

APPENDIX B: STRATEGIC RISK REGISTER

No	Risk Description	Risk Owner	Inherent risk			Response	Risk Appetite	Mitigating Actions (These must be SMART actions with implementation dates)  (Key Controls)	Monitoring frequency	Monitoring forum e.g. ELT, DMT etc.	Current risk			Target Risk Rating	Cabinet Portfolio
			Impact	Likelihood	Inherent Risk Rating						Impact	Likelihood	Residual Risk Rating		
SR01	<b>Data Management including Cyber Security:</b> Insufficient security or recovery plans for data held and IT systems used by the council resulting in a risk of: data breach, loss of service, malicious attacks or inability to deliver services due to loss of systems and data.	Chief Information Officer	5 - Very high	4 - Likely	20	Treat	Minimalist	Our Cyber Action Plan tackles the four major objectives defined by the Cyber Assessment Framework produced by the National Cyber Security Centre: A - Managing security risk B - Protecting against cyber attack C - Detecting cyber security events D - Minimising the impact of incidents The plan includes various milestones through to June 2024 which progressively tackle these objectives and decrease risk	Quarterly	DTI Strategy Board	4 - High	3 - Possible	12	6	HR & Corporate Services
SR02	<b>NPH Residential - Change in Regulations:</b> Recent change in regulations to have more emphasis on WNC managing the deliverables of NPH. Reputational, financial, H&S and legal risks of non-compliance.	Director Communities & Opportunities	4 - High	3 - Possible	12	Treat	Minimalist	Completion of DHLUC registration of properties - mid sept 2023 - completed Incorporate building standards monitoring, as per new regulation in regular monitoring process at appropriate NPH forums . Work with NPH to ensure capital programme reflects the priorities outlined in the building condition surveys to achieve all minimum standards.	Monthly	WNC /NPH - Place , People & Finance Forums.	3 - Medium	3 - Possible	9	9	Housing, Culture & Leisure
SR03	<b>Cost of living impact - increased demand for services:</b> Lack of resources and systems in place locally to cope with additional demand on core services. Significant increase in self neglect being encountered.	Executive Director of People	4 - High	4 - Likely	16	Treat	Minimalist	Household support fund distribution was prioritised to areas assessed of greatest need but is now expected to cease from March 2024. Migrations to implement will focus on communication and engagement with parents and schools with the main risk area being the end of support for children on free school meals during the holidays.	Monthly	People SLT	4 - High	4 - Likely	16	12	Adult Care, Wellbeing & Health Integration
SR04	<b>Availability of affordable rental accommodation:</b> Lack of supply of appropriate local affordable housing.	Director of Communities and Opportunities	4 - High	5 - Very likely	20	Treat	Open	1. Develop clear strategic plan re housing needs and development 2. Review of preventative actions to confirm effectiveness of existing measures and develop new . 3. review of temp accomm residents to ascertain move on plans and incentivise to move into PRS 4. Review of existing nightly paid accomm to determine best value (All from July 2023). Weekly performance stand up to measure real time effectiveness 5. New DPS proposal to Cabinet October 2023 for implementation 2024.	Monthly	WNC /NPH - Place , People & Finance Forums.	3 - Medium	3 - Possible	9	9	Housing, Culture & Leisure
SR05	<b>Health and Safety of WNC properties:</b>	Executive Director of Corporate Services and Executive Director Place	4 - High	4 - Likely	16	Treat	Open	1. New system being implemented for Property management - will provide wider assurance and better governance of all properties 2. New system being procured for H and S and linkages to property 3. H and S overarching strategy being developed 4. H and S audit recommendations being implemented 5. Working group across directorates to pick up key actions 6. Reminder comms given to all ADs.	Monthly	SLT/ELT	4 - High	3 - Possible	12	9	HR & Corporate Services
SR06	<b>Inability to recruit and therefore deliver:</b> Workforce skills and capacity – inability to attract or retain staff with the right skills, experience and knowledge. Succession planning and over reliance on key individuals, retention.	Assistant Director HR	4 - High	4 - Likely	16	Treat	Open	Our People strategy delivery (Yr 2) is underway with a series of projects designed to ensure we are an employer of choice and can attract and retain staff with the right knowledge, skills and experience. Key activity pertinent to this risk includes: i) Implementation of new pay and grading structure and investment in annual pay awards to ensure we offer market rate salaries for the majority of roles with ability to flex via market factor supplements. ii) Employer brand implementation underway supported by fully staffed resourcing team, robust applicant tracking system and use of a variety of different media in order to increase our brand reach, target particular groups and head hunt as required. iii) Monitoring of exit interviews and glassdoor/indeed ratings and taking corrective action as necessary and contract in place to utilise agency workers as required. iv) Apprenticeship strategy in place, review of learning and development offer underway and formation of our internal mobility strategy planned for Aut 2023.	Quarterly	ELT and Transformation Board	3 - Medium	3 - Possible	9	8	HR & Corporate Services
SR07	<b>Risk of significant change in policy direction:</b> Outcome of the next general and local elections and the potential impact of political change on service delivery through government instability and changes in law/regulations/policy/funding.	Chief Executive	4 - High	4 - Likely	16	Treat	Open	Continue to engage with all political groups at West Northamptonshire Council to maintain awareness of key issues and ensure members are fully briefed. Facilitate cross party working on priority initiatives e.g. Sustainability and anti poverty to ensure buy in from all groups. As an active member of the Local Government Association continue to engage with national lobbying initiatives by the local government community.	Monthly	ELT	3 - Medium	4 - Likely	12	12	Strategy (Leader)

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SR08	<b>Inter authority agreements:</b> The lack of legally constituted arrangements and consensus for the inter-authority agreements means the Council's financial situation is uncertain and an inability to finalise accounts and balanced budgets	Director of Legal and Democratic Services	4 - High	5 - Very likely	20	Treat	Minimalist	46 Finance schedules should be in place to determine a clear basis for claiming against NNC. Un-executed agreements as to how the authorities charge each other have been agreed and are in place for 22/23. There is a need for agreements to be prepared and agreed for 23/24 onwards which are in the process of being developed. The agreements should include:  1. Finance Schedules (Schedule 3s) 2. Service Schedules for the services in the agreement (Schedule 2s) - so we can hold the North to account for delivery. 3. Exit plans for those services going through disaggregation so that disaggregation doesn't leave us with stranded costs etc.	Monthly	STORM, IAA Group	4 - High	4 - Likely	16	8	Finance
SR09	<b>NCT - relationships management (WNC / NNC / NCT)</b> Complexity of management relationship impacts on the services provided	Director of Children's Services	4 - High	4 - Likely	16	Tolerate	Seeking	1 Continue to reset relationships, we have some challenging times ahead linked to finances, but we need to continue to work open and transparently with NCT /NNC. (contract sum agreed - review March24) 2 Consider remodelling current meetings to ensure the right conversations are taking place, and not duplicating. This may help reset relationships and linked to the new T&E Board this has taken place but will be reviewed in 6 months June 24 to ensure working effectively) 3. Review of the ICF is underway to reset the work this does on both Councils behalf (March 24)	Monthly	Operation Group / Strategic Group	2 - Low	3 - Possible	6	4	Children, Families & Education
SR10	<b>NCT - Financial pressures:</b> There is a risk that the finances are not controlled by the Trust leading to continued poor ratings, intervention and additional cost to the Council who remain statutorily responsible despite having no delivery responsibility	Director of Children's Services	5 - Very high	5 - Very likely	25	Treat	Open	1. Contract Sum Workshops completed - review again in March 24 2. Understand NCT's Forecasting Methodology - informal step in and work undertaken with the Trust has given more assurance - review again in March 24 3. Continue to hold NCT to account around spend and understanding spending control - regular reviews through contract meetings	Monthly	Contract Sum / Joint Officer Board	5 - Very high	4 - Likely	20	9	Children, Families & Education
SR11	<b>Strategic communications and reputational risk:</b> Historic issues relating to legacy councils are not managed or communicated in a timely and effective manner.	Assistant Chief Executive	4 - High	4 - Likely	16	Treat	Cautious	Communications and engagement business partners to continue to work closely with portfolio holders and DMTs to ensure any communications issues are proactively identified and managed to maintain the council's reputation.	Monthly	SLT/ELT	3 - Medium	3 - Possible	9	9	Strategy (Leader)
SR12	<b>RAAC (Reinforced Aerated Autoclaved Concrete)</b> - Concerns re the safety of School (any WNC Buildings) built between 1950 and 1990 and which are of a flat roof construction - this is a national issue which could result in school closures or partial closure and could result in children NOT having a school place and missing out on education (including children with EHCPs who have named educational within their plan). Significant impact on children's education if schools closed, safeguarding and reputational risk.	Director of Children's Services	5 - Very high	5 - Very likely	25	Treat	Open	All local authority schools have been inspected following government guidance with the result that only one LA maintained school has been found to have limited RAAC in part of the roof with minimal educational impact. A further Trust School NIA (not the responsibility of WNC) has also been found to have more significant issues and will require more assistance and support in regard to maintaining the educational support and possible relation of some of the children. Each school has now been appointed a DFE project manager and these will continue to work with the council to progressing the mitigations. Education to continue to maintain a dialogue with DFE in regard to support required. Education to maintain a dialogue with assets to ensure rapid deployment of required infrastructure of temporary buildings is provided. December 23 - no further school identified, those identified (2) have plans in place and children remain in education	Monthly	SLT/ELT	3 - Medium	3 - Possible	9	1	Children, Families & Education
SR13	<b>Cladding</b> Participation in a HE pilot project has identified 8 buildings across WNC, managed by NPH, that do not meet the new fire safety standards applied to external cladding. Therefore a new FRAEW needs to be undertaken and all process reviewed regarding the access into and out of the buildings.	Director for Communities and Opportunities	5 - Very high	3 - Possible	15	Treat	Minimalist	All buildings have access to open to air corridors - all cladding in those corridors is being removed between end of October to end of December. Whilst work is being undertaken the residents have been informed that in the case of fire a "evacuation" process will be in place. A 24 hr waking watch is in place for the buildings whilst the work is being undertaken. As the cladding in the corridors is removed and the risk substantially reduced, the waking watch ends and the building reverts to an "In case of fire stay put" policy. 162 vulnerable tenants have been identified to be communicated with separately for extra support in case of fire. NPH bus is on sight with dtaff to reassura staff around new processes. All residents have received a letter	Monthly	ELT/ NPH Board	3 - Medium	3 - Possible	9	1	Housing, Culture & Leisure
SR14	<b>Financial Sustainability</b> Increasing demand for services, increasing cost of services and uncertainty relating to local government funding is a continuing risk to the Council which needs to be closely and carefully monitored	Executive Director - Finance	5 - Very high	4 - Likely	20	Treat	Open	Pro-active approach to budget management, monitoring and setting Regular updates on Finance to ELT each week Professionally qualified and competent finance staff Business partnering model aligned and working closely with services Cohesive senior management team that works well together and pulls in the same direction Linked into wider professional finance networks to receive early intelligence on emerging issues Professional advisors commissioned to provide specialist advice in areas such as tax planning and treasury management	Monthly	ELT/Cabinet	5 - Very high	2 - Unlikely	10	10	Finance

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SR15	<b>Disaggregation and other disputes</b> There are several areas with a potential financial impact currently in dispute. The most significant one is agreeing how some of the closing balances of the County Council will be split between West and North Northants.	Executive Director - Finance	4 - High	5 - Very likely	20	Treat	Open	Discussions have taken place with North Northants but we cannot reach an acceptable agreement and we are therefore progressing formal dispute resolution mechanisms to seek to progress in as timely a fashion as possible.	Monthly	ELT	4 - High	3 - Possible	12	8	Finance