

# Interim Corporate Risk Register as at August 2024

## Contents

Overview .....	2
Risk Matrix .....	3
CR 001 Deteriorating/ underused property assets.....	4
CR 002 Flooding, erosion and loss of assets and delivery of services.....	5
CR 008 Loss of Information.....	6
CR 009 Poor Procurement .....	7
CR 010 Housing Delivery.....	8
CR 013 Emergency Event .....	9
CR 015 Medium Term Financial Plan .....	10
CR 024 People Resources.....	11
CR 025 Contract Failure .....	12
CR 026 Impact of Economic fluctuations on the North Norfolk economy .....	13
CR 028 Governance failures.....	14
CR 029 Poor reputation of the Council in the Community .....	15
CR 030 Sheringham Leisure Centre.....	16
CR 032 Fakenham new roundabout - Delivery of highway infrastructure (roundabout) on A148 .....	17
CR 034 Not achieving the Net Zero 2030 target.....	18
CR 035 Failure to deliver the Local Plan.....	19
CR 036 Cromer and Mundesley Coastal Management Schemes.....	21
CR 037 High cost and resource issues from prosecutions, enforcement action and litigation .....	22
CR 038 Fakenham Leisure and Sports Hub (FLASH) – threat to building within funding window.....	23
CR 039 Rocket House building repair and energy improvement works .....	24
KEY.....	25

## Overview

Since the last report was presented to members the General Election has taken place and a Labour government was elected. As yet, the new Government has not announced anything significant relating to Local Government other than in the King's Speech there would be legislation to speed up the planning process so that house building, and economic growth are not held up. It is anticipated that the Autumn Statement may include plans for what action it might take around funding reforms, 3 year financial settlements and increased levels of funding to address specific local government budget pressures it faces e.g. demand led budgets for Temporary Accommodation is an issue across the country for all councils.

Other risks include the impact of nutrient neutrality which is being felt across many areas of the Council e.g. the Planning and Building Control income is below that anticipated for the year. The number of planning applications submissions has reduced as they are being stalled by the impact of nutrient neutrality. This is in turn placing even more pressure on our temporary accommodation services and budgets as demand for housing outstrips supply.

The Council has several projects on the horizon that are now in doubt. The largest and most immediate one is the security of the funding for the Fakenham Leisure and Sports Hub (FLASH) as there has been no confirmation of funding for this project by the incoming government. The Council has only received funding for the costs incurred to date. Until there is confirmation of further funding the project cannot be progressed. This is a major risk for the Council. Another area of concern is the implementation of a separate food waste collection by March 2026. The capital grant funding that the outgoing government offered was thought to be only half of what the Council would need to cover the capital costs.

The final risk to cite and perhaps the most considerable risk for the future, due to the uncertainty, is around the future funding streams coming from central government. This uncertainty is around the intentions of new incoming Government e.g. a possible review of local government and does the government still support the two tier system. So far there has only been support shown for Devolution Deals and encouragement for areas that do not have one to apply for a Devolution Deal.

Risk Matrix

5					
4			<u>CR 008</u> <u>CR 034</u>	<u>CR 002</u> <u>CR 015</u> <u>CR 036</u> <u>CR 038</u>	<u>CR 010</u>
3		<u>CR 009</u> <u>CR 032</u> <u>CR 035</u>	<u>CR 001</u> <u>CR 013</u> <u>CR 025</u> <u>CR 039</u>	<u>CR 024</u> <u>CR 026</u>	
2		<u>CR 028</u> <u>CR 030</u>	<u>CR 029</u> <u>CR 037</u>		
1					
<b>Impact</b>					
<b>Likelihood</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>

CR 001 Deteriorating/ underused property assets

1. Cause of risk 2. Description of Risk or potential event 3. Consequence of risk happening 4. Risk category	Existing Controls	Score (with controls) Impact x Likelihood = Total rating and change of direction	Action (to achieve target score)	Target Score Impact x Likelihood = Total rating	Progress update	Corporate Objective	Lead Officer
1. Lack of funding to repair and maintain assets and increased maintenance costs. 2. Deteriorating/ underused property assets. 3. Loss of revenue / legal liability/ not achieving value for money /reputational risk/ capital commitment. 4. Primary - A Financial, Secondary - H Reputational	Business cases for commercialisation of assets to deliver future income and efficiencies. Adequate budget provision both from revenue and capital to support R&M works and capital investment. Asset Condition Surveys. Compliance policies in place and up to date. Compliance works undertaken in a timely fashion. Adequate staff or appropriately qualified external contractor support. Procure a Strategic Development Partner.	<b>3 x 3 = 9</b> →	<b>Production and approval of the Asset Management Plan.</b>	<b>2 x 2 = 4</b>	The <b>Asset Management Plan is going through an internal consultation process.</b>	Council: Opportunity: 3 Increasing the rates of occupation on all council's commercial properties	Karl Smith

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

1. Cause of risk 2. Description of Risk or potential event 3. Consequence of risk happening 4. Risk category	Existing Controls	Score (with controls) Impact x Likelihood = Total rating and change of direction	Action (to achieve target score)	Target Score Impact x Likelihood = Total rating	Progress update	Corporate Objective	Lead Officer
1. Lack of Government funding. 2. Lack of ability to maintain coast defences and / or to support local coastal adaption needs. 3. Inability to adapt to climate change - increased coastal erosion and flooding. 4. Primary – E Strategic, Secondary - F Environmental and Social	Corporate Planning / Service Planning. Net Zero 2030 Strategy and Climate Action Plan. Shoreline Management Plan (SMP). Repairs & Maintenance Programme. Procurement practices. Health & Safety checking and monitoring. DEFRA funding of capital schemes. Coastal Monitoring including the use of drones. Control of coastal management schemes through procurement and regular checking. Coastal Partnership East set up. Environment Forum.	4 x 4 = 16 →	Refurbish coastal defences at Mundesley. 10-year capital programme. Refurbish coastal defences at Cromer. A scheme for the protection of the coastline at Overstrand needs to be developed.	3 x 3 = 9	Construction of the Cromer and Mundesley Scheme started 5 March 2024. Schemes are progressing in line with the programme. Cromer is forecast to be complete in November 2024 and the Mundesley part of the scheme is due to complete summer 2025. Urgent health and safety repairs to assets are being undertaken. Non urgent repairs are being included in the ongoing repairs and maintenance programme. Ongoing cliff slips and asset deterioration is being investigated and assessed and plans of action being considered.	Greener: Coast: 3 Continuing our programme of investment in coastal and resort infrastructure and amenities, building on the progress made in recent years	Tamzen Pope

## CR 008 Loss of Information

1. Cause of risk 2. Description of Risk or potential event 3. Consequence of risk happening 4. Risk category	Existing Controls	Score (with controls) Impact x Likelihood = Total rating and change of direction	Action (to achieve target score)	Target Score Impact x Likelihood = Total rating	Progress update	Corporate Objective	Lead Officer
1. Loss of information assets. 2. Loss due to cybercrime (hacking/ theft) 3. Operational disruption, impact on customers. 4. Primary – A Financial, Secondary – H Reputational	PSN Code of Connection compliance. ICT Strategy. IT Security Policies. Implement data security protocols. IT Monitoring. Data Protection training. Regular audits of IT security arrangements. Regular 3rd party data protection and integrity testing. Information Risk Policy and Role Description. GDPR compliance Framework. Certificated Security Professional Training Cyber security training	$4 \times 3 = 12$ →		$3 \times 3 = 9$	<p><b>Ongoing cyber security training for all staff taking place.</b></p> <p><b>The risk remains high but this is well managed by the IT team, taking all steps possible to guard against and mitigate this risk.</b></p>	Council: Effective & Efficient: 4 Ensuring that strong governance is at the heart of all we do	Tina Stankley

## CR 009 Poor Procurement

1. Cause of risk 2. Description of Risk or potential event 3. Consequence of risk happening 4. Risk category	Existing Controls	Score (with controls) Impact x Likelihood = Total rating and change of direction	Action (to achieve target score)	Target Score Impact x Likelihood = Total rating	Progress update	Corporate Objective	Lead Officer
1. Procurement policies and procedures not followed or not fit for purpose. 2. Inadequate procurements 3. Poor Procurement - poor value for money, poor strategic and operational outcomes, legal challenge, loss of public confidence, lack of transparency. 4. Primary – A Financial, Secondary – H Reputational	Procurement Strategy. Procurement Framework. Joint procurement protocol and opportunities for joint/shared procurement with other authorities. Advice for external suppliers. Procurement responsibility assigned. Publish updated and complete contracts register.	<b>3 x 2 = 6</b> →	<b>Implement new Procurement Act 2023.</b>	<b>2 x 2 = 4</b>	<b>An audit of procurement has been carried out and recommendations are being implemented.</b> <b>New procurement legislation coming in from October 2024 which will result in changes in the way we carry out procurement. The Procurement Officer, her manager and the AD Legal are undertaking training and will take action to ensure NNDC complies with the legislation.</b>	Council: Effective & Efficient: 4 Ensuring that strong governance is at the heart of all we do	Tina Stankley

## CR 010 Housing Delivery

1. Cause of risk	Existing Controls	Score (with controls) Impact x Likelihood = Total rating and change of direction	Action (to achieve target score)	Target Score Impact x Likelihood = Total rating	Progress update	Corporate Objective	Lead Officer
<p>1. Non delivery of housing targets</p> <p>2. Potentially many factors that could cause this risk – both at a national and a local level e.g. the state of the economy and/or nutrient neutrality related matters. Governments draft NPPF, July 2024, suggests that NNDCs housing target should be increased by approximately 70% per annum.</p> <p>3. Increasing homelessness, impact on NHB, vibrancy of local communities, impact on social infrastructure, loss of temporary accommodation in district, lack of social housing.</p> <p>4. Primary – E Strategic, Secondary - F Environmental and Social</p>	<p>Continue to investigate ways to support and assist affordable housing providers.</p> <p>Use of capital.</p> <p>Partnership work with Registered Providers.</p> <p>Local Investment Plan</p> <p>Local Development Framework (LDF) policies.</p> <p>Internal planning protocol.</p> <p>Increased Focus.</p> <p>Housing Strategy implementated.</p> <p>Enhance Housing Association delivery.</p> <p>Community Housing Fund.</p>	<p><b>4 x 5 =</b> <b>20</b> ↑</p>	<p><b>Local Plan currently - awaiting outcome.</b></p> <p><b>Delivery of the Planning Service Improvement Plan.</b></p> <p><b>Work with partners on Nutrient Neutrality matters.</b></p> <p><b>Respond to NPPF consultation.</b></p>	<p><b>2 x 4 = 8</b></p>	<p><b>Local Plan examination complete – awaiting an update from the inspector.</b></p> <p><b>Progress on PSIP being made. Reports to O&amp;S scheduled for summer 2024.</b></p> <p><b>Norfolk Nutrient Mitigation Fund was launched on 16 May 2024.</b></p>	<p>Housing: Housing Need: 1 Supporting the delivery of more affordable housing, utilising partnership and external funding wherever possible</p>	<p>Russell Williams</p>



## CR 013 Emergency Event

1. Cause of risk 2. Description of Risk or potential event 3. Consequence of risk happening 4. Risk category	Existing Controls	Score (with controls) Impact x Likelihood = Total rating and change of direction	Action (to achieve target score)	Target Score Impact x Likelihood = Total rating	Progress update	Corporate Objective	Lead Officer
<p>1. Any Internal or external event that has a significant impact on the Council.</p> <p>2. These events could include those that affect the Council and its resources or an event that affects the wider district. Recent civil unrest is one such event.</p> <p>3. The ability of the Council to deliver services is reduced.</p> <p>4. Primary – A Financial, Secondary - D Operational (including capacity/ delivery/ resources/ health &amp; safety)</p>	<p>Corporate Planning / Service Planning.</p> <p>Budget Process / Budget Monitoring.</p> <p>Refresh the project management framework.</p> <p>Emergency Response &amp; Recovery Planning.</p> <p>Business Continuity Planning.</p> <p>Complete critical services' Business Continuity Plans (BCP).</p> <p>Corporate Business Continuity key role training.</p> <p>Corporate Policies and Procedures.</p> <p>Employment Policies.</p> <p>Forward adverse weather guidance.</p> <p>CC 001 Consideration of COVID-19 implications.</p> <p><b>Business Continuity Plans new template is being introduced May 2024. The template is easier to used, clearer and more relevant – completed this quarter.</b></p> <p><b>CC 002 ER1 Review Emergency Response Plan – reviewed and minor updates made - completed this quarter.</b></p>	<p><b>3 x 3 = 9</b></p> <p style="text-align: center;">→</p>	<p><b>Service managers have been asked to transfer their information to the new template by 31 July 2024.</b></p> <p><b>The next report will split this risk into external event we have to respond to (CR013(a)) and external event where we are impacted as a Council (CR013(b))</b></p>	<p><b>2 x 2 = 4</b></p>	<p><b>The Environment Agency and the Met Office have indicated that there is the potential for persistent flooding issues this autumn and winter due to high ground water levels. Multi-Agency planning for this is currently taking place.</b></p>	<p>Statutory obligation</p>	<p>Alison Sayer</p>

## CR 015 Medium Term Financial Plan

1. Cause of risk 2. Description of Risk or potential event 3. Consequence of risk happening 4. Risk category	Existing Controls	Score (with controls) Impact x Likelihood = Total rating and change of direction	Action (to achieve target score)	Target Score Impact x Likelihood = Total rating	Progress update	Corporate Objective	Lead Officer
<p>1. Forecast funding reductions and shift to local financing from business rates, council tax and new homes bonus.</p> <p>2. Reduced funding to fund current service levels and produce a balanced budget. Use of reserves is not sustainable strategy to bridge income/ expenditure.</p> <p>3. Funding gaps in the medium to long term.</p> <p>4. Primary – A Financial, Secondary - D Operational (including capacity/ delivery/ resources/ health &amp; safety).</p>	<p>Reporting - New legislation and consultation.</p> <p>Policy Work.</p> <p>Lobbying Central Government.</p> <p>Medium Term Financial Strategy.</p> <p>Corporate Planning / Service Planning.</p> <p>Budget Process / Budget Monitoring.</p> <p>Monitoring impact of the business rates retention.</p> <p>Annual review of the Council's reserves.</p> <p>Timely agreement of the annual Localised Council Tax Support Scheme.</p> <p>Balanced budget agreed.</p> <p>Growth forecasting models.</p> <p>Business cases for commercialisation of assets to deliver future income and efficiencies.</p>	<p><b>4 x 4 = 16</b></p> <p>→</p>	<p><b>Introducing monitoring of savings and additional income in the 2024/25 budget – first report to Cabinet being prepared for the Cabinet meeting in September 2024.</b></p> <p><b>An updated MTFP will be presented to committees in October.</b></p>	<p><b>3 x 3 = 9</b></p>	<p><b>The MTFS will be taken to the Cabinet meeting in October 2024 followed by the Overview and Scrutiny meeting.</b></p>	<p>Council: Effective &amp; Efficient: 1</p> <p>Managing our finances and contracts robustly to ensure best value for money</p>	<p>Tina Stankley</p>

CR 024 People Resources

1. Cause of risk 2. Description of Risk or potential event 3. Consequence of risk happening 4. Risk category	Existing Controls	Score (with controls) Impact x Likelihood = Total rating and change of direction	Action (to achieve target score)	Target Score Impact x Likelihood = Total rating	Progress update	Corporate Objective	Lead Officer
1. Employment market conditions. 2. Failure to retain and recruit adequately trained and experienced staff. 3. Negative impact on corporate plan, business transformation, performance and delivery. 4. Primary – A Financial, Secondary - D Operational (including capacity/ delivery/ resources/ health & safety)	Corporate Planning / Service Planning. Review Pay Policy. Review relocation policy. Employee Referral Scheme. Market Pay Review report. Apprenticeship programme. Check-in process. HR 006 New Ways of Working - Policy Creation. Updated Recruitment Guidelines for Hiring Managers and Employees. Additional information and guidance to support employees when applying for rolls at NNDC.	$3 \times 4 = 12$ ↑	<p><b>Workforce Development Plan will be drafted and approved in 2024.</b></p> <p><b>A Learning and Development Strategy is being drafted. The aim of this strategy will be to retain current employees.</b></p>	$2 \times 2 = 4$	<p><b>NNDC absence rates and turnover rates are significantly less than the sector averages.</b></p> <p><b>In the previous quarter there has been an increase in turnover in some service areas and attempts to fill these have been unsuccessful. This predominantly in professional roles with Environmental Health suffering at the present time.</b></p>	Council: Effective & Efficient: 5 Creating a culture that empowers and fosters an ambitious, motivated workforce	Susan Sidell

## CR 025 Contract Failure

1. Cause of risk 2. Description of Risk or potential event 3. Consequence of risk happening 4. Risk category	Existing Controls	Score (with controls) Impact x Likelihood = Total rating and change of direction	Action (to achieve target score)	Target Score Impact x Likelihood = Total rating	Progress update	Corporate Objective	Lead Officer
1. Failure of a contractor 2. The Council has a number of contracts for service delivery. 3. Increased costs and operational disruption. 4. Primary – A Financial, Secondary – H Reputational	Procurement Strategy. Procurement Framework. Joint procurement protocol and opportunities for joint/shared procurement with other authorities. Advice for external suppliers. Procurement Officer post established.	<b>3 x 3 = 9</b> →		<b>2 x 2 = 4</b>	<b>The impact level has been reduced because mitigation against failure of our major contracts is built into the contract.</b>	Council: Effective & Efficient: 1 Managing our finances and contracts robustly to ensure best value for money	Tina Stankley

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

1. Cause of risk 2. Description of Risk or potential event 3. Consequence of risk happening 4. Risk category	Existing Controls	Score (with controls) Impact x Likelihood = Total rating and change of direction	Action (to achieve target score)	Target Score Impact x Likelihood = Total rating	Progress update	Corporate Objective	Lead Officer
<p>1. Fluctuations in the Local, National and Global economies.</p> <p>2. Inability of the local economy to adapt to the fluctuations.</p> <p>3. 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.</p> <p>4. Primary – C Credit and counterparty, Secondary - D Operational (including capacity/ delivery/ resources/ health &amp; safety)</p>	<p>HS 003 - Monitor the need for temporary accommodation and ensure suitable provision.</p> <p>Medium Term Financial Strategy.</p> <p>Corporate Planning / Service Planning.</p> <p>Treasury Management Strategy.</p> <p>Fund Management advice from Arlingclose.</p> <p>Business Survey.</p> <p>Operation of the Council Tax Hardship Fund.</p> <p>Economic Growth Team maintain contact with key businesses to monitor issues and provide support.</p> <p><b>Economic Growth Strategy – adopted early 2024.</b></p>	<p><b>3 x 4=12</b></p> <p>↓</p>		<p><b>2 x 2=4</b></p>	<p><b>Economic Growth Strategy approved by Full Council.</b></p> <p><b>We are in the final year of administering United Kingdom Share Prosperity Fund (UKSPF) and Rural England Prosperity Fund programmes which support the local economy.</b></p>	<p>Economy: Thriving Business: 2 Providing support to allow rural businesses to thrive, recognising that many of our larger employers operate outside of our main towns</p>	<p>Rob Young</p>

## CR 028 Governance failures

1. Cause of risk	Existing Controls	Score (with controls) Impact x Likelihood = Total rating and change of direction	Action (to achieve target score)	Target Score Impact x Likelihood = Total rating	Progress update	Corporate Objective	Lead Officer
<p>1. Ignorance or non-observance of the Council's agreed governance protocols</p> <p>2. Lack of governance, inadequate implementation and enforcement of governance.</p> <p>3. Poor or illegal decision making.</p> <p>4. Primary – F Environmental and Social, Secondary - H Reputational</p>	<p>Corporate Planning / Service Planning.</p> <p>Clear robust corporate governance framework.</p> <p>Monitoring Officer actions to ensure governance risk is minimised.</p> <p>Section 151 Officer actions to ensure governance risk is minimised.</p> <p>Constitution/Standing Orders/Scheme of Delegations.</p> <p>Committee report templates.</p> <p>Member/ Officer Protocol.</p> <p>Operation of Overview and Scrutiny Committee.</p> <p>Annual Governance Statement supported by assurance framework.</p> <p>Operation of Standards Committee.</p> <p>Monitoring Officer Report.</p> <p>Head of Internal Audit assurance.</p> <p>Audit programme.</p> <p>Operation of Constitution Working Party.</p> <p>Annual Assurance Statements.</p> <p>Annual Audit Report.</p>	<p><b>2 x 2 = 4</b></p> <p>→</p>		<p><b>2 x 2 = 4</b></p>	<p><b>The review of the Constitution is currently taking place with a target date for completion of December 2024.</b></p>	<p>Council: Effective &amp; Efficient: 4</p> <p>Ensuring that strong governance is at the heart of all we do</p>	<p>Tina Stankley</p>

## CR 029 Poor reputation of the Council in the Community

1. Cause of risk 2. Description of Risk or potential event 3. Consequence of risk happening 4. Risk category	Existing Controls	Score (with controls) Impact x Likelihood = Total rating and change of direction	Action (to achieve target score)	Target Score Impact x Likelihood = Total rating	Progress update	Corporate Objective	Lead Officer
<p>1. Related to the Council's dealings, interests and performance, and the impact of adverse outcomes.</p> <p>2. The Council is perceived as inefficient, unresponsive to local need and/ or not transparent.</p> <p>3. The Council's reputation is adversely affected and public confidence reduced.</p> <p>4. Primary – H Reputational, Secondary - E Strategic.</p>	<p>Develop and Implement a Communications Strategy.</p> <p>Clear robust corporate governance framework.</p> <p>3.1.2 Review and refine our Customer Strategy.</p> <p>Training including FOI training.</p> <p>Dedicated PR &amp; Communications Team</p> <p>Local Code of Corporate Governance</p>	<p><b>2 x 3 = 6</b></p> <p>→</p>	<p><b>Review the Customer Service Strategy, Updating complaint handling process to match the Local Government Ombudsman code of practice.</b></p> <p><b>Revise the Constitution.</b></p> <p><b>Further training activity in relevant areas.</b></p>	<p><b>2 x 2 = 4</b></p>	<p><b>Several of the action controls are progressing and coming towards completion.</b></p> <p><b>Complaints process update has been drafted and is being consulted on.</b></p> <p><b>Social Care Ombudsman pilot meetings being attended by the Director for Communities.</b></p> <p><b>Awarded national Platinum award for standard of Planning Service.</b></p>	<p>Council: Effective &amp; Efficient</p>	<p>Steve Hems</p>

## CR 030 Sheringham Leisure Centre

1. Cause of risk 2. Description of Risk or potential event 3. Consequence of risk happening 4. Risk category	Existing Controls	Score (with controls) Impact x Likelihood = Total rating and change of direction	Action (to achieve target score)	Target Score Impact x Likelihood = Total rating	Progress update	Corporate Objective	Lead Officer
1. Failure of contractor or issue with the construction sector, consents not given. 2. Building facility did not go ahead. 3. Facility not delivered. 4. Primary – A Financial, Secondary - H Reputational	Operation of Overview and Scrutiny Committee. Project management & reporting procedures - Sheringham Leisure Centre.	<b>2 x 2 = 4</b> →		<b>2 x 2 = 4</b>	<b>No longer a risk to the Council. However, the final account remains to be settled. There are a small number of snagging issues to be addressed. And the cost of this will be paid from the contract retention.</b>	Communities: Culture: 1 Championing North Norfolk as a place where residents and visitors can enjoy inclusive cultural opportunities and healthy leisure and sports activities	Karl Smith



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

1. Cause of risk 2. Description of Risk or potential event 3. Consequence of risk happening 4. Risk category	Existing Controls	Score (with controls) Impact x Likelihood = Total rating and change of direction	Action (to achieve target score)	Target Score Impact x Likelihood = Total rating	Progress update	Corporate Objective	Lead Officer
1. Rising construction and materials costs. 2. Funding not available / timing of works. 3. Failure to deliver a new roundabout at Fakenham, necessary to unlock housing growth. 4. Primary – I Projects, Secondary - H Reputational	Emerging Local Plan. Stakeholders monthly meeting. Regular dialogue with Norfolk County Council. Liaising with NNDC Chief Executive. Keeping ward Members informed. Successful bids for funding via NCC. Close liaison with stakeholders in exploring potential funding opportunities. Norfolk County Council project manager appointed. Contractor in place. <b>Regular stakeholder meetings – meetings taking place weekly – completed in the last quarter</b>	<b>3 x 2 = 6</b>  <b>→</b>	<b>Emerging Local Plan – inspector letter received, plan expected to be in place for spring 2025</b> <b>Continued input and financial support in relation to design to ensure that infrastructure can be delivered autumn 2024 if funding matter is resolved.</b> <b>Submitted a bid to DLUHC for additional funding. – outcome still awaited.</b> <b>Liaising with landowner in considering cost implication.</b>	<b>2 x 2 = 4</b>	<b>Revised planning applications have been submitted to NNDC.</b> <b>Permission granted for variation of condition of original planning permission to allow roundabout to come forward prior to remainder of the overall scheme.</b> <b>Scheme planned to commence 9 September 2024.</b>	Housing: Housing Need: 1 Supporting the delivery of more affordable housing, utilising partnership and external funding wherever possible	Martyn Fulcher

## CR 034 Not achieving the Net Zero 2030 target

1. Cause of risk 2. Description of Risk or potential event 3. Consequence of risk happening 4. Risk category	Existing Controls	Score (with controls) Impact x Likelihood = Total rating and change of direction	Action (to achieve target score)	Target Score Impact x Likelihood = Total rating	Progress update	Corporate Objective	Lead Officer
<p>1. Inaction/ inability to reduce emissions to net zero.</p> <p>2. Not delivering the Climate Action Plan or parts of it. Current Climate Action Plan will not achieve net zero target. Contractors unable to deliver services with net zero carbon.. All Council input not achieved. Failing to secure contracts that do not result in net zero.</p> <p>3. Not achieving net zero by 2030. Impact on the reputation of the Council. Financial impact - needing to offset emissions.</p> <p>4. Primary – E Strategic, Secondary – F Environmental and Social and H Reputational</p>	<p>Delivering NZSAP and considering the formation of a decarbonisation board.</p> <p>Formal review of NZSAP every two years. Update and adapt the plan to meet the net zero target.</p> <p>Continual monitoring of the delivery of the NZSAP as a major project through the project board.</p> <p>Quarterly monitoring delivery through the Performance Management Framework.</p> <p>Opportunities to offset from general operations and developments.</p> <p>Ensure net zero considerations are at the forefront of all Council decision making.</p> <p><b>Decarbonisation board now meeting regularly – completed this quarter.</b></p>	<p><b>4 x 3 = 12</b></p> <p><b>→</b></p>	<p><b>Additional investment in renewable generation and/ or other offsetting initiatives.</b></p> <p><b>Ensure all staff and Members are carbon aware.</b></p> <p><b>Introduce carbon pricing across all workstreams.</b></p>	<p><b>4 x 3 = 12</b></p>	<p><b>Trial of EV pool cars started May 2024.</b></p> <p><b>Decarbonisation board now meeting regularly.</b></p> <p><b>Carrying out carbon literacy and awareness training. Near completion – a handful of remaining managers to attend training.</b></p> <p><b>FLASH (Fakenham Leisure and Sports Hub) – sustainable features under consideration e.g. gas boilers v. air source heat pump.</b></p>	<p>Greener: Net Zero: 1</p> <p>Continuing our own annual emissions reductions to reach Net Zero by 2030</p>	<p>Martyn Fulcher</p>

## CR 035 Failure to deliver the Local Plan

1. Cause of risk	Existing Controls	Score (with controls) Impact x Likelihood = Total rating and change of direction	Action (to achieve target score)	Target Score Impact x Likelihood = Total rating	Progress update	Corporate Objective	Lead Officer
<p>1. Local Plan process being delayed.</p> <p>2. Loss of key staff, changes in legislation and political expectations</p> <p>3. Failure to deliver corporate objectives for all themes.</p> <p>4. Primary – D Operational (including capacity/ delivery/ resources/ health &amp; safety), Secondary – E Strategic and H Reputational</p>	<p>Effective project management.</p> <p>Ensuring there is a pool of suitably skilled and knowledgeable Planning staff that can be called on to contribute to the Local Plan process.</p> <p>Member Training.</p> <p><b>Following the departure of the Planning Policy Manager transitional arrangements have been put in place (Spring 2024).</b></p>	<p><b>3 x 2 = 6</b></p> <p style="text-align: center;">→</p>	<p><b>Response to the Planning Inspectors initial letter of July 2024 about the examination findings is being prepared.</b></p> <p><b>Further public consultation will need to take place before the plan can be adopted.</b></p>	<p><b>2 x 2 = 4</b></p>	<p><b>Inspectors initial letter has been published, Councillors have been briefed and a press release issued.</b></p> <p><b>It is recommended that this risk be reviewed to relate to the adoption of the new Local Plan and when and if the plan is adopted the risk is replaced with one relating to the delivery of the plans ambitions.</b></p>	<p>Statutory obligation</p>	<p>Russell Williams</p>

DRAFT

## CR 036 Cromer and Mundesley Coastal Management Schemes

1. Cause of risk 2. Description of Risk or potential event 3. Consequence of risk happening 4. Risk category	Existing Controls	Score (with controls) Impact x Likelihood = Total rating and change of direction	Action (to achieve target score)	Target Score Impact x Likelihood = Total rating	Progress update	Corporate Objective	Lead Officer
1. Funding, consents. 2. Additional application made for Cromer. This may not be approved. Costs will increase as a result of delays. Difficulties and delays in receiving consents will have an impact on timescales and costs. 3. Funding – rescope the project, Consents – increased costs and programme delays and subsequent cost revisions leading to funding issues. 4. Primary – A Financial, Secondary - D Operational (including capacity/ delivery/ resources/ health & safety), H - Reputational, I - Project	Project risk register and management of risks monitored monthly. Monthly project meetings with contractor. Regular risk reduction meetings. The risk overseen by the project board. Retaining the design consultant during the project -implemented in the previous quarter. Close liaison with the contractor to identify engineering options has been agreed and is ongoing. <b>A Fisheries Liaison Officer acting as a liaison between the contractor and the local fishermen for rock deliveries which is already showing benefits for the scheme and the fishermen– put in place last quarter.</b>	4 x 4 = 16 →		3 x 3 = 9	<p><b>The application for additional funding for Cromer has been approved by the Environment Agency.</b></p> <p><b>All pre-construction conditions have been discharged for planning and marine licenses.</b></p> <p><b>Construction is progressing on both schemes according to the planned programme.</b></p> <p><b>Cromer is forecast to be complete in November 2024 and the Mundesley part of the scheme is due to complete summer 2025.</b></p>	Greener: Coast: 2 Implementing the Cromer and Mundesley Coast Protection Schemes	Tamzen Pope

CR 037 High cost and resource issues from prosecutions, enforcement action and litigation

1. Cause of risk 2. Description of Risk or potential event 3. Consequence of risk happening 4. Risk category	Existing Controls	Score (with controls) Impact x Likelihood = Total rating and change of direction	Action (to achieve target score)	Target Score Impact x Likelihood = Total rating	Progress update	Corporate Objective	Lead Officer
<p>1. Requirement to take costly action in financial and other resource terms 2.</p> <p>2. Statutory obligation to investigate and apply enforcement action including health and safety, food safety, licensing, environmental protection, planning. Public suing NNDC, Equality Act.</p> <p>3. Potential overspends not budgeted for. Not being able to carry out statutory and non-statutory functions due to the large call on staff resources. Also a risk if decide not to take enforcement action – risk of Judicial Review and to reputation</p> <p>4. Primary=A Financial, Secondary=D Operational (including capacity/delivery/resources/health &amp; safety) E Strategic F Environmental and Social G Governance H Reputational</p>	<p>Case decision making process.</p> <p>Apply two stage evidential and public interest tests</p> <p>Enforcement Policy</p> <p>Apply HSE enforcement matrix</p> <p>Liaise with relevant Portfolio Holder</p> <p>Refer to constitution for procedures</p> <p>EH reserve</p> <p>Staff training in understanding and interpreting legislation</p> <p>Regular inspections</p> <p>There is an established Enforcement Board to oversee this work and actions.</p> <p>General reserve maintained at recommended levels.</p>	<p><b>3 x 2 = 6</b></p> <p>↓</p>		<p><b>2 x 2 = 4</b></p>	<p><b>Discussed at a Management Team meeting in May 2024 and added to the Corporate Risk Register.</b></p> <p><b>The likelihood score has been reduced after reviewing known and likely cases that may arise in the next quarter.</b></p>	<p>Corporate Plan and statutory duties</p>	<p>Karl Smith</p>

CR 038 Fakenham Leisure and Sports Hub (FLASH) – threat to building within funding window

1. Cause of risk 2. Description of Risk or potential event 3. Consequence of risk happening 4. Risk category	Existing Controls	Score (with controls) Impact x Likelihood = Total rating and change of direction	Action (to achieve target score)	Target Score Impact x Likelihood = Total rating	Progress update	Corporate Objective	Lead Officer
<p>1. Timeline for building the facility is tight. Completion to draw down funding has to be before the end of March 2026.</p> <p>2. This is a complex project, with a large number of stakeholders and contractors involved.</p> <p>3. If the project cannot be delivered on time this could lead to reduced funding being drawn down and not all outcomes being achieved.</p> <p>4. Primary - A Financial, Secondary - D Operational (including capacity/ delivery/ resources/ health &amp; safety) and H - Reputational</p>	<p>Project Management processes Liaison with the Levelling Up Team. Timeline prepared. Procurement process for consultants, architects, engineers in place. NNDC project team established. External steering group established and monthly meetings taking place. Members of the steering group include NNDC, Everyone Active, local councillors, Fakenham Town Council, MP, Football Foundation, Fakenham Academy. Ensuring decision making follows NNDC protocols. Follow NNDC Procurement Guidance. Procurement Officer support. Risk Management Policy and Framework Project Risk Register – reviewed monthly <b>Review with Director for Resources the NNDC appetite for financial risk relating to this project – risk appetite established.</b></p>	<p><b>4 x 4 = 16 ↑</b></p>	<p><b>Reporting regularly to MHCLG – due to the change in government this has still to be set up.</b></p>	<p><b>2 x 2 = 4</b></p>	<p>Received confirmation from the Levelling Up Fund that the bid has been Validated and approved by the Minister for Levelling Up. After the confirmation was received the General Election was called and new ministers appointed. Levelling Up Fund projects that have not started but a steer is awaited by the government department from Ministers as to the future of the fund. In the meantime, uncertainty of the funding for this project has increased therefore the risk score has increased for NNDC, its contractors and partners The procurement of the main contractor process has therefore been paused. Planning of the project continues.</p>	<p>Developing our communities - Promote Health, Wellbeing and Independence for all - Working with partners to promote healthy lifestyles and address the health inequalities faced by our communities.</p>	<p>Erika Temple</p>

## CR 039 Rocket House building repair and energy improvement works

1. Cause of risk	Existing Controls	Score (with controls) Impact x Likelihood = Total rating and change of direction	Action (to achieve target score)	Target Score Impact x Likelihood = Total rating	Progress update	Corporate Objective	Lead Officer
<p>1. Building needs repair and energy performance works to be fully lettable.</p> <p>2. Exceeds capital budget allocated. Works might not be successful in dealing with damp and increasing EPC rating.</p> <p>3. Repairs could not be made as planned. Scaled back action may be necessary. Additional funds may have to be requested. This could cause delays. Unknown additional repair issues arise. Damage due to weather events may occur after any repairs are made.</p> <p>4. Primary - A Financial, Secondary - D Operational (including capacity/ delivery/ resources/ health &amp; safety), H Reputational</p>	<p>Independent surveys (3) of the building.</p> <p>Budgeted repair costs prepared by independent quantity surveyor.</p> <p>Indicative timeline prepared.</p> <p>Capital budget of £1m approved.</p> <p>Agreement made with a tenant vacating to enable the works to go ahead.</p>	<p><b>3 x 3 = 9</b></p> <p>→</p>	<p>Procurement of contractor to do works.</p> <p>Agree and implement contract management process.</p> <p>Reletting of the ground floor vacant area of the building once repairs complete.</p> <p>Valuation advice is being sought regarding the long term lease.</p>	<p><b>2 X 2 = 4</b></p>	<p><b>Short term lease completed until October 2024 when the downstairs tenant vacates to enable the works to take place.</b></p> <p><b>Preparation for the procurement process is currently taking place. Technical design for repairs started in June 2024.</b></p> <p><b>Technical advice has been received on waterproofing.</b></p> <p><b>Architects will be appointed w/c 5 August 2024.</b></p>	<p>Strong and Responsible – Maximising Opportunity - Increasing the rates of occupation on all council's commercial properties.</p>	<p>Renata Garfoot</p>



## KEY

### Impact

<b>Corporate Risk</b>					
<b>Impact Type</b>	<b>Catastrophic</b> <b>5</b>	<b>Critical</b> <b>4</b>	<b>Moderate</b> <b>3</b>	<b>Marginal</b> <b>2</b>	<b>Negligible</b> <b>1</b>
<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

<b>Grade</b>	<b>Likelihood</b>	<b>Probability</b>	<b>Timing</b>
5	Very High	Over 90%	Within six months
4	High	60 - 90%	This year
3	Moderate	40 - 60%	Next year
2	Low	10 - 40%	Probably within 15 years
1	Very Low	below 10%	Probably over 15 years

*Categories of risk*

A Financial

B Macroeconomic

C Credit and counterparty

D Operational (including capacity/ delivery/ resources/ health & safety)

E Strategic

F Environmental and Social

G Governance

H Reputational

I Projects

*Change of direction*

Rating score the same as the previous quarter →

Rating score higher than the previous quarter ↑

Rating score lower than the previous quarter ↓

Note: Rating score of 1 to 6 = Green, 8 to 12 = Amber, 15 to 25 = Red.