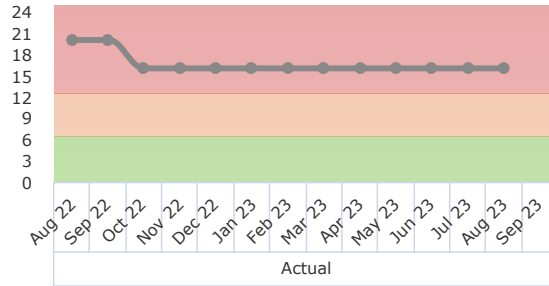
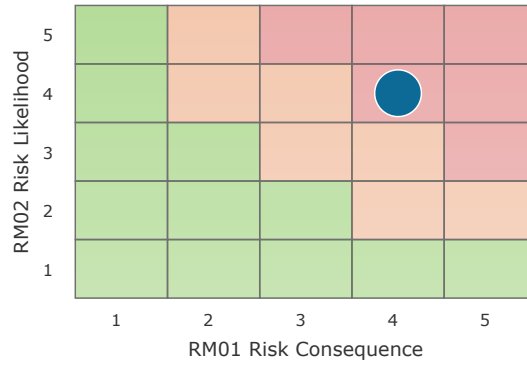
### Control, Contingency & Mitigating Actions

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

Outstanding				
	Stage	Responsible		Jun 23
<input checked="" type="checkbox"/> Emerging Local Plan	In Progress	Mark Ashwell	Performance	★
			Comments	
			Due Date	not set

## 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



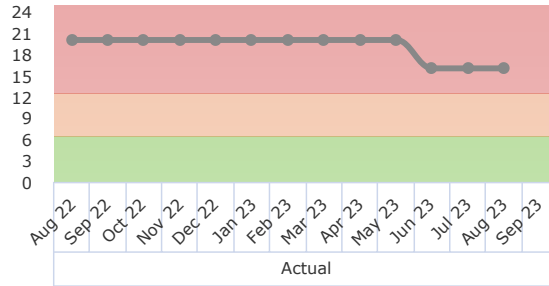
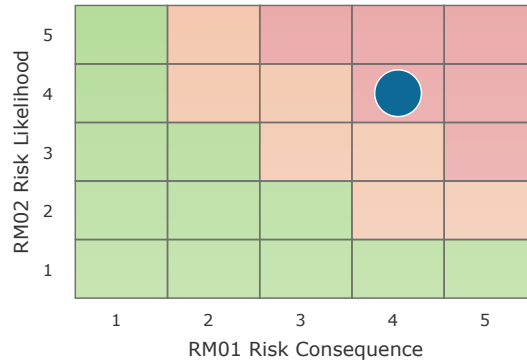
## Latest Update

		31/08/2023
SR 005 Environment & Social : Status	Score	16.00
	Target	4.00
	Performance	
	Direction of change	▲
	Comments	The issue of nutrient neutrality remains which is negatively impacting on any new house building. The work on achieving Net Zero by 2030 target continues, but full Council approved on 19 July 2023 at its meeting that some specific funding should be set aside in a specific reserve to kick start this work as part of the Outturn Report for 2022/23, but the cost of achieving the target and the short time frame make this a big risk.

		31/08/2023
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	➡

## CR 002 Flooding, erosion and loss of assets and delivery of services

Responsibility	Coastal Partnership East
Risk Description	Inability to adapt to climate change - increased coastal erosion and flooding.  Lack of Government funding - lack of ability to maintain coast defences and / or to support local coastal adaption needs.
Risk Category	F Environmental & Social
Risk Response	Treat



### Latest Update

31/08/2023		
CR 002 Flooding, erosion and loss of assets and delivery of services : Status	Score	16.00
	Target	4.00
	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.

31/08/2023		
CR 002 Flooding, erosion and loss of assets and delivery of services : RM01 Risk Consequence	Score	4
	Target	2
	Direction of change	➡
CR 002 Flooding, erosion and loss of assets and delivery of services : RM02 Risk Likelihood	Score	4
	Target	2
	Direction of change	➡



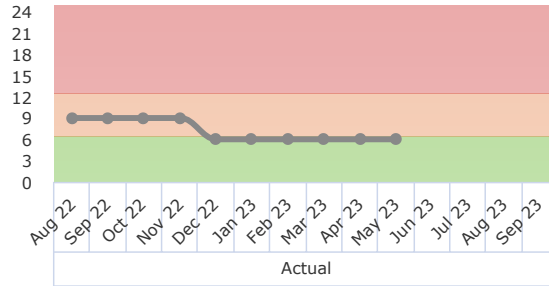
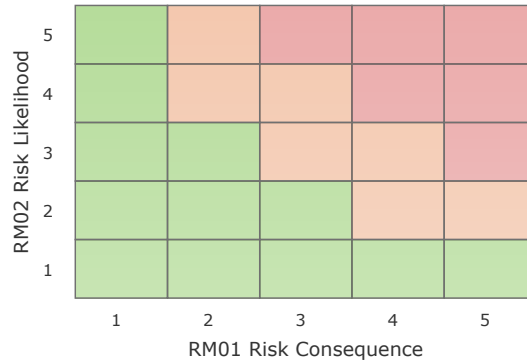
### Control, Contingency & Mitigating Actions

Implemented			
	Responsible		Jun 23
<input checked="" type="checkbox"/> 4.3.1 Baseline carbon audit and carbon reduction action plan	Robert Young	Performance	?
<input checked="" type="checkbox"/> Bacton and Walcott coastal management scheme	Rob Goodliffe	Performance	✔
<input checked="" type="checkbox"/> Coastal Monitoring	Rob Goodliffe	Performance	✔
<input checked="" type="checkbox"/> Coastal Partnership East set up	Rob Goodliffe	Performance	✔
<input checked="" type="checkbox"/> Control of coastal management schemes through procurement and regular checking	Rob Goodliffe	Performance	✔
<input checked="" type="checkbox"/> Corporate Planning / Service Planning	Helen Thomas	Performance	✔
<input checked="" type="checkbox"/> DEFRA funding of capital schemes	Rob Goodliffe	Performance	✔
<input checked="" type="checkbox"/> Environment Forum	Robert Young	Performance	✔
<input checked="" type="checkbox"/> Health & Safety checking and monitoring	Rob Goodliffe	Performance	✔
<input checked="" type="checkbox"/> Procurement practices	Tina Stankley	Performance	✔
<input checked="" type="checkbox"/> Repairs & Maintenance Programme	Rob Goodliffe	Performance	✔
<input checked="" type="checkbox"/> Shoreline Management Plan (SMP)	Rob Goodliffe	Performance	✔
<input checked="" type="checkbox"/> The Pathfinder Project	Rob Goodliffe	Performance	✔

Outstanding				
	Stage	Responsible		Jun 23
<input checked="" type="checkbox"/> CM 002 Refurbish coastal defences at Mundesley	In Progress	Tamzen Pope	Performance	●
			Comments	<p>Scheme costs (combined with Cromer) have increased. We are in discussions with Environment Agency to try to secure further funding.</p> <p>Project delays have occurred due to MMO and planning consents.</p> <p>Project to go to Cabinet and Full Council in September 2023</p> <p>Construction phase proposal has been received from Balfour Beatty which is being reviewed by project team.</p> <p>Operational Officers Group to be established with other teams within NNDC to identify and resolve any further issues but also to identify opportunities.</p> <p>Major Project Board has been established</p> <p>Member is fully informed</p>
			Due Date	31/03/2023
<input checked="" type="checkbox"/> CM 016 10 year capital programme	In Progress	Tamzen Pope	Performance	★
			Comments	<p>Works are progressing on Cromer and Mundesley.</p> <p>Development of other projects on our 10 year capital programme are being planned however have not yet started.</p>
			Due Date	31/03/2030

## CR 010 Housing Delivery

Responsibility	Strategic Housing
Risk Description	Non delivery of housing targets may lead to increasing homelessness, impact on NHB, vibrancy of local communities, impact on social infrastructure, loss of temporary accommodation in district, lack of social housing.
Risk Category	F Environmental & Social
Risk Response	Treat



## Latest Update

31/08/2023		
CR 010 Housing Delivery : Status	Score	
	Target	4.00
	Performance	?
	Direction of change	?
	Comments	<p>Joint venture nutrient neutrality mitigation strategy to be released in May 2023, register of interests for land owners to be promoted in May/ June 2023. Mitigation mapping is completed and will direct negotiations to ensure the backlog of planning applications can be addressed. The first planning permissions expected to be released August to September 2023.</p> <p>North Norfolk Local Plan submitted to the Planning Inspectorate for examination in April 2023. Expectation for examination in public to be held in September 2023.</p>

31/08/2023		
CR 010 Housing Delivery : RM01 Risk Consequence	Score	
	Target	2
	Direction of change	?
CR 010 Housing Delivery : RM02 Risk Likelihood	Score	
	Target	2
	Direction of change	?



## Control, Contingency & Mitigating Actions

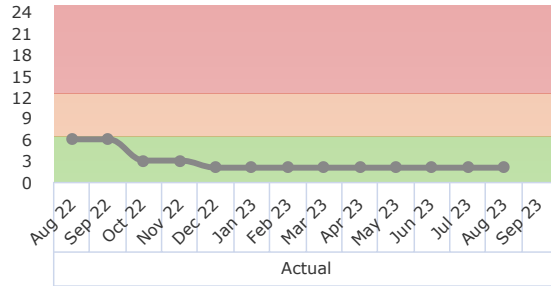
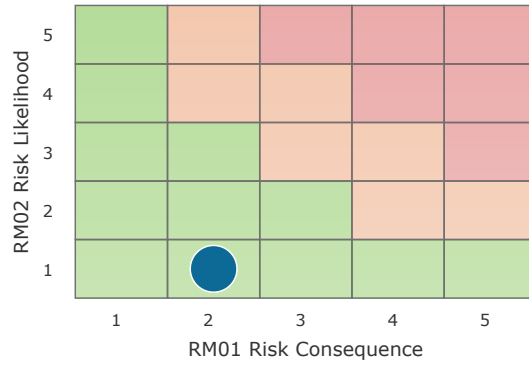
Implemented			
	Responsible		Jun 23
<input checked="" type="checkbox"/> 1.2.1 Formulate a new Housing Strategy	Graham Connolly	Performance	✔
<input checked="" type="checkbox"/> 1.4.1 Developing and implementing a new Homelessness and Rough Sleepers Strategy and Action Plan	Lisa Grice	Performance	✔
<input checked="" type="checkbox"/> 1.5.1 Investigate ways to support and assist affordable housing providers	Graham Connolly	Performance	✔
<input checked="" type="checkbox"/> Community Housing Fund	Graham Connolly	Performance	✔

	Responsible		Jun 23
<input checked="" type="checkbox"/> Enhance Housing Association delivery	Graham Connolly	Performance	✔
<input checked="" type="checkbox"/> Housing Strategy implementation	Robert Young	Performance	✔
<input checked="" type="checkbox"/> HS 003 - Monitor the need for temporary accommodation and ensure suitable provision	Graham Connolly	Performance	✔
<input checked="" type="checkbox"/> Increased Focus	Nicky Debbage	Performance	✔
<input checked="" type="checkbox"/> Internal planning protocol	Phillip Rowson	Performance	✔
<input checked="" type="checkbox"/> Local Development Framework (LDF) policies	Mark Ashwell	Performance	✔
<input checked="" type="checkbox"/> Local Investment Plan	Nicky Debbage	Performance	✔
<input checked="" type="checkbox"/> Monitor Brexit and its potential impact on the ability to deliver and acquire homes as a home owner	Tina Stankley	Performance	✔
<input checked="" type="checkbox"/> Partnership work with Registered Providers	Graham Connolly	Performance	✔
<input checked="" type="checkbox"/> Use of capital	Nicky Debbage	Performance	✔

Outstanding				
	Stage	Responsible		Jun 23
<input checked="" type="checkbox"/> 1.3.1 Develop a business case for a housing company	Cancelled	Nicky Debbage	Performance	
			Comments	~
			Due Date	31/12/2021
<input checked="" type="checkbox"/> HO 007d Production of SLA	Cancelled	Wendi Creelman	Performance	?
			Comments	
			Due Date	31/03/2025

## 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

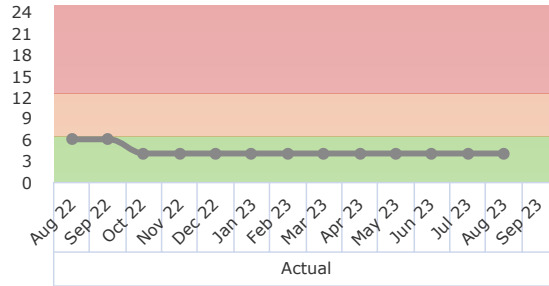
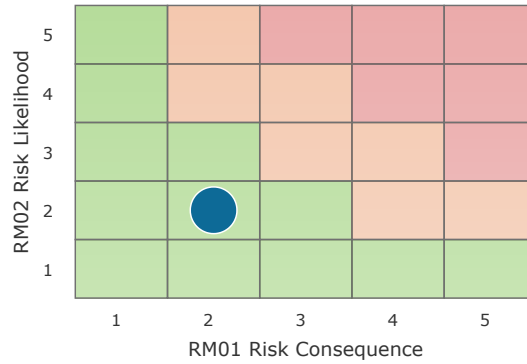
31/08/2023		
SR 006 Governance : Status	Score	2.00
	Target	2.00
	Performance	★
	Direction of change	➡
	Comments	

31/08/2023		
SR 006 Governance : RM01 Risk Consequence	Score	2
	Target	2
	Direction of change	➡
SR 006 Governance : RM02 Risk Likelihood	Score	1
	Target	1
	Direction of change	➡



## CR 028 Governance failures

Responsibility	Resources
Risk Description	Ignorance or non observance of the Council's agreed governance protocols - poor or illegal decision making.
Risk Category	G Governance
Risk Response	Treat



## Latest Update

31/08/2023		
CR 028 Governance failures : Status	Score	4.00
	Target	4.00
	Performance	★
	Direction of change	➡
	Comments	A review of the Constitution is taking place to make sure that it is fit for purpose and has the right level of controls in place and once completed there will need to be a programme of training for Members and officers.

31/08/2023		
CR 028 Governance failures : RM01 Risk Consequence	Score	2
	Target	2
	Direction of change	➡
CR 028 Governance failures : RM02 Risk Likelihood	Score	2
	Target	2
	Direction of change	➡

## Control, Contingency & Mitigating Actions

Implemented			
	Responsible		Jun 23
<input checked="" type="checkbox"/> Annual Assurance Statements	Tina Stankley	Performance	✔
<input checked="" type="checkbox"/> Annual Audit Report	Lucy Hume	Performance	✔
<input checked="" type="checkbox"/> Annual Governance Statement 2019/20 supported by assurance framework	Alison Chubbock	Performance	✔
<input checked="" type="checkbox"/> Annual Governance Statement 2020/21 supported by assurance framework	Alison Chubbock	Performance	✔
<input checked="" type="checkbox"/> Audit programme	Lucy Hume	Performance	✔
<input checked="" type="checkbox"/> Clear robust corporate governance framework	Renata Garfoot	Performance	✔
<input checked="" type="checkbox"/> Committee report templates	Emma Denny	Performance	✔
<input checked="" type="checkbox"/> Constitution/Standing Orders/Scheme of Delegations	Cara Jordan	Performance	✔
<input checked="" type="checkbox"/> Corporate Planning / Service Planning	Helen Thomas	Performance	✔

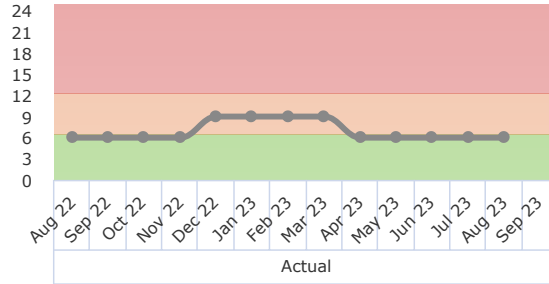
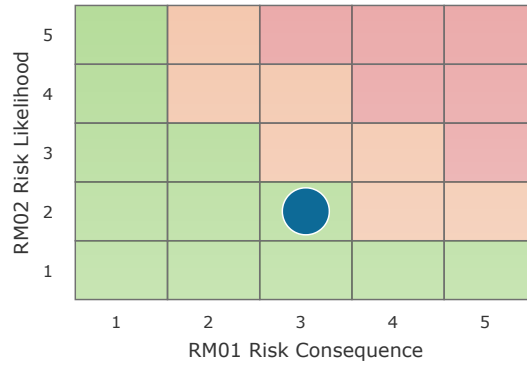
	Responsible		Jun 23
<input checked="" type="checkbox"/> Head of Internal Audit assurance	Tina Stankley	Performance	✔
<input checked="" type="checkbox"/> Member/ Officer Protocol	Emma Denny	Performance	✔
<input checked="" type="checkbox"/> Monitoring Officer actions to ensure governance risk is minimised	Cara Jordan	Performance	✔
<input checked="" type="checkbox"/> Monitoring Officer Report	Cara Jordan	Performance	✔
<input checked="" type="checkbox"/> Operation of Constitutoon Working Party	Emma Denny	Performance	✔
<input checked="" type="checkbox"/> Operation of Overview and Scrutiny Committee	Emma Denny	Performance	✔
<input checked="" type="checkbox"/> Operation of Standards Committee	Emma Denny	Performance	✔
<input checked="" type="checkbox"/> Section 151 Officer actions to ensure governance risk is minimised	Tina Stankley	Performance	✔

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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



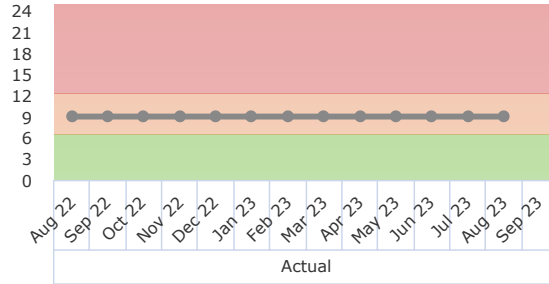
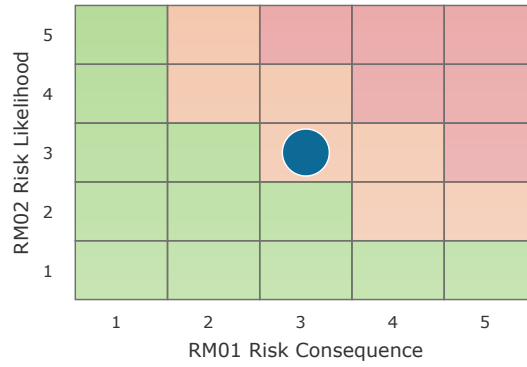
### Latest Update

31/08/2023		
SR 007 Reputation : Status	Score	6.00
	Target	4.00
	Performance	★
	Direction of change	➡
	Comments	

31/08/2023		
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	➡

## 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



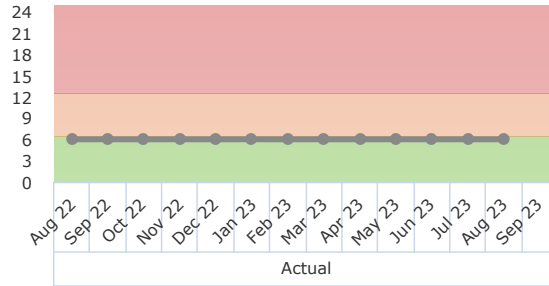
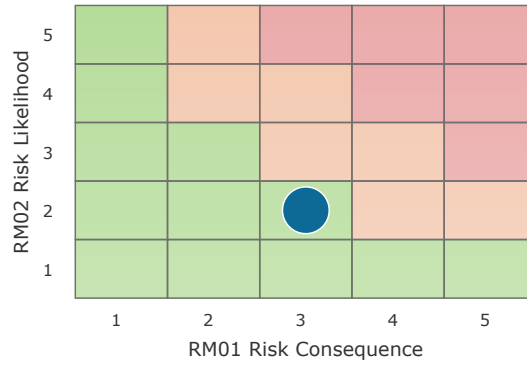
## Latest Update

31/08/2023		
SR 008 Corporate project related risks : Status	Score	9.00
	Target	4.00
	Performance	●
	Direction of change	➔
	Comments	The Cedars project has been an area of concern but all involved worked really hard and the work on the house and surrounding gardens was completed by the agreed deadline. There are some other large projects getting underway e.g. Coastwise, UKSPF and REPF grants and the Cromer and Mundesley Coastal Protection project. Therefore the risk should remain as it is currently.

31/08/2023		
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	➔

## CR 030 Sheringham Leisure Centre

Responsibility	Leisure and Localities
Risk Description	
Risk Category	I Projects
Risk Response	Treat



### Latest Update

31/08/2023		
CR 030 Sheringham Leisure Centre : Status	Score	6.00
	Target	4.00
	Performance	★
	Direction of change	➡
	Comments	Following the liquidation of the contractor and the final account remaining outstanding we are in the process of understanding commitments that sit with the Council prior to closing the financial aspect of the project and removing the risk to the Council. External advisors have been retained.

31/08/2023		
CR 030 Sheringham Leisure Centre : RM01 Risk Consequence	Score	3
	Target	2
	Direction of change	➡
CR 030 Sheringham Leisure Centre : RM02 Risk Likelihood	Score	2
	Target	2
	Direction of change	➡



### Control, Contingency & Mitigating Actions

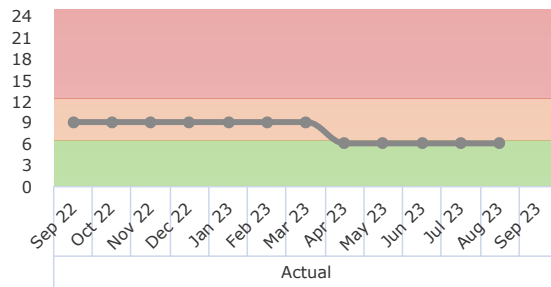
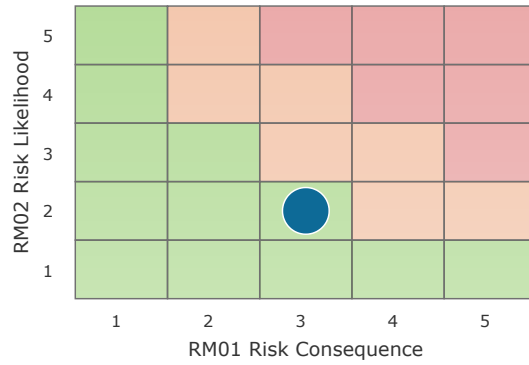
Implemented			
	Responsible		Jun 23
<input checked="" type="checkbox"/> Operation of Overview and Scrutiny Committee	Emma Denny	Performance	✔
<input checked="" type="checkbox"/> Project management & reporting procedures - Sheringham Leisure Centre	Robert Young	Performance	✔

Outstanding			
This report does not contain any data			



## CR 032 Fakenham new roundabout - Delivery of highway infrastructure (roundabout) on A148

Responsibility	Place and Climate Change
Risk Description	<p>1. Cause of risk Rising construction and materials costs</p> <p>2. Description of Risk or potential event Funding not available / timing of works</p> <p>3. Consequence of risk happening Failure to deliver a new roundabout at Fakenham, necessary to unlock housing growth</p> <p>Controls</p> <p>Existing Controls</p> <ul style="list-style-type: none"> <li>•Emerging Local Plan</li> <li>•Stakeholders monthly meeting</li> <li>•Regular dialogue with Norfolk County Council (weekly)</li> <li>•Liaising with NNDC Chief Executive</li> <li>•Keeping ward Members informed</li> <li>•Seeking funding opportunities</li> </ul> <p>Further action to achieve target risk score</p> <ul style="list-style-type: none"> <li>•Close liaison with stakeholders in exploring potential funding opportunities.</li> <li>•Regular stakeholder meetings.</li> <li>•Unsuccessful bid made to NCC for additional funding.</li> <li>•Continued input and financial support in relation to design to ensure that infrastructure can be delivered during 2023 if funding matter is resolved.</li> </ul>
Risk Category	I Projects
Risk Response	Treat



### Latest Update

31/08/2023		
CR 032 Fakenham new roundabout - Delivery of highway infrastructure (roundabout) on A148 : Status	Score	6.00
	Target	4.00
	Performance	★
	Direction of change	➡
	Comments	<p>Project has stalled due to escalating materials and construction costs. Original cost estimate is insufficient to complete works - with an additional circa £1m required at time of writing.</p> <p>Landowner investigating changes to S106 agreement and draft planning conditions pursuant to current submission, however, has indicated that the funding shortfall will be met by them.</p> <p>Applications to NCC to extend existing Business Rates funding availability (£900k) were successful. This funding is to be match funded by NNDC (£900k). This funding has been included within the 2023/24 budget.</p> <p>Earliest opportunity for works now Autumn 2024 and this is the current target date. Delay a direct result of nutrient neutrality issues around the housing delivery. However, initial design works continuing and traffic regulation order being progressed.</p>

31/08/2023		
CR 032 Fakenham new roundabout - Delivery of highway infrastructure (roundabout) on A148 : RM01 Risk Consequence	Score	3
	Target	2
	Direction of change	➡
CR 032 Fakenham new roundabout - Delivery of highway infrastructure (roundabout) on A148 : RM02 Risk Likelihood	Score	2
	Target	2
	Direction of change	➡



## Control, Contingency & Mitigating Actions

### Implemented

This report does not contain any data

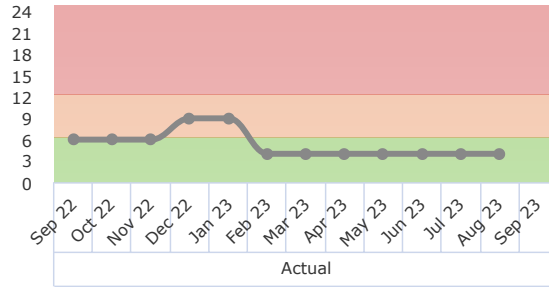
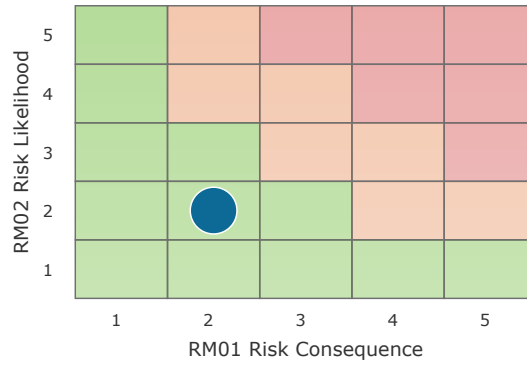
### Outstanding

Stage		Responsible	Outstanding	
<input checked="" type="checkbox"/>	Emerging Local Plan	In Progress	Mark Ashwell	Jun 23
			Performance	★
			Comments	
			Due Date	not set



## CR 033 North Walsham High Street Heritage Action Zone - project incomplete

Responsibility	Sustainable Growth
Risk Description	<p>Cause of risk Increases in construction costs.</p> <p>Description of Risk or potential event Insufficient finance to deliver all elements as planned.</p> <p>Consequence of risk happening One or more elements of the scheme will not be completed or partners not doing what they said they were going to do.</p>
Risk Category	I Projects
Risk Response	Treat



### Latest Update

		31/08/2023
CR 033 North Walsham High Street Heritage Action Zone - project incomplete : Status	Score	4.00
	Target	4.00
	Performance	★
	Direction of change	➡
	Comments	<p>With the completion of the Market Place element of the place making project (with minor outstanding works), there is greater certainty over the budget and the residual funds to complete the scheme.</p> <p>Take up of the building improvement grants is good and external funding budget deadlines have been met.</p> <p>Work on The Cedars has been completed.</p>

		31/08/2023
CR 033 North Walsham High Street Heritage Action Zone - project incomplete : RM01 Risk Consequence	Score	2
	Target	2
	Direction of change	➡
CR 033 North Walsham High Street Heritage Action Zone - project incomplete : RM02 Risk Likelihood	Score	2
	Target	2
	Direction of change	➡

### Control, Contingency & Mitigating Actions

#### Implemented

This report does not contain any data

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