

Interim Corporate Risk Register as at February 2025 2024

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Overview

The local government financial settlement was another one-year settlement with the promise of future multi-year settlements from 2026-27. The settlement was very disappointing for the Council as there was a significant redistribution of the funding to “areas of need” i.e. to authorities with Adult Social Care and Children’s Services. Also some previously awarded grants e.g. Rural Services Delivery Grant were withdrawn and redistributed. For NNDC would have resulted in a reduction in funding without the floor funding of £805k. The lack of any increase in funding from central government obviously places the authority under greater financial pressure.

The three ‘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 and the delivery of housing.

The Council has now received confirmation of the funding for the Fakenham Leisure and Sports Hub (FLASH) and so this risk has reduced it is still a large and complex project with many other risks that need to be monitored and mitigated. Delivery with the timeframe and hence receipt of the full funding is still a concern, but the project is being closely monitored.

The Corporate Leadership Team propose the inclusion of two new risks. Norfolk, along with Suffolk, is one of the areas that the Government has asked to submit a proposal for Local Government Reorganisation (LGR). If a proposal is taken forward then this will be an enormous transformation to deliver and there will be significant risk that comes with it. Therefore it is proposed that LGR be added to the Corporate Risk Register.

The second new risk to be added is Coastwise – delivery within Government financial timeframes. There is a risk that the Council has the inability to deliver well considered coastal transition activities within the limited timeframe given to complete schemes. The funding can be withdrawn if schemes are not delivered with the given timeframes.

Recommendations

Corporate risks to be removed from the register

None.

Corporate risks recommended for addition to the register

CR 041 Local Government Reorganisation – threat to organisational capacity

CR 042 Coastwise – delivery within Government financial timeframes

Corporate risks to be added to the next register

Introduction of food waste collection.


Risk Matrix

5						
4		<u>CR 038</u>	<u>CR 008</u> <u>CR 015</u> <u>CR 034</u> <u>CR 042 - new</u>	<u>CR 002</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>			
2		<u>CR 028</u>	<u>CR 024</u> <u>CR 026</u> <u>CR 029</u>	<u>CR 041 - new</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, approval and implementation of the Asset Management Plan	2 x 2 = 4	The Asset Management Plan is being prepared and reviewed in the light of LGR. Currently recruiting a Surveyor. Resources are being allocated temporarily from the Property Services Team to the Estates and Assets team to set up leases for beach huts and chalets.	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 100% complete in spring 2025 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. The Coastal Partnership East agreement will end 31 March 2025. A Service Level Agreement is being pulled together to maintain the employment of the Coastal Engineering Manager. The Coastal management workplan is being updated and a gap analysis carried out.	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 now 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 considered governance issues and recommendations which has been reviewed by CLT and an internal advert for a new Strategic IT Manager is shortly to be published. This role will further ensure effective and efficient IT related governance.	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 24 February 2025.	2 x 2 = 4	New procurement legislation has been implemented 24 February 2025 will result in changes in the way we carry out procurement. The Procurement Officer, her manager and the AD Legal have undertaken training and will take action to ensure NNDC complies with the legislation. Legal Team have updated contract procedure rules to ensure compliance with the Act. Communicated new requirements via the Intranet. Exploring joint working arrangements with Breckland Council to deliver the procurement service.	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>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 examination sessions to be held in April 2025..</p> <p>Progress on PSIP being made. Was reported to O&S October 2024 i.e. for a final time.</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.- review due to be completed spring 2025	2 x 3 = 6	All business continuity plans up to date. Fortunately, there has been a very settled weather pattern so far this winter without serious flooding incidents.	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	<p>1. 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>2. Forecast funding reductions and shift to local financing from business rates, council tax and new homes bonus.</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 & safety).</p> <p>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. 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.</p>	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 3 = 12</p> <p>↓</p>		3 x 3 = 9	<p>Fees and Charges for 2025/26 were approved by Full Council 18 December 2024.</p> <p>A full review of the localised Council Tax support scheme has been undertaken and was approved by Full Council on 29 January 2025.</p> <p>Budget agreed at Full Council on 19 February 2025.</p> <p>Alongside this the updated Treasury Management Strategy, Capital Strategy, Council Tax Discretionary Reduction (Hardship Relief) Policy and Non-Domestic (Business) Rates Policy were approved.</p> <p>Period 10 budget monitoring report will forecast a balanced position for 2024/25 as action has been taken and income levels have improved.</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. New Ways of Working - Policy 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 →	Workforce and Development People Strategy has been drafted and will be approved in early 2025. A Learning and Development Strategy is being developed alongside. The aim of this strategy will be to retain current employees. Agile Working Policy – drafted and revisions being made.	2 x 2 = 4	People Strategy and Learning and Development Strategy have been presented to CLT. Revisions are being made before it is presented to Cabinet for approval. New ways of Working Policy under review and to be replaced by Agile Working Policy.	Susan Sidell

CR 025 Contract Failure

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
Council: Effective & Efficient: 1 Managing our finances and contracts robustly to ensure best value for money	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. Contract monitoring and management.	3 x 3 = 9 		2 x 2 = 4	New waste and contracts manager recruited and starting shortly (spring 2025)	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	Close engagement with businesses. Operation of the Council Tax Hardship Fund. Economic Growth Team maintain contact with key businesses to monitor issues and provide support. Monitor the need for temporary accommodation and ensure suitable provision. Economic Growth Strategy – adopted early 2024. UK Shared Prosperity Fund and Rural England Prosperity Fund. Liaison with Growth Hub and with DWP.	2 x 3 = 6 →		2 x 2 = 4	We are closing the existing UKSPF and REPF programmes. Our programme for the transitional year of UKSPF funding has been agreed. A new approach to business engagement is commencing March 2025.	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. Member and Officer training. Fortnightly Statutory Officer meetings. Monitoring Officer attending CLT meetings.	2 x 2 = 4 →	Evaluate Improvement and assurance framework self-assessment from the LGA as a potential replacement for the Self-assessment assurance statements process. Ensuring there are sufficient staff for S151 Officer and Monitoring Officer	2 x 2 = 4	The review of the Constitution is currently taking place with some draft changes to go to the March Constitution Working Party meeting. The Monitoring Officer has completed her Annual Monitoring Officer report which addresses issues of governance and decision making at the Council. This was presented to Governance Risk and Audit Committee at their meeting in December 2024. Balanced budget agreed by Full Council on 19 February 2025. Training in Risk Management and Treasury Management has recently been provided for relevant Members and Officers.	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: Quality Customer Service: 3 Improving communication with residents via all communication channels	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. – due to be implemented shortly. Performance and Productivity Oversight Board is reviewing complaint response performance.	2 x 3 = 6 →	Review the Customer Service Strategy, Revise the Constitution. Complaint handling guide. Complaint response letters templates guide and templates developed and being shared with managers before implementation. Further training activity in relevant areas. A new complaint handling software solution is being developed through C3.	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. Consideration is being given to a complaints manager type role as part of compliance with the LGCSO code of practice.	Steve Hems

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.</p> <p>Introduce carbon pricing across all workstreams - implemented this quarter</p> <p>Solar panels installed at Victory Leisure Centre. Completed December 2024 – implemented this quarter.</p>	<p>4 x 3 = 12</p> <p>→</p>	<p>Additional investment in renewable generation and/ or other offsetting initiatives.</p> <p>Introduce climate impact assessment tool.</p> <p>Embed staff climate emergency group.</p>	4 x 3 = 12	<p>External funding bids for renewable generation have been submitted.</p> <p>Trial of EV pool cars started May 2024 and running until February 2025.</p> <p>Review of business travel arrangements being undertaken.</p> <p>FLASH (Fakenham Leisure and Sports Hub) – sustainable features under consideration e.g. gas boilers v. air source heat pump.</p> <p>Setting up workshops to determine priorities and targets in light of Local Government Review.</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 and all Corporate Plan Priorities	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) Responding to the Planning Inspectors letters.	3 x 3 = 9 →	Local Plan adopted.	2 x 2 = 4	Local Plan – further examination scheduled for April 2025. 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>Alternative funding sources are being explored.</p>	<p>4 x 4 = 16</p> <p>→</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 spring 2025 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 postponed until April 2025.</p> <p>Variation applications have been made to the Environment Agency for both Cromer and Mundesley for contingency draw down to reduce the risk of funding gaps.</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	<ol style="list-style-type: none"> Statutory obligation to investigate and apply enforcement action including health and safety, food safety, licensing, environmental protection, planning. Public suing NNDC, Equality Act. Requirement to take costly action in financial and other resource terms 2. 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 Primary=A Financial, Secondary=D Operational (including capacity/delivery/resources/health & safety) E Strategic F Environmental and Social G Governance H Reputational Medium appetite for BAU (Business as Usual) operational risks with staff empowered to make decisions. 	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>The Monitoring Officer gave some detail regarding this risk to the Governance Risk and Audit Committee in December 2024.</p> <p>Assistant Director for Environment and Leisure and the Assistant Director for Governance and Legal have regular discussions to pick up any potential cases of significance.</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: 3 Working with partners to promote healthy lifestyles and address the health inequalities faced by our communities.	<ol style="list-style-type: none"> 1. This is a complex project, with a large number of stakeholders and contractors involved. 2. Timeline for building the facility is tight. Completion to draw down funding has to be before the end of March 2026. 3. If the project cannot be delivered on time this could lead to reduced funding being drawn down and not all outcomes being achieved. 4. Primary - A Financial, Secondary - D Operational (including capacity/ delivery/ resources/ health & safety) 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. 	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 submitted by NNDC.</p> <p>The procurement of the main contractor process has been completed and contract awarded.</p> <p>The amended timeline has been submitted to MHCLG for approval.</p> <p>The Council is dealing with minor objections to the planning application.</p> <p>The route to sign if of RIBA stage 4 has been identified and the paperwork associated with it is in preparation.</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
Council: Strong and Responsible – Maximising Opportunity - 3 Increasing the rates of occupation on all council's commercial properties.	<p>1. Exceeds capital budget allocated. Works might not be successful in dealing with damp and increasing EPC rating.</p> <p>2. Building needs repair and energy performance works to be fully lettable.</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 & safety), H Reputational</p> <p>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.</p>	4 x 4 = 16	<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>Procurement of contractors to do works.</p> <p>Agree and implement contract management process.</p> <p>Valuation advice is being sought regarding the long term lease.</p> <p>Technical advice on waterproofing.</p> <p>Project management arrangements – implemented this quarter.</p> <p>Technical design for repairs – implemented this quarter.</p>	<p>3 x 3 = 9</p> <p>→</p>	<p>Reletting of the ground floor vacant area of the building once repairs complete.</p> <p>EPC rating assessment.</p> <p>Cabinet approval planned for new lease agreements during 2025.</p> <p>Damp monitoring.</p>	2 X 2 = 4	<p>Preparation for the procurement process is taking place.</p> <p>Technical design for repairs started in June 2024.</p> <p>Works have started.</p> <p>Works in the café upstairs has been completed.</p> <p>Responsibility for completing the building works has been passed to Property Services.</p> <p>Instructed Daniel Connel Partnership to carry out damp monitoring and recording over March to May 2025 in the museum area.</p> <p>The same work will be carried out in the public toilets for one month over the same period.</p> <p>The works to the public toilets will then be fast tracked and the works to the museum will take place later as a separate contract to reduce the time the public toilets are unavailable.</p>	Renata Garfoot/ Russell Tanner

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
<p>Council: Strong and responsible - Effective and Efficient - 2 Continuing a service improvement programme to ensure our services are delivered efficiently</p> <p>and</p> <p>4 ensuring that strong governance is at the heart of all we do</p>	<p>1. Development of the MIS system is not complete or once complete is unable to be supported and maintained.</p> <p>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.</p> <p>3. NNDC is without a system to monitor and present performance, action plan and risk reports</p> <p>4. Primary - G Governance, Secondary – E Strategic</p> <p>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.</p>	4 x 3 = 12	<p>Project Management process including regular project team meetings</p> <p>Project risk register</p> <p>Documentation of functionality</p> <p>Training for users</p> <p>Training for development and support staff for the system</p>	<p>3 x 2 = 6</p> <p>→</p>	<p>Training of IT staff to maintain the system</p> <p>Senior management support</p> <p>Thorough testing before implementation</p>	2 x 2 = 4	<p>Groups to test the new system are being assembled from across the Council.</p> <p>Demonstrated to CLT.</p> <p>The launch of the system and staff training is planned for April 2025</p>	Tina Stankley

CR 041 Local Government Reorganisation – threat to organisational capacity

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: Strong and responsible - Effective and Efficient	1. Capacity issues generated by Devolution and Local Government Reorganisation (LGR) 2. Whether there is sufficient capacity to address the work that will be involved in preparing for LGR including the necessary governance, the structures and finance alongside other emerging issues e.g. the implementation of a separate food waste collection by March 2026. 3. Work will not be able to be progressed with sufficient speed to meet the tight timescales and may impact on the delivery of other work. 4. Primary: D Operational (including capacity/ delivery/ resources/ health & safety) Secondary: E Strategic G Governance H Reputational 5. Medium appetite for BAU (Business as Usual) operational risks with staff empowered to make decisions.	3 x 4 = 12	Work is being done collaboratively across the seven district councils, easing the burden on individual councils. Consultants appointed to deliver options based on common evidence base. Member briefings and regular committee reports Agreement to increase project management support to other projects such as the introduction of food waste. Performance Management Framework compliance.	2 x 4 = 8 new risk	Continuation of joint working with other districts. Member updates Identifying other corporate projects which may need further project management support.	2 x 4 = 8		Steve Blatch

CR 042 Coastwise – delivery within Government financial timeframes

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: 1 Realising the opportunities of external funding to secure a sustainable future for our coastal communities through transition and adaptation responses	<ol style="list-style-type: none"> Inability to deliver well considered coastal transition activities within the limited timeframe offered by Government funding windows Urgent need from the government to progress but limited by national funding allocation time frames which don't fit community timeframes, the complexities of the project and development of completely new approaches. Government do not roll forward funding into future years and north Norfolk misses out on the opportunities this funding is enabling. Primary – Financial, Secondaries – Strategic, Environmental and Social, Reputational, Projects 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. 	4 x 4 = 16	<p>Ongoing and timely discussions and updates with the Environment Agency</p> <p>Ongoing monitoring of financial forecast and programme</p> <p>Ongoing reporting to Environment Agency and DEFRA</p> <p>Utilisation of Local Adaptation Fund</p> <p>Reprofiling of forecast spend where necessary and possible</p>	4 x 3 = 12 new risk	Approaching Government to extend programme timelines	3 x 3 = 9	If the action of approaching the Government of amendment to timelines is successful, the target score could be achieved.	Rob Goodliffe

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