

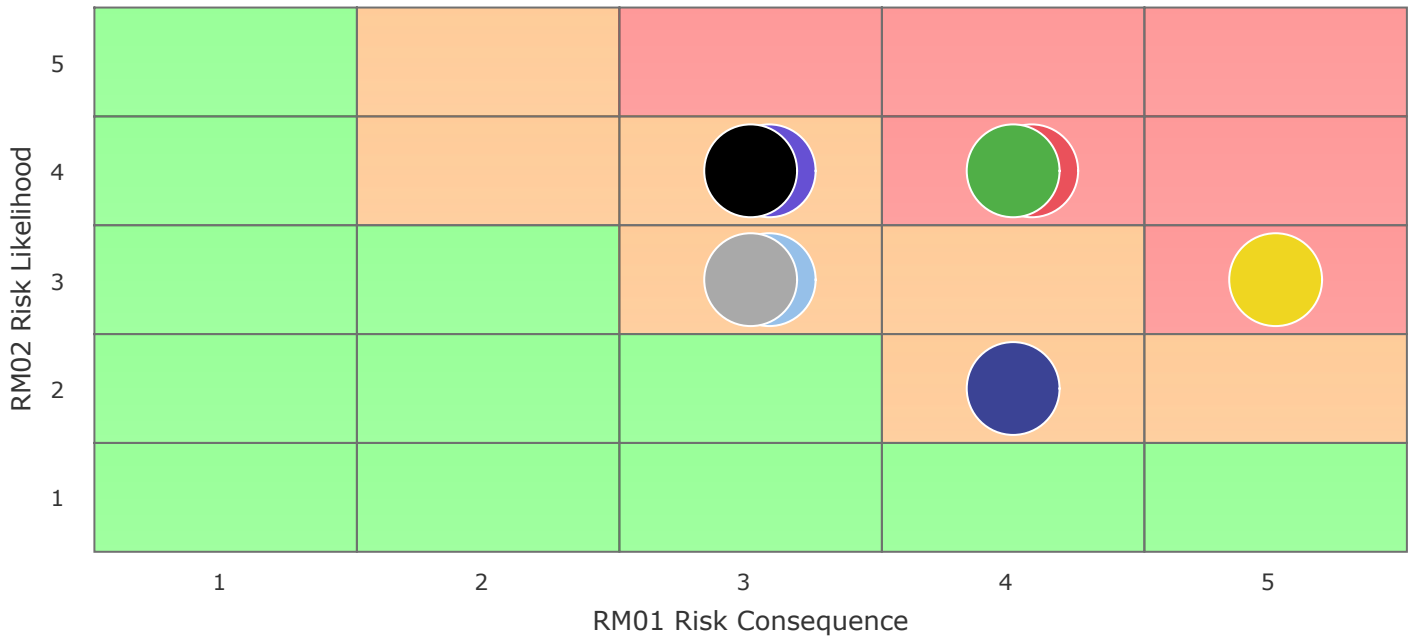
Corporate Risk Register

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Corporate Risk Register

Strategic Risk Matrix



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Corporate Risk Register (CRR) overview update for Governance, Risk & Audit Committee (GRAC) – December 2021

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 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) – As with the previous update construction procurement continues to bring challenges due to the combined impact of the ongoing COVID pandemic, Brexit and a number of global forest fires, all of

which are impacting on material prices, with the industry currently experiencing significant price increases (in the region of 20%). 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 affecting 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. Availability of contractors is also evident in terms of the Council's recent construction tenders and attracting suitable qualified and experienced contractors, within a reasonable budget envelope, remains challenging as the construction market is very buoyant at the current time.

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 COVID pandemic has also heightened the risk of business failure and companies going into liquidation more generally.

Operational (SR002) - Operational capacity continues to be a challenge as teams grapple with recovering from the additional workload that was brought about in a number of areas as a consequence of the COVID pandemic, 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.

The Council continues to progress with its Covid Recovery Plan and to monitor the current increase in cases being experienced across the country.

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.

SR007 – Reputation - The Reef leisure centre in Sheringham has now reached practical completion and is due to open at the end of November. This represents the Council's largest ever directly delivered and financed project and following the successful completion of the scheme, the reputational risks to the Council in respect of delivery of the project should now be significantly reduced.

Delivery of the government's various business grant streams in response to the Covid pandemic represented a potentially significant risk to the authority in terms of reputation as, from the outset, there was an expectation that the Council would distribute £60m to its various small businesses within a very short period of time whilst trying to minimise fraud and protect the public purse. Not only did the Council successfully achieve this but, building on the success of the process and procedures initially developed and established, has then gone on to distribute nearly £130m to in excess of 5,000 local businesses. While there are still some schemes running at the present time the bulk of the work and payments have been made and if anything the successful delivery of these schemes has enhanced the reputation of the Council.

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, particularly due to the ongoing COVID 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 November 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:

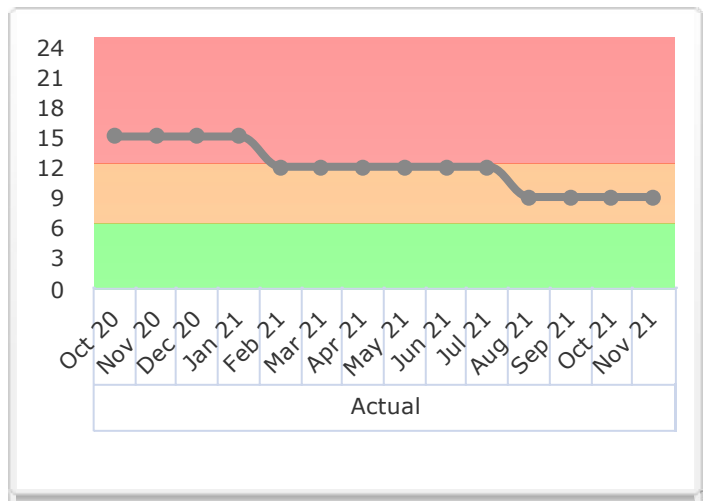
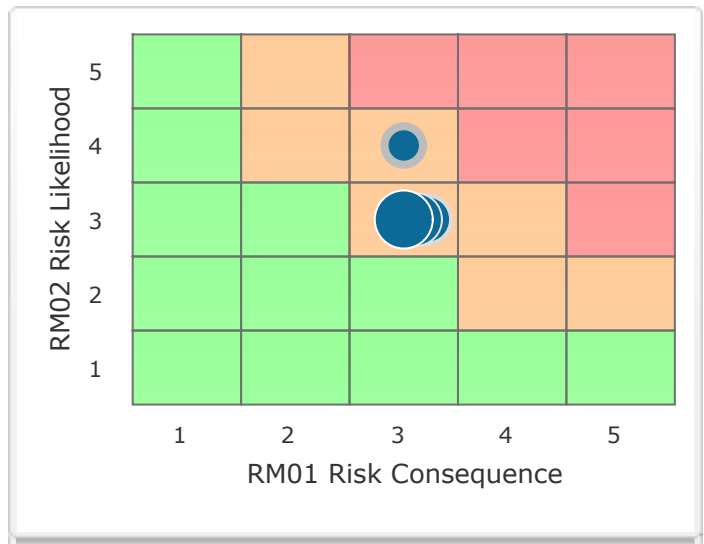
Impact Type	Catastrophic 5	Critical 4	Moderate 3	Marginal 2	Negligible 1
Objectives	The key objectives in the Corporate Plan will not be achieved.	One or more Key Objectives in the Corporate Plan will not be achieved.	Significant impact on the success of the Corporate Plan.	Some impact on more than one 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	Resources
Risk Description	<p>FINANCIAL: related to the financial position and investment of the Council's assets and cash flow, market volatility, currency etc.</p> <p>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

		31/10/2021
SR 001 Financial (including credit & counterparty) : Status	Score	9.00
	Target	4.00
	Performance	●
	Direction of change	➔
	Comments	<p>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 impact experienced. This includes both additional expenditure incurred and also in terms of lost income, from areas such as car parking for example.</p> <p>The significant amounts of funding 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. The period 6 budget monitoring report (as at the end of September 2021) highlights that the current interest received from the Council's investments is in line with budget projections which forecast income of just over £1m by the end of the financial year.</p>

		31/10/2021
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

		31/10/2021
CR 015 Medium Term Financial Plan : Status	Score	12.00
	Target	12.00
	Performance	●
	Direction of change	↓
	Comments	The Fair Funding Review and the review of the Business Rates Retention Scheme has been delayed until possibly 2025. The recent Spending Review has indicated a real terms increase in local government funding.

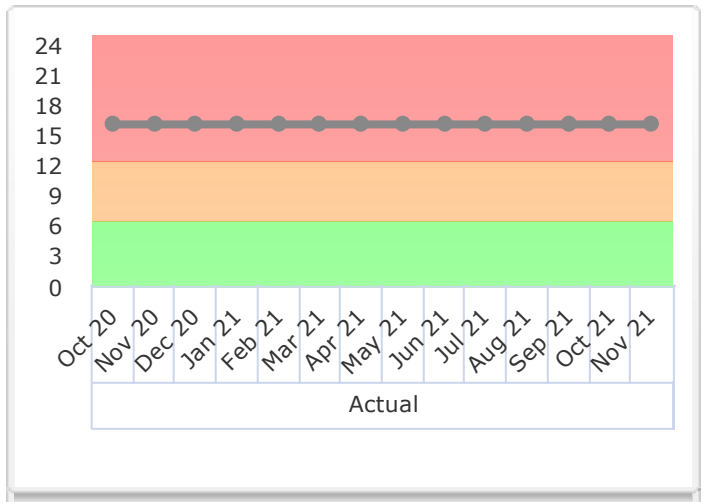
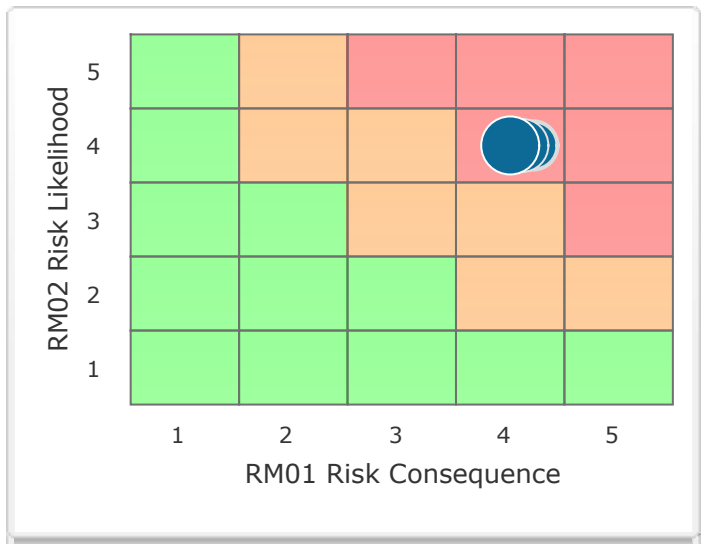
Control, Contingency & Mitigating Actions

Implemented			Responsible	Sep 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		Sep 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	

SR 002 Operational

Responsibility	Resources
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

		31/10/2021
SR 002 Operational : Status	Score	16.00
	Target	4.00
	Performance	▲
	Direction of change	→
	Comments	<p>Operational capacity continues to be a challenge as teams grapple with recovering from the additional workload that was brought about in a number of areas as a consequence of the COVID pandemic, 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.</p> <p>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.</p> <p>The Council continues to progress with its Covid Recovery Plan and to monitor the current increase in cases being experienced across the country.</p>

		31/10/2021
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

		31/10/2021
CR 001 Deteriorating/ underused property assets : Status	Score	9.00
	Target	4.00
	Performance	●
	Direction of change	➔
	Comments	
CR 003 Digital Customer Service Improvement failure : Status	Score	4.00
	Target	4.00
	Performance	★
	Direction of change	➔
	Comments	The Digital Customer Service Improvement Programme is an ongoing improvement programme made up of many individual projects and workstreams. The likelihood of a significant number of them failing is very small. Therefore this should be considered for closure as a specific risk and the residual risks be managed as ongoing business as usual service or project level risks.
CR 008 Loss of Information : Status	Score	9.00
	Target	2.00
	Performance	●
	Direction of change	➔
	Comments	

		31/10/2021
CR 009 Poor Procurement : Status	Score	9.00
	Target	4.00
	Performance	●
	Direction of change	➔
	Comments	<p>As with the previous update construction procurement continues to bring challenges due to the combined impact of the ongoing COVID pandemic, Brexit and a number of global forest fires, all of which are impacting on material prices, with the industry currently experiencing significant price increases (in the region of 20%). 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 affecting 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. Availability of contractors is also evident in terms of the Council's recent construction tenders and attracting suitable qualified and experienced contractors, within a reasonable budget envelope, remains challenging as the construction market is very buoyant at the current time.</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> <p>The COVID pandemic has also heightened the risk of business failure and companies going into liquidation more generally.</p>
CR 013 Emergency event : Status	Score	8.00
	Target	4.00
	Performance	●
	Direction of change	↗✗
	Comments	
CR 024 People Resources : Status	Score	9.00
	Target	9.00
	Performance	●
	Direction of change	➔
	Comments	The level of risk to the organisation remains unchanged. The most recent Office for National Statistics (ONS) figures reported 1.1million vacancies across the UK. In order for the organisation to remain competitive and relevant when recruiting people it is anticipated that the authority will move forward with procurement of recruitment software.
CR 025 Contract failure : Status	Score	12.00
	Target	4.00
	Performance	●
	Direction of change	➔
	Comments	



Control, Contingency & Mitigating Actions

<input checked="" type="checkbox"/> Adequate budget provision both from revenue and capital to support R&M works and capital investment	Duncan Ellis	✔
<input checked="" type="checkbox"/> Adequate staff or appropriately qualified external contractor support	Duncan Ellis	✔
<input checked="" type="checkbox"/> Asset Condition Surveys	Duncan Ellis	✔
<input checked="" type="checkbox"/> Business cases for commercialisation of assets to deliver future income and efficiencies	Duncan Ellis	✔
<input checked="" type="checkbox"/> Compliance policies in place and up to date	Duncan Ellis	✔
<input checked="" type="checkbox"/> Compliance works undertaken in a timely fashion	Duncan Ellis	✔
<input checked="" type="checkbox"/> Procure a Strategic Development Partner	Duncan Ellis	✔
<input checked="" type="checkbox"/> Production and approval of the Asset Management Plan	Renata Garfoot	★
<input checked="" type="checkbox"/> 3.1.2 Review and refine our Customer Strategy	Stuart Harber	★
<input checked="" type="checkbox"/> Communications plan around the programme to ensure buy-in	Sean Kelly	✔
<input checked="" type="checkbox"/> Develop and Implement a Communications Strategy	Joe Ferrari	✔
<input checked="" type="checkbox"/> Digital Transformation progress reports provided to Cabinet & O&S	Sean Kelly	✔
<input checked="" type="checkbox"/> ICT Strategy	Sean Kelly	★
<input checked="" type="checkbox"/> Maintain technical competence	James Claxton	✔
<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	✔

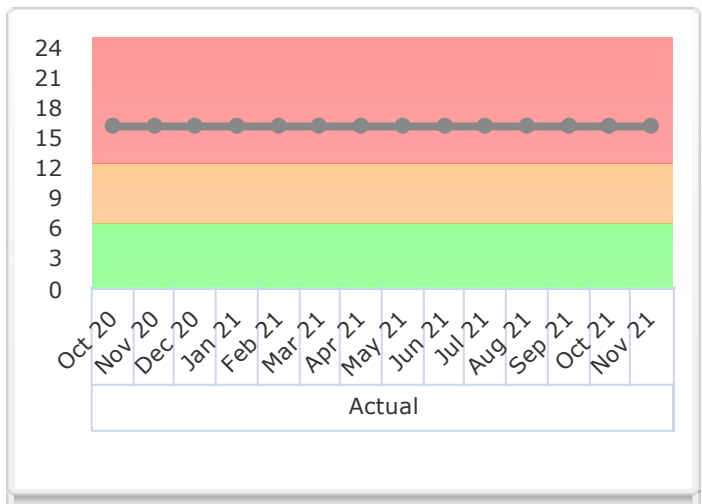
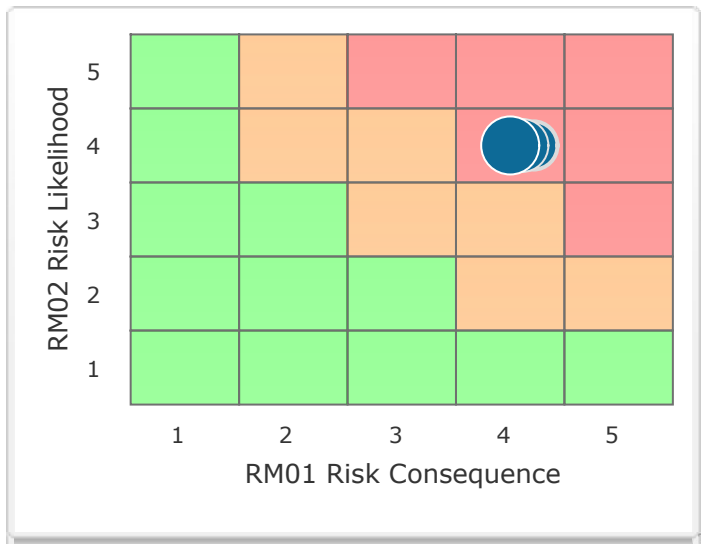
	Responsible	Sep 21
<input checked="" type="checkbox"/> Employment Policies	James Claxton	✔
<input checked="" type="checkbox"/> Refresh the project management framework	Kate Rawlings	✔
<input checked="" type="checkbox"/> Apprenticeship programme	James Claxton	✔
<input checked="" type="checkbox"/> Check-in 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		Sep 21
<input checked="" type="checkbox"/> Review and update of Web Strategy	Cancelled	Sean Kelly	Performance	
			Comments	~
<input checked="" type="checkbox"/> ER1 Review Emergency Response Plan	In Progress	Alison Sayer	Performance	●
			Comments	
<input checked="" type="checkbox"/> Develop 'People Strategy'	In Progress	James Claxton	Performance	●
			Comments	

SR 003 Macroeconomic

Responsibility	Resources
Risk Description	<p>MACROECONOMIC: 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

		31/10/2021
SR 003 Macroeconomic : Status	Score	16.00
	Target	4.00
	Performance	▲
	Direction of change	→
	Comments	<p>The ongoing impact of Covid and the various restrictions continue to create a very challenging economic climate for local businesses. The area has benefitted from the increase in 'staycations', particularly over the summer months, 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.</p>

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

		31/10/2021
CR 026 Impact of recession on the North Norfolk economy : Status	Score	15.00
	Target	4.00
	Performance	▲
	Direction of change	↗
	Comments	

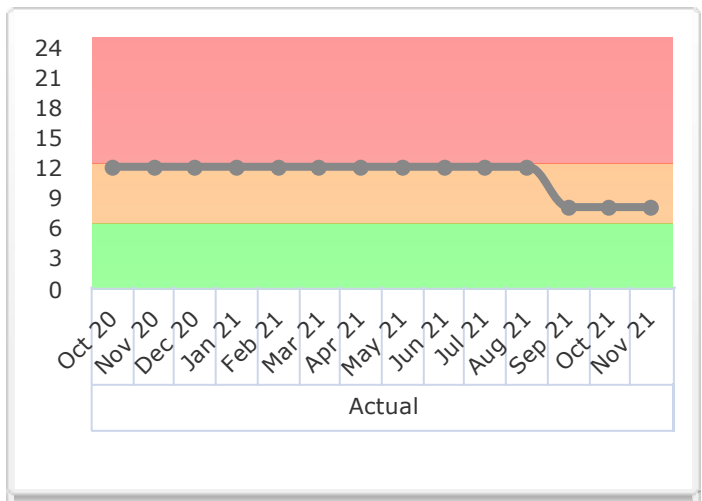
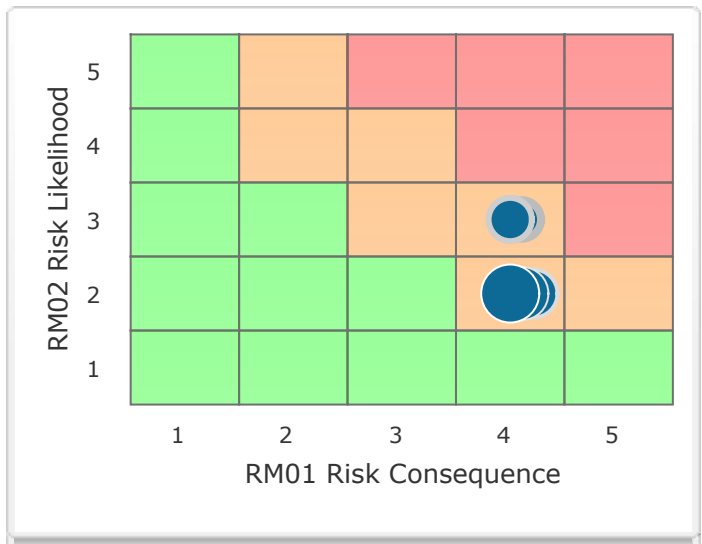
Control, Contingency & Mitigating Actions

Implemented		
	Responsible	Sep 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"/> HS 003 - Monitor the need for temporary accommodation and ensure suitable provision	Graham Connolly	★
<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		Sep 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 due date should be amended to the end of March 2022.
<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	Resources
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

31/10/2021		
SR 004 Strategic : Status	Score	8.00
	Target	4.00
	Performance	●
	Direction of change	➔
	Comments	<p>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 and catch up following 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.</p>

SR 004 Strategic : RM01 Risk Consequence	Score	4
	Target	2
	Direction of change	➔
SR 004 Strategic : RM02 Risk Likelihood	Score	2
	Target	2
	Direction of change	➔

Associated Corporate Risks

		31/10/2021
CR 027 Strategic financial and performance management : Status	Score	9.00
	Target	4.00
	Performance	●
	Direction of change	➔
	Comments	

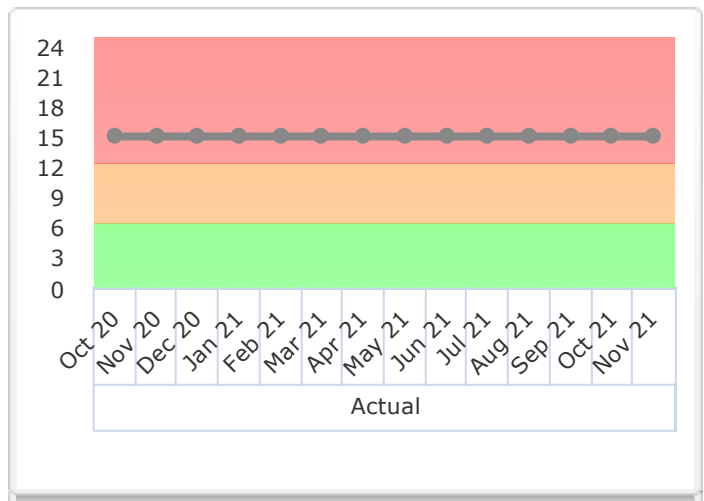
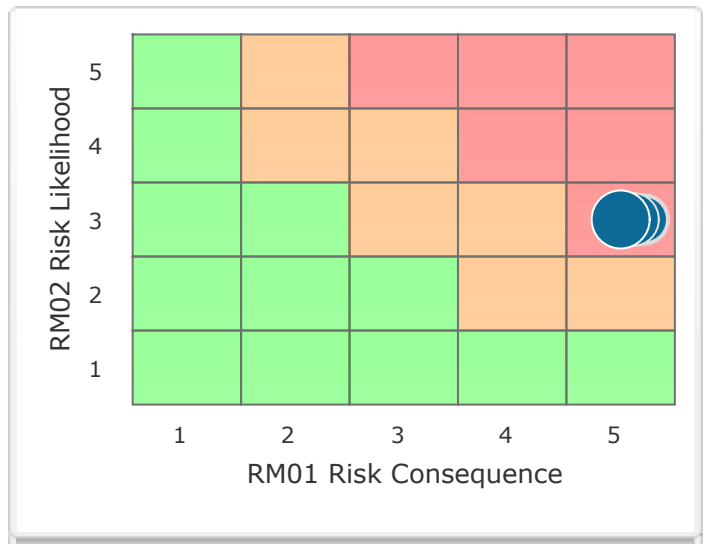
Control, Contingency & Mitigating Actions

Implemented		
	Responsible	Sep 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		Sep 21
<input checked="" type="checkbox"/> Emerging Local Plan	In Progress	Mark Ashwell	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.
<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	

SR 005 Environmental and Social

Responsibility	Resources
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

		31/10/2021
SR 005 Environment & Social : Status	Score	15.00
	Target	4.00
	Performance	▲
	Direction of change	➔
	Comments	<p>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 Council's virtual Green Build event was also undertaken during November and saw in excess of 700 people attend 10 virtual sessions from 15 different speakers covering a range of related topics.</p> <p>A draft tree planting strategy has been prepared and was considered by Overview and Scrutiny on the 10th November. The strategy sets a framework and direction for the 110,000 tree project and considers what trees will be planted, where trees will be planted, the legal framework for tree planting and the procurement processes for delivering 110,000 trees. The Strategy will now be considered by Cabinet in December.</p> <p>The Procurement Strategy has also been updated and was approved by the Cabinet at their meeting in October. The update includes a focus on driving both environmental benefits and improvements through our contracting arrangements but also provides a focus around added social value and community benefit.</p>

		31/10/2021
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	➔

SR 005 Environmental and Social

Associated Corporate Risks

		31/10/2021
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	6.00
	Target	4.00
	Performance	★
	Direction of change	↘
	Comments	Publication of Housing Delivery is imminent. Planning Policy and Built Heritage Working Party briefed delivery stands at 104%.

Control, Contingency & Mitigating Actions

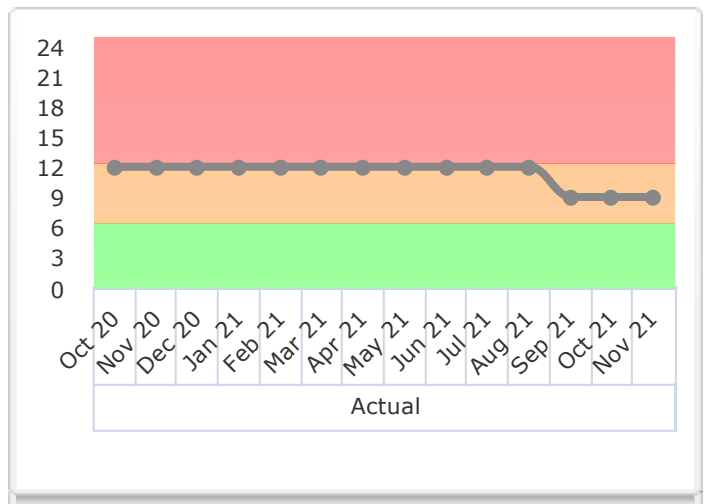
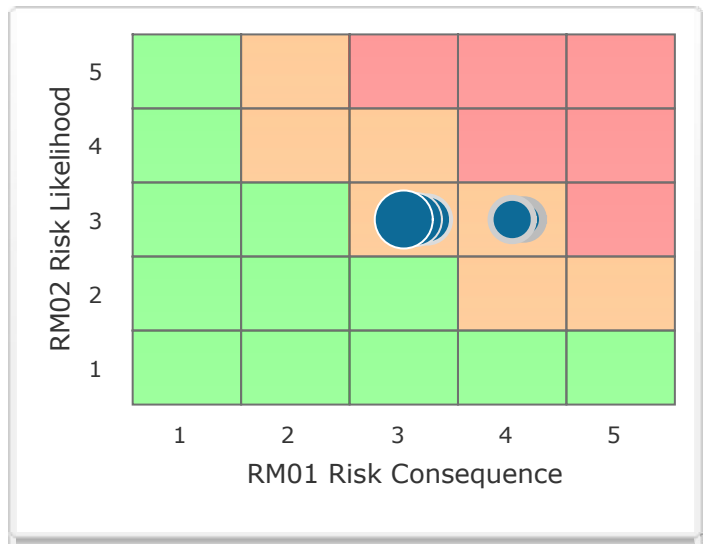
Implemented		
	Responsible	Sep 21
<input checked="" type="checkbox"/> Bacton and Walcott coastal management scheme	Rob Goodliffe	✔
<input checked="" type="checkbox"/> Coastal Monitoring	Rob Goodliffe	✔
<input checked="" type="checkbox"/> Coastal Partnership East set up	Rob Goodliffe	✔
<input checked="" 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"/> Enhance Housing Association delivery	Graham Connolly	★
<input checked="" type="checkbox"/> Housing Strategy implementation	Robert Young	✔
<input checked="" type="checkbox"/> HS 003 - Monitor the need for temporary accommodation and ensure suitable provision	Graham Connolly	★
<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		Sep 21
<input checked="" type="checkbox"/> 10 year capital programme	In Progress	Rob Goodliffe	Performance	●
			Comments	Due to external factors such as Brexit and Covid-19 material costs of construction have increased. There are risks that some schemes may require further sources of funding. This is mitigated by working with our consultants and partners to reassess levels of eligibility of funding.
<input checked="" type="checkbox"/> 4.3.1 Baseline carbon audit and carbon reduction action plan	In Progress	Robert Young	Performance	★
			Comments	The Carbon Reduction Strategy and Action Plan is in preparation which will be presented to Cabinet in the next few months.
<input checked="" type="checkbox"/> CM 002 - Refurbish coastal defences at Mundesley	In Progress	Rob Goodliffe	Performance	●
			Comments	Due to external factors such as Brexit and Covid-19 material costs of construction are likely to have increased. This is mitigated by working with our consultants and partners to reassess levels of eligibility of funding. Due to factors out of NNDC control marine licensing required for the scheme is delayed which impacts on the wider timescales of the scheme..
<input checked="" type="checkbox"/> 1.3.1 Develop a business case for a housing company	In Progress	Nicky Debbage	Performance	★
			Comments	The Housing Strategy (agreed by Cabinet 5th July 2021) has set new target dates relating to this objective: Agreed objectives for direct delivery/ housing company - October 2021, Update Housing Company business case - December 2021.
<input checked="" type="checkbox"/> To produce a Service Level Agreement with Registered Providers	Not Started	Lisa Grice	Performance	~
			Comments	~

SR 006 Governance

Responsibility	Resources
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

		31/10/2021
SR 006 Governance : Status	Score	9.00
	Target	4.00
	Performance	
	Direction of change	➔
	Comments	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. Further to this, the Corporate Delivery Unit (CDU) continues to provide guidance and support in relation to project management and strengthens the overall governance framework.

		31/10/2021
SR 006 Governance : RM01 Risk Consequence	Score	3
	Target	2
	Direction of change	➔
SR 006 Governance : RM02 Risk Likelihood	Score	3
	Target	2
	Direction of change	➔



Associated Corporate Risks

		31/10/2021
CR 028 Governance failures : Status	Score	6.00
	Target	4.00
	Performance	★
	Direction of change	→
	Comments	There are no governance issues to raise at the present time. The Council's Annual Governance Statement (AGS) for the 2021/22 financial year was presented and approved to the Governance, Risk and Audit Committee at their meeting in September 2021 along with the annual report from the internal auditors and the Monitoring officer and there were no significant issues highlighted. Improvements have also been made and approved by Full Council in respect of the Council's procurement exemption processes and this includes reporting any exemptions to GRAC at every meeting to increase scrutiny and transparency.



Control, Contingency & Mitigating Actions

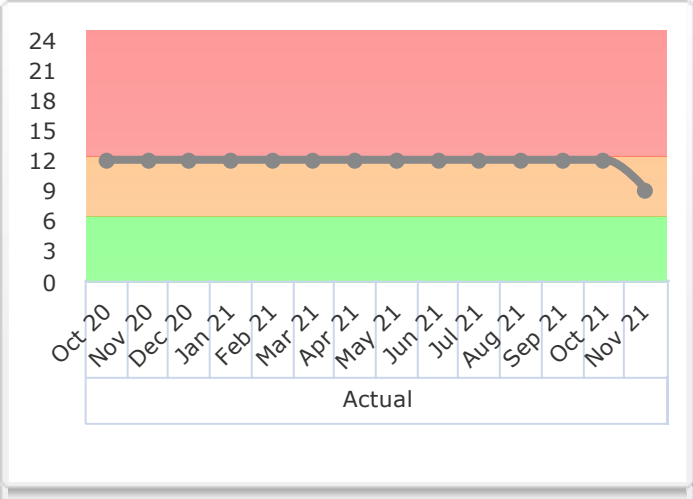
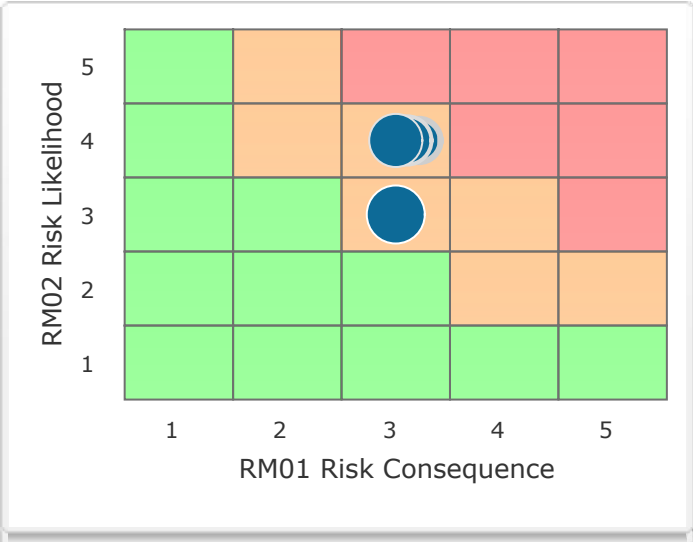
Implemented		
	Responsible	Sep 21
<input checked="" type="checkbox"/> Annual Assurance Statements	Duncan Ellis	✔
<input checked="" type="checkbox"/> Annual Audit Report	Lucy Hume	✔
<input checked="" type="checkbox"/> Annual Governance Statement 2019/20 supported by assurance framework	Duncan Ellis	✔
<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		Sep 21
<input checked="" type="checkbox"/> Clear robust corporate governance framework	In Progress	Renata Garfoot	Performance	
			Comments	~

SR 007 Reputation

Responsibility	Resources
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

		31/10/2021
SR 007 Reputation : Status	Score	12.00
	Target	4.00
	Performance	●
	Direction of change	➔
	Comments	<p>The Reef leisure centre in Sheringham has now reached practical completion and is due to open at the end of November. This represents the Council's largest ever directly delivered and financed project and following the successful completion of the scheme, the reputational risks to the Council in respect of delivery of the project should now be significantly reduced.</p> <p>Delivery of the government's various business grant streams in response to the Covid pandemic represented a potentially significant risk to the authority in terms of reputation as, from the outset, there was an expectation that the Council would distribute £60m to its various small businesses within a very short period of time whilst trying to minimise fraud and protect the public purse. Not only did the Council successfully achieve this but, building on the success of the process and procedures initially developed and established, has then gone on to distribute nearly £130m to in excess of 5,000 local businesses. Further to this, the performance in relation to the grant distribution work has seen the Council win a national award from the Chartered Institute of Public Finance (CIPFA) under the 'Digital Finance Project of the Year' and was also highly commended in the recent Institution of Revenues Ratings and Valuations (IRRV) under the 'Excellence in Innovation (Service Delivery) category. While there are still some schemes running at the present time the bulk of the work and payments have been made and if anything the successful delivery of these schemes has enhanced the reputation of the Council.</p>

		31/10/2021
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

		31/10/2021
CR 029 Poor reputation of the Council in the Community : Status	Score	4.00
	Target	4.00
	Performance	★
	Direction of change	➔
	Comments	<p>The Reef leisure centre in Sheringham has now reached practical completion and is due to open at the end of November. This represents the Council's largest ever directly delivered and financed project and following the successful completion of the scheme, the reputational risks to the Council in respect of delivery of the project should now be significantly reduced.</p> <p>Delivery of the government's various business grant streams in response to the Covid pandemic represented a potentially significant risk to the authority in terms of reputation as, from the outset, there was an expectation that the Council would distribute £60m to its various small businesses within a very short period of time whilst trying to minimise fraud and protect the public purse. Not only did the Council successfully achieve this but, building on the success of the process and procedures initially developed and established, has then gone on to distribute nearly £130m to in excess of 5,000 local businesses. Further to this, the performance in relation to the grant distribution work has seen the Council win a national award from the Chartered Institute of Public Finance (CIPFA) under the 'Digital Finance Project of the Year' and was also highly commended in the recent Institution of Revenues Ratings and Valuations (IRRV) under the 'Excellence in Innovation (Service Delivery) category. While there are still some schemes running at the present time the bulk of the work and payments have been made and if anything the successful delivery of these schemes has enhanced the reputation of the Council.</p>

Control, Contingency & Mitigating Actions

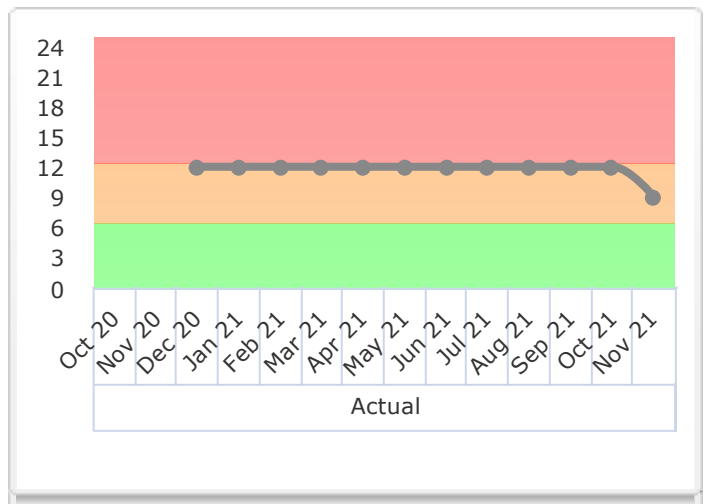
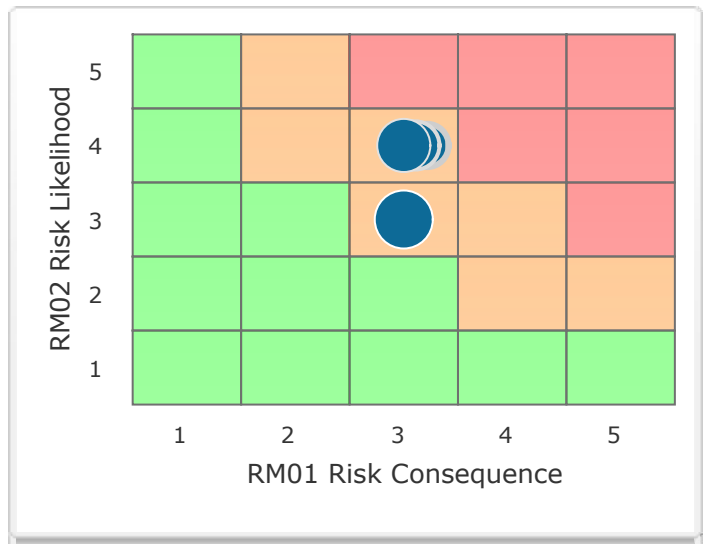
Implemented		
	Responsible	Sep 21
<input checked="" type="checkbox"/> 3.1.2 Review and refine our Customer Strategy	Stuart Harber	★
<input checked="" type="checkbox"/> Develop and Implement a Communications Strategy	Joe Ferrari	✔

Outstanding

	Stage	Responsible		Sep 21
<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	Resources
Risk Description	CORPORATE PROJECT RELATED RISKS: Related to individual corporate project risks
Risk Category	I Projects
Risk Response	Treat



Latest Update

		31/10/2021
SR 008 Corporate project related risks : Status	Score	12.00
	Target	4.00
	Performance	●
	Direction of change	➔
	Comments	It is worth noting that the new Reef leisure project has now officially undergone practical completion and been handed over to the Council from the contractor Metnor. The centre is due to open on 30 November 2021 and as part of the new project management framework the scheme will now undergo final review to identify any lessons learnt to help inform future project delivery.

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

		31/10/2021
CR 030 Sheringham Leisure Centre : Status	Score	4.00
	Target	4.00
	Performance	★
	Direction of change	↓✓
	Comments	

Control, Contingency & Mitigating Actions

Implemented		
	Responsible	Sep 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