

Interim Corporate Risk Register as at November 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.....	20
CR 037 High cost and resource issues from prosecutions, enforcement action and litigation	21
CR 038 Fakenham Leisure and Sports Hub (FLASH) – threat to building within funding window.....	22
CR 039 Rocket House building repair and energy improvement works	23
CR 040 Management Information System – failure to complete development and maintain when in use	24
KEY.....	25

Overview

The new Labour Government delivered its first Autumn Budget on 30 October 2024. The anticipated announcements around funding reforms, 3 year financial settlements and increased levels of funding to address specific local government budget pressures were not forthcoming in any great level of detail. A “local government financial policy statement” will be issued during November which will “set out further details on 2025-26 and the multi-year settlement from 2026-27”. Actual allocations and final decisions about the settlement will not be released until December. So the sustainability of the Council’s financial position remains a significant risk.

The four ‘red’ risks are all ones where having sufficient funding in place is critical to reducing the level of risk. These are the major coastal projects, the delivery of housing and the medium term financial plan.

The Council has now received confirmation of the funding for the Fakenham Leisure and Sports Hub (FLASH). The scheme can now proceed but there is concern over the timeframe for the delivery of the project. This will be closely monitored. The Council is waiting for approval from MHCLG to extend the timeline without affecting the allocated funding.

It is recommended that two of the corporate risks are removed from the Corporate Risk Register, these being CR030 Sheringham Leisure Centre and CR032 Fakenham Roundabout as the Leisure Centre has been operational for some time and the funding has been received for the Roundabout and it is now under construction.

The Corporate Leadership Team propose the inclusion of a new risk. The Government is drawing up a White Paper about English Devolution. The White Paper will “set out more detail on its devolution plans including on working with councils to move to simpler structures that make sense for their local areas, with efficiency savings from council reorganisation helping to meet the needs of local people.” The risk is around the capacity to address all that this will involve – the governance, the structures and the finance along with other emerging issues e.g. the implementation of a separate food waste collection by March 2026.

Risk Matrix

5					
4		<u>CR 038</u>	<u>CR 008</u> <u>CR 034</u>	<u>CR 002</u> <u>CR 015</u> <u>CR 036</u>	<u>CR 010</u>
3		<u>CR 009</u> <u>CR 037</u> <u>CR 040</u>	<u>CR 001</u> <u>CR 013</u> <u>CR 025</u> <u>CR 035</u> <u>CR 039</u>	<u>CR 024</u>	
2		<u>CR 028</u> <u>CR 030</u> <u>CR 032</u>	<u>CR 026</u> <u>CR 029</u>		
1					
Impact					
Likelihood	1	2	3	4	5

CR 001 Deteriorating/ underused property assets

Corporate Objective	1. Description of Risk or potential event 2. Cause of risk 3. Consequence of risk happening 4. Risk category 5. Risk appetite	Inherent risk score I x L	Existing Controls	Residual Risk Score and change of direction	Action (to achieve target score)	Target Score	Progress update	Lead Officer
Council: Opportunity: 3 Increasing the rates of occupation on all council's commercial properties	1. Deteriorating/ underused property assets. 2. Lack of funding to repair and maintain assets and increased maintenance costs. 3. Loss of revenue / legal liability/ not achieving value for money /reputational risk/ capital commitment. 4. Primary - A Financial, Secondary - H Reputational 5. High appetite for a range of asset classes, property and longer-term investments, subject to careful due diligence and an emphasis on security as well as matching with the Council's required liquidity profile.	3 x 4 = 12	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.	3 x 3 = 9 →	Production and approval of the Asset Management Plan	2 x 2 = 4	The Asset Management Plan is going through an internal consultation process.	Daniel King

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

Corporate Objective	1. Description of Risk or potential event 2. Cause of risk 3. Consequence of risk happening 4. Risk category 5. Risk appetite	Inherent risk score I x L	Existing Controls	Residual Risk Score and change of direction	Action (to achieve target score)	Target Score	Progress update	Lead Officer
Greener: Coast: 3 Continuing our programme of investment in coastal and resort infrastructure and amenities, building on the progress made in recent years	1. Lack of ability to maintain coast defences and / or to support local coastal adaption needs. 2. Lack of Government funding. 3. Inability to adapt to climate change - increased coastal erosion and flooding. 4. Primary – E Strategic, Secondary - F Environmental and Social 5. High appetite for strategic initiatives, where there is a direct gain to the Council's revenues or the ability to deliver its statutory duties more effectively and efficiently. Low appetite for initiatives and projects which sit outside of the Corporate Plan and Delivery Plan.	5 x 5 = 25	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. Health and Safety repairs as needed	4 x 4 = 16 →	10-year capital programme. Refurbish coastal defences at Mundesley. Refurbish coastal defences at Cromer.	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 winter 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.	Tamzen Pope

CR 008 Loss of Information

Corporate Objective	1. Description of Risk or potential event 2. Cause of risk 3. Consequence of risk happening 4. Risk category 5. Risk appetite	Inherent risk score I x L	Existing Controls	Residual Risk Score and change of direction	Action (to achieve target score)	Target Score	Progress update	Lead Officer
Council: Effective & Efficient: 4 Ensuring that strong governance is at the heart of all we do	1. Council: Effective & Efficient: 4 Ensuring that strong governance is at the heart of all we do 2. Loss of information assets. 3. Operational disruption, impact on customers. 4. Primary – A Financial, Secondary – H Reputational 5. Low appetite for operational risks such as pricing errors, errors in administration, IT, cybersecurity etc.	5 x 4 =20	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 x 3 = 12 →		3 x 3 = 9	Ongoing cyber security training for all staff taking place. The risk is no deemed moderate and is well managed by the IT team and the Data Protection Team, taking reasonable steps to guard against and mitigate this risk. IT Security Policy recently updated, and all staff required to sign that they have read and understood it. The Council has recently obtained an external IT service review which considers governance issues and recommendations which is now being reviewed by CLT.	Cara Jordan

CR 009 Poor Procurement

Corporate Objective	1. Description of Risk or potential event 2. Cause of risk 3. Consequence of risk happening 4. Risk category 5. Risk appetite	Inherent risk score I x L	Existing Controls	Residual Risk Score and change of direction	Action (to achieve target score)	Target Score	Progress update	Lead Officer
Council: Effective & Efficient: 4 Ensuring that strong governance is at the heart of all we do	1. Inadequate procurements 2. Procurement policies and procedures not followed or not fit for purpose. 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 5. Low risk appetite in respect of compliance with Council policies	3 x 4 = 12	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.	3 x 2 = 6 →	Implement new Procurement Act 2023 – implementation date delayed until February 2025 by the Government	2 x 2 = 4	An audit of procurement has been carried out and recommendations implemented. New procurement legislation has been delayed until February 2025 will result in changes in the way we carry out procurement. The Procurement Officer, her manager and the AD Legal will be undertaking training and will take action to ensure NNDC complies with the legislation.	Tina Stankley

CR 010 Housing Delivery -

Corporate Objective	1. Description of Risk or potential event 2. Cause of risk 3. Consequence of risk happening 4. Risk category 5. Risk appetite	Inherent risk score I x L	Existing Controls	Residual Risk Score and change of direction	Action (to achieve target score)	Target Score	Progress update	Lead Officer
Housing: Housing Need: 1 Supporting the delivery of more affordable housing, utilising partnership and external funding wherever possible	<ol style="list-style-type: none"> 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. Non delivery of housing targets Increasing homelessness, impact on NHB, vibrancy of local communities, impact on social infrastructure, loss of temporary accommodation in district, lack of social housing. Primary – E Strategic, Secondary - F Environmental and Social High appetite for strategic initiatives, where there is a direct gain to the Council's revenues or the ability to deliver its statutory duties more effectively and efficiently. Low appetite for initiatives and projects which sit outside of the Corporate Plan and Delivery Plan. 	4 x 5 = 20 ??	<p>Housing Strategy.</p> <p>Support and assist affordable housing providers.</p> <p>Use of capital.</p> <p>Local Plan.</p> <p>Development Management.</p> <p>Responded to NPPF consultation.</p> <p>Annual Local Plan monitoring report.</p>	<p>4 x 5 = 20</p> <p>→</p>	<p>Work to produce a new Local Plan.</p> <p>Delivery of the Planning Service Improvement Plan.</p> <p>Work with partners on Nutrient Neutrality matters.</p>	2 x 4 = 8	<p>Local Plan – further consultation started.</p> <p>Progress on PSIP being made. Reported to O&S October 2024.</p> <p>Norfolk Nutrient Mitigation Fund was launched on 16 May 2024.</p> <p>Second phase of funding was successful, £8.85m secured for the Nutrient Mitigation Fund Partnership.</p>	Russell Williams

CR 013 Emergency Event

Corporate Objective	1. Description of Risk or potential event 2. Cause of risk 3. Consequence of risk happening 4. Risk category 5. Risk appetite	Inherent risk score I x L	Existing Controls	Residual Risk Score and change of direction	Action (to achieve target score)	Target Score	Progress update	Lead Officer
Statutory obligation	1. These events could include those that affect the Council and its resources or an event that affects the wider district. 2. Any Internal or external event that has a significant impact on the Council. 3. The ability of the Council to deliver services is reduced. 4. Primary – A Financial, Secondary - D Operational (including capacity/ delivery/ resources/ health & safety), H Reputational 5. Medium appetite for BAU (Business as Usual) operational risks with staff empowered to make decisions.	4 x 3 = 12	Corporate Planning / Service Planning. Budget Process / Budget Monitoring. Project management framework. Emergency Response & Recovery Planning. Business Continuity Planning. Services' Business Continuity Plans (BCP). Corporate Business Continuity key role training. Corporate Policies and Procedures. Employment Policies. Forward adverse weather guidance. Emergency Response Plan EH out of hours duty officer	3 x 3 = 9 →	Review of strategic level response guidance, training and exercises.	2 x 3 = 6	Service managers have completed the business impact analysis and updated all business continuity plans during 2024. 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.	Alison Sayer

CR 015 Medium Term Financial Plan

Corporate Objective	1. Description of Risk or potential event 2. Cause of risk 3. Consequence of risk happening 4. Risk category 5. Risk appetite	Inherent risk score I x L	Existing Controls	Residual Risk Score and change of direction	Action (to achieve target score)	Target Score	Progress update	Lead Officer
Council: Effective & Efficient: 1 Managing our finances and contracts robustly to ensure best value for money	<ol style="list-style-type: none"> Reduced funding to fund current service levels and produce a balanced budget. Use of reserves is not sustainable strategy to bridge income/ expenditure. Forecast funding reductions and shift to local financing from business rates, council tax and new homes bonus. Funding gaps in the medium to long term. Primary – A Financial, Secondary - D Operational (including capacity/ delivery/ resources/ health & safety). High appetite for a range of asset classes, property and longer-term investments, subject to careful due diligence and an emphasis on security as well as matching with the Council's required liquidity profile. High appetite for high volatility investments as long as this is within a balanced portfolio so that the overall risk exposure is minimised. Medium risk for consideration of emerging markets with a lower appetite for capital growth oriented investments versus income generating investments. No appetite for currency risk. 	5 x 4 = 20	<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>Annual review of fees and charges.</p> <p>Monitoring of savings and additional income.</p>	<p>4 x 4 = 16</p> <p>→</p>		3 x 3 = 9	<p>The MTFS will be taken to the Cabinet meeting in January 2025 followed by the Overview and Scrutiny meeting.</p> <p>Introduced monitoring of savings and additional income in the 2024/25 budget – first report to Cabinet was presented to Cabinet at the meeting in October 2024.</p>	Tina Stankley

CR 024 People Resources

Corporate Objective	1. Description of Risk or potential event 2. Cause of risk 3. Consequence of risk happening 4. Risk category 5. Risk appetite	Inherent risk score I x L	Existing Controls	Residual Risk Score and change of direction	Action (to achieve target score)	Target Score	Progress update	Lead Officer
Council: Effective & Efficient: 5 Creating a culture that empowers and fosters an ambitious, motivated workforce	1. Failure to retain and recruit adequately trained and experienced staff. 2. Employment market conditions. 3. Negative impact on corporate plan, business transformation, performance and delivery. 4. Primary – A Financial, Secondary - D Operational (including capacity/ delivery/ resources/ health & safety) 5. Medium appetite for BAU (Business as Usual) operational risks with staff empowered to make decisions. Low appetite for operational risks such as pricing errors, errors in administration, IT, cybersecurity etc.	4 x 3 = 12	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 roles at NNDC.	2 x 3 = 6 ↓	People Strategy will be drafted and approved in 2024. A Learning and Development Strategy. The aim of this strategy will be to retain current employees. Agile Working Policy	2 x 2 = 4	People Strategy and Learning and Development Strategy are at final draft stage before being presented to CLT and Cabinet for approval. In the previous quarter there has been an increase in turnover in some departments and attempts to backfill have been unsuccessful. This predominantly in professional roles particularly in Environmental Health and may also include areas such as Finance and IT. HR are supporting managers regarding recruitment and retention. New ways of Working Policy under review and to be replaced by Agile Working Policy.	Susan Sidell

CR 025 Contract Failure

Corporate Objective	<ol style="list-style-type: none"> 1. Description of Risk or potential event 2. Cause of risk 3. Consequence of risk happening 4. Risk category 5. Risk appetite 	Inherent risk score I x L	Existing Controls	Residual Risk Score	Action (to achieve target score)	Target Score	Progress update	Lead Officer
Council: Effective & Efficient: 1 Managing our finances and contracts robustly to ensure best value for money	<ol style="list-style-type: none"> 1. The Council has a number of contracts for service delivery. 2. Failure of a contractor 3. Increased costs and operational disruption. 4. Primary – D Operational (including capacity/ delivery/ resources/ health & safety), Secondary – H Reputational 5. Medium appetite for BAU (Business as Usual) operational risks with staff empowered to make decisions. 	4 x 4 = 16	Procurement Strategy. Procurement Framework. Joint procurement protocol and opportunities for joint/shared procurement with other authorities. Advice for external suppliers. Procurement Officer post established.	3 x 3 = 9 →		2 x 2 = 4	Review of contract management arrangements has taken place and implementation is being planned.	Tina Stankley

CR 026 Impact of Economic fluctuations on the North Norfolk economy

Corporate Objective	1. Description of Risk or potential event 2. Cause of risk 3. Consequence of risk happening 4. Risk category 5. Risk appetite	Inherent risk score I x L	Existing Controls	Residual Risk Score and change of direction	Action (to achieve target score)	Target Score	Progress update	Lead Officer
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	1. Inability of the local economy to adapt to the fluctuations. 2. Fluctuations in the Local, National and Global economies. 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. 4. Primary – C Credit and counterparty, Secondary - D Operational (including capacity/ delivery/ resources/ health & safety) 5. High appetite for exposure to local and national economic growth. No appetite for exposure to global growth, interest rate risk, inflation risk, geopolitical and tail risk events.	2 x 3 = 6	HS 003 - Monitor the need for temporary accommodation and ensure suitable provision. Medium Term Financial Strategy. Corporate Planning / Service Planning. Treasury Management Strategy. Fund Management advice from Arlingclose. Business Survey. Operation of the Council Tax Hardship Fund. Economic Growth Team maintain contact with key businesses to monitor issues and provide support. Economic Growth Strategy – adopted early 2024.	2 x 3 = 6 ↓	Businesses are being monitored closely by new engagement processes.	2 x 2 = 4	Economic Growth Strategy approved by Full Council. 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. It is expected that there will be a further year of funding for the UKSPF. Details are not yet known.	Rob Young

CR 028 Governance failures

Corporate Objective	1. Description of Risk or potential event 2. Cause of risk 3. Consequence of risk happening 4. Risk category 5. Risk appetite	Inherent risk score I x L	Existing Controls	Residual Risk Score and change of direction	Action (to achieve target score)	Target Score	Progress update	Lead Officer
Council: Effective & Efficient: 4 Ensuring that strong governance is at the heart of all we do	1. Lack of governance, inadequate implementation and enforcement of governance. 2. Ignorance or non-observance of the Council's agreed governance protocols 3. Poor or illegal decision making. 4. Primary – F Environmental and Social, Secondary - H Reputational 5. No appetite for environmentally negative risks or for social risks	4 x 3 = 12	Corporate Planning / Service Planning. Clear robust corporate governance framework. Monitoring Officer actions to ensure governance risk is minimised. Section 151 Officer actions to ensure governance risk is minimised. Constitution/Standing Orders/Scheme of Delegations. Committee report templates. Member/ Officer Protocol. Operation of Overview and Scrutiny Committee. Annual Governance Statement supported by assurance framework. Operation of Standards Committee. Annual Monitoring Officer Report. Head of Internal Audit assurance. Audit programme. Operation of Constitution Working Party. Annual Assurance Statements. Annual Audit Report.	2 x 2 = 4 →		2 x 2 = 4	The review of the Constitution is currently taking place with a target date for completion of end of March 2025. The Monitoring Officer has recently completed her Annual Monitoring Officer report which addresses issues of governance and decision making at the Council. This will be presented to Governance Risk and Audit Committee at their meeting in December 2024.	Tina Stankley/ Cara Jordan

CR 029 Poor reputation of the Council in the Community

Corporate Objective	1. Description of Risk or potential event 2. Cause of risk 3. Consequence of risk happening 4. Risk category 5. Risk appetite	Inherent risk score I x L	Existing Controls	Residual Risk Score and change of direction	Action (to achieve target score)	Target Score	Progress update	Lead Officer
Council: Effective & Efficient	1. The Council is perceived as inefficient, unresponsive to local need and/ or not transparent. 2. Related to the Council's dealings, interests and performance, and the impact of adverse outcomes. 3. The Council's reputation is adversely affected, and public confidence reduced. 4. Primary – H Reputational, Secondary - E Strategic. 5. High risk appetite in respect of national media coverage, medium risk appetite for local media coverage and no risk appetite where social media and internal reputation are concerned.	3 x 4 = 12	Develop and Implement a Communications Strategy. Clear robust corporate governance framework. 3.1.2 Review and refine our Customer Strategy. Training including FOI training. Dedicated PR & Communications Team Local Code of Corporate Governance Updating complaint handling process to match the Local Government Ombudsman code of practice. – completed this quarter and due to be implemented shortly. Performance and Productivity Oversight Board is reviewing complaint response performance - completed this quarter	2 x 3 = 6 →	Review the Customer Service Strategy, Revise the Constitution. Further training activity in relevant areas. Complaint handling guide. Complaint response letters templates.	2 x 2 = 4	NNDC are a pilot authority for the LGSCO complaints code of practice revision. Pilot meetings being attended by the Director for Communities. Letter templates for stage 1 and stage 2 letters have been drafted. Those and the complaint handling guide will shortly be shared with managers to improve the quality of complaint response.	Steve Hems

CR 030 Sheringham Leisure Centre

Corporate Objective	1. Description of Risk or potential event 2. Cause of risk 3. Consequence of risk happening 4. Risk category 5. Risk appetite	Inherent risk score I x L	Existing Controls	Residual Risk Score and change of direction	Action (to achieve target score)	Target Score	Progress update	Lead Officer
Communities: Culture: 1 Championing North Norfolk as a place where residents and visitors can enjoy inclusive cultural opportunities and healthy leisure and sports activities	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 5. ????		Operation of Overview and Scrutiny Committee. Project management & reporting procedures - Sheringham Leisure Centre.	2 x 2 = 4 →		2 x 2 = 4	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. Recommend removing from the Corporate Risk Register.	Tina Stankley

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

Corporate Objective	1. Description of Risk or potential event 2. Cause of risk 3. Consequence of risk happening 4. Risk category 5. Risk appetite	Inherent risk score I x L	Existing Controls	Residual Risk Score and change of direction	Action (to achieve target score)	Target Score	Progress update	Lead Officer
Housing: Housing Need: 1 Supporting the delivery of more affordable housing, utilising partnership and external funding wherever possible	1. Funding not available / timing of works. 2. Rising construction and materials costs. 3. Failure to deliver a new roundabout at Fakenham, necessary to unlock housing growth. 4. Primary – I Projects, Secondary - H Reputational 5. High appetite for strategic initiatives, where there is a direct gain to the Council's revenues or the ability to deliver its statutory duties more effectively and efficiently. Low appetite for initiatives and projects which sit outside of the Corporate Plan and Delivery Plan.	3 x 3 = 9	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. Regular stakeholder meetings – meetings taking place weekly – completed in the last quarter	2 x 2 = 4 ↓	Emerging Local Plan – inspector letter received, plan expected to be in place for spring 2025 Continued input and financial support in relation to design to ensure that infrastructure can be delivered autumn 2024 if funding matter is resolved. Submitted a bid to DLUHC for additional funding. – outcome still awaited. Liaising with landowner in considering cost implication.	2 x 2 = 4	Scheme commenced 9 September 2024 and is due to finish spring 2025. Recommend removal of the risk from the risk register.	Martyn Fulcher

CR 034 Not achieving the Net Zero 2030 target

Corporate Objective	1. Description of Risk or potential event 2. Cause of risk 3. Consequence of risk happening 4. Risk category 5. Risk appetite	Inherent risk score I x L	Existing Controls	Residual Risk Score	Action (to achieve target score)	Target Score	Progress update	Lead Officer
Greener: Net Zero: 1 Continuing our own annual emissions reductions to reach Net Zero by 2030	<p>1. 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>2. Inaction/ inability to reduce emissions to 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>5. High appetite for strategic initiatives, where there is a direct gain to the Council's revenues or the ability to deliver its statutory duties more effectively and efficiently. Low appetite for initiatives and projects which sit outside of the Corporate Plan and Delivery Plan.</p>	4 x 5 = 20	<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>Decarbonisation board meeting regularly.</p> <p>Ensure all staff and Members are carbon aware - training programme delivered.</p>	<p>4 x 3 = 12</p> <p>→</p>	<p>Additional investment in renewable generation and/ or other offsetting initiatives.</p> <p>Introduce carbon pricing across all workstreams.</p>	4 x 3 = 12	<p>External funding bids for renewable generation have been submitted.</p> <p>Solar panels to be installed at Victory Leisure Centre. Due to be completed by the end of 2024.</p> <p>Trial of EV pool cars started May 2024 and running until Christmas 2024.</p> <p>Review of business travel arrangements being undertaken.</p> <p>Climate emergency staff forum group set up.</p> <p>FLASH (Fakenham Leisure and Sports Hub) – sustainable features under consideration e.g. gas boilers v. air source heat pump.</p>	Martyn Fulcher

CR 035 Failure to deliver the Local Plan

Corporate Objective	1. Description of Risk or potential event 2. Cause of risk 3. Consequence of risk happening 4. Risk category 5. Risk appetite	Inherent risk score I x L	Existing Controls	Residual Risk Score and change of direction	Action (to achieve target score)	Target Score	Progress update	Lead Officer
Statutory obligation	1. Loss of key staff, changes in legislation and political expectations 2. Local Plan process being delayed. 3. Failure to deliver corporate objectives for all themes. 4. Primary – D Operational (including capacity/ delivery/ resources/ health & safety), Secondary – E Strategic and H Reputational 5. High appetite for strategic initiatives, where there is a direct gain to the Council's revenues or the ability to deliver its statutory duties more effectively and efficiently. Low appetite for initiatives and projects which sit outside of the Corporate Plan and Delivery Plan.	4 x 5 = 20	Effective project management. Ensuring there is a pool of suitably skilled and knowledgeable Planning staff that can be called on to contribute to the Local Plan process. Member Training. Following the departure of the Planning Policy Manager transitional arrangements have been put in place (Spring 2024) Responded to the Planning Inspectors letter.	3 x 3 = 9 ↑	Local Plan – further consultation.	2 x 2 = 4	Local Plan – further consultation started. Councillors have been briefed and a press release issued. 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.	Russell Williams

CR 036 Cromer and Mundesley Coastal Management Schemes

Corporate Objective	1. Description of Risk or potential event 2. Cause of risk 3. Consequence of risk happening 4. Risk category 5. Risk appetite	Inherent risk score I x L	Existing Controls	Residual Risk Score	Action (to achieve target score)	Target Score	Progress update	Lead Officer
Greener: Coast: 2 Implementing the Cromer and Mundesley Coast Protection Schemes	<p>1. 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.</p> <p>2. Funding, consents.</p> <p>3. Funding – rescope the project, Consents – increased costs and programme delays and subsequent cost revisions leading to funding issues.</p> <p>4. Primary – A Financial, Secondary - D Operational (including capacity/ delivery/ resources/ health & safety), H - Reputational, I – Project</p> <p>5. High appetite for strategic initiatives, where there is a direct gain to the Council's revenues or the ability to deliver its statutory duties more effectively and efficiently. Low appetite for initiatives and projects which sit outside of the Corporate Plan and Delivery Plan.</p>	5 x 4 = 20	<p>Project risk register and management of risks monitored monthly.</p> <p>Monthly project meetings with contractor.</p> <p>Regular risk reduction meetings.</p> <p>The risk overseen by the project board.</p> <p>Retaining the design consultant during the project -implemented in the previous quarter.</p> <p>Close liaison with the contractor to identify engineering options has been agreed and is ongoing.</p> <p>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.</p>	<p>4 x 4 = 16</p> <p>→</p>	<p>Anglian Water originally committed funding to the Mundesley scheme when it was planned for 2019/20. As the scheme was not able to go ahead in that timeframe they were not able to provide that funding. The Council has approached Anglian Water recently but they are still unable to contribute. Alternative funding sources are being explored.</p>	3 x 3 = 9	<p>Construction is progressing on both schemes according to the planned programme.</p> <p>Cromer is forecast to be complete in winter 2024 and the Mundesley part of the scheme is due to complete summer 2025.</p> <p>Submitted a business case to the Regional Flood and Coastal Committee requesting additional funding. Decision expected 17 January 2025.</p> <p>The delivery of the rock onto the beach was delayed due to adverse weather conditions. This resulted in additional costs associated with the delay. Value engineering has been carried out to rescope the project such that the spend comes in within the fund secured. CLT gave approval for this process.</p>	Tamzen Pope

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

Corporate Objective	1. Description of Risk or potential event 2. Cause of risk 3. Consequence of risk happening 4. Risk category 5. Risk appetite	Inherent risk score I x L	Existing Controls	Residual Risk Score and change of direction	Action (to achieve target score)	Target Score	Progress update	Lead Officer
Corporate Plan and statutory duties	<p>1. 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>2. Requirement to take costly action in financial and other resource terms 2.</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 & safety) E Strategic F Environmental and Social G Governance H Reputational</p> <p>5. Medium appetite for BAU (Business as Usual) operational risks with staff empowered to make decisions.</p>	4 x 3 = 12	<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>General reserve maintained at recommended levels.</p> <p>Qualified lawyers and officers under their supervision conduct legal case.</p>	<p>3 x 2 = 6</p> <p>→</p>	Require resource within the relevant departments, in particular, Environmental and Public Protection, to carry out routine visits regarding health and safety and food hygiene so as to have a preventative impact and potentially reduce the need for prosecution at an early stage.	2 x 2 = 4	<p>Discussed at a Management Team meeting in May 2024 and added to the Corporate Risk Register.</p> <p>The likelihood score has been reduced after reviewing known and likely cases that may arise in the next quarter.</p> <p>The Monitoring Officer will give some detail regarding this risk to the next Governance Risk and Audit Committee in December 2024.</p>	Cara Jordan

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

Corporate Objective	1. Description of Risk or potential event 2. Cause of risk 3. Consequence of risk happening 4. Risk category 5. Risk appetite	Inherent risk score I x L	Existing Controls	Residual Risk Score and change of direction	Action (to achieve target score)	Target Score	Progress update	Lead Officer
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.	<ol style="list-style-type: none"> This is a complex project, with a large number of stakeholders and contractors involved. Timeline for building the facility is tight. Completion to draw down funding has to be before the end of March 2026. If the project cannot be delivered on time this could lead to reduced funding being drawn down and not all outcomes being achieved. Primary - A Financial, Secondary - D Operational (including capacity/ delivery/ resources/ health & safety) and H - Reputational High appetite for strategic initiatives, where there is a direct gain to the Council's revenues or the ability to deliver its statutory duties more effectively and efficiently. Low appetite for initiatives and projects which sit outside of the Corporate Plan and Delivery Plan. 	5 x 5 = 25	<p>Project Management processes</p> <p>Liaison with the Ministry of Housing and Local Government (MHCLG)</p> <p>Timeline prepared.</p> <p>Procurement process for consultants, architects, engineers in place.</p> <p>NNDC project team established.</p> <p>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.</p> <p>Ensuring decision making follows NNDC protocols.</p> <p>Follow NNDC Procurement Guidance.</p> <p>Procurement Officer support.</p> <p>Risk Management Policy and Framework</p> <p>Project Risk Register – reviewed monthly</p> <p>Review with Director for Resources the NNDC appetite for financial risk relating to this project – risk appetite established.</p> <p>Reporting regularly to MHCLG.</p>	<p>4 x 2 = 8</p> <p>↓</p>		2 x 2 = 4	<p>Full confirmation has been received from MHCLG that the funding will be provided. The first meeting with the MHCLG liaison and quarterly reporting requirements have been provided to NNDC.</p> <p>The procurement of the main contractor process is underway, and the contract will be awarded shortly (November 2024).</p> <p>Planning of the project is ongoing and adjustment of the timeline to take account of the change of Government is taking place. This amended timeline will be submitted to MHCLG for approval.</p>	Steve Hems

CR 039 Rocket House building repair and energy improvement works

Corporate Objective	1. Description of Risk or potential event 2. Cause of risk 3. Consequence of risk happening 4. Risk category 5. Risk appetite	Inherent risk score I x L	Existing Controls	Residual Risk Score and change of direction	Action (to achieve target score)	Target Score	Progress update	Lead Officer
Strong and Responsible – Maximising Opportunity - Increasing the rates of occupation on all council's commercial properties.	1. Exceeds capital budget allocated. Works might not be successful in dealing with damp and increasing EPC rating. 2. Building needs repair and energy performance works to be fully lettable. 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. 4. Primary - A Financial, Secondary - D Operational (including capacity/ delivery/ resources/ health & safety), H Reputational 5. High appetite for a range of asset classes, property and longer-term investments, subject to careful due diligence and an emphasis on security as well as matching with the Council's required liquidity profile.	4 x 4 = 16	Independent surveys (3) of the building. Budgeted repair costs prepared by independent quantity surveyor. Indicative timeline prepared. Capital budget of £1m approved. Agreement made with a tenant vacating to enable the works to go ahead. Procurement of contractors to do works. Agree and implement contract management process. Valuation advice is being sought regarding the long term lease. Technical advice on waterproofing.	3 x 3 = 9 →	Reletting of the ground floor vacant area of the building once repairs complete. EPC rating assessment. Cabinet approval planned for new lease agreements during 2025. Technical design for repairs. Planning application. Project management arrangements.	2 X 2 = 4	Tenant has vacated. Preparation for the procurement process has been completed. Technical design for repairs started in June 2024. Planning application made November 2024. Architects have been appointed. Works have started.	Renata Garfoot

CR 040 Management Information System – failure to complete development and maintain when in use

Corporate Objective	1. Description of Risk or potential event 2. Cause of risk 3. Consequence of risk happening 4. Risk category 5. Risk appetite	Inherent risk score I x L	Existing Controls	Residual Risk Score and change of direction	Action (to achieve target score)	Target Score	Progress update	Lead Officer
Strong and responsible - Effective and Efficient - Continuing a service improvement programme to ensure our services are delivered efficiently And ensuring that strong governance is at the heart of all we do	1. Development of the MIS system is not complete or once complete is unable to be supported and maintained. 2. MS Office not maintaining tools used to build the system. Charging system changes to make MS Office use uneconomic. Project not being properly managed to the required timescales. 3. NNDC is without a system to monitor and present performance, action plan and risk reports 4. Primary - G Governance, Secondary – E Strategic 5. Low risk appetite in respect of compliance with Council policies, alignment with the Corporate Plan, delegation levels, fraud, transparency and major organizational change programmes. Medium appetite for partnership related risks.	4 x 3 = 12	Project Management process including regular project team meetings Project risk register Documentation of functionality Training for users Training for development and support staff for the system	3 x 2 = 6	Training of IT staff to maintain the system Senior management support Thorough testing before implementation	2 x 2 = 4	A demo of the system was shown to the Director of Resources who endorsed further development as planned. Groups to test the new system are being assembled from across the Council. The next project team meeting and review takes place at the end of November and subsequently in early 2025. The launch of the system is planned for spring 2025	Tina Stankley

KEY

Impact

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

Likelihood ratings and dimensions

Grade	Likelihood	Probability	Timing
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

Risk Scoring

Inherent risk score - Impact x Likelihood = Total rating. Risk score if no controls were in place.

Residual Risk Score - Impact x Likelihood = Total Rating. Risk score after current controls are taken into account.

Target Score – Impact x Likelihood = Total Rating. Risk score needed to ensure the risk score matches the risk appetite.

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

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 ↓

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