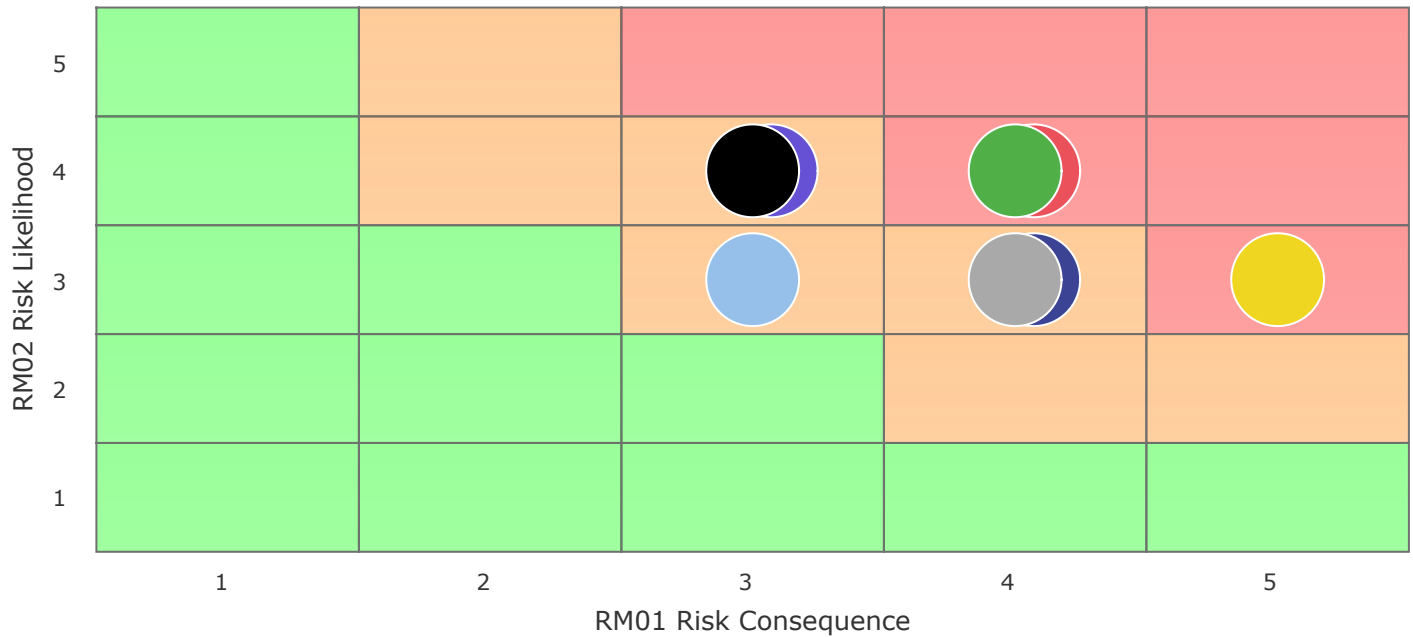


# Corporate Risk Register



## 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 both the Corporate Leadership Team (CLT) and Management Team (MT) agendas and is reported every quarter. It is also updated and considered for every Governance, Risk and Audit Committee (GRAC) meeting.

The new InPhase performance management system is fully operational and is now being used for performance and risk reporting. The system helps 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 represents a step change improvement in relation to the management of risk at the Council and will mean project leads/service managers can update the system direct, making the risk registers more agile, with the information being available 'live' as soon as the update is made. This is significant improvement compared to the previous spreadsheet based system.

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 (MTFS). 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 (under development) in the future and how and where the Council will deliver increased income.

### **Issues to note**

Since the committee last considered the register the various risks have been reviewed and updated by service managers, Management Team and the Corporate Leadership Team. The following should be noted;

*Procurement (CR009)* - Due to the combined impact of the ongoing Covid pandemic, Brexit and a number of global forest fires, the construction industry is experiencing significant price increases (in the region of 20%) in relation to materials. The Council will need to continue to monitor this position and take

this into account when putting together any budget estimates for repair and construction works over the coming months.

This is similarly impacting on supply chains for areas of work such as Disabled Facilities Grants (DFGs), where there is pressure on the available numbers of contractors to undertake works and also the supply, cost and availability of materials.

The Council's waste contractor Serco is being similarly impacted as there is a national shortage of drivers to complete the rounds, but it is also having a wider impact on the service through suppliers not being able to deliver goods (bins) as quickly as normal.

The Covid19 pandemic has also heightened the risk of business failure and companies going into liquidation.

*Operational (SR002)* - Operational capacity continues to be a challenge, with additional workloads brought about by Covid for a number of teams across the Council, the majority of which has been managed without additional resourcing. The Corporate Leadership Team are continuing to monitor the position and supporting with temporary additional resource where possible to try and ensure the Council can continue to provide first class services.

It should however be recognised that a significant amount of resource is required to cover and operate 'business as usual' activities, which means that the capacity to deliver new projects, service improvements and efficiencies is more limited, so more focus on prioritisation on key corporate objectives and 'doing less better' will be key over the short to medium term in terms of delivery. The focus, performance management framework and sifting/prioritisation of projects through the Corporate Delivery Unit (CDU) will further support with this.

*Strategic (SR004)* - Linked to SR02 above (operational) the Council's ability to deliver its strategic objectives is very much reliant on the capacity available over and above what is required to continue to undertake the 'business as usual' work. Recovery from Covid continues to bring challenges in terms of managing an increased workload across a number of service areas corporately and prioritisation will be key over the coming months to help ensure continued focus around delivery.

## **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 set 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.

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 COVID19 pandemic. This will undoubtedly involve looking to 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 September 2021 and will be presented to the next meeting of GRAC scheduled for 7 December 2021.

## Risk scoring key

### Corporate Risks

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

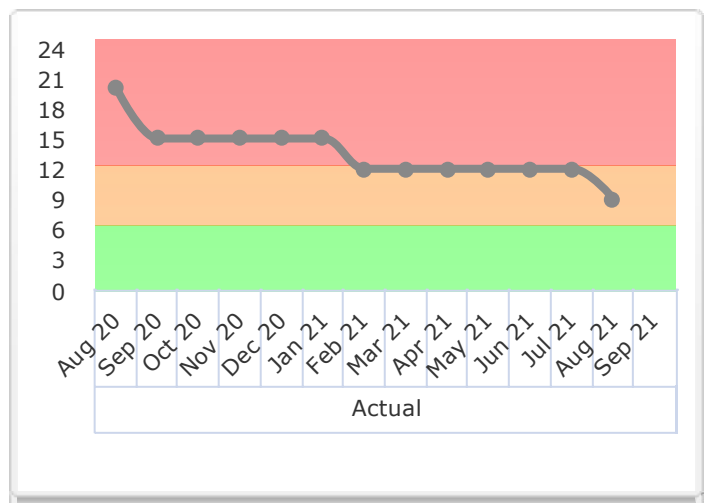
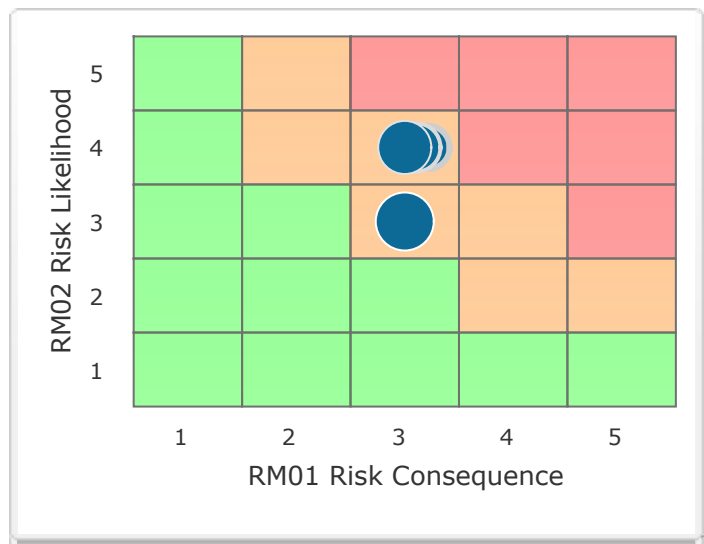
Impact Type	<b>Catastrophic 5</b>	<b>Critical 4</b>	<b>Moderate 3</b>	<b>Marginal 2</b>	<b>Negligible 1</b>
<b>Objectives</b>	The key objectives in the Corporate Plan will not be achieved.	One or more Key Objectives in the Corporate Plan will not be achieved.	Significant impact on the success of the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

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



Latest Update

31/08/2021		
SR 001 Financial (including credit & counterparty) : Status	Score	9.00
	Target	4.00
	Performance	
	Direction of change	
	Comments	The impacts of Brexit and COVID have not had such a bad impact on our investments as originally anticipated. In terms of the Covid pandemic some of the direct support received from central government through the various funding programmes has helped to offset and mitigate against some of the additional expenditure incurred and income lost, from areas such as car parking for example during lockdown. The significant amounts received in advance for programmes such as the local business grant support has also had a significant and beneficial impact on the Council's cash flow position over the last year. This has meant that, while the Council was anticipating having to borrow externally to support the capital programme for schemes such as The Reef leisure pool complex and the new waste vehicles, this was not actually required so the borrowing costs have been saved. The Council's pooled fund investments continue to perform well despite the challenging global position.

31/08/2021		
SR 001 Financial (including credit & counterparty) : RM01 Risk Consequence	Score	3
	Target	2
	Direction of change	
SR 001 Financial (including credit & counterparty) : RM02 Risk Likelihood	Score	3
	Target	2
	Direction of change	

## SR 001 Financial (including credit & counterparty)

### Associated Corporate Risks

31/08/2021		
CR 015 Medium Term Financial Plan : Status	Score	16.00
	Target	12.00
	Performance	▲
	Direction of change	➔
	Comments	It is likely that the Fair Funding Review and Review of the Business Rates Retention Scheme will now take place in April 2023 but we are awaiting confirmation. This is 12 months after our current forecasts suggest.

### Control, Contingency & Mitigating Actions

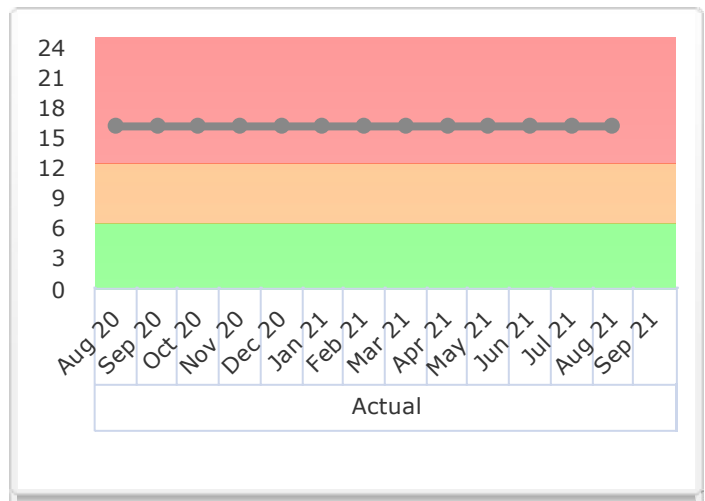
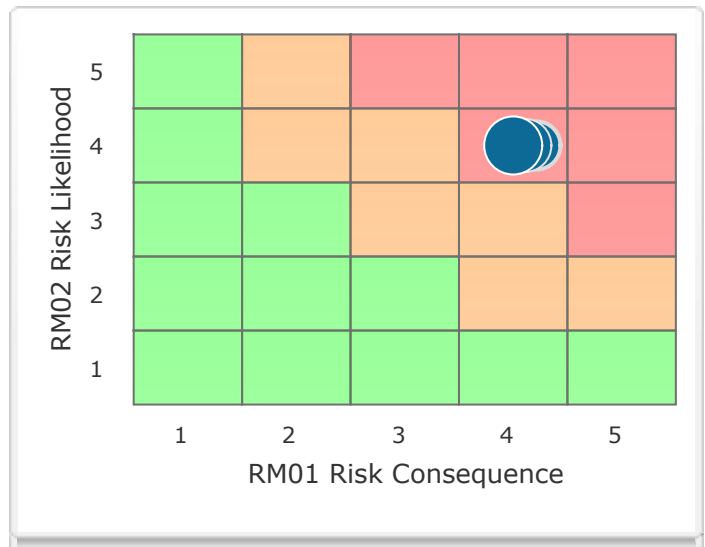
Implemented		
	Responsible	Jun 21
<input checked="" type="checkbox"/> Annual review of the Council's reserves	Duncan Ellis	✓
<input checked="" type="checkbox"/> Balanced budget agreed	Duncan Ellis	✓
<input checked="" type="checkbox"/> Budget Process / Budget Monitoring	Lucy Hume	✓
<input checked="" type="checkbox"/> Business cases for commercialisation of assets to deliver future income and efficiencies	Duncan Ellis	✓
<input checked="" type="checkbox"/> Corporate Planning / Service Planning	Helen Thomas	✓
<input checked="" type="checkbox"/> Growth forecasting models	Duncan Ellis	✓
<input checked="" type="checkbox"/> Lobbying Central Government	Steve Blatch	✓
<input checked="" type="checkbox"/> Policy Work	Steve Blatch	✓
<input checked="" type="checkbox"/> Project Management Plans	Duncan Ellis	✓
<input checked="" type="checkbox"/> Reporting - New legislation and consultation	Helen Thomas	✓
<input checked="" type="checkbox"/> Timely agreement of the annual Localised Council Tax Support Scheme	Duncan Ellis	✓
<input checked="" type="checkbox"/> Utilisation of the New Homes Bonus grant within the base budget for 2018/19 onwards	Duncan Ellis	✓

Outstanding				
	Stage	Responsible		Jun 21
<input checked="" type="checkbox"/> Medium Term Financial Strategy	In Progress	Duncan Ellis	Performance	★
			Comments	The Medium Term Financial Strategy for the future financial years will be approved as part of the budget setting process for the 2022/23 budget in February 2022.
<input checked="" type="checkbox"/> Monitoring impact of the business rates retention and the localised council tax support system	Blocked	Duncan Ellis	Performance	●
			Comments	The future of the Business Rates Retention Scheme and Fair Funding Review is still uncertain. Central Government have yet to release the next stage of consultation documents relating to these, which adds significantly to the uncertainty surrounding the future funding of Local Government and is a risk to our Medium Term Financial Plan.



## 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

		31/08/2021
SR 002 Operational : Status	Score	16.00
	Target	4.00
	Performance	▲
	Direction of change	➡
	Comments	Operational capacity continues to be a challenge, with additional workloads brought about by Covid for a number of teams across the Council, the majority of which has been managed without additional resourcing. The Corporate Leadership Team are continuing to monitor the position and supporting with temporary additional resource where possible to try and ensure the Council can continue to provide first class services. It should however be recognised that a significant amount of resource is required to cover and operate 'business as usual' activities, which means that the capacity to deliver new projects, service improvements and efficiencies is more limited so more focus on prioritisation on key corporate objectives and 'doing less better' will be key over the short to medium term in terms of delivery. The focus, performance management framework and sifting/prioritisation of projects through the Corporate Delivery Unit (CDU) will further support with this.

		31/08/2021
SR 002 Operational : RM01 Risk Consequence	Score	4
	Target	2
	Direction of change	➡
SR 002 Operational : RM02 Risk Likelihood	Score	4
	Target	2
	Direction of change	➡



## Associated Corporate Risks

31/08/2021		
CR 001 Deteriorating/ underused property assets : Status	Score	9.00
	Target	4.00
	Performance	●
	Direction of change	➔
	Comments	A new Major Repairs Reserve has been established as part of the 2021/22 budget process to help ensure that the Council can maintain its asset base so it continues to be operationally effective.
CR 003 Digital Customer Service Improvement failure : Status	Score	4.00
	Target	4.00
	Performance	★
	Direction of change	➔
	Comments	With the change from transformation to customer service improvement the focus has shifted away from a purely efficiency outcome and the current Digital Customer Service Programme is structured to deliver a number of discreet projects and workstreams which significantly reduces the likelihood and impact of risks being realised. risks within individual projects are still managed and mitigated wherever possible with the Project Management Framework.
CR 008 Loss of Information : Status	Score	9.00
	Target	2.00
	Performance	●
	Direction of change	➔
	Comments	Recent improvements to the infrastructure mean that data is now backed up in near-real-time to the Councils Disaster Recovery site. Consequently the risk of data loss has been reduced.
CR 009 Poor Procurement : Status	Score	6.00
	Target	4.00
	Performance	★
	Direction of change	➔
	Comments	<p>A number of the audit actions have now been implemented, particularly around transparency of procurement exemptions. Due to the combined impact of the ongoing Covid pandemic, Brexit and a number of global forest fires, the construction industry is experiencing significant price increases (in the region of 20%) in relation to materials. The Council will need to continue to monitor this position and take this into account when putting together any budget estimates for repair and construction works over the coming months.</p> <p>This is similarly impacting on supply chains for areas of work such as Disabled Facilities Grants (DFGs), where there is pressure on the available numbers of contractors to undertake works and also the supply, cost and availability of materials.</p> <p>The Council's waste contractor Serco is being similarly impacted as there is a national shortage of drivers to complete the rounds, but it is also having a wider impact on the service through suppliers not being able to deliver goods (bins) as quickly as normal.</p>

		31/08/2021
CR 013 Emergency event : Status	Score	6.00
	Target	4.00
	Performance	★
	Direction of change	↓✓
	Comments	Internal Gold and Silver have now been stood down based on the level of infection circulating in North Norfolk and to reflect the Norfolk Resilience Forum (NRF) status. Local recovery co-ordination group now sitting.
CR 024 People Resources : Status	Score	9.00
	Target	9.00
	Performance	●
	Direction of change	→
	Comments	The Council is beginning to see the effects of the UK-wide tightening of the labour market. Recent ONS statistics report record numbers of vacancies (920,000). For example the HR Team has been carrying two vacancies since spring 2021. The authority also has market intelligence from its recruitment activities associated with the recruitment of the Director of Place and Climate Change that supports these findings to show this is affecting recruitment in North Norfolk..
CR 025 Contract failure : Status	Score	15.00
	Target	4.00
	Performance	▲
	Direction of change	→
	Comments	Issues experienced in relation to contracts due the COVID-19 outbreak have been satisfactorily addressed/ mitigated. There does however remain a reasonable likelihood of general business failure due to the financial pressures contractor are inevitably under, which in some instances is worsened by the impact of Brexit as well. Contracts with the highest consequence are however well controlled and being managed in line with the contractual arrangements currently in place.



## Control, Contingency & Mitigating Actions

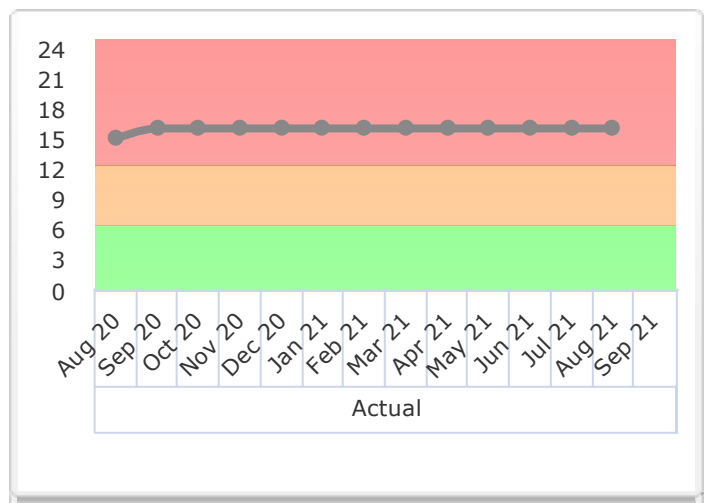
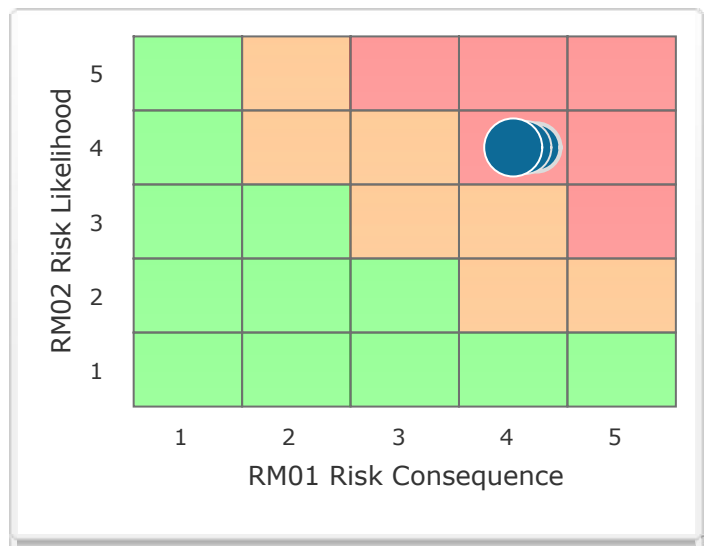
Implemented		
	Responsible	Jun 21
✓ Adequate budget provision both from revenue and capital to support R&M works and capital investment	Duncan Ellis	✓
✓ Adequate staff or appropriately qualified external contractor support	Duncan Ellis	✓
✓ Asset Condition Surveys	Duncan Ellis	✓
✓ Business cases for commercialisation of assets to deliver future income and efficiencies	Duncan Ellis	✓
✓ Compliance policies in place and up to date	Duncan Ellis	✓
✓ Compliance works undertaken in a timely fashion	Duncan Ellis	✓
✓ Procure a Strategic Development Partner	Duncan Ellis	✓
✓ Production and approval of the Asset Management Plan	Renata Garfoot	★
✓ Communications plan around the programme to ensure buy-in	Sean Kelly	✓
✓ Develop and Implement a Communications Strategy	Joe Ferrari	✓
✓ Digital Transformation progress reports provided to Cabinet & O&S	Sean Kelly	✓
✓ Maintain technical competence	James Claxton	✓

	Responsible	Jun 21
<input checked="" type="checkbox"/> Market Pay Review report	James Claxton	✓
<input checked="" type="checkbox"/> PSN Code of Connection compliance	Sean Kelly	✓
<input checked="" type="checkbox"/> Review of recruitment practices	Phillip Rowson	✓
<input checked="" type="checkbox"/> Review Pay Policy	James Claxton	✓
<input checked="" type="checkbox"/> Review relocation policy	James Claxton	✓
<input checked="" type="checkbox"/> Certified Security Professional Training	Kate Wilson	✓
<input checked="" type="checkbox"/> Data Protection training	Cara Jordan	✓
<input checked="" type="checkbox"/> GDPR compliance framework	Cara Jordan	✓
<input checked="" type="checkbox"/> Implement data security protocols	Sean Kelly	✓
<input checked="" type="checkbox"/> Information Risk Policy and Role Description	Sean Kelly	✓
<input checked="" type="checkbox"/> IT Monitoring	Sean Kelly	✓
<input checked="" type="checkbox"/> IT Security Policies	Sean Kelly	✓
<input checked="" type="checkbox"/> Regular 3rd party data protection and integrity testing	Sean Kelly	✓
<input checked="" type="checkbox"/> Regular audits of IT security arrangements	Sean Kelly	✓
<input checked="" type="checkbox"/> Advice for external suppliers	Duncan Ellis	✓
<input checked="" type="checkbox"/> Joint procurement protocol and opportunities for joint/shared procurement with other authorities	Duncan Ellis	✓
<input checked="" type="checkbox"/> Procurement Framework	Duncan Ellis	✓
<input checked="" type="checkbox"/> Procurement responsibility assigned	Duncan Ellis	✓
<input checked="" type="checkbox"/> Procurement Strategy	Duncan Ellis	✓
<input checked="" type="checkbox"/> Budget Process / Budget Monitoring	Lucy Hume	✓
<input checked="" type="checkbox"/> Business Continuity Planning	Alison Sayer	✓
<input checked="" type="checkbox"/> Complete critical services' Business Continuity Plans (BCP)	Alison Sayer	✓
<input checked="" type="checkbox"/> Consideration of COVID-19 implications	Alison Sayer	?
<input checked="" type="checkbox"/> Corporate Business Continuity key role training	Alison Sayer	✓
<input checked="" type="checkbox"/> Corporate Planning / Service Planning	Helen Thomas	✓
<input checked="" type="checkbox"/> Corporate Policies and Procedures	Alison Sayer	✓
<input checked="" type="checkbox"/> Create and issue adverse weather guidance	Alison Sayer	✓
<input checked="" type="checkbox"/> Emergency Response & Recovery Planning	Alison Sayer	✓
<input checked="" type="checkbox"/> Employment Policies	James Claxton	✓
<input checked="" type="checkbox"/> Refresh the project management framework	Kate Rawlings	✓
<input checked="" type="checkbox"/> Apprenticeship programme	James Claxton	✓
<input checked="" type="checkbox"/> Check-in process	James Claxton	✓
<input checked="" type="checkbox"/> Employee Referral Scheme	James Claxton	✓
<input checked="" type="checkbox"/> New Ways of Working - Policy Creation	James Claxton	✓
<input checked="" type="checkbox"/> Procurement Officer post established	Duncan Ellis	✓

Outstanding				
	Stage	Responsible		Jun 21
<input checked="" type="checkbox"/> 3.1.2 Review and refine our Customer Strategy	In Progress	Stuart Harber	Performance	★
			Comments	The draft of the Customer Services Strategy has been through pre-scrutiny. Feedback received has been built into amendments within the Strategy. Additionally, we are in the process of finalising the Equality Impact Analysis and confirming the measurable standards of Customer Charter. This will be considered at Cabinet in October.
<input checked="" type="checkbox"/> ICT Strategy	In Progress	Sean Kelly	Performance	★
			Comments	The Customer Service Strategy, which has the IT Strategy integrated within it, has been developed and will be ratified by the end of September 2021. This is being used to inform and develop existing projects and initiatives into a coherent customer service improvement programme.
<input checked="" type="checkbox"/> Review and update of Web Strategy	Cancelled	Sean Kelly	Performance	
			Comments	~
<input checked="" type="checkbox"/> ER1 Review Emergency Response Plan	Parked	Alison Sayer	Performance	●
			Comments	
<input checked="" type="checkbox"/> Develop 'People Strategy'	In Progress	James Claxton	Performance	●
			Comments	Capacity issues across the HR Team are preventing this from moving forwards with significant pace. A first draft has been produced which will begin its journey through the appropriate channels. Planning for this process should be complete by December 2021.

## SR 003 Macroeconomic

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



Latest Update

31/08/2021		
SR 003 Macroeconomic : Status	Score	16.00
	Target	4.00
	Performance	▲
	Direction of change	→
	Comments	The ongoing impact of Covid and the various restrictions continue to create a very challenging economic climate for local businesses. The area is currently benefitting from the increase in 'staycations' as a result of the ongoing restrictions around traveling abroad although this is focused more intensively around the coastal resorts. The various business rate grant schemes have now seen the delivery of in excess of £120m of support to a wide range of local businesses and whilst this support is very much welcomed and appreciated there are still significant impacts being felt by various business sectors.

		31/08/2021
SR 003 Macroeconomic : RM01 Risk Consequence	Score	4
	Target	2
	Direction of change	➡
SR 003 Macroeconomic : RM02 Risk Likelihood	Score	4
	Target	2
	Direction of change	➡



## Associated Corporate Risks

31/08/2021		
CR 026 Impact of recession on the North Norfolk economy : Status	Score	12.00
	Target	4.00
	Performance	●
	Direction of change	➔
	Comments	With furlough ending in September and summer seasonal employment reducing the risk of impacts on the local economy is more likely. This could be compounded by the lag in housing protections i.e. the moratorium on housing evictions. We are reengaging with local businesses to monitor any likely trends or anticipated impacts.

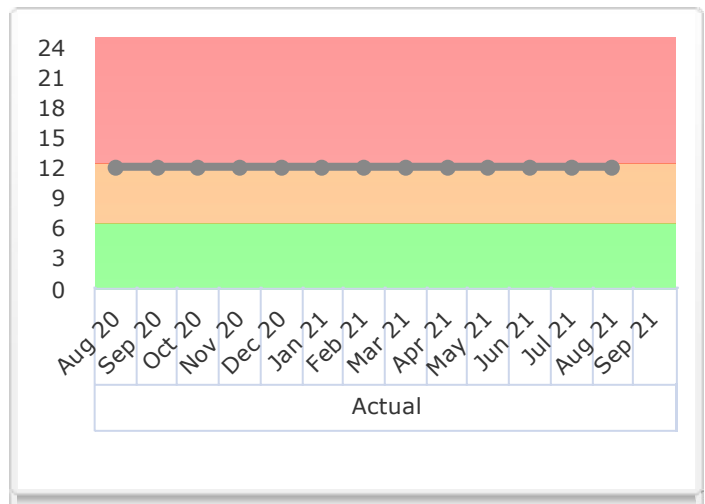
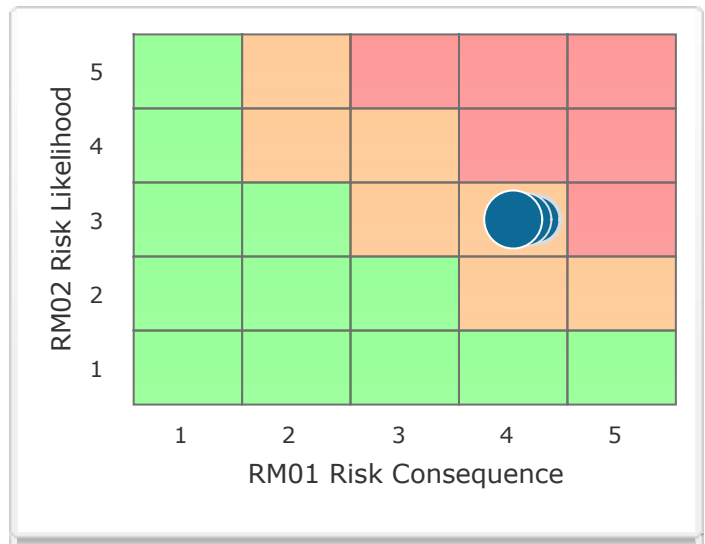
## Control, Contingency & Mitigating Actions

Implemented		
	Responsible	Jun 21
<input checked="" type="checkbox"/> Business Survey	Stuart Quick	✓
<input checked="" type="checkbox"/> Corporate Planning / Service Planning	Helen Thomas	✓
<input checked="" type="checkbox"/> Fund Management advice from Arlingclose	Lucy Hume	✓
<input checked="" type="checkbox"/> Operation of the Council Tax Hardship Fund	Trudi Grant	✓
<input checked="" type="checkbox"/> Treasury Management Strategy	Lucy Hume	✓

Outstanding				
	Stage	Responsible		Jun 21
<input checked="" type="checkbox"/> 2.2.1 Economic Growth Strategy (2020 - 2023)	In Progress	Stuart Quick	Performance	●
			Comments	Delayed due to Covid-19 pandemic. The strategy will need to reflect the likely post-pandemic climate and support the restart and rebuild of the local economy. Therefore it is considered that the position of the report is reviewed again in October 2021. The due date has therefore been amended to the end of March 2022.
<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	The Medium Term Financial Strategy for the future financial years will be approved as part of the budget setting process for the 2022/23 budget in February 2022.

## 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

31/08/2021		
SR 004 Strategic : Status	Score	12.00
	Target	4.00
	Performance	●
	Direction of change	➔
	Comments	Linked to SR02 above (operational) the Council's ability to deliver its strategic objectives is very much reliant on the capacity available over and above what is required to continue to undertake the 'business as usual' work. Recovery from Covid continues to bring challenges in terms of managing an increased workload across a number of service areas corporately and prioritisation will be key over the coming months to help ensure continued focus around delivery.

		31/08/2021
SR 004 Strategic : RM01 Risk Consequence	Score	4
	Target	2
	Direction of change	➡
SR 004 Strategic : RM02 Risk Likelihood	Score	3
	Target	2
	Direction of change	➡

## Associated Corporate Risks

31/08/2021		
CR 027 Strategic financial and performance management : Status	Score	9.00
	Target	4.00
	Performance	●
	Direction of change	➔
	Comments	

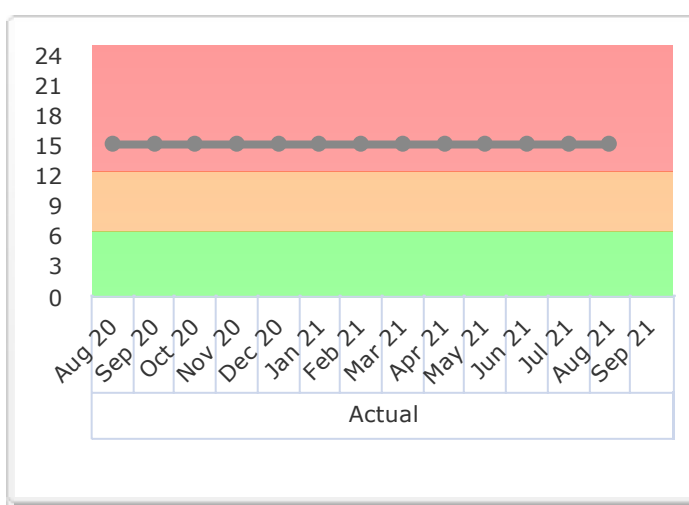
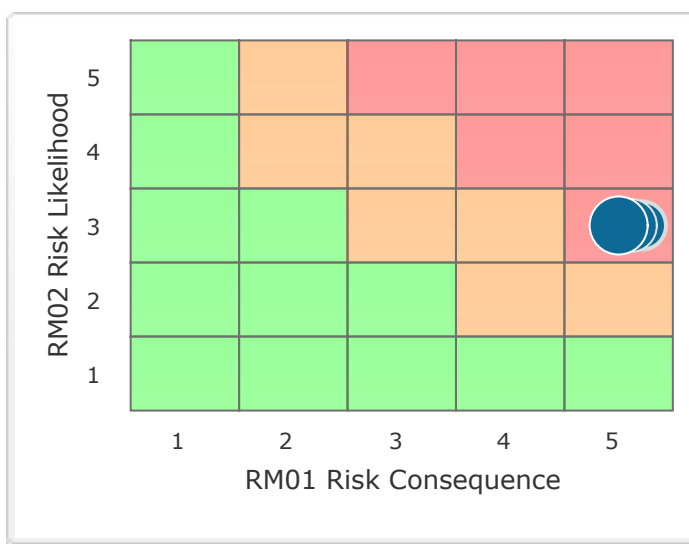
## Control, Contingency & Mitigating Actions

Implemented		
	Responsible	Jun 21
<input checked="" type="checkbox"/> Annual review of the Council's reserves	Duncan Ellis	✓
<input checked="" type="checkbox"/> Budget Process / Budget Monitoring	Lucy Hume	✓
<input checked="" type="checkbox"/> Corporate Planning / Service Planning	Helen Thomas	✓
<input checked="" type="checkbox"/> Establish the financial impact of Covid-19	Duncan Ellis	✓
<input checked="" type="checkbox"/> Refresh the project management framework	Kate Rawlings	✓
<input checked="" type="checkbox"/> Review the Corporate Plan 2019-23 post Covid-19	Steve Blatch	✓

Outstanding				
	Stage	Responsible		Jun 21
<input checked="" type="checkbox"/> Emerging Local Plan	In Progress	Mark Ashwell	Performance	★
			Comments	The Planning Policy and Built Heritage Working Party are close to finalising the Draft Plan with only decisions relating to site allocations in Cromer remaining to be made. Officers are producing the final version of the Plan which is then subject to further public consultation (Reg 19) followed by submission for Independent examination. Consultation arrangements will be agreed with the Working Party/Cabinet shortly.
<input checked="" type="checkbox"/> Medium Term Financial Strategy	In Progress	Duncan Ellis	Performance	★
			Comments	The Medium Term Financial Strategy for the future financial years will be approved as part of the budget setting process for the 2022/23 budget in February 2022.
<input checked="" type="checkbox"/> Review Performance Framework for Extended Management Team	Not Started	Lucy Hume	Performance	●
			Comments	This is a Capability Review action, which is currently on hold while CLT review the Capability Review Development Plan
<input checked="" type="checkbox"/> Review Performance Framework for the Strategic Leadership Team	Cancelled	Lucy Hume	Performance	?
			Comments	

## SR 005 Environmental and Social

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



### Latest Update

31/08/2021		
SR 005 Environment & Social : Status	Score	15.00
	Target	4.00
	Performance	▲
	Direction of change	➔
	Comments	The Council has a new Environmental Charter in place and is currently in the process of developing a Carbon Reduction Strategy and accompanying Action plan to help identify how we will meet our aspiration of achieving net-zero carbon emissions by 2030. The Procurement Strategy is also in the process of being updated and this will include a focus on driving both environmental benefits and improvements through our contracting arrangements but also provide a focus around added social value and community benefit and is due to be recommended for approval by the Governance, Risk and Audit Committee (GRAC) at their meeting on 28 September 2021.

		31/08/2021
SR 005 Environment & Social : RM01 Risk Consequence	Score	5
	Target	2
	Direction of change	➡
SR 005 Environment & Social : RM02 Risk Likelihood	Score	3
	Target	2
	Direction of change	➡

## Associated Corporate Risks

31/08/2021		
CR 002 Flooding, erosion and loss of assets and delivery of services : Status	Score	20.00
	Target	12.00
	Performance	▲
	Direction of change	➔
	Comments	Coastal and Climate risk remain high for North Norfolk and over time will increase based on climate change forecasts. NNDC has invested in coastal protection and management over a long period of time, however, with aging infrastructure, depleting beaches and sea level rise, coupled with government policy that is only beginning to recognise the challenges faced, the risk to North Norfolk coastal communities over future years is high. We have appointed on a temporary secondment a researcher from the University of East Anglia to investigate and collate information on coastal climate change knowledge and identify gaps. Ongoing work is required to understand the risks, develop the actions necessary to transition to a climate ready coast and to prepare communities and individuals to what will occur is essential. The CPE team are inputting into national projects such as DEFRA's historic erosion rates projects and also leading on LGA Action Plan for coastal Adaptation. The CPE Coastal Loss and Innovative Funding and Finance project is gathering momentum with support from DEFRA, LGA Coastal SIG, Environment Agency, Welsh LGA and Scottish Government. CPE has also been successful in progressing an Innovative Resilience Fund Expression of Interest of a value of £8M to Outline Business Case stage which seeks to pilot transition programmes for at risk communities in Norfolk and Suffolk.
CR 010 Housing Delivery : Status	Score	9.00
	Target	4.00
	Performance	●
	Direction of change	➔
	Comments	Housing land supply and delivery will be reported in detail within the Planning Policy Annual Monitoring Report (AMR). The current position indicates the Council hold a five year housing land supply and pass the housing delivery test.

## Control, Contingency & Mitigating Actions

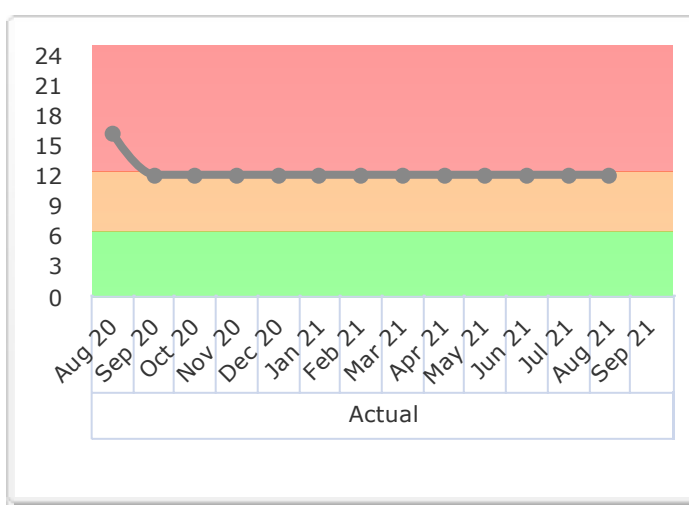
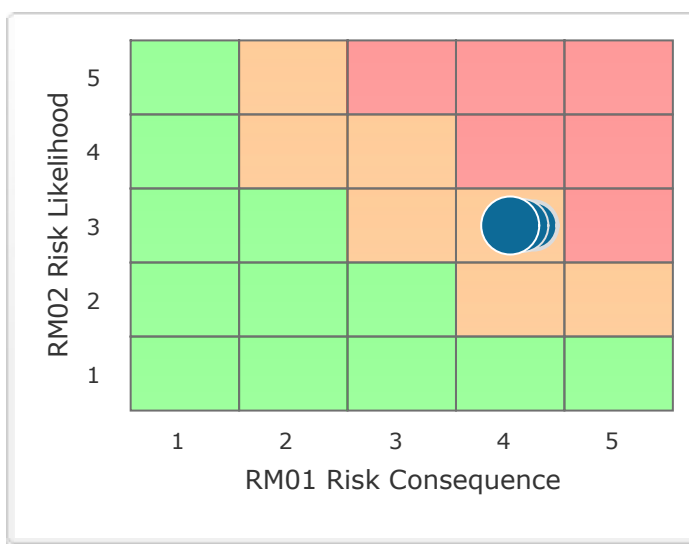
Implemented		
	Responsible	Jun 21
<input checked="" type="checkbox"/> Bacton and Walcott coastal management scheme	Rob Goodliffe	✓
<input checked="" type="checkbox"/> Coastal Monitoring	Rob Goodliffe	✓
<input checked="" type="checkbox"/> Coastal Partnership East set up	Rob Goodliffe	✓
<input checked="" type="checkbox"/> Control of coastal management schemes through procurement and regular checking	Rob Goodliffe	✓
<input checked="" type="checkbox"/> Corporate Planning / Service Planning	Helen Thomas	✓
<input checked="" type="checkbox"/> DEFRA funding of capital schemes	Rob Goodliffe	✓
<input checked="" type="checkbox"/> Environment Forum	Robert Young	?
<input checked="" type="checkbox"/> Health & Safety checking and monitoring	Rob Goodliffe	✓
<input checked="" type="checkbox"/> Procurement practices	Duncan Ellis	✓
<input checked="" type="checkbox"/> Repairs & Maintenance Programme	Rob Goodliffe	✓
<input checked="" type="checkbox"/> Shoreline Management Plan (SMP)	Rob Goodliffe	✓
<input checked="" type="checkbox"/> The Pathfinder Project	Rob Goodliffe	✓
<input checked="" type="checkbox"/> 1.2.1 Formulate a new Housing Strategy	Graham Connolly	★
<input checked="" type="checkbox"/> 1.4.1 Developing and implementing a new Homelessness and Rough Sleepers Strategy and Action Plan	Lisa Grice	✓
<input checked="" type="checkbox"/> 1.5.1 Investigate ways to support and assist affordable housing providers	Graham Connolly	✓
<input checked="" type="checkbox"/> Community Housing Fund	Graham Connolly	✓
<input checked="" type="checkbox"/> Housing Strategy implementation	Robert Young	✓
<input checked="" type="checkbox"/> Increased Focus	Nicky Debbage	✓
<input checked="" type="checkbox"/> Internal planning protocol	Phillip Rowson	✓
<input checked="" type="checkbox"/> Local Development Framework (LDF) policies	Mark Ashwell	✓
<input checked="" type="checkbox"/> Local Investment Plan	Nicky Debbage	✓
<input checked="" type="checkbox"/> Monitor Brexit and its potential impact on the ability to deliver and acquire homes as a home owner	Duncan Ellis	✓
<input checked="" type="checkbox"/> Partnership work with Registered Providers	Graham Connolly	✓
<input checked="" type="checkbox"/> Use of capital	Nicky Debbage	✓



Outstanding				
	Stage	Responsible		Jun 21
<input checked="" type="checkbox"/> 10 year capital programme	In Progress	Rob Goodliffe	Performance	★
			Comments	
<input checked="" type="checkbox"/> 4.3.1 Baseline carbon audit and carbon reduction action plan	In Progress	Robert Young	Performance	★
			Comments	A contract has been place with Net Zero East to monitor and report the carbon footprint of the Council and develop the carbon reduction strategy action plan. The initial meeting with Net Zero East took place in June. A final draft action plan is planned to be presented to Cabinet by the end of 2021.
<input checked="" type="checkbox"/> CM 002 - Refurbish coastal defences at Mundesley	In Progress	Rob Goodliffe	Performance	★
			Comments	Design and Environmental Assessment underway. Local Liaison Group re-convened. Outline design scope agreed. Work progressing to finalised Anglian Water funding. Environmental Screening and Scoping underway via the Coastal Concordat however delays from the Marine management Organisation in providing screening opinion. Need to continue with progression to meet Environment Agency funding requirements.
<input checked="" type="checkbox"/> 1.3.1 Develop a business case for a housing company	In Progress	Graham Connolly	Performance	●
			Comments	The focus of the current strategy is to acquire and manage housing units for provision of temporary accommodation to address short term local housing needs. We are able to hold this type of property as a local authority. Therefore at present there is no urgent requirement to set up a housing company but this forms an action in the Housing Strategy due to be considered by Cabinet on 5th July.
<input checked="" type="checkbox"/> Enhance Housing Association delivery	In Progress	Graham Connolly	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"/> To produce a Service Level Agreement with Registered Providers	Not Started	Lisa Grice	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.</p> <p>Risk - Council acts outside established procedures or unlawfully.</p> <p>Effect - risk of litigation/reputational risk to Council/poor decision making.</p>
Risk Category	G Governance
Risk Response	Treat



Latest Update

31/08/2021		
SR 006 Governance : Status	Score	12.00
	Target	4.00
	Performance	●
	Direction of change	➔
	Comments	<p>A number of improvements were made to procurement processes during July which have now been approved by Full Council. These improvements were implemented as a result of a number of audit recommendations and will help to improve the efficiency and transparency of some of the Council's procurement processes in the future. A new review mechanism has also been introduced with Management Team and the Corporate Leadership Team to monitor and review outstanding audit recommendations on a quarterly basis to try and ensure that progress continues to be made on addressing any outstanding recommendations. The Council is also continuing to introduce improvements required by CIPFA's Financial Management Code, which needs to be in place by the end of March 2022 and is recommended best practice.</p>

		31/08/2021
SR 006 Governance : RM01 Risk Consequence	Score	4
	Target	2
	Direction of change	➡
SR 006 Governance : RM02 Risk Likelihood	Score	3
	Target	2
	Direction of change	➡

## Associated Corporate Risks

31/08/2021		
CR 028 Governance failures : Status	Score	6.00
	Target	4.00
	Performance	★
	Direction of change	➔
	Comments	

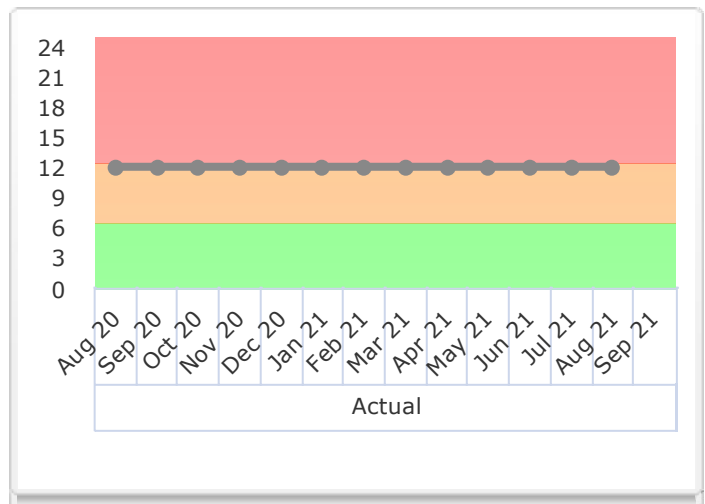
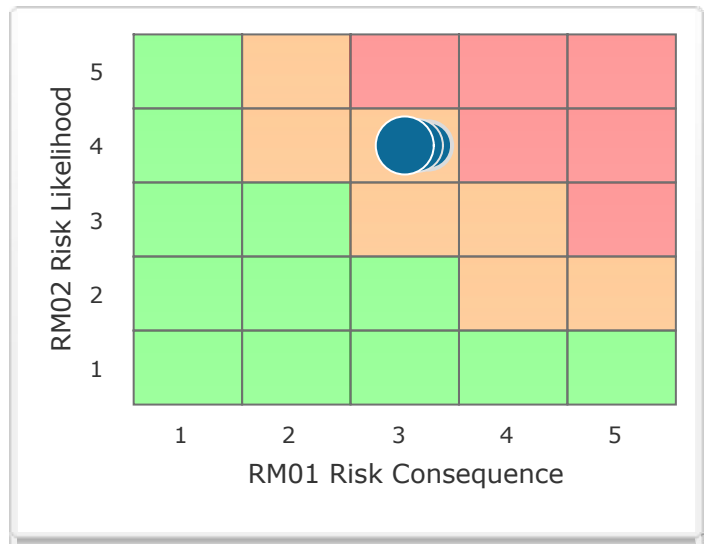
## Control, Contingency & Mitigating Actions

Implemented		
	Responsible	Jun 21
<input checked="" type="checkbox"/> Annual Assurance Statements	Duncan Ellis	✓
<input checked="" type="checkbox"/> Annual Audit Report	Lucy Hume	✓
<input checked="" type="checkbox"/> Annual Governance Statement 2019/20 supported by assurance framework	Duncan Ellis	✓
<input checked="" type="checkbox"/> Annual Governance Statement 2020/21 supported by assurance framework	Duncan Ellis	★
<input checked="" type="checkbox"/> Audit programme	Lucy Hume	✓
<input checked="" type="checkbox"/> Committee report templates	Emma Denny	✓
<input checked="" type="checkbox"/> Constitution/Standing Orders/Scheme of Delegations	Cara Jordan	✓
<input checked="" type="checkbox"/> Corporate Planning / Service Planning	Helen Thomas	✓
<input checked="" type="checkbox"/> Head of Internal Audit assurance	Duncan Ellis	✓
<input checked="" type="checkbox"/> Member/ Officer Protocol	Emma Denny	✓
<input checked="" type="checkbox"/> Monitoring Officer actions to ensure governance risk is minimised	Cara Jordan	✓
<input checked="" type="checkbox"/> Monitoring Officer Report	Cara Jordan	✓
<input checked="" type="checkbox"/> Operation of Constitutoon Working Party	Emma Denny	✓
<input checked="" type="checkbox"/> Operation of Standards Committee	Emma Denny	✓
<input checked="" type="checkbox"/> Section 151 Officer actions to ensure governance risk is minimised	Duncan Ellis	✓

Outstanding				
	Stage	Responsible		Jun 21
<input checked="" type="checkbox"/> Clear robust corporate governance framework	In Progress	Renata Garfoot	Performance	★
			Comments	

## SR 007 Reputation

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



### Latest Update

31/08/2021		
SR 007 Reputation : Status	Score	12.00
	Target	4.00
	Performance	●
	Direction of change	➔
	Comments	

		31/08/2021
SR 007 Reputation : RM01 Risk Consequence	Score	3
	Target	2
	Direction of change	➡
SR 007 Reputation : RM02 Risk Likelihood	Score	4
	Target	2
	Direction of change	➡

## Associated Corporate Risks

31/08/2021		
CR 029 Poor reputation of the Council in the Community : Status	Score	6.00
	Target	4.00
	Performance	★
	Direction of change	➔
	Comments	

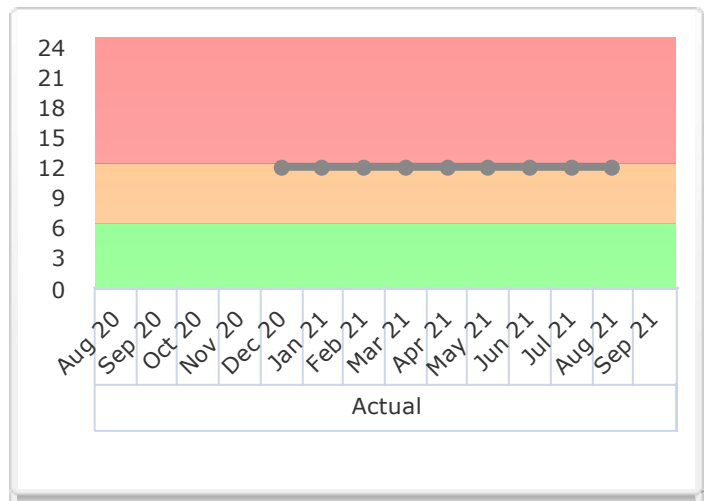
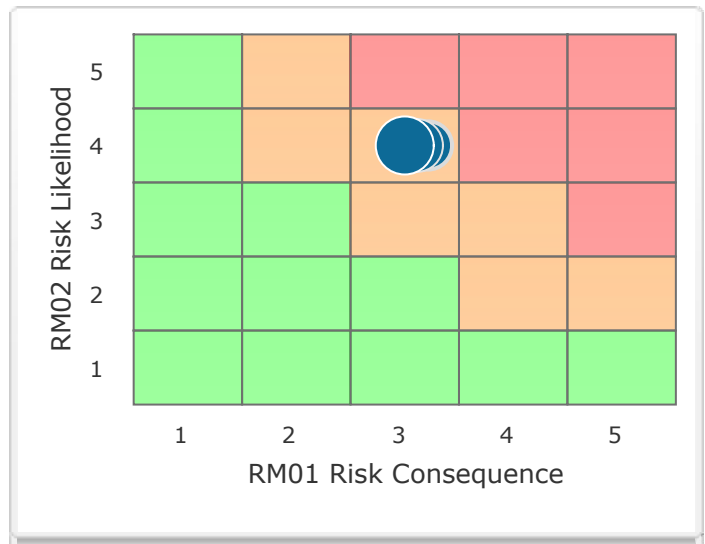
## Control, Contingency & Mitigating Actions

Implemented		
	Responsible	Jun 21
<input checked="" type="checkbox"/> Develop and Implement a Communications Strategy	Joe Ferrari	✓

Outstanding				
	Stage	Responsible		Jun 21
<input checked="" type="checkbox"/> 3.1.2 Review and refine our Customer Strategy	In Progress	Stuart Harber	Performance	★
			Comments	The draft of the Customer Services Strategy has been through pre-scrutiny. Feedback received has been built into amendments within the Strategy. Additionally, we are in the process of finalising the Equality Impact Analysis and confirming the measurable standards of Customer Charter. This will be considered at Cabinet in October.
<input checked="" type="checkbox"/> Clear robust corporate governance framework	In Progress	Renata Garfoot	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

31/08/2021		
SR 008 Corporate project related risks : Status	Score	12.00
	Target	4.00
	Performance	●
	Direction of change	➔
	Comments	

31/08/2021		
SR 008 Corporate project related risks : RM01 Risk Consequence	Score	3
	Target	2
	Direction of change	➔
SR 008 Corporate project related risks : RM02 Risk Likelihood	Score	4
	Target	2
	Direction of change	➔



## Associated Corporate Risks

31/08/2021		
CR 030 Sheringham Leisure Centre : Status	Score	6.00
	Target	4.00
	Performance	★
	Direction of change	➔
	Comments	Supply of materials and labour has caused some delays in the programme but the build is sufficiently advanced for the impact to be manageable. Completion is anticipated shortly and the leisure operator is gearing up for occupation.

## Control, Contingency & Mitigating Actions

Implemented		
	Responsible	Jun 21
<input checked="" type="checkbox"/> Operation of Overview and Scrutiny Committee	Emma Denny	✓
<input checked="" type="checkbox"/> Project management & reporting procedures - Sheringham Leisure Centre	Robert Young	✓

Outstanding
This report does not contain any data