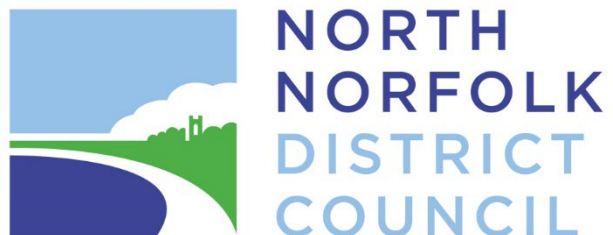


Corporate Risk Register

Contents

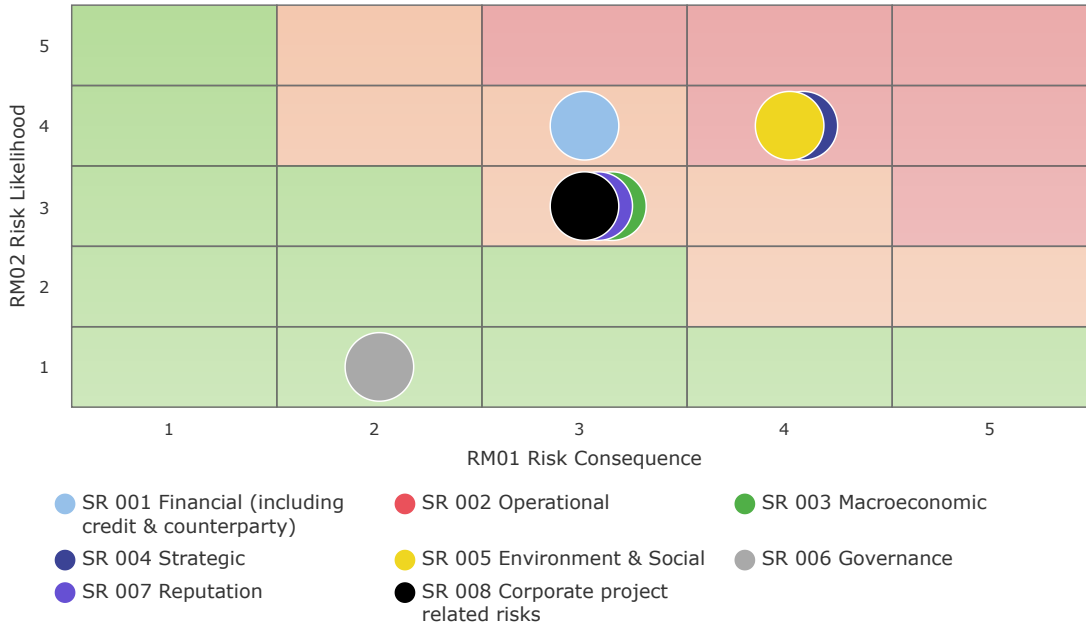
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Corporate Risk Register



Strategic Risk Matrix



Since last reported there have been some changes in the Council's overall position and outlook. After considerable work by all involved the Council was able to approve a balanced budget, a capital programme and fees and charges for 2023/24. The MTFS does identify funding gaps over the coming years and so to mitigate this a review will take place over the summer to look at the budget for 2024/25.

The Council heard that it was unsuccessful in securing any Levelling Up Funding which means that there will need to be a review of the schemes that the Council had planned to deliver through the funding to see if there are any other options to deliver them. The lack of regeneration is a risk for the Council. The Norfolk County Deal has been agreed in principle by the Government. NNDC has responded to the County Council's consultation and said that it's preference was for a Combined Mayoral Authority structure as this seemed the best way of ensuring fair distribution of funding across the county.

LEPs are also to be 'disbanded' and whilst the functions are to be incorporated at a local level how this will affect funding is unknown at present.

There are considerable risks due to uncertainties around future funding and service delivery at present. Clarity on these should reduce the risks as the Council will be able to plan a way forward.



Risk scoring key

Corporate Risks

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

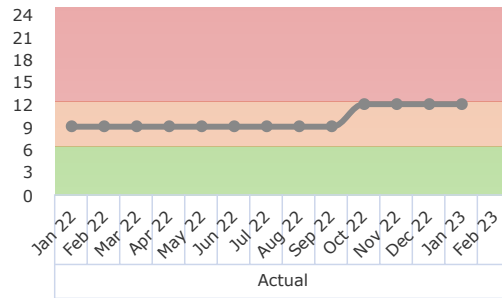
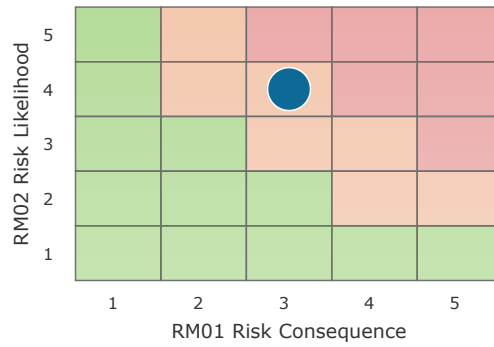
Impact Type	Catastrophic 5	Critical 4	Moderate 3	Marginal 2	Negligible 1
Objectives	The key objectives in the Corporate Plan will not be achieved.	One or more Key Objectives in the Corporate Plan will not be achieved.	Significant impact on the success of the Corporate Plan.	Some impact on more than one 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

		31/01/2023
SR 001 Financial (including credit & counterparty) : Status	Score	12.00
	Target	4.00
	Performance	
	Direction of change	➡
	Comments	<p>The Council's budgets have been under inflationary pressures during the second half of the financial year due to external factors that have resulted higher than anticipated pay awards, higher construction costs and higher energy costs. The pressures were recognised when reviewing the outturn position for 21/22 and it was agreed that the surplus amount of £616k should be used to fund any overspend in 22/23 due to cost pressures. As at 31 January 2023 the forecast overspend for the year was c.£600k.</p> <p>The BoE base rate has been steadily increasing in an attempt to stem the rate of inflation. This has had a positive impact on our investment returns which are forecast to exceed the budget for the year. All other aspects of treasury management continue to be very closely monitored and there are no issues with any of our counterparties as the measures in place to identify early on any concerns we have in this area continue to be effective.</p>

		31/01/2023
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	4
	Target	2
	Direction of change	➡

SR 001 Financial (including credit & counterparty)

Associated Corporate Risks

		31/01/2023
CR 015 Medium Term Financial Plan : Status	Score	12.00
	Target	4.00
	Performance	●
	Direction of change	➡
	Comments	The provisional local government finance settlement was a one year settlement again and the Government announced that the business rates reform and fair funding review outcomes would not be coming forward before 2025/26. This means a great deal of uncertainty in terms of predicting local government funding over the medium term. This years settlement saw the introduction of a new grant - 3% funding guarantee - which was unexpected but welcomed and was to address rising costs that local government is facing. However, there was no indication of whether this would be a one-off grant or would be available in future years. Despite this the risk level remains the same as action has been taken to balance the budget.

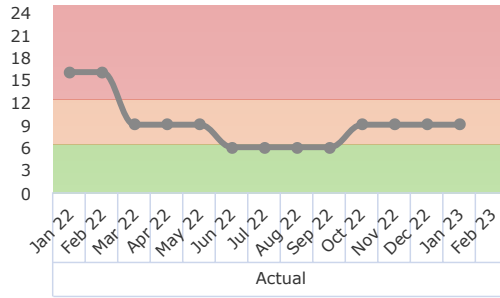
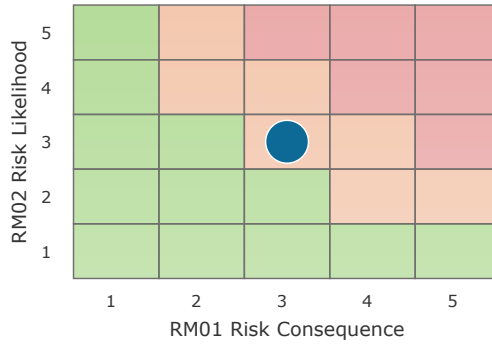
Control, Contingency & Mitigating Actions

Implemented		
	Responsible	Dec 22
<input checked="" type="checkbox"/> Annual review of the Council's reserves	Alison Chubbock	✔
<input checked="" type="checkbox"/> Balanced budget agreed	Alison Chubbock	✔
<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	Alison Chubbock	✔
<input checked="" type="checkbox"/> Corporate Planning / Service Planning	Helen Thomas	✔
<input checked="" type="checkbox"/> Growth forecasting models	Alison Chubbock	✔
<input checked="" type="checkbox"/> Lobbying Central Government	Steve Blatch	✔
<input checked="" type="checkbox"/> Medium Term Financial Strategy	Alison Chubbock	✔
<input checked="" type="checkbox"/> Monitoring impact of the business rates retention	Tina Stankley	●
<input checked="" type="checkbox"/> Policy Work	Steve Blatch	✔
<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	Alison Chubbock	✔
<input checked="" type="checkbox"/> Utilisation of the New Homes Bonus grant within the base budget for 2018/19 onwards	Alison Chubbock	✔

Outstanding
This report does not contain any data

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









31/01/2023		
SR 002 Operational : Status	Score	9.00
	Target	4.00
	Performance	●
	Direction of change	➡
	Comments	<p>The Council continues to deliver its services despite the increased budgetary pressures. The latest budget monitoring report forecasts a year end overspend of c.£600k. Some services have had to closely monitor the impact of inflation particularly those that involve any building and construction work as these are the areas where there have been the biggest increases in costs. Schemes and plans have been modified to be kept within budget generally although there are some schemes and projects where additional budgets have been sought to complete schemes.</p> <p>There is currently concern over the pay negotiations between Serco and its staff who have planned industrial action w/c 13 March. This will severely disrupt bin collections rounds. The Council has asked Serco for a plan of action around this. Other services continue to operate well e.g. Revenues have delivered again with all Council Tax bills and business rates bills being sent out ahead of the statutory deadlines.</p>

31/01/2023		
SR 002 Operational : RM01 Risk Consequence	Score	3
	Target	2
	Direction of change	➡
SR 002 Operational : RM02 Risk Likelihood	Score	3
	Target	2
	Direction of change	➡

 Associated Corporate Risks

		31/01/2023
CR 001 Deteriorating/ underused property assets : Status	Score	9.00
	Target	4.00
	Performance	
	Direction of change	➡
	Comments	There are a few known issues which need to be resolved and will incur significant cost. Some of these issues were hoped to be addressed with a successful bid for levelling up funding. We now need to consider alternatives.
CR 008 Loss of Information : Status	Score	16.00
	Target	2.00
	Performance	
	Direction of change	➡
	Comments	The position of workload v. resource has worsened following a number of resignations and difficulties in recruiting experienced resource. This results in an increased probability of data loss. As an interim additional external cyber security support has been procured. However, this only mitigates some of the increased risk and comes with significant budgetary costs. It is likely that wage inflation in the IT sector will continue to present increasing challenges.
CR 009 Poor Procurement : Status	Score	6.00
	Target	4.00
	Performance	
	Direction of change	➡
	Comments	
CR 013 Emergency event : Status	Score	12.00
	Target	4.00
	Performance	
	Direction of change	➡
	Comments	
CR 024 People Resources : Status	Score	4.00
	Target	4.00
	Performance	
	Direction of change	➡
	Comments	
CR 025 Contract failure : Status	Score	12.00
	Target	4.00
	Performance	
	Direction of change	➡
	Comments	The position in terms of the global construction sector in particular means that contracts are at greater risk of significant delay and budget pressures although the Council is doing all it can to mitigate this such as buying materials at the start of the project and contingency provision. The risk of fundamental business failure due to post Covid-19 impacts in our significant contracts has reduced significantly. However, there is now the additional pressure of increases in inflation across all areas of expenditure which puts pressure on contractors costs. The Council is keeping under review with contractors. The local availability of specialist trades and resources and supply chain issues still remain. The Council has robust management arrangements for all contracts and for the monitoring and evaluation of progress.

 Control, Contingency & Mitigating Actions

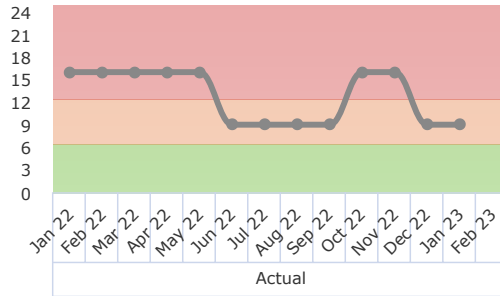
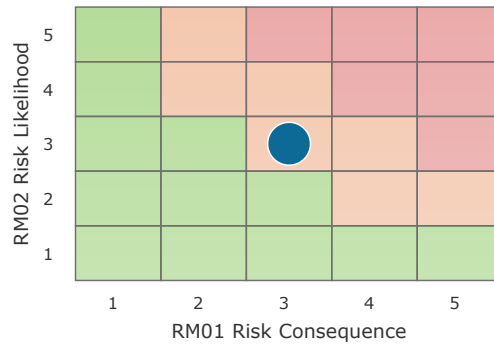
Implemented		
	Responsible	Dec 22
<input checked="" type="checkbox"/> Adequate budget provision both from revenue and capital to support R&M works and capital investment	Cara Jordan	
<input checked="" type="checkbox"/> Adequate staff or appropriately qualified external contractor support	Cara Jordan	
<input checked="" type="checkbox"/> Asset Condition Surveys	Cara Jordan	
<input checked="" type="checkbox"/> Business cases for commercialisation of assets to deliver future income and efficiencies	Alison Chubbock	
<input checked="" type="checkbox"/> Compliance policies in place and up to date	Cara Jordan	
<input checked="" type="checkbox"/> Compliance works undertaken in a timely fashion	Cara Jordan	
<input checked="" type="checkbox"/> Procure a Strategic Development Partner	Cara Jordan	
<input checked="" type="checkbox"/> 3.1.2 Review and refine our Customer Strategy	Stuart Harber	

	Responsible	Dec 22
<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	Alison Chubbock	✔
<input checked="" type="checkbox"/> Joint procurement protocol and opportunities for joint/shared procurement with other authorities	Alison Chubbock	✔
<input checked="" type="checkbox"/> Procurement Framework	Alison Chubbock	✔
<input checked="" type="checkbox"/> Procurement responsibility assigned	Alison Chubbock	✔
<input checked="" type="checkbox"/> Procurement Strategy	Alison Chubbock	✔
<input checked="" type="checkbox"/> Budget Process / Budget Monitoring	Lucy Hume	✔
<input checked="" type="checkbox"/> Business Continuity Planning	Alison Sayer	✔
<input checked="" type="checkbox"/> CC 001 Consideration of COVID-19 implications	Alison Sayer	✔
<input checked="" type="checkbox"/> Complete critical services' Business Continuity Plans (BCP)	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"/> HR 006 New Ways of Working - Policy Creation	James Claxton	✔
<input checked="" type="checkbox"/> Procurement Officer post established	Alison Chubbock	✔

Outstanding				
	Stage	Responsible		Dec 22
<input checked="" type="checkbox"/> Production and approval of the Asset Management Plan	In Progress	Renata Garfoot	Performance	●
			Comments	
<input checked="" type="checkbox"/> CC 002 ER1 Review Emergency Response Plan	In Progress	Alison Sayer	Performance	●
			Comments	
<input checked="" type="checkbox"/> HR 007 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

		31/01/2023
SR 003 Macroeconomic : Status	Score	9.00
	Target	12.00
	Performance	●
	Direction of change	➡
	Comments	<p>Whilst the rate of inflation went up unexpectedly in February i.e. 10.4% this was a small increase from the January rate of 10.1%. It seems to be the consensus that the rate of inflation peaked in December and that the MPC's actions of regularly and steadily increasing the base rate is having the desired effect. It was increased by 0.25% to 4.25%. The Chancellor's budget was largely as expected. The fiscal forecasts show that the public finances are still in a weak condition, even if they are marginally improved on those in the Autumn Statement 2022. There will be a Swimming Pool Support Fund of £60m which may help our leisure centres. People are still experiencing pressures with their household income and it doesn't feel like the cost of living crisis is easing. This results in a greater need for our services to help the vulnerable.</p>

		31/01/2023
SR 003 Macroeconomic : RM01 Risk Consequence	Score	3
	Target	3
	Direction of change	➡
SR 003 Macroeconomic : RM02 Risk Likelihood	Score	3
	Target	4
	Direction of change	➡

 Associated Corporate Risks

31/01/2023		
CR 026 Impact of economic fluctuations on the North Norfolk economy : Status	Score	15.00
	Target	4.00
	Performance	▲
	Direction of change	→
	Comments	There remains concern about the wider economic health of the area. Whilst North Norfolk's market and resort towns seem to be managing, there are undoubtedly a number of 'highly leveraged' businesses operating and the pressures of inflation, wage inflation, fuel costs and reduced household income will begin to impact, unless the context changes soon.

 Control, Contingency & Mitigating Actions

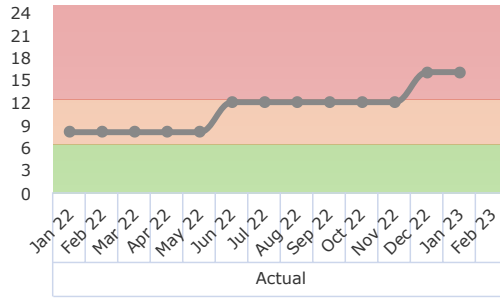
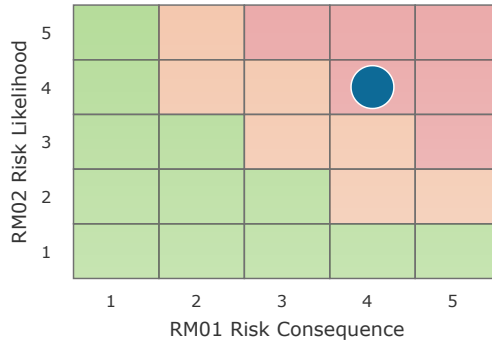
Implemented		
	Responsible	Dec 22
<input checked="" type="checkbox"/> Business Survey	Stuart Quick	✔
<input checked="" type="checkbox"/> Corporate Planning / Service Planning	Helen Thomas	✔
<input checked="" type="checkbox"/> Fund Management advice from Arlingclose	Lucy Hume	✔
<input checked="" type="checkbox"/> HS 003 - Monitor the need for temporary accommodation and ensure suitable provision	Graham Connolly	✔
<input checked="" type="checkbox"/> Medium Term Financial Strategy	Alison Chubbock	✔
<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	Performance	Dec 22
<input checked="" type="checkbox"/> 2.2.1 Economic Growth Strategy 2020 - 2023	In Progress	Stuart Quick	Performance	●

			Dec 22
			<p>Comments</p> <p>Work is presently underway to develop a new 'online' platform, which will facilitate and enable a more modern, fluid and responsive approach to economic support delivery, particularly during this challenging climate for businesses and communities.</p> <p>The intention is to maintain effective methods of supporting the local economy and responding to the existing and changing needs of local businesses through the following activities.</p> <ul style="list-style-type: none"> • Preparing and analysing evidence relating to local economic context and business needs, including contextual data and that gathered through surveys and business engagement; • Establishing a new digital 'hub' for engaging with the local business community. This will act as an interactive portal for businesses to access information and respond to relevant initiatives; • Developing schemes under the anticipated UKSPF and REPF (once established by Government) and administering the consequential business support/grant initiatives. This will also include the project development with Levelling Up Funds, if the submitted bids are successful); • Utilising, adapting and managing the Council's (business) estate (i.e. NNDC owned business premises) to help respond to demand for premises; and • Continuing to engage with the local visitor and hospitality sector via Visit North Norfolk and to develop collaborative marketing campaigns, itineraries etc. and sector support; • Liaising with, and where necessary helping to facilitate, organisations that represent commercial enterprises (chambers of trade, business forums, federations and groups) at the town, District and County level to establish and share best practice, foster collaboration and resilience.

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

		31/01/2023
SR 004 Strategic : Status	Score	16.00
	Target	4.00
	Performance	▲
	Direction of change	➡
	Comments	<p>The Council has found out that it has been unsuccessful in securing any Levelling Up Funding. This has been a huge disappointment and more importantly that the schemes that were included in the bid will now not go ahead even though they would have resulted in much needed regeneration. The next steps are being considered.</p> <p>There is some uncertainty as to what the future holds at a county level as the County Council has agreed in principle a County Deal with the Government and it is currently consulting on this. It will mean a transfer of funding and powers to the local area. The CX has submitted a response on behalf of NNDC to the consultation and expressed its preference for any County Deal for Norfolk operating through a Combined Mayoral Authority structure.</p> <p>Alongside this the Government has announced that the Government wishes to integrate LEP functions into local democratic institutions, which will mean another change at a local level.</p> <p>This gives rise to uncertainty around funding available at a local level for NNDC.</p>

		31/01/2023
SR 004 Strategic : RM01 Risk Consequence	Score	4
	Target	2
	Direction of change	➡
SR 004 Strategic : RM02 Risk Likelihood	Score	4
	Target	2
	Direction of change	➡



Associated Corporate Risks

		31/01/2023
CR 027 Strategic financial and performance management : Status	Score	4.00
	Target	4.00
	Performance	★
	Direction of change	➡
	Comments	This area of risk is being addressed elsewhere by other corporate risks and improvement to performance management. Therefore, this risk has been closed.



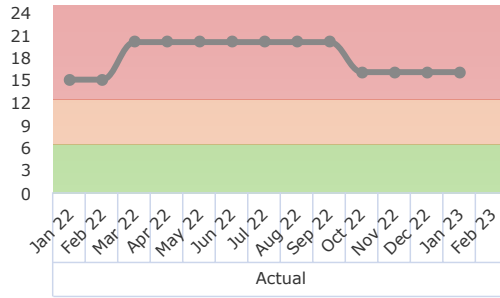
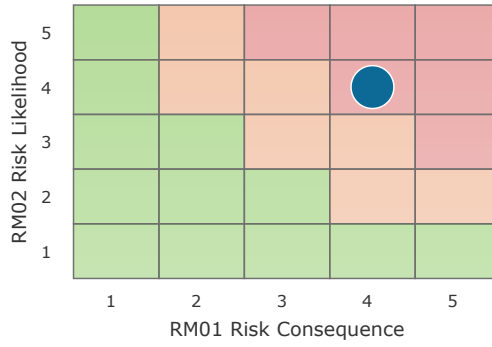
Control, Contingency & Mitigating Actions

Implemented		
	Responsible	Dec 22
<input checked="" type="checkbox"/> Annual review of the Council's reserves	Alison Chubbock	✔
<input checked="" type="checkbox"/> Budget Process / Budget Monitoring	Lucy Hume	✔
<input checked="" type="checkbox"/> Corporate Planning / Service Planning	Helen Thomas	✔
<input checked="" type="checkbox"/> Medium Term Financial Strategy	Alison Chubbock	✔
<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	Dec 22
<input checked="" type="checkbox"/> Emerging Local Plan	In Progress	Mark Ashwell	●
		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

		31/01/2023
SR 005 Environment & Social : Status	Score	16.00
	Target	4.00
	Performance	▲
	Direction of change	➡
	Comments	<p>The Council agreed it's Local Plan at the full Council meeting on 1 March 2023. This is the culmination of 7 years of hard work. The plan will now be submitted to the Planning Inspector for review. The Plan reflects the need to address both environmental and social factors with any developments within the district e.g. provision of affordable housing within new developments. The Council has also been working with 5 other Norfolk authorities and Anglian Water to address the issue of Nutrient Neutrality and a JV is being set up to sell credits to developers who do not build the requirements into their schemes. The credits (funds) will then be used by the JV to deliver schemes which will achieve nutrient neutrality. This is major progress which will allow developers to now start building again. Schemes are now coming forward which will have a significant impact on our Net Zero target e.g. the Reef Solar Carport scheme will begin shortly.</p> <p>The risks are being mitigated and there are plans in place to meet our target of Net Zero by 2030, however this is only 7 years away and so there is still a lot of work to do to achieve this.</p>

		31/01/2023
SR 005 Environment & Social : RM01 Risk Consequence	Score	4
	Target	2
	Direction of change	➡
SR 005 Environment & Social : RM02 Risk Likelihood	Score	4
	Target	2
	Direction of change	➡

Associated Corporate Risks

31/01/2023		
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, erosion remains a primary risk for our coast. The Council continues to invest in erosion risk management measures including maintenance of existing assets and capital schemes where it is viable to do so. In many locations it is not possible to prevent erosion and there is a need to seek ways to support communities and individuals to transition away from risk. North Norfolk was selected by DEFRA as one of two local authorities for the Coastal Transition Accelerator Programme (CTAP) to investigate, develop, deliver and learn new approaches to support communities to transition away from coastal erosion. This Programme replaces the Flood Coast Resilient Innovation Programme (Resilient Coast) in North Norfolk which was in preparation last year. This new programme provides a significant opportunity to develop local initiatives from which the learning can be transferred to other local authorities and shape the future national approach to coastal change management.
CR 010 Housing Delivery : Status	Score	6.00
	Target	4.00
	Performance	★
	Direction of change	➡
	Comments	Nutrient neutrality guidance from Natural England was issued on 16 March 2022. The guidance has impacts on housing delivery. The Council launched an alternative calculator for the assessment of nutrient neutrality. The alternative calculator and revised mapping are reducing mitigation required and have clarified that development in North Walsham can proceed. The Council are working with a joint venture group (Anglian Water and Norfolk districts) to provide environmental credits which will be available from Spring 2023 and should enable planning permissions to be granted from thereon.

Control, Contingency & Mitigating Actions

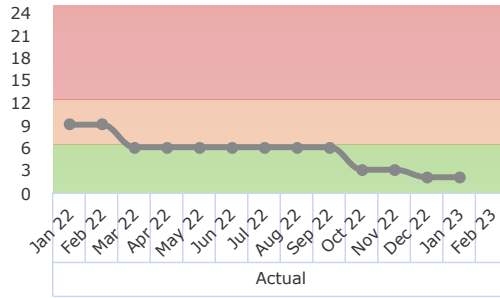
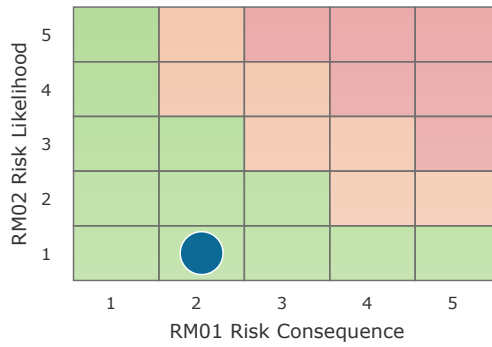
Implemented		
	Responsible	Dec 22
<input checked="" type="checkbox"/> 4.3.1 Baseline carbon audit and carbon reduction action plan	Robert Young	★
<input checked="" type="checkbox"/> Bacton and Walcott coastal management scheme	Rob Goodliffe	✔
<input checked="" type="checkbox"/> Coastal Monitoring	Rob 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	Alison Chubbock	✔
<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	✔

	Responsible	Dec 22
<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	Alison Chubbock	✔
<input checked="" type="checkbox"/> Partnership work with Registered Providers	Graham Connolly	✔
<input checked="" type="checkbox"/> Use of capital	Nicky Debbage	✔

Outstanding				
	Stage	Responsible		Dec 22
<input checked="" type="checkbox"/> CM 002 Refurbish coastal defences at Mundesley	In Progress	Tamzen Pope	Performance	●
			Comments	Environment Statement has now been received from Mott MacDonald which is being reviewed by NNDC. MMO licence and planning applications to be submitted in early February. Challenging MMO to see if we are able to utilise Coastal Concordat (however in the past they have advised that we can not). Technical approval for additional funding has been received from the Environment Agency. Need to submit CPA2 form to finalise the process and start submitting claims. Balfour Beatty progressing with getting tender prices together and evaluating tender returns. Further funding / value engineering discussions within the project team maybe required.
<input checked="" type="checkbox"/> CM 016 10 year capital programme	In Progress	Tamzen Pope	Performance	★
			Comments	Works are progressing on Cromer and Mundesley. Development of other projects on our 10 year capital programme are being planned however have not yet started.

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

31/01/2023		
SR 006 Governance : Status	Score	2.00
	Target	4.00
	Performance	★
	Direction of change	➡
	Comments	<p>An audit has recently been carried out and the conclusion was that the overall assessment is that the audit provided substantial assurance that there are adequate and effective governance, risk and control procedures in place. There are only two recommendations made and these have been accepted and shall be acted upon.</p> <p>Also, the statutory officers and the CX have started to have fortnightly meetings so that any issues and concerns can be raised and quickly addressed.</p>

31/01/2023		
SR 006 Governance : RM01 Risk Consequence	Score	2
	Target	2
	Direction of change	➡
SR 006 Governance : RM02 Risk Likelihood	Score	1
	Target	2
	Direction of change	➡

 Associated Corporate Risks

		31/01/2023
CR 028 Governance failures : Status	Score	4.00
	Target	4.00
	Performance	★
	Direction of change	➡
	Comments	A review of the Constitution is taking place to make sure that it is fit for purpose and has the right level of controls in place and once completed there will need to be a programme of training for Members and officers.

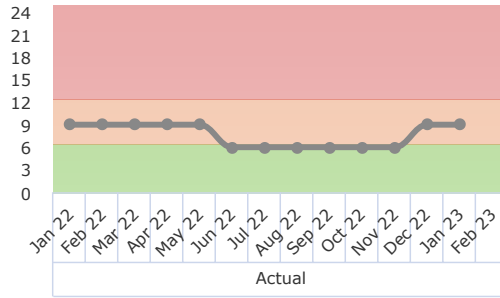
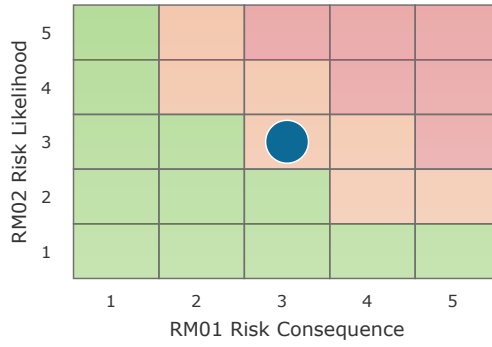
 Control, Contingency & Mitigating Actions

Implemented		
	Responsible	Dec 22
<input checked="" type="checkbox"/> Annual Assurance Statements	Alison Chubbeck	✔
<input checked="" type="checkbox"/> Annual Audit Report	Lucy Hume	✔
<input checked="" type="checkbox"/> Annual Governance Statement 2019/20 supported by assurance framework	Alison Chubbeck	✔
<input checked="" type="checkbox"/> Annual Governance Statement 2020/21 supported by assurance framework	Alison Chubbeck	✔
<input checked="" type="checkbox"/> Audit programme	Lucy Hume	✔
<input checked="" type="checkbox"/> Clear robust corporate governance framework	Renata Carfoot	✔
<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	Alison Chubbeck	✔
<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 Overview and Scrutiny Committee	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	Alison Chubbeck	✔

Outstanding
This report does not contain any data

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

31/01/2023		
SR 007 Reputation : Status	Score	9.00
	Target	4.00
	Performance	●
	Direction of change	➔
	Comments	The reputation of the Council might be impacted by the strike by workers at Serco, who are striking over their pay award. However, to date non-striking workers have worked very hard to try and reduce the impact and have by and large managed to still deliver the service. There has been some impact on service delivery but not to the extent expected so far. However, the longer the strike goes on the more likely it is that there will be an impact as the non-striking workers will struggle to continue to provide the service at the current level.

31/01/2023		
SR 007 Reputation : RM01 Risk Consequence	Score	3
	Target	2
	Direction of change	➔
SR 007 Reputation : RM02 Risk Likelihood	Score	3
	Target	2
	Direction of change	➔

Associated Corporate Risks

This report does not contain any data

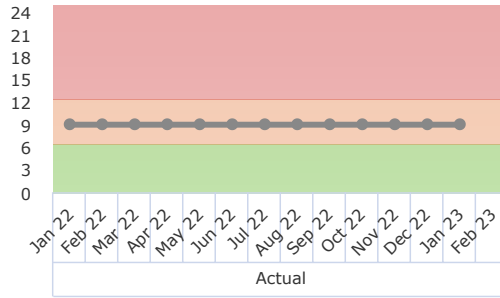
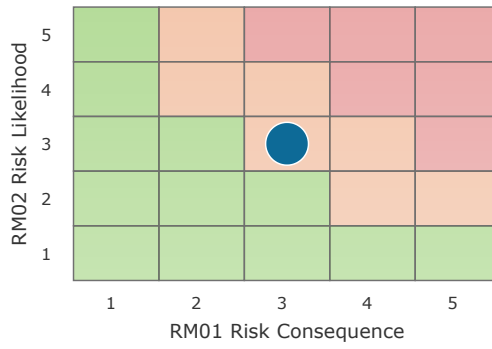
Control, Contingency & Mitigating Actions

Implemented		
	Responsible	Dec 22
<input checked="" type="checkbox"/> 3.1.2 Review and refine our Customer Strategy	Stuart Harber	✔
<input checked="" type="checkbox"/> Clear robust corporate governance framework	Renata Garfoot	✔
<input checked="" type="checkbox"/> Develop and Implement a Communications Strategy	Joe Ferrari	✔

Outstanding
This report does not contain any data

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

		31/01/2023
SR 008 Corporate project related risks : Status	Score	9.00
	Target	4.00
	Performance	●
	Direction of change	➔
	Comments	<p>The Reef Project has been reviewed by OSC and GRAC and lessons learnt have been noted. There was an overspend (reported incorrectly as slippage) of £100k on a £12.7m project spend.</p> <p>The North Walsham HAZ projects is nearing completion and should be finished within the next month. There has been an overspend on this project which continues to be closely scrutinised. The additional budget for this has been approved by full Council.</p> <p>The Cedars refurbishment project is an area of concern and has run into various problems with the contractor having gone into administration. This has in turn created issues with more work left to be done than realised, increases in costs and occupancy once works have been completed.</p>

		31/01/2023
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	3
	Target	2
	Direction of change	➔

Associated Corporate Risks

		31/01/2023
CR 030 Sheringham Leisure Centre : Status	Score	6.00
	Target	4.00
	Performance	★
	Direction of change	➡
	Comments	The final account remains to be settled. Information from the construction company is awaited before the final accounts can be agreed.
CR 032 Fakenham new roundabout - Delivery of highway infrastructure (roundabout) on A148 : Status	Score	9.00
	Target	6.00
	Performance	●
	Direction of change	➡
	Comments	Increased costs over recent months has lead to this scheme not being able to be delivered during 2022. Positive discussions have been held with the applicant and their representatives and a way forward identified. Existing Controls Emerging Local Plan <ul style="list-style-type: none"> Stakeholders monthly meeting Regular dialogue with Norfolk County Council Liaising with NNDC Chief Executive Keeping ward Members informed Funding opportunities explored Applications to carry over existing funding being submitted (November 2022). Further action to achieve target risk score <ul style="list-style-type: none"> Close liaison with stakeholders in exploring potential funding opportunities. Continued input and financial support in relation to design to ensure that infrastructure is able to be delivered during 2023. Suybmitted bids to extend match funding to Norfolk County Council. Awaiting outcome.
CR 033 North Walsham High Street Heritage Action Zone - project incomplete : Status	Score	9.00
	Target	4.00
	Performance	●
	Direction of change	➡
	Comments	Project reports taken to O&S, Cabinet and additional budget was approved by Full Council.

Control, Contingency & Mitigating Actions

Implemented			
	Responsible	Dec 22	
<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				
	Stage	Responsible	Dec 22	
<input checked="" type="checkbox"/>	Emerging Local Plan	In Progress	Mark Ashwell	Performance
				Comments
				●