

Inherent Risk								Residual Risk					Actions			
Risk No.	Risk Description	Cause	Effect	Owner	Likelihood	Impact	Score & RAG	Key controls	Sources of assurance over controls	Likelihood	Impact	Score & RAG	Actions	Owner	Target Date	Action RAG
1	Children's Trust fails to deliver to the agreed standards / failure of the Council's Intelligent Client Function (ICF).	NCT does not meet its requirements in the improvement plan. ICF fails to identify and address areas for improvement.	Risks to child safeguarding. Poor quality of service and outcomes for service users.	Exec Director of Children's Services	5	4	20	Intelligent Client Function (ICF) is in place and clear governance arrangements set out in the contract with monitoring of performance and financial plans via operations board and strategic board. Regular Ofsted monitoring visits will provide independent performance feedback at regular intervals.	Ofsted inspections. Internal Audit of governance arrangements 2021/22: Satisfactory Assurance - with action plan in place to prioritise areas for improvement.	3	4	12	Complete restructure and recruit to posts.	Assistant Director of Commissioning	Jan-23	A
2	Failure of corporate governance/meeting statutory requirements/ poor decision making.	Lack of awareness of decision making and legislative requirements. Continuation of processes from predecessor authorities which are no longer in place. Culture of good corporate governance not permeated through organisation. Lack of legal support and updates on legislative changes. Strong governance processes not yet implemented for all matters.	Failure to ensure best value. Breach of legislation which increases risk of legal challenge. Unlawful decisions made.	Director of Customer & Governance	4	5	20	Decision making training undertaken and resources available on intranet. Stabilised legal and democratic service to provide proactive advice. Implementation of processes and procedures to support a good corporate culture. Legal support being proactive and engrained in services. Governance processes continuing to be implemented.	Records of decision, Forward Plan, increased advice from legal and democratic services. Audits of service. Policies and Procedures.	3	5	15	A programme of training and engagement for all staff will be implemented.	Assistant Director of Legal and Democratic	Feb-22	A
3	Loss of data or systems due to cyber attack	Failure of preventative and detective controls leads to successful attack on Council systems.	Disruption to service delivery. Reputational damage and loss of customer confidence. Financial loss, penalties and fines.	Assistant Chief Executive	This risk is confidential to protect system resilience. Its presence on the Register reflects the importance of this issue. It does not represent that weaknesses are evident. Controls in this area include critical software being kept up to date through regular patching and updates and acting quickly upon reports of issues and on feedback from specialist IT auditors / penetration testers.											
4	Disruption to service delivery and community due to unplanned incident or emergency	Lack of adequately resourced, experienced staff to fulfil BC roles. Lack of understanding of BC processes by Service Areas. Failure to address critical BC issues. Lack of completed BC plans to	Failure to deliver timely and effective BC Work Programme. BC arrangements not in place. Ineffective response to a BC incident. Low levels of resilience exacerbating impacts. Public harm, financial losses,	Exec Director of Place & Economy	5	4	20	Workforce planning; Training plans; Effectively managed BC programme; Adequate investment to address critical resilience issues; Defined, established and rehearsed emergency management processes.	NNC has an established Critical Incident Plan which is supported by emergency management arrangements to provide a core capability for the management of disruptive incidents. These arrangements have been validated by incidents in the last 12 months. Where lessons were identified, action is underway to address these issues NNC has an established BC steering group to coordinate and oversee the development of BC arrangements across	3	4	12	Ongoing delivery of the BC work programme under direction of BC steering group Conduct cyber attack exercise programme (linked to risk 3) roll out of BC assessment tool and plans template Review of NNC Critical Incident	Matt Hoy	Mar-23	G
5	Failure of capital and revenue projects to deliver upon intended benefits, within budget and planned timeframes.	Multiple causes including inflationary impact, cost of borrowing, lack of resources, lack of pace, poor scoping of activities, outcomes and benefits, time slippage, budget or scope creep, change of legislative or original priorities. external factors taking priority	Failure to deliver timely and effective projects. Financial penalties. Reputational damage. Legal implications, penalties and failures. Service failure. Customer/community impact.	Exec Director of Finance & Performance	4	4	16	Defined governance programme in place including: Place Capital Programme Board; Strategic Capital Board. There will be corporate governance under the remit of the constitution and Senior Responsible Officer with scheme of delegation, CLT; Member Transformation Board. Reporting into Service Delivery EAPs. Quarterly Capital and Monthly Revenue Reports to Executive and the following Finance and Resources Scrutiny. Individual Project Boards established for relevant projects. Transformation Change Control process. Capital Update report on new/changing projects to Executive each month.	Internal Audit Review of Capital Programmes scheduled for 2022. Internal Transformation Team reviews and Internal Audit (recent "Good" score for disagg programme, for example). Process for approval of capital projects reviewed by Finance and Resources Scrutiny Committee.	3	4	12	Scrutiny of programme progress at established Boards and ad-hoc e.g. project/programme audits by Transf. Team or Internal Audit. New Performance / PMO role established in finance to monitor project progress and risks. Dedicated Head of Capital Projects (property) proposed to ensure sufficient capacity to manage current and forthcoming projects effectively.	Janice Gotts/CLT Owner	Mar-23	G

6	Failure to safeguard vulnerable adults.	Failure to meet statutory requirements under the Care Act. The Care Act 2014 sets out that the local authority must act when it has reasonable cause to suspect that an adult in its area has needs for care and support or is experiencing or at risk of abuse or neglect.	An adult is harmed due to failure to exercise safeguarding duties. Financial implications. Reputational damage. Failure to meet areas of importance. Continue to neglect individuals' wellbeing. Poor outcome for people.	Exec Director of Adults, Health Partnerships & Housing	4	5	20	Audit compliance NSAB Delivery Board Workstream on Safeguarding KPI data reporting on Safeguarding Training on Safeguarding Quality Assurance Board with Commissioning Forthcoming Safeguarding Audit to be established. Principal Social Worker Framework	Internal Audit of Adult Safeguarding referrals 2021/22 - satisfactory assurance Internal Audit of DoLS 2021/22 - limited assurance:	3	4	12	- Audit compliance: roll out of new SG audit Dec 2022 - NSAB Delivery Board Oversight - Workstream on Safeguarding KPI data reporting on Safeguarding: analysing activity against processes. Eclipse safeguarding processes reviewed to make these more robust and reflective of activity in teams -changes agreed and have been forwarded to the eclipse IT team for implementation - Training on Safeguarding: this has been reviewed. Competency document created that identifies mandatory and recommended training for Level 1 and Level 2 staff across all of NNC - Quality Assurance Board with Commissioning: this now has independent scrutineer from NSAB attending for additional scrutiny. - Principal Social Worker Framework: •Strengths-based Principal support to front door	David Watts/Zakia Loughhead/Sam Fitzgerald	Ongoing	G
7	Unsustainable finances (medium term)	The position from 2023/24 is far more uncertain due to the prevailing economic climate particularly inflationary factors for pay and prices, most notably the impact of energy inflation. There remains risks from COVID-19 in some form, general demographic changes and continuing LGR/transformation related changes. This risk reflects this uncertainty.	Future resources are insufficient and this results in non achievement of Corporate Plan priorities, with consequent negative impacts on residents and other stakeholders.	Exec Director of Finance & Performance	4	4	16	Ongoing intelligence and lobbying alongside working to ensure robustness of the budgets following LGR. Financial planning and budget proposals and savings / income generation options. based on prudent assumptions. Challenge of budget proposals. All work linked to future transformation programme across all aspects of the Council. Transformation and specific working groups to address specific budget areas. Review potential external funding opportunities to meet service need.	CIPFA Financial Management Code self-assessment Budget Scrutiny Arrangements	3	4	12	Continuing development of the MTFP for minimum 3 years. Work with services to identify efficiencies, cost controls and income generation to protect vital services. Factor in the announcements from the Chancellor's Autumn Statement due on 17 November. Strong focus also on areas outside the General Fund, ie DSG and HRA	Executive Director of Finance and Performance	Feb-23	A
8	Inability to remain within budget (current year)	Issues arising from LGR and legacy arrangements which have not been factored into the budget in line with actual requirements. The requirements from demand led services such as children's outstripping the budgetary provision. The impact of inflation on the Councils Finances is significant in 2022/23. The level and extent of the inflationary increases could not have been foreseen at the time the budget was set. The cost of living crisis continues to place further demand on services as well as present difficulties for income generation in areas such as leisure.	The Council will not remain within budget in the current financial year 2022/23, including non-delivery or under delivery of savings	Exec Director of Finance & Performance	4	4	16	Ongoing monitoring and scrutiny Reserves and contingency to offset in year pressures. Robust governance arrangements for approval of any new/unplanned spend or proposals. Closely monitor the financial position and work with colleagues to mitigate any pressures in year. Continue to work through transferred budget to identify underlying issues and risks and address as part of the MTFP. Closely manage any rent review and requests for rent reductions ensuring appropriate property and legal expertise is engaged to support the negotiation process.	CIPFA Financial Management Code self-assessment. In year monthly monitoring to Executive and regular scrutiny by the Finance and Resources Scrutiny Committee	4	4	16	Continue to work through the detail of the budget focus on - demand led services, particularly Children's Trust - salaries (Including the use of external resources), income and arrangements with West (other LA's ex LGSS) Work to identify in-year mitigation as well as close working with the Children's Trust to understand the driving factors for, and the likelihood of, their spend position.	Executive Director of Finance and Performance	Ongoing	G
9	Inadequate data sharing and data security arrangements leading to non-compliance with legislative requirements.	Processes and procedures are not effective. Officers do not comply with processes and procedures. Inadequate training to promote requirements and risks. Information Asset Registers aren't complete.	Loss of data. Financial fines/penalties. Reputational damage.	Exec Director of Customer & Governance	3	4	12	Information Asset Registers. Data protection training for staff and Members. Data protection policies and guidance for staff. Data Protection Officer in post IT health checks including penetration testing, information sharing agreements with partners and agencies	Internal Audit of Information Governance 2021/22 - Satisfactory assurance.	3	4	12	Programme of updating Information Asset Registers to be actioned to ensure a rolling commitment to updating.	Data Protection Officer	Ongoing	A

10	Procurement - Key suppliers of goods and services (including hosted / shared services) fail to deliver services to the required standards and capacity - thereby, impacting on the Council's ability to operate effectively in delivery/provision of services.	This may be due to lack of financial resilience or other factors, impacting the onward ability of the Council to secure required services to its residents. A key risk given COVID impact, inflationary pressures, negotiation of UK trade deals following UK Exit and lack of competition in some markets. Poor contract management may lead to failure to highlight and address performance issues effectively.	Financial and legal implications for the Council. Implications for maintaining appropriate standards for key service functions and impact on customers. Reputational damage for the Council and the Contractor. Early termination of the contract because of operational failures by the Contractor. Withdrawal of the service by the Contractor owing to dispute with the Council. Legal challenge on award of contracts / failure to achieve value for money.	Exec Director of Finance & Performance	3	4	12	Professional Procurement Teams in place to support services in effective management of procurement lifecycle; including supplier due diligence. Includes involving all directorates. Contract management register and risk assessment in place. Bankruptcy / Liquidation Policy to enable consistent response to supplier failure. Enhanced due diligence arrangements developed and Due Diligence working group in place. Risk reduced but maintained at medium due to wider risks of supplier resilience outside of control of the Council and acute given ongoing impacts of Covid19 and of agreeing post EU trade deals. Reporting to: Commercial Board, CLT and Resources and Governance Scrutiny Committee	Internal Audit review of Procurement Compliance 2021/22 (Satisfactory assurance rating) Internal Audit review of Contract Management in Place and Economy (Good assurance rating).	2	3	6	Ongoing work with Directorates regarding Procurement requirements and maintenance of the Contract Register with a view to timely procurement and greater contract negotiation potential.	Head of Corporate Procurement	Ongoing	G
11	Inadequate organisational capacity.	Increased turnover resulting in increased vacancies. Recruitment challenges due to a buoyant employee market.	Reduced service provision, negative impact on health and wellbeing of officers	Exec Director of Customer & Governance	5	4	20	Data considered by members and senior leaders on a monthly basis. HR Policies to support effective recruitment. People Plan in place to support employees. Future Ways of Working Strategy in place to attract employees and support health and wellbeing as well as ensuring excellent services are delivered. Managers supported to understand areas and any organisational challenges. Apprenticeship Policies being implemented to support "grow your own".	HR data presented to Executive monthly. Management information provided to managers within the organisation. Policies and Procedures.	3	4	12	Agreement of Pay and Grading structure which is attractive and affordable. Further communications being rolled out to ensure that officers are aware of ongoing work on pay and grading. Implementation of Health and Wellbeing Strategy. Increased support for line managers.	Assistant Director of HR	Mar-23	A
13	Historic and Legal issues that the Council inherits from predecessor Councils.	Matters arising from actions/omissions of previous authorities which may be challenged	Reputational damage, financial and legal implications	CLT	3	5	15	Risk Registers, understanding of previous actions/omissions by senior management.	Risk Registers	2	5	10	No further actions are required however officers will continue to notify if any matters arise.	Assistant Director of Legal and Democratic	Ongoing	G
14	Consolidation and/or disaggregation of services into the new Unitary delivery.	Significant recruitment Onboarding staff from WNC to NNC. Pay and responsibility differentials.	Reduced levels of services to customers Difficult to recruit to key/statutory posts Increased cost of service delivery	CLT	3	4	12	Agreed HR process & disaggregation principles between NNC/WNC on transfer of staff Statutory staff consultation process in place Updates to Directorate forums with Unions to include info on new service structures Transformation Impact assessments undertaken	Transformation Impact Assessments Transformation Business cases Transformation decision process through Joint Officer Board and Shared Services Joint Committee Member Transformation Board Directorate Union consultation Forums	3	4	12	Work is continuing to restructure services and align contracts as services are brought together. The disaggregation of services was led the Directorates with support from Transformation and this will continue with the changes to the Leadership structure and the embedding of the transformation resource within Services.	CLT	Ongoing	A
16	Breaches of health and safety responsibilities result in injuries/harm to staff, tenants or service users.	People Ineffective or insufficient competent advice. A lack of leadership engagement and competence in HSW matters. Lack/loss/movement of those with additional H&S responsibilities.	Injury / harm to individual(s). Financial penalties and fines. Prosecution of organisation and/or individuals. Reputational damage. Employees do not feel safe and supported and decide to leave	Exec Director of Customer & Governance	5	5	25	•Nominated Director for HSW (Exec Director Legal & Governance) •HSW policy in place and signed off Chief Exec. •Supplementary procedures on specific risks / processes. Procedures have identified owners across various departments. •HSW intranet pages to publish / communicate information. •Contracts for occ health, eye care and eap	•Management self-audits and inspections (HSW Management Tool) •HSW team led audits. •Reporting and investigation of accidents and incidents. •HSW monitor accident and incident reports. •Competent person inspections of plant and equipment. •Internal audit. •Routine/non-routine visits from enforcement authorities (fire, hse). •Directorate HSW forums and Joint HSW committee's established (Qtrly meetings).	3	5	15	Health and Safety audits to be completed for the minority of services still to complete. Training to be undertaken on a regular basis. Health and Safety colleagues to continue to work with services to ensure good practices.	Assistant Director of HR	Ongoing	G
18	Transformation Plan not delivered as endorsed by Executive, affecting the ability to deliver benefits of projects/programmes within the plan.	External (corporate wide or external to organisation) pressures impact upon the delivery of the Transformation team. increase in service demand for Transformation – leading to the service being overwhelmed by competing demands on resources and disappointment amongst customer base with pace achieved.	Failure to deliver planned benefits and savings.	CLT	3	4	12	An Enabler Working Group has been set up to review competing priorities / resource demands and there will be regular reviews of gateway process to evaluate urgency/criticality of new project proposals. Governance within the Transformation Programme including: Officer Transformation Board; Member Transformation Board. Reporting into Service Delivery EAP. Individual Project Boards established for relevant projects. Transformation Change Control process. Transformation Plan approved.	Internal reviews and Internal Audit (recent "Good" score for disagg programme, for example)	3	3	9	Following the leadership review, transformation resources have now been realigned to each Service Directorate to continue to focus on service change and improvement in line with Council priorities.	CLT	Ongoing	A
19	Pay and Grading resources and expertise	Pay and Grading is regarded as HR project rather than corporate transformation project. There is a lack of specialist resource in North to lead and support this critical work. AD leading this, as well as other key projects - recruitment, FWOV people workstream, people strategy and disaggregation of L&D.	Serious risk that the project will drift and not achieve the aims of a competitive and comprehensive pay and reward structure for the North. Financial risks if financial expertise and capacity is not integral to the project. Financial risk to HR budget as this should not be a pressure on the HR budget.	Exec Director of Customer & Governance	4	4	16	Establish Pay and Grading as a corporate transformation project and resource with adequate specialists / expertise.		4	3	12	Continue to seek specialist resource from both within the substantive team and external to support project.	Assistant Director of HR	Ongoing	G

20	Cost/Service Need being in excess of budget and activity anticipated due to Cost of Living impact	National/global recession resulting in business failure and unemployment Growth or decline of the local/national economy - adverse impact on interest rates, inflation and service demand	Increased requirement for benefits, housing, Council Tax support, business advice and support. Adverse impact on demand led services eg homelessness. Adverse impact on other services due to reduction in disposable income eg use of leisure facilities. Impact on services to deliver support packages	CLT	4	4	16	<p>Emergency Planning Business Continuity Plan - Reviewed as part of Business Continuity Arrangements through Emergency Planning Team.</p> <p>Identified area on the Council's website to provide details of support for residents including wider link to Government support - https://www.northnorthants.gov.uk/cost-living</p> <p>Existing Council support mechanisms for those in need and wider community support networks</p> <p>Specific government funding streams such as Household Support Fund; £150 Energy rebate etc administered by the Council.</p> <p>Macro controls to offset inflation. However, this often means interest rate rises and affects predominantly home owners.</p>	<p>Emergency Planning Business Continuity Planning Process and information dissemination.</p> <p>National Announcements for Government support - https://www.gov.uk/cost-of-living-ya-help-alleviate-individual-and-organisational-pressures.</p> <p>Current service provision and controls including work with community groups.</p> <p>Bank of England control mechanism</p>	3	4	12	<p>Specific group set up to look at implications arising from the cost of living crisis and impact/support.</p> <p>Warm Spaces established in each of the 6 NNC statutory libraries; 16 community managed libraries being supported with funding to establish war spaces; Wider VCSE surveyed to see who is setting up warm spaces, to be published on NNC website; NNC dedicated COL web pages signposting residents to support established.</p>	Assistant Director Communities	Ongoing	G
----	---	--	--	-----	---	---	----	--	--	---	---	----	---	--------------------------------	---------	---