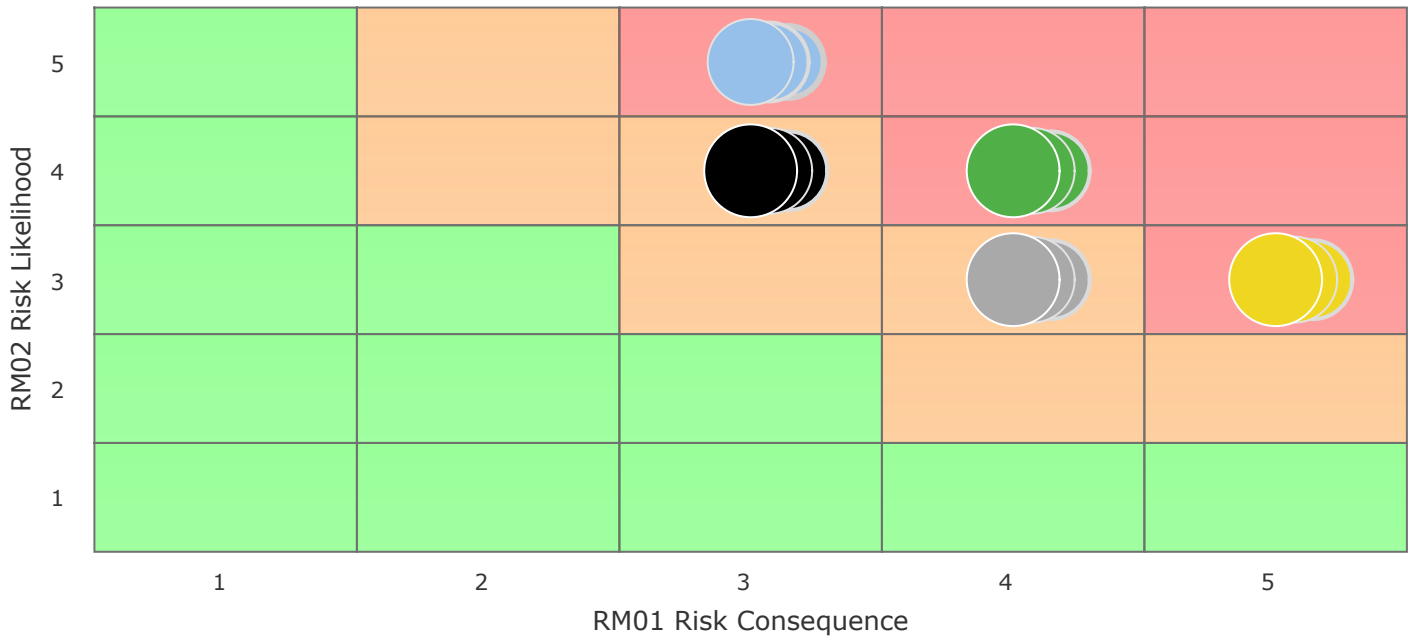


Corporate Risk Register

Strategic Risk Matrix



- SR 001 Financial (including credit & counterparty)
- SR 002 Operational
- SR 003 Macroeconomic
- SR 004 Strategic
- SR 005 Environment & Social
- SR 006 Governance
- SR 007 Reputation
- SR 008 Corporate project related risks

The last update to the Risk Management Policy and Framework was approved by the Governance, Risk and Audit Committee (GRAC) in June 2020 and is next due an updated in June 2022.

The policy sets the framework for the Council's Corporate Risk Register (CRR) which monitors and tracks the Council's most significant risks. Responsibility for coordinating the CRR and the risk management framework currently rests with the Section 151 Officer (Director for Resources).

Following governance improvements made last year the CRR is now a standing item on the Corporate Leadership Team (CLT) agenda and is reported every quarter. It is also updated and considered for every GRAC meeting.

The new InPhase performance management system is now fully operational and will be used in the future for performance and risk reporting. The system will help to automate the process and make it more efficient, enabling access to the detailed risk information and mitigations should this be required. InPhase contains a risk module which will be a step change improvement of the management of risk at the Council and should mean project leads/service managers can update this direct and make the risk registers more agile.

The Council's approach to risk, its risk appetite and risk tolerance has a significant part to play in terms of supporting both the Corporate Plan and the Medium Term Financial Strategy. Without a robust risk management framework, the Council is at risk of failing to deliver its corporate objectives and meeting its financial targets required to ensure we have a sustainable financial position in the future.

The levels of risk which the Council is willing to accept will have a direct bearing on the types of projects that Members are willing to take forward to support the Council's Financial Sustainability Strategy (to be developed) in the future and how and where the Council will deliver increased income.

Risk Appetite and Risk tolerance

Risk appetite is often described as 'the amount of risk that an organisation is willing to seek or accept in the pursuit of its long term objectives'. Risk tolerance is the amount of risk an organisation could actually take, usually from a financial perspective, before services and objectives are significantly impacted. The two are linked, with most organisations having a risk appetite lower than their risk tolerance.

At its meeting in June 2020 the GRAC set agreed to se the Council's risk appetite at 'moderate'.

The Council will be required to make some difficult decisions in the short to medium term to help ensure that we are able to balance the budget given the current funding restrictions and uncertain financial climate, particular due to

the ongoing COVID-19 pandemic. This will undoubtedly involve looking to potentially invest in new opportunities and to take a more commercial approach to our activities whilst also looking to drive social value.

The CRR has been updated as at February 2021 and will be presented to the next meeting of GRAC scheduled for 9 March 2021.

31 January 2021



Strategic Risk Table

31/01/2021		
SR 001 Financial (including credit & counterparty) : Status	Description	<p>Financial: related to the financial position and investment of the Council's assets and cash flow, market volatility, currency etc. Credit and Counterparty: related to investments, loans to institutions and individuals and counterparties in business transactions.</p> <p>Risk - that the Council's expenditure in a financial year is likely to exceed the resources (including sums borrowed) available to it to meet that expenditure.</p> <p>Effect - the Chief Finance Officer has to issue a Section 114 report to Full Council to report an unbalanced budget"</p>
	Score	15.00
	Target	9.00
	Performance	▲
	Direction of change	➔
	Comments	
	Owner	Duncan Ellis
SR 002 Operational : Status	Description	<p>OPERATIONAL Related to operational exposures within its organisation, its counterparties, partners and commercial interests</p> <p>Risk - operational issues prevent or hinder the achievement of the Council's aims.</p> <p>Effect - the Council does not achieve it's operational or strategic aims.</p>
	Score	16.00
	Target	12.00
	Performance	▲
	Direction of change	➔
	Comments	
	Owner	Duncan Ellis
SR 003 Macroeconomic : Status	Description	<p>Related to the growth or decline of the local economy, interest rates, inflation and to a lesser degree, the wider national and global economy amongst others.</p> <p>Risk - national/global recession resulting in business failure and unemployment</p> <p>Effect - increased requirement for benefits, housing, council tax support, business advice and support</p>
	Score	16.00
	Target	12.00
	Performance	▲
	Direction of change	➔
	Comments	
	Owner	Duncan Ellis
SR 004 Strategic : Status	Description	<p>STRATEGIC key initiatives undertaken by the Council such as significant purchases, new ventures, commercial interests and other areas of organisational change deemed necessary to help the Council meet its</p>

		31/01/2021
		goals. Risk - Corporate Plan and Projects may not be delivered within agreed timescales or budget Effect - objectives not delivered, poor use of council financial resources
	Score	12.00
	Target	9.00
	Performance	●
	Direction of change	→
	Comments	
	Owner	Duncan Ellis
SR 005 Environment & Social : Status	Description	ENVIRONMENTAL AND SOCIAL related to the environmental and social impact of the Council's strategy and interests Risk - Council fails to take into account changing environmental and social needs Effect - strategic objectives don't reflect environmental and social issues
	Score	15.00
	Target	12.00
	Performance	▲
	Direction of change	→
	Comments	
	Owner	Duncan Ellis
SR 006 Governance : Status	Description	GOVERNANCE related to ensuring that prudence and careful consideration sit at the heart of the Council's decision-making, augmented by quality independent advice and appropriate checks and balances that balance oversight and efficiency. Risk - Council acts outside established procedures or unlawfully Effect - risk of litigation/reputational risk to Council/poor decision making
	Score	12.00
	Target	9.00
	Performance	●
	Direction of change	→
	Comments	
	Owner	Duncan Ellis
SR 007 Reputation : Status	Description	REPUTATION Related to the Council's dealings and interests, and the impact of adverse outcomes on the Council's reputation and public perception. Risk - Council's reputation is adversely affected Effect- reduced public confidence
	Score	12.00
	Target	8.00
	Performance	●
	Direction of change	→
	Comments	
	Owner	Duncan Ellis
SR 008 Corporate	Description	CORPORATE PROJECT RELATED RISKS

		31/01/2021
project related risks : Status		Related to individual corporate project risks
	Score	12.00
	Target	9.00
	Performance	●
	Direction of change	➔
	Comments	
	Owner	Duncan Ellis



Risk scoring key

Corporate Risks

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

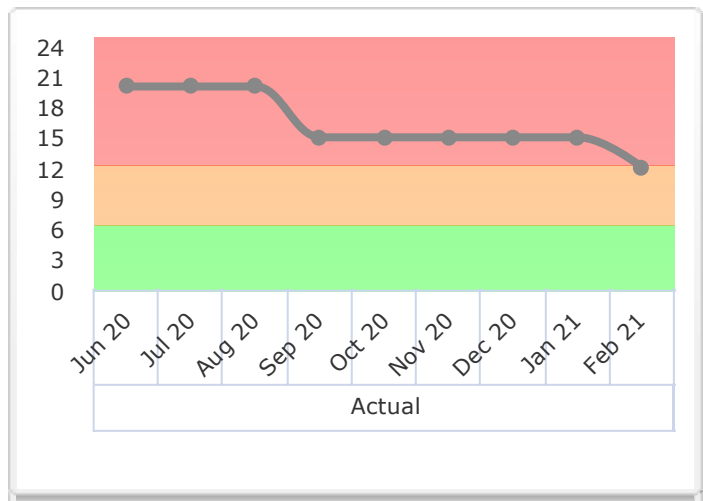
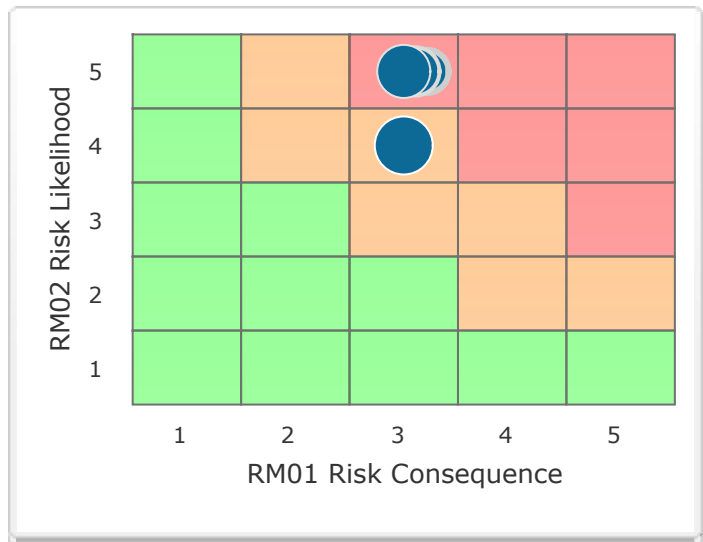
Impact Type	Catastrophic 5	Critical 4	Moderate 3	Marginal 2	Negligible 1
Objectives	The key objectives in the Corporate Plan will not be achieved.	One or more Key Objectives in the Corporate Plan will not be achieved.	Significant impact on the success of the Corporate Plan.	Some impact on more than one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

Likelihood ratings and dimensions are tabled below:

Grade	Likelihood	Probability	Timing
5	Very High	Over 90%	Within six months
4	High	60 - 90%	Within a year
3	Moderate	40 - 60%	Within 1 to 2 years
2	Low	10 - 40%	Probably within 15 years
1	Very Low	below 10%	Probably over 15 years

SR 001 Financial (including credit & counterparty)

Responsibility	<ul style="list-style-type: none"> Strategic Leadership
Risk Description	<p>Financial: related to the financial position and investment of the Council's assets and cash flow, market volatility, currency etc. Credit and Counterparty: related to investments, loans to institutions and individuals and counterparties in business transactions.</p> <p>Risk - that the Council's expenditure in a financial year is likely to exceed the resources (including sums borrowed) available to it to meet that expenditure.</p> <p>Effect - the Chief Finance Officer has to issue a Section 114 report to Full Council to report an unbalanced budget"</p>
Risk Category	<ul style="list-style-type: none"> A Financial C Credit and counterparty
Risk Response	Treat



Latest Update

		31/01/2021
SR 001 Financial (including credit & counterparty) : Status	Score	15.00
	Target	9.00
	Performance	▲
	Direction of change	→
	Comments	The impacts of Brexit and COVID have not had such a bad impact on our investments as originally anticipated.

SR 001 Financial (including credit & counterparty)

Associated Corporate Risks

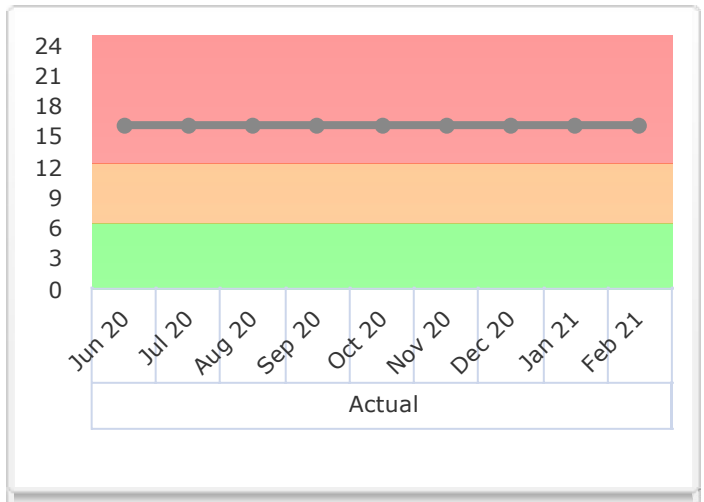
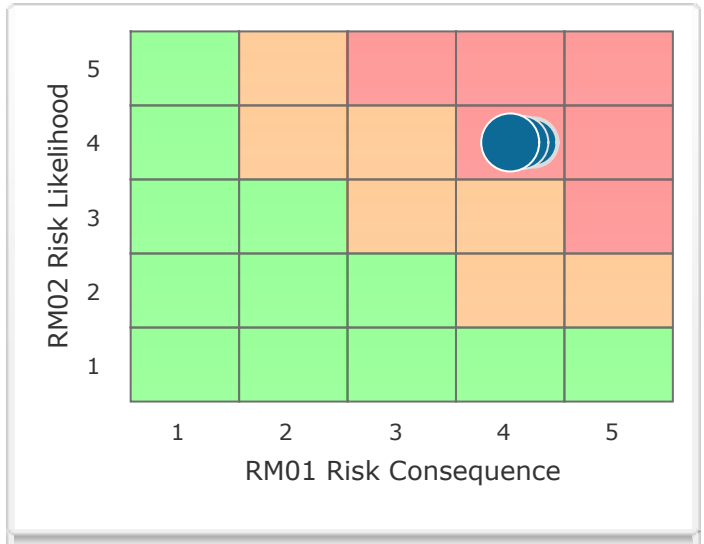
		31/01/2021
CR 015 Medium Term Financial Plan : Status	Score	12.00
	Target	12.00
	Performance	●
	Direction of change	➔
	Comments	

Mitigating Actions

		Stage	Responsible	Dec 20	
✓	Annual review of the Council's reserves	Completed	Duncan Ellis	Performance	✓
				Comments	~
✓	Balanced budget agreed	In Progress	Duncan Ellis	Performance	★
				Comments	Budget approved by Full Council on 24/02/21
✓	Budget Process / Budget Monitoring	Completed	Duncan Ellis	Performance	✓
				Comments	~
✓	Business cases for commercialisation of assets to deliver future income and efficiencies	Completed	Duncan Ellis	Performance	✓
				Comments	~
✓	Corporate Planning / Service Planning	Completed	Helen Thomas	Performance	✓
				Comments	~
✓	Growth forecasting models	Completed	Duncan Ellis	Performance	★
				Comments	
✓	Lobbying Central Government	Completed	Nick Baker	Performance	✓
				Comments	~
✓	Medium Term Financial Strategy	In Progress	Duncan Ellis	Performance	★
				Comments	Approved by Full Council alongside the budget on 24/02/21
✓	Monitoring impact of the business rates retention and the localised council tax support system	Waiting	Duncan Ellis	Performance	★
				Comments	
✓	Policy Work	Completed	Steve Blatch	Performance	✓
				Comments	~
✓	Project Management Plans	Completed	Duncan Ellis	Performance	✓
				Comments	~
✓	Reporting - New legislation and consultation	Completed	Helen Thomas	Performance	✓
				Comments	~
✓	Timely agreement of the annual Localised Council Tax Support Scheme	Completed	Duncan Ellis	Performance	✓
				Comments	~
✓	Utilisation of the New Homes Bonus grant within the base budget for 2018/19 onwards	Completed	Duncan Ellis	Performance	✓
				Comments	~

SR 002 Operational

Responsibility	■ Strategic Leadership
Risk Description	<p>OPERATIONAL Related to operational exposures within its organisation, its counterparties, partners and commercial interests</p> <p>Risk - operational issues prevent or hinder the achievement of the Council's aims.</p> <p>Effect - the Council does not achieve it's operational or strategic aims.</p>
Risk Category	■ D Operational
Risk Response	Treat



Latest Update


		31/01/2021
SR 002 Operational : Status	Score	16.00
	Target	12.00
	Performance	▲
	Direction of change	→
	Comments	

SR 002 Operational

Associated Corporate Risks

		31/01/2021
CR 001 Deteriorating/ underused property assets : Status	Score	9.00
	Target	4.00
	Performance	●
	Direction of change	➔
	Comments	
CR 003 Digital Transformation Programme - Channel Shift : Status	Score	9.00
	Target	6.00
	Performance	●
	Direction of change	➔
	Comments	
CR 008 Loss of Information : Status	Score	12.00
	Target	2.00
	Performance	●
	Direction of change	➔
	Comments	
CR 009 Poor Procurement : Status	Score	6.00
	Target	6.00
	Performance	★
	Direction of change	➔
	Comments	A number of recent audits have made recommendations in respect of improvements to the Council's procurement processes and these are in the process of being implemented.
CR 013 Emergency event : Status	Score	20.00
	Target	6.00
	Performance	▲
	Direction of change	➔
	Comments	
CR 024 People Resources : Status	Score	9.00
	Target	9.00
	Performance	●
	Direction of change	➔
	Comments	
CR 025 Contract failure : Status	Score	15.00
	Target	4.00
	Performance	▲
	Direction of change	➔
	Comments	

Mitigating Actions

	Stage	Responsible	Dec 20
 Adequate budget	Completed	Duncan Ellis	★

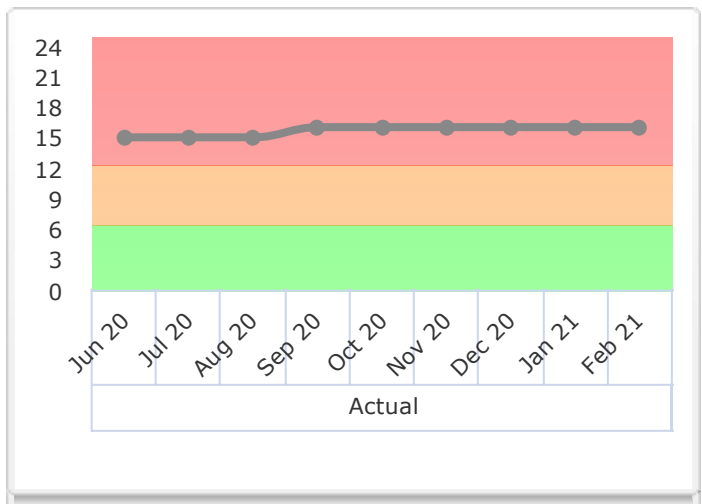
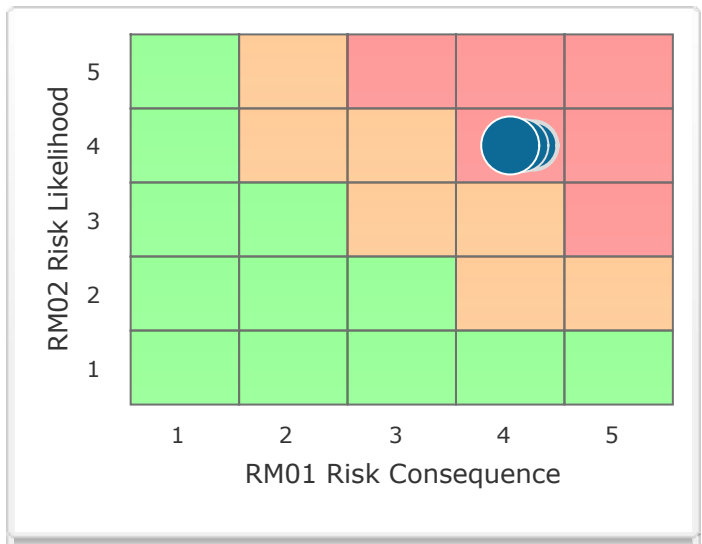
Stage		Responsible		Dec 20	
<input checked="" type="checkbox"/>	provision both from revenue and capital to support R&M works and capital investment			Comments	Major Repairs Reserve established as part of the 2021/22 budget setting process to support asset maintenance.
<input checked="" type="checkbox"/>	Adequate staff or appropriately qualified external contractor support	Completed	Duncan Ellis	Performance	✔
				Comments	~
<input checked="" type="checkbox"/>	Asset Condition Surveys	Completed	Duncan Ellis	Performance	✔
				Comments	~
<input checked="" type="checkbox"/>	Business cases for commercialisation of assets to deliver future income and efficiencies	Completed	Duncan Ellis	Performance	✔
				Comments	~
<input checked="" type="checkbox"/>	Compliance policies in place and up to date	Completed	Duncan Ellis	Performance	✔
				Comments	~
<input checked="" type="checkbox"/>	Compliance works undertaken in a timely fashion	Completed	Duncan Ellis	Performance	✔
				Comments	~
<input checked="" type="checkbox"/>	Procure a Strategic Development Partner	Completed	Duncan Ellis	Performance	✔
				Comments	~
<input checked="" type="checkbox"/>	Production and approval of the Asset Management Plan	Completed	Renata Garfoot	Performance	★
				Comments	Updated Asset Management Plan to be approved during 2021.
<input checked="" type="checkbox"/>	3.1.2 Review and refine our Customer Strategy	In Progress	David Williams	Performance	★
				Comments	Following a meeting with the Portfolio Holder and Assistant Director for Business support it has been agreed to review the current customer services strategy taking account of best practice examples and produce a draft new strategy for internal consultation. It is planned for the draft to be ready by the end of February with a view to adopt the strategy by the end of Summer 2021. Therefore the due date needs to be amended from 31/12/2020 to 31/08/2021.
<input checked="" type="checkbox"/>	Communications plan around the programme to ensure buy-in	Completed	Nick Baker	Performance	✔
				Comments	~
<input checked="" type="checkbox"/>	Develop and Implement a Communications Strategy	In Progress	Joe Ferrari	Performance	★
				Comments	
<input checked="" type="checkbox"/>	Digital Transformation progress reports provided to Cabinet & O&S	Completed	Sean Kelly	Performance	✔
				Comments	~
<input checked="" type="checkbox"/>	IT Strategy	In Progress	Sean Kelly	Performance	★
				Comments	The revision of the IT strategy is currently on hold to ensure that the learning outcomes and differences in the business requirements arising from the Covid-19 pandemic can be incorporated.
<input checked="" type="checkbox"/>	Maintain technical competence	Completed	Sally Morgan	Performance	✔
				Comments	~
<input checked="" type="checkbox"/>	Market Pay Review report	Completed	James Claxton	Performance	★
				Comments	
<input checked="" type="checkbox"/>	PSN Code of Connection compliance	Completed	Sean Kelly	Performance	✔
				Comments	~

	Stage	Responsible		Dec 20
☑ Review and update of Web Strategy	Cancelled	Sean Kelly	Performance	★
			Comments	
☑ Review of recruitment practices	Completed	Phillip Rowson	Performance	✔
			Comments	~
🏠 Review Pay Policy	Completed	Sally Morgan	Performance	✔
			Comments	~
☑ Review relocation policy	Completed	James Claxton	Performance	✔
			Comments	~
☑ Certified Security Professional Training	Completed	Kate Wilson	Performance	✔
			Comments	~
🏠 Data Protection training	Completed	Emma Duncan	Performance	✔
			Comments	~
☑ GDPR compliance framework	Completed	Cara Jordan	Performance	★
			Comments	<p>Delivery of GDPR compliance framework.</p> <p>Included training of members of staff and ensuring IAO training and completion of Article 30 spreadsheets.</p> <p>GDPR compliance is part of everyday work for all departments of council - business as usual and project closed.</p>
☑ Implement data security protocols	Completed	Sean Kelly	Performance	✔
			Comments	~
☑ Information Risk Policy and Role Description	Completed	Sean Kelly	Performance	✔
			Comments	~
🏠 IT Monitoring	Completed	Sean Kelly	Performance	✔
			Comments	~
🏠 IT Security Policies	Completed	Sean Kelly	Performance	★
			Comments	The IT Security Policy is reviewed and updated as necessary at least annually or if there is a significant change in the IT infrastructure.
☑ Regular 3rd party data protection and integrity testing	Completed	Sean Kelly	Performance	✔
			Comments	~
☑ Regular audits of IT security arrangements	Completed	Sean Kelly	Performance	✔
			Comments	~
☑ Advice for external suppliers	Completed	Duncan Ellis	Performance	✔
			Comments	~
☑ Joint procurement protocol and opportunities for joint/shared procurement with other authorities	Completed	Duncan Ellis	Performance	✔
			Comments	~
☑ Procurement Framework	Completed	Duncan Ellis	Performance	✔
			Comments	~
☑ Procurement responsibility assigned	Completed	Duncan Ellis	Performance	✔
			Comments	~
🏠 Procurement Strategy	Completed	Duncan Ellis	Performance	✔
			Comments	~
🏠 Budget Process /	Completed	Duncan Ellis	Performance	✔

		Stage	Responsible	Dec 20	
<input checked="" type="checkbox"/>	Budget Monitoring			Performance	~
				Comments	
<input checked="" type="checkbox"/>	Business Continuity Planning	Completed	Alison Sayer	Performance	✓
				Comments	~
<input checked="" type="checkbox"/>	Complete critical services' Business Continuity Plans (BCP)	Completed	Alison Sayer	Performance	✓
				Comments	~
<input checked="" type="checkbox"/>	Consideration of COVID-19 implications	In Progress	Alison Sayer	Performance	★
				Comments	
<input checked="" type="checkbox"/>	Corporate Business Continuity key role training	Completed	Alison Sayer	Performance	✓
				Comments	~
<input checked="" type="checkbox"/>	Corporate Planning / Service Planning	Completed	Helen Thomas	Performance	✓
				Comments	~
<input checked="" type="checkbox"/>	Corporate Policies and Procedures	Completed	Alison Sayer	Performance	✓
				Comments	~
<input checked="" type="checkbox"/>	Create and issue adverse weather guidance	Completed	Alison Sayer	Performance	✓
				Comments	~
<input checked="" type="checkbox"/>	Emergency Response & Recovery Planning	Completed	Alison Sayer	Performance	✓
				Comments	~
<input checked="" type="checkbox"/>	Employment Policies	Completed	James Claxton	Performance	✓
				Comments	~
<input checked="" type="checkbox"/>	ER1 Review Emergency Response Plan	Deferred	Alison Sayer	Performance	●
				Comments	
<input checked="" type="checkbox"/>	Refresh the project management framework	In Progress	Kate Rawlings	Performance	⏪
				Comments	~
<input checked="" type="checkbox"/>	Appraisal process	Completed	James Claxton	Performance	✓
				Comments	~
<input checked="" type="checkbox"/>	Apprenticeship programme	Completed	Janella Hadlow	Performance	✓
				Comments	~
<input checked="" type="checkbox"/>	Develop 'People Strategy'	In Progress	James Claxton	Performance	●
				Comments	Work on PS is moving forwards. Meeting has occurred this month with SFG for their input and collaboration. Have moved the completion date forwards due to COVID, and management restructure.
<input checked="" type="checkbox"/>	Employee Referral Scheme	Completed	Sally Morgan	Performance	✓
				Comments	~
<input checked="" type="checkbox"/>	Procurement Officer post established	Completed	Duncan Ellis	Performance	✓
				Comments	~

SR 003 Macroeconomic

Responsibility	■ Strategic Leadership
Risk Description	<p>Related to the growth or decline of the local economy, interest rates, inflation and to a lesser degree, the wider national and global economy amongst others.</p> <p>Risk - national/global recession resulting in business failure and unemployment</p> <p>Effect - increased requirement for benefits, housing, council tax support, business advice and support</p>
Risk Category	■ B Macroeconomic
Risk Response	Treat



Latest Update

		31/01/2021
SR 003 Macroeconomic : Status	Score	16.00
	Target	12.00
	Performance	▲
	Direction of change	→
	Comments	

Associated Corporate Risks

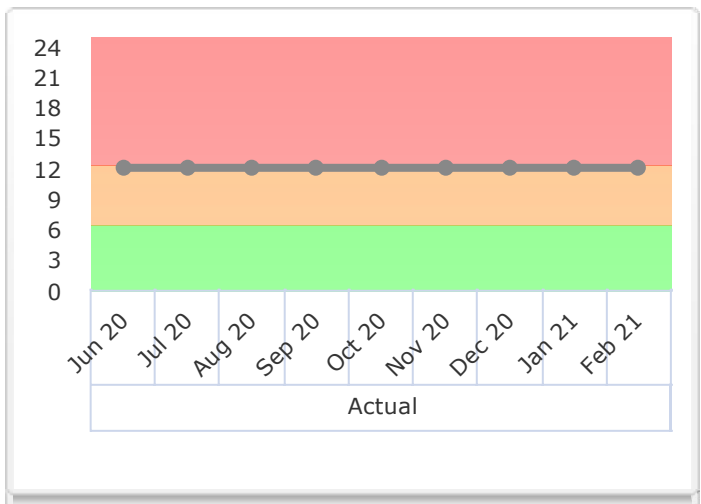
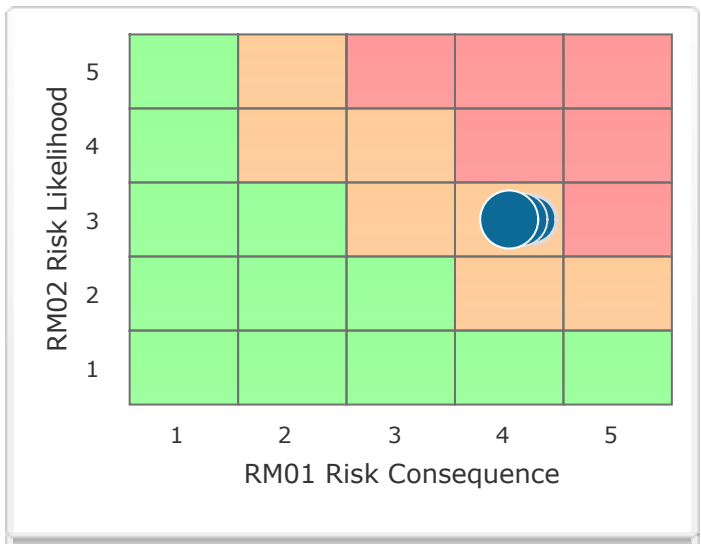
		31/01/2021
CR 026 Impact of recession on the North Norfolk economy : Status	Score	20.00
	Target	4.00
	Performance	▲
	Direction of change	→
	Comments	

Mitigating Actions

	Stage	Responsible		Dec 20
<input checked="" type="checkbox"/> 2.2.1 Economic Growth Strategy (2020 - 2023)	Waiting	Stuart Quick	Performance	●
			Comments	Delayed due to Covid-19 pandemic. This will be reviewed by March 2021. The strategy will need to reflect the likely post-pandemic climate and support the restart and rebuild of the local economy. Therefore I recommend that the due date is amended from 30 September 2020 to 31 March 2021.
<input checked="" type="checkbox"/> Business Survey	Completed	Stuart Quick	Performance	✓
			Comments	~
<input checked="" type="checkbox"/> Corporate Planning / Service Planning	Completed	Helen Thomas	Performance	✓
			Comments	~
<input checked="" type="checkbox"/> Fund Management advice from Arlingclose	Completed	Lucy Hume	Performance	✓
			Comments	~
<input checked="" type="checkbox"/> HS 003 - Monitor the need for temporary accommodation and ensure suitable provision	In Progress	Graham Connolly	Performance	●
			Comments	
<input checked="" type="checkbox"/> Medium Term Financial Strategy	In Progress	Duncan Ellis	Performance	★
			Comments	Approved by Full Council alongside the budget on 24/02/21
<input checked="" type="checkbox"/> Operation of the Council Tax Hardship Fund	In Progress	Trudi Grant	Performance	★
			Comments	
<input checked="" type="checkbox"/> Treasury Management Strategy	Completed	Lucy Hume	Performance	✓
			Comments	~

SR 004 Strategic

Responsibility	■ Strategic Leadership
Risk Description	<p>STRATEGIC key initiatives undertaken by the Council such as significant purchases, new ventures, commercial interests and other areas of organisational change deemed necessary to help the Council meet its goals.</p> <p>Risk - Corporate Plan and Projects may not be delivered within agreed timescales or budget</p> <p>Effect - objectives not delivered, poor use of council financial resources</p>
Risk Category	■ E Strategic
Risk Response	Treat



Latest Update

31/01/2021		
SR 004 Strategic : Status	Score	12.00
	Target	9.00
	Performance	●
	Direction of change	➔
	Comments	

SR 004 Strategic

Associated Corporate Risks

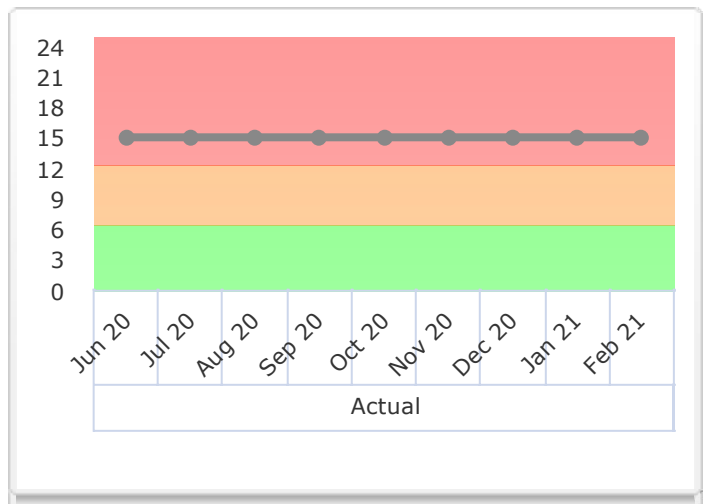
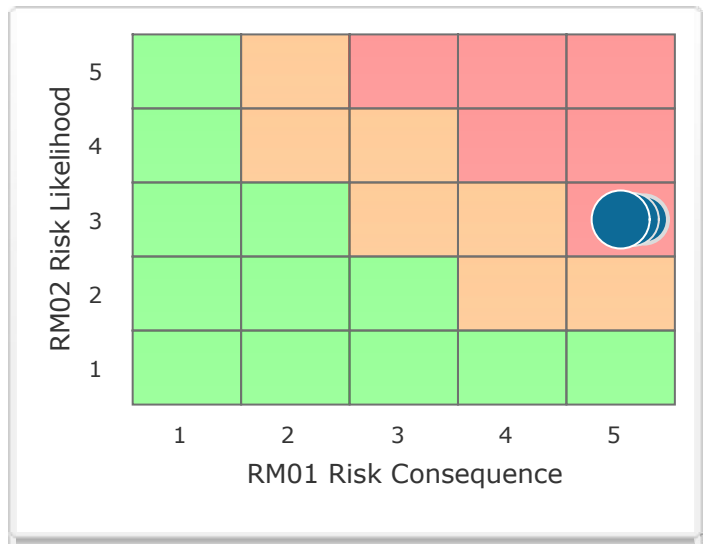
31/01/2021		
CR 027 Strategic financial and performance management : Status	Score	9.00
	Target	4.00
	Performance	●
	Direction of change	➔
	Comments	

Mitigating Actions

	Stage	Responsible		Dec 20
<input checked="" type="checkbox"/> Annual review of the Council's reserves	Completed	Duncan Ellis	Performance	✔
			Comments	~
<input checked="" type="checkbox"/> Budget Process / Budget Monitoring	Completed	Duncan Ellis	Performance	✔
			Comments	~
<input checked="" type="checkbox"/> Corporate Planning / Service Planning	Completed	Helen Thomas	Performance	✔
			Comments	~
<input type="checkbox"/> Emerging Local Plan	Not Started	Mark Ashwell	Performance	★
			Comments	
<input checked="" type="checkbox"/> Establish the financial impact of Covid-19	Not Started	Duncan Ellis	Performance	★
			Comments	~
<input checked="" type="checkbox"/> Medium Term Financial Strategy	In Progress	Duncan Ellis	Performance	★
			Comments	Approved by Full Council alongside the budget on 24/02/21
<input checked="" type="checkbox"/> Refresh the project management framework	In Progress	Kate Rawlings	Performance	⏪
			Comments	~
<input checked="" type="checkbox"/> Review Performance Framework for Extended Management Team	Not Started	Lucy Hume	Performance	▲
			Comments	
<input checked="" type="checkbox"/> Review Performance Framework for the Strategic Leadership Team	Cancelled	Lucy Hume	Performance	▲
			Comments	
<input checked="" type="checkbox"/> Review the Corporate Plan 2019-23 post Covid-19	Completed	Steve Blatch	Performance	✔
			Comments	

SR 005 Environmental and Social

Responsibility	■ Strategic Leadership
Risk Description	<p>ENVIRONMENTAL AND SOCIAL related to the environmental and social impact of the Council's strategy and interests</p> <p>Risk - Council fails to take into account changing environmental and social needs</p> <p>Effect - strategic objectives don't reflect environmental and social issues</p>
Risk Category	■ F Environmental & Social
Risk Response	Treat



Latest Update

		31/01/2021
SR 005 Environment & Social : Status	Score	15.00
	Target	12.00
	Performance	▲
	Direction of change	→
	Comments	

Associated Corporate Risks

		31/01/2021
CR 002 Climate Change : Status	Score	20.00
	Target	12.00
	Performance	▲
	Direction of change	➔
	Comments	
CR 010 Housing Delivery : Status	Score	12.00
	Target	4.00
	Performance	●
	Direction of change	➔
	Comments	

Mitigating Actions

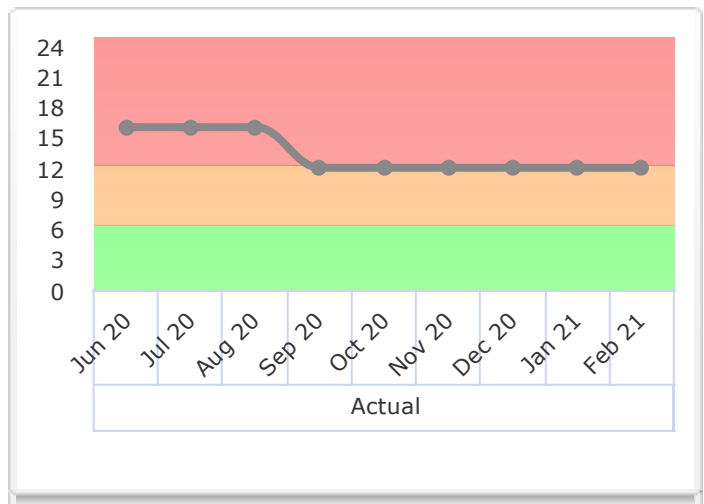
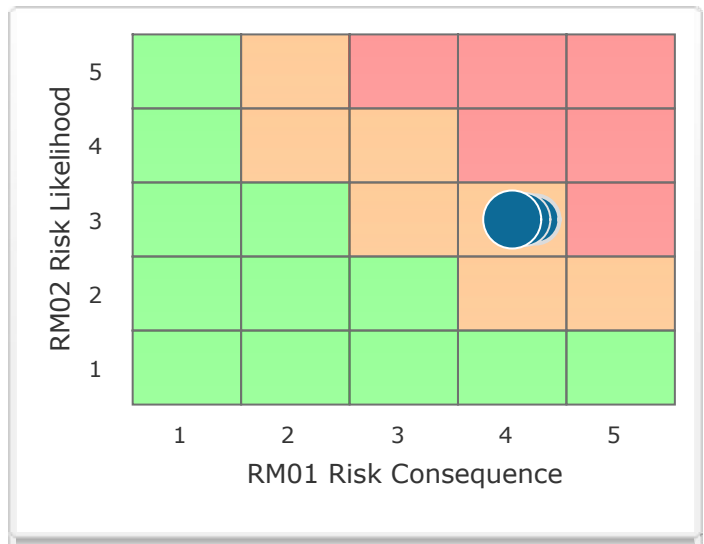
	Stage	Responsible		Dec 20
<input checked="" type="checkbox"/> 10 year capital programme	In Progress	Rob Goodliffe	Performance	★
			Comments	Coastal Partnership East Capital programme is developed and is updated regularly to reflect new opportunities and project progression. This information is used to update the Environment Agency National Flood and Coastal Risk Programme where Flood and Coastal Erosion Risk Management Grant in Aid is part of the funding package on a monthly basis and in this quarter a major annual refresh. Further update is to occur shortly to check programmes align and schemes are deliverable in timeframes.
<input checked="" type="checkbox"/> 4.3.1 Baseline carbon audit and carbon reduction action plan	In Progress	Robert Young	Performance	●
			Comments	The new Environmental Policy Officer who commenced employment with us in December 2020 has picked up this workstream and is in discussions with the Carbon Trust around updating their conclusions following which a detailed action plan will be delivered against which our progress can be measured.
<input checked="" type="checkbox"/> Bacton and Walcott coastal management scheme	Completed	Rob Goodliffe	Performance	✔
			Comments	~
<input checked="" type="checkbox"/> Climate change forum	In Progress	Robert Young	Performance	●
			Comments	A review of communication and engagement techniques on environmental and climate change matters is being led by the Environmental Policy Officer, this will include methodologies for digital engagement and the ways in which the Forum can be used as a means of engagement.

	Stage	Responsible		Dec 20
<input checked="" type="checkbox"/> CM 002 - Refurbish coastal defences at Mundesley	In Progress	Rob Goodliffe	Performance	
			Comments	Tender documents and contract developed under PSC NEC4 contract and will shortly be tendered under the CPE Dynamic Purchasing System. This will be completed alongside tender of Cromer Phase 2 to seek delivery efficiencies. The process has enabled the development of standard PSC NEC4 contract conditions and templates for future tender and contract development efficiencies. There remains risks on delivery timing relating to environmental factors and fitting with Anglian Water and Environment Agency capital programmes. The Environmental timing will be explored further to ensure funding is available at the time required.
<input type="checkbox"/> Coastal Monitoring	Completed	Rob Goodliffe	Performance	
			Comments	~
<input checked="" type="checkbox"/> Coastal Partnership East set up	Completed	Rob Goodliffe	Performance	
			Comments	~
<input checked="" type="checkbox"/> Control of coastal management schemes through procurement and regular checking	Completed	Rob Goodliffe	Performance	
			Comments	~
<input checked="" type="checkbox"/> Corporate Planning / Service Planning	Completed	Helen Thomas	Performance	
			Comments	~
<input checked="" type="checkbox"/> DEFRA funding of capital schemes	Completed	Rob Goodliffe	Performance	
			Comments	~
<input checked="" type="checkbox"/> Health & Safety checking and monitoring	Completed	Rob Goodliffe	Performance	
			Comments	~
<input type="checkbox"/> Procurement practices	Completed	Duncan Ellis	Performance	
			Comments	~
<input checked="" type="checkbox"/> Repairs & Maintenance Programme	Completed	Rob Goodliffe	Performance	
			Comments	~
<input checked="" type="checkbox"/> Shoreline Management Plan (SMP)	Completed	Rob Goodliffe	Performance	
			Comments	~
<input type="checkbox"/> The Pathfinder Project	Completed	Rob Goodliffe	Performance	
			Comments	~
<input checked="" type="checkbox"/> 1.2.1 Formulate a new Housing Strategy	In Progress	Graham Connolly	Performance	
			Comments	Workshops to engage stakeholders planned for February and March 2021.
<input checked="" type="checkbox"/> 1.3.1 Develop a business case for a housing company	Completed	Graham Connolly	Performance	
			Comments	Savills has updated their financial model to allow us to explore possible variations to the original 100 home model including: 1. The impact of the existing and growing stock of temporary accommodation owned by the Council. 2. The impact of purchasing VHT disposals. 3. The inclusion of some shared ownership homes. The next stage is to model the various options and to report on the outcomes

Stage		Responsible		Dec 20	
					and whether there is a viable business case for a housing company.
<input checked="" type="checkbox"/>	1.4.1 Developing and implementing a new Homelessness and Rough Sleepers Strategy and Action Plan	Completed	Lisa Grice	Performance	
				Comments	~
<input checked="" type="checkbox"/>	1.5.1 Investigate ways to support and assist affordable housing providers	In Progress	Graham Connolly	Performance	
				Comments	
<input checked="" type="checkbox"/>	6.3.1 Develop a business case for a housing company	Cancelled	Graham Connolly	Performance	
				Comments	~
<input checked="" type="checkbox"/>	Community Housing Fund	Completed	Graham Connolly	Performance	
				Comments	~
<input checked="" type="checkbox"/>	Enhance Housing Association delivery	In Progress	Graham Connolly	Performance	
				Comments	
<input checked="" type="checkbox"/>	Housing Strategy implementation	Completed	Robert Young	Performance	
				Comments	~
<input checked="" type="checkbox"/>	HS 003 - Monitor the need for temporary accommodation and ensure suitable provision	In Progress	Graham Connolly	Performance	
				Comments	
<input checked="" type="checkbox"/>	Increased Focus	Completed	Nicky Debbage	Performance	
				Comments	~
<input checked="" type="checkbox"/>	Internal planning protocol	Completed	Phillip Rowson	Performance	
				Comments	~
<input checked="" type="checkbox"/>	Local Development Framework (LDF) policies	Completed	Mark Ashwell	Performance	
				Comments	~
<input checked="" type="checkbox"/>	Local Investment Plan	Completed	Nicky Debbage	Performance	
				Comments	~
<input checked="" type="checkbox"/>	Monitor Brexit and its potential impact on the ability to deliver and acquire homes as a home owner	In Progress	Duncan Ellis	Performance	
				Comments	
<input checked="" type="checkbox"/>	Partnership work with Registered Providers	Completed	Graham Connolly	Performance	
				Comments	~
<input checked="" type="checkbox"/>	To produce a Service Level Agreement with Registered Providers	In Progress	Lisa Grice	Performance	~
				Comments	~
<input checked="" type="checkbox"/>	Use of capital	Completed	Nicky Debbage	Performance	
				Comments	~

SR 006 Governance

Responsibility	■ Strategic Leadership
Risk Description	<p>GOVERNANCE related to ensuring that prudence and careful consideration sit at the heart of the Council's decision-making, augmented by quality independent advice and appropriate checks and balances that balance oversight and efficiency. Risk - Council acts outside established procedures or unlawfully</p> <p>Effect - risk of litigation/reputational risk to Council/poor decision making</p>
Risk Category	■ G Governance
Risk Response	Treat



Latest Update

31/01/2021		
SR 006 Governance : Status	Score	12.00
	Target	9.00
	Performance	●
	Direction of change	➔
	Comments	

 Associated Corporate Risks

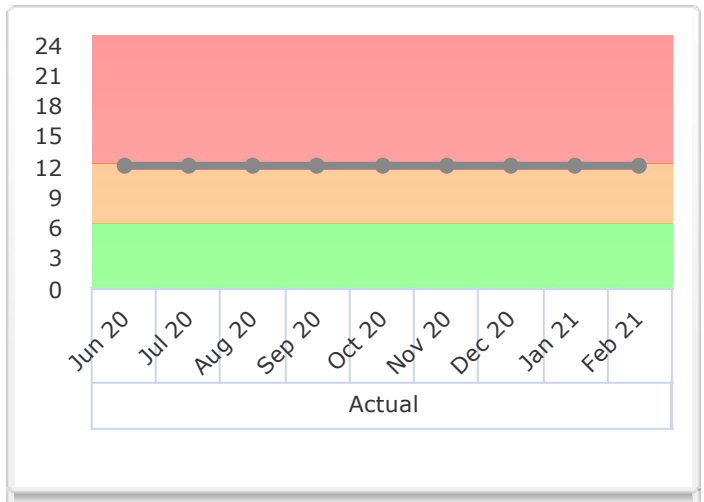
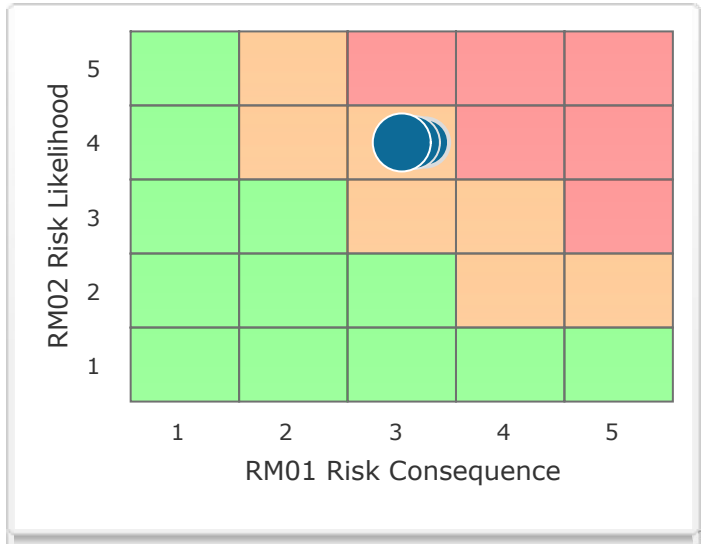
		31/01/2021
CR 028 Governance failures : Status	Score	6.00
	Target	4.00
	Performance	★
	Direction of change	➔
	Comments	

 Mitigating Actions

		Stage	Responsible	Dec 20	
☑	Annual Assurance Statements	Completed	Duncan Ellis	Performance	✔
				Comments	~
📁	Annual Audit Report	Completed	Lucy Hume	Performance	★
				Comments	
☑	Annual Governance Statement supported by assurance framework	In Progress	Duncan Ellis	Performance	⏪
				Comments	~
📁	Audit programme	Completed	Lucy Hume	Performance	✔
				Comments	~
☑	Clear robust corporate governance framework	In Progress	Renata Garfoot	Performance	★
				Comments	
☑	Committee report templates	Completed	Emma Denny	Performance	✔
				Comments	~
☑	Constitution/Standing Orders/Scheme of Delegations	Completed	Emma Duncan	Performance	✔
				Comments	~
☑	Corporate Planning / Service Planning	Completed	Helen Thomas	Performance	✔
				Comments	~
☑	Head of Internal Audit assurance	Completed	Duncan Ellis	Performance	✔
				Comments	~
☑	Member/ Officer Protocol	Not Started	Emma Denny	Performance	★
				Comments	~
☑	Monitoring Officer actions to ensure governance risk is minimised	Completed	Emma Duncan	Performance	✔
				Comments	~
☑	Monitoring Officer Report	Completed	Emma Duncan	Performance	✔
				Comments	~
☑	Operation of Constitutoon Working Party	Completed	Emma Denny	Performance	✔
				Comments	~
☑	Operation of Overview and Scrutiny Committee	Completed	Emma Denny	Performance	✔
				Comments	~
☑	Operation of Standards Committee	Completed	Emma Denny	Performance	✔
				Comments	~
☑	Section 151 Officer actions to ensure governance risk is minimised	Completed	Duncan Ellis	Performance	✔
				Comments	~

SR 007 Reputation

Responsibility	■ Strategic Leadership
Risk Description	REPUTATION Related to the Council's dealings and interests, and the impact of adverse outcomes on the Council's reputation and public perception. Risk - Council's reputation is adversely affected Effect- reduced public confidence
Risk Category	■ H Reputational
Risk Response	Treat



Latest Update

31/01/2021		
SR 007 Reputation : Status	Score	12.00
	Target	8.00
	Performance	●
	Direction of change	➔
	Comments	

Associated Corporate Risks

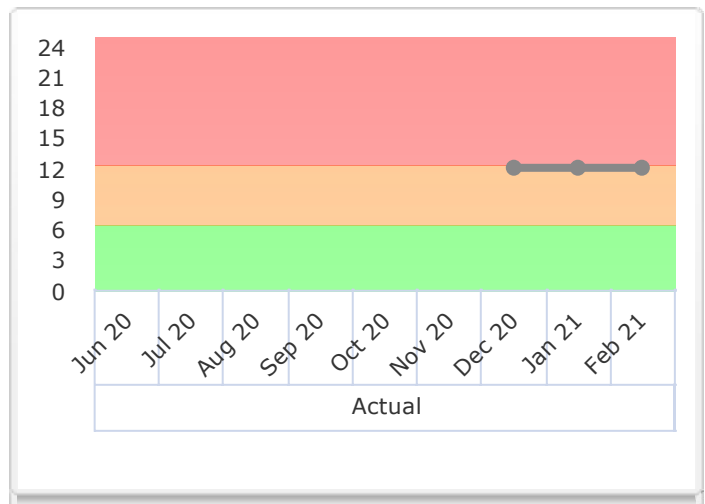
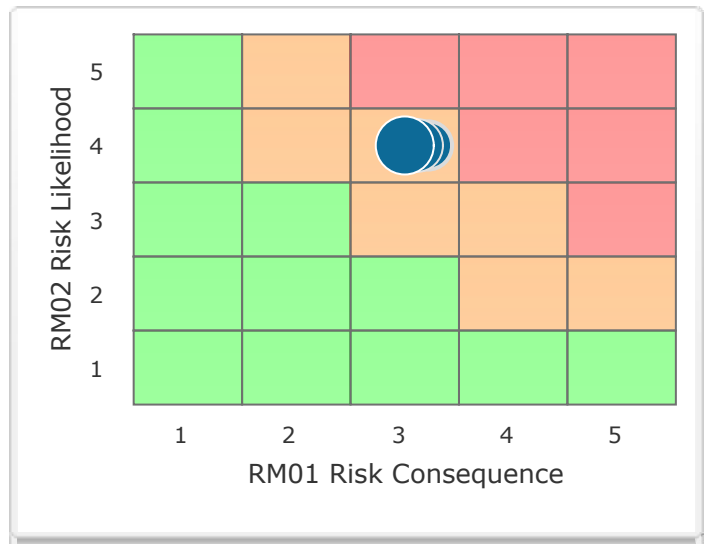
		31/01/2021
CR 029 Poor reputation of the Council in the Community : Status	Score	6.00
	Target	4.00
	Performance	★
	Direction of change	➔
	Comments	

Mitigating Actions

	Stage	Responsible		Dec 20
<input checked="" type="checkbox"/> 3.1.2 Review and refine our Customer Strategy	In Progress	David Williams	Performance	★
			Comments	Following a meeting with the Portfolio Holder and Assistant Director for Business support it has been agreed to review the current customer services strategy taking account of best practice examples and produce a draft new strategy for internal consultation. It is planned for the draft to be ready by the end of February with a view to adopt the strategy by the end of Summer 2021. Therefore the due date needs to be amended from 31/12/2020 to 31/08/2021.
<input checked="" type="checkbox"/> Clear robust corporate governance framework	In Progress	Renata Garfoot	Performance	★
			Comments	
<input checked="" type="checkbox"/> Develop and Implement a Communications Strategy	In Progress	Joe Ferrari	Performance	★
			Comments	
<input checked="" type="checkbox"/> Review and update of Web Strategy	Cancelled	Sean Kelly	Performance	★
			Comments	

SR 008 Corporate project related risks

Responsibility	■ Strategic Leadership
Risk Description	CORPORATE PROJECT RELATED RISKS Related to individual corporate project risks
Risk Category	■ I Projects
Risk Response	Treat



Latest Update

		31/01/2021
SR 008 Corporate project related risks : Status	Score	12.00
	Target	9.00
	Performance	●
	Direction of change	➔
	Comments	

SR 008 Corporate project related risks

Associated Corporate Risks

		31/01/2021
CR 030 Sheringham Leisure Centre : Status	Score	4.00
	Target	4.00
	Performance	★
	Direction of change	↓✓
	Comments	
CR 031 Cromer Tennis Hub : Status	Score	n/r
	Target	n/r
	Performance	◀
	Direction of change	▶
	Comments	n/r

Mitigating Actions

	Stage	Responsible		Dec 20
<input checked="" type="checkbox"/> Operation of Overview and Scrutiny Committee	Completed	Emma Denny	Performance	✓
			Comments	~
<input checked="" type="checkbox"/> Project management & reporting procedures - Sheringham Leisure Centre	Completed	Robert Young	Performance	✓
			Comments	~