

West Northamptonshire Council

Executive Risk Register

Quarterly Review - as at 31st March 2022.

This update will be reviewed by ELT on 19th April 2022 prior to Audit Committee on 28th April 2022

What this document is

This document sets out the Council's leadership risks. These are the primary risks to the Council. The attached register explains the risks and their inherent levels, together with mitigating actions being taken to reduce the risks to the residual level shown. The register is reviewed and updated by the Council's Executive Leadership Team monthly, and reported to Members quarterly.

The risk register shows how the Council is responding to risks resulting from Covid-19 while the pandemic's effects are still being felt and until the level of incident is deemed to have reduced and business as usual resumed. An additional column has been inserted for each risk.

Changes in risk this month - at a glance

Executive Leadership Risk	Residual Score	Direction of travel	Latest Update
E01 Financial Resilience & Sustainability	12 medium risk	↔	Ongoing impact of Covid-19 continues to affect all Council activities, mitigating actions and funding in place to reduce impacts
E02 Statutory functions	12 medium risk	↔	

E03 Childrens Trust	12 medium risk	↔	Childrens trust live in Nov 20 and arrangements now with WNC & NNC from April 21
E04 Workforce Capacity and skills	9 Low risk	↔	
E05 West Strategic Plan	12 medium risk	↔	
E06 Economic Recovery	12 medium risk	↓	Recovery Planning commencing as national lockdown release confirmed and impacts can be assessed alongside wider initiatives & funding. Residual risk reduced from 16 to 12.
E07 Strategic Community Partners	9 Low risk	↔	
E08 Critical Incidents	12 medium risk	↔	Significant resource still utilised in COVID response but moving to restore, recover and react stage
E09 Health & Safety	9 Low risk	↔	
E10 Information Security	15 medium risk	↔	
E11 Local Government Reorganisation closure	9 Low risk	↔	
E12 Corporate Governance	6 Low risk	↔	

Level of risk	How the risk should be managed
High Risk (16-25)	Requires active management to manage down and maintain the exposure at an acceptable level. Escalate upwards.
Medium Risk (10 -15)	Contingency Plans - a robust contingency plan may suffice together with early warning mechanisms to detect any deviation from the profile.
Low Risk (1 – 9)	Good Housekeeping - may require some risk mitigation to reduce the likelihood if this can be done cost effectively, but good housekeeping to ensure that the impact remains low should be adequate. Re-assess frequently to ensure conditions remain the same.

Risk Scorecard – Residual Risks						
		Likelihood				
		1 - Very rare	2 - Unlikely	3 - Possible	4 - Likely	5 - Very likely
Impact	5 - Very High	5	10	15 (E10)	20	25
	4 - High	4	8	15 (E01, E02, E03, E05, E06, E08)	16	20
	3 - Medium	3	6	9 (E04, E07, E09, E11)	12	15
	2 - Low	2	4	6 (E12)	8	10
	1 - Negligible	1	2	3	4	5

Risk Definition	
Exec Leadership	Strategic risks that are significant in size and duration, and will impact on the reputation and performance of the Council as a whole, and in particular, on its ability to deliver on its corporate priorities
Operational	Risks to systems or processes that underpin the organisation’s governance, operation and ability to deliver services

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Potential impact if risk not mitigated		Controls	Control assessment	Mitigating actions (to address control issues)	Comments	Ongoing COVID impacts
E01 - Financial Resilience – The Council's finances are not sustainable and stable as a result of economic shock, poor decisions or controls on investment or expenditure or unexpected demand						
Inherent risk level		Lead Member - Finance Portfolio Holder (Councillor Malcolm Longley)		Residual risk level		
Likelihood	4	Risk Owner - Chief Executive (Anna Earnshaw)		Likelihood	3	
Impact	4	Risk Manager - Executive Director Finance (Martin Henry)		Impact	4	
Inherent risk score	16			Residual risk score	12	
		Put the date DD/MM/YY when reviewed in box below ↓		Direction of travel		
		14/04/22		←→		
				Identify updated text with red font. Say what columns were updated in box>>>		
A1	COVID National emergency creates unfunded cost, demand and income pressures	COVID reserves brought forward from sovereign Councils to mitigate the ongoing impacts and risks of demand	Good	Finance have pulled together monitoring information on all COVID funds received so they can be tracked and monitored. COVID meeting held weekly which discusses the latest position on responding to the pandemic, considers business cases and tracks and monitors spend against some of the COVID funding.		
A2		Continuation of national grants to address loss of income, additional costs of social care and infection control measures.	Reasonable	Maintenance of central financial control and tracking for all COVID spend and income developed and being used to monitor and track COVID spend and remaining balances		
A3		Budget set for 21/22 includes provision for pressures on care and loss of income during the year	Good	Finance maintain tracking of pressures against assumptions and monthly financial reports of any new or emerging risks Covid contingencies continue to be held to deal with the pandemic.		
A4		Budget for 2022-23 includes re-assessment of COVID pressure but also realigns revenue earmarked reserves to create a risk reserve and builds further contingencies into the budget to deal with any further impact of COVID and other unknown impacts upon the budget	Good	Finance business partners meet regularly with service budget holders to run through their budgets in detail. Regular budget monitoring will highlight any emerging pressures and will provide advice on how these can be managed.		
B	Childrens demand rises leading to overspend in the Trust not visible to the Council and causes cost pressure on the budget of WNC	Regular and detailed financial reporting through the strategic and operational group meetings and use of contract mechanisms to hold trust to account and seek mitigations of pressures before Council support sought.	Good	Detailed financial report to be provided monthly from March 21	Trust advised on level of detail and assurance required. Currently no adverse pressure has been highlighted by the trust which will trigger the finance mechanism within the contract. WNC is in discussion with the trust about the allocation of COVID funding to them.	
C1	Inability to deliver financial efficiencies in line with budget assumptions	Savings slippage mitigated through COVID funding	Good	Savings tracker being implemented. The tracker was considered on the 24/05 for information. Finance will continually monitor the savings and report back to ELT regularly on them.	The budget monitoring process is also picking up and considering delivery of the efficiencies built into the base budget and will highlight any that appear to be off target. As we approach the end of the first year in existence the indication is that we will be in line with the budget that was set. This demonstrates that if individual savings have not been met they have been offset by variances and management action elsewhere.	
C2		Transformation plans in place to ensure that efficiencies from aggregation delivered	Good	The overall transformation budget is being scrutinised to determine its robustness. The budget will be re-cast to reflect the budget required to deliver transformation and an exercise is ongoing to gather up all of the different funding pots so they can be managed in one area.		
C3		Robust business planning process and savings monitoring to ensure savings deliverable and all dependencies are met	Good	Corporate business case process, robustness challenges and tracking to be put in place	Budget monitoring will highlight any service pressures and savings slippage and will seek to agree management action to bring any adverse variance under control.	
C4		Financial planning for 22-23 and 3 year MTFP starts as early as possible to ensure required efficiency or funding in place to meet predicted service costs and demands	Good	Financial planning cycle and steps to be set out and plans developed to quantify plans, improvements and savings for 3 year MTFP	Robust budget set for 2022-23 including the incorporation of a 'star chamber' process and 'budget robustness' challenge sessions.	

E01 - Financial Resilience – The Council's finances are not sustainable and stable as a result of economic shock, poor decisions or controls on investment or expenditure or unexpected demand					
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Likelihood	4	Risk Owner - Chief Executive (Anna Earnshaw)		Likelihood	3
Impact	4	Risk Manager - Executive Director Finance (Martin Henry)		Impact	4
Inherent risk score	16			Residual risk score	12
		Put the date DD/MM/YY when reviewed in box below↓		Direction of travel	↔
		14/04/22		Identify updated text with red font. Say what columns were updated in box>>>	
Potential impact if risk not mitigated		Controls	Control assessment	Mitigating actions (to address control issues)	Comments
D	Costs and pressures arise from LGR process and configuration of services as liabilities and costs not clear or stranded costs created	Robust budget disaggregation and prudent budget planning until steady state created and full cost base and income clear and stable	Good	Joint committee early cycle needs to resolve all outstanding budget uncertainty and IAAs need to be finalised with clear cost parameters and pressures reported into Budget reporting	Joint Officer Board and Joint Committee meetings have now commenced strengthening the previous governance arrangements that were in place.
E	Reserves insufficient to address unexpected financial shock, demand or funding gap	Reserves built up from sovereign councils to provide a solid based and to be maintained at prudent levels	Good		Level of reserves greater than the amount assumed when the final budget for 2021-22 was set.
F	Audits of 19/20 and 20/21 accounts for predecessor councils result in adjustments to WNC budgets	Closure team maintained with the knowledge of predecessor councils to support closedown and audits and ensure any risks are recorded and mitigated	Good	awaiting outcomes of the audits being completed within NCC and NBC prior to close and to check opening balance impacts in WNC	Closure of accounts going well. Just two sets of accounts outstanding (NBC and NCC for 2020-21) with both sets due to be considered at the Audit and Governance Committee to be held on 28 April 2022.
G	Reduced medium and long term financial viability	Medium Term Revenue Plan reported regularly to members. Budget monitoring timetable, robust financial management arrangements, close working relationship between finance, budget managers and directors, comprehensive financial reporting including the identification of budget variances, risk and mitigations when required. Monthly budget monitoring is now reporting separately on business as usual and Covid19 related spend	Good	Financial planning cycle and steps to be set out and plans developed to quantify plans, improvements and savings for 3 year MTFP	
H	Reduction in services to customers	Balanced budget with no service reductions already agreed and underway.	Good	ZBB exercise to ensure that detailed budgets reflect the agreed level of service provision and performance for all service areas.	Significant progress has been made in respect of the detailed budgets and ZBB process for 2021-22. Star chamber and budget robustness session built into budget setting for the 2022-23 budget strengthening the budget process further.
I	Reduced income	Detailed income tracking, forecasting and modelling of income and early warnings of any variations to plan through budget reporting	Good	Variances will be highlighted in the monthly budget monitoring reports.	
J	Reduced financial returns (or losses) on investments/assets	Good networks established locally, regionally and nationally	Good	Treasury management reported on a monthly basis and any variances are picked up as part of that exercise.	
		Governance committee to be established for all capital plans and spend	Good	All potential investments to now be taken through ELT/Committee prior to formal sign off. Robust review and challenge of our investment options to be regularly undertaken through our usual monitoring processes.	Capital Assets Board set up and meeting on a regular basis. Will be extended to include consideration of the HRA Capital Programme too.
K	Poor customer service and satisfaction	Performance and finance reviews of all services and robust transformation and service planning to avoid any deterioration on services as a result of financial pressures	Good	Service performance monitored through the quarterly performance monitoring reviews and financial performance monitored through the monthly financial monitoring process.	
L	Lack of officer capacity or skills to meet service demand and support robust financial management	Finance structure designed to ensure experienced support to all service areas and functions. Vacancies to be recruited asap. Financial procedure rules are in place to ensure services follow good practice. External advisors as required	Good	The interim finance structure has settled down well and the majority of vacant posts have been filled with experienced finance officers.	The Finance Service is in the process of bringing in a permanent finance structure to provide greater certainty from staff. There are not expected to be significant changes to the current 'interim' structure.

Ongoing COVID impacts

Potential impact if risk not mitigated		Controls	Control assessment	Mitigating actions (to address control issues)	Comments	Ongoing COVID impacts
E01 - Financial Resilience – The Council's finances are not sustainable and stable as a result of economic shock, poor decisions or controls on investment or expenditure or unexpected demand						
Inherent risk level		Lead Member - Finance Portfolio Holder (Councillor Malcolm Longley)		Residual risk level		
Likelihood	4	Risk Owner - Chief Executive (Anna Earnshaw)		Likelihood	3	
Impact	4	Risk Manager - Executive Director Finance (Martin Henry)		Impact	4	
Inherent risk score	16			Residual risk score	12	
		Put the date DD/MM/YY when reviewed in box below ↓		Direction of travel	↔	
		14/04/22		Identify updated text with red font. Say what columns were updated in box>>>		
M	Decisions taken by legacy authorities will lead to significant financial pressures that have not been budgeted for in West Northamptonshire	As decisions come forward they are being scrutinised with more rigour to ensure ELT are supportive of those proposals.	Good			
N	Emerging issues such as the impact of the new Social Care Reforms.	This is being proactively managed within the relevant service area (Adult Social Care in this case) who are reporting regularly to ELT on matters. The financial impact is being assessed and will be brought forward as part of budget monitoring updates in this year and in budget formulation for future years.	Reasonable	As more details on the reforms emerge we are able to assess the financial and non-financial impact and begin to manage the potential pressures.		
O	Ukrainian and other humanitarian crises that have cause a global economic impact.	We are monitoring closely the impact of humanitarian crises on the local economy where we are seeing particular pressure at the moment (19 April 2022) on the cost of building materials, utilities and other raw materials. There are likely to be other consequences as householders feel the pinch which potentially will have an impact on Council Tax and Business Rates collection rates.	Reasonable	Information on the reality of the pressures being faced will emerge in the regular budget monitoring reports that take place. The budget for 2022-23 was set up with base budget contingencies and a risk reserve to be able to better manage unexpected pressures on the budget suchas these.		

E02 - Statutory functions – Failure to deliver statutory duties to residents, including safeguarding duties to vulnerable residents and children

Inherent risk level		Lead Member - Portfolio Holder for Adult care, Wellbeing and Health Integration (Councillor Matt Golby). Portfolio Holder for Children, Families and Education (Councillor Fiona Baker)	Residual risk level	
Likelihood	3	Risk Owner - Chief Executive (Anna Earnshaw)	Likelihood	3
Impact	5	Risk Manager - Executive Director Adults, Communities and Wellbeing (Stuart Lackenby) and Director of Childrens Services (Cathi Hadley)	Impact	4
Inherent risk score	15		Residual risk score	12
		Put the date DD/MM/YY when reviewed in box below ↓ 12/04/22	Direction of travel	←→
			Identify updated text with red font. Say what columns were updated in box>>>	No change

Ongoing COVID impacts

Potential impact if risk not mitigated		Controls	Control assessment	Mitigating actions (to address control issues)	Comments
A1	Harm to residents or loss of life due to failure to Safeguard	Screening of all cases where Risk flagged internally or by Partner organisations	Good	Risks and issues associated with Statutory functions regularly reviewed and case rates for referral to safeguarding or serious cases tracked and monitored	Covid-19 has had an impact - risk of hidden or undetected harm - screening, rates and Staffing resources also being kept under constant review
A2		Early warning mechanisms in place and records updated with any concerns so immediate action or intervention can occur on notification of a concern	Reasonable	Safeguarding routes and monitoring fully staffed. Quality and safeguarding processes and reviews maintained and undertake regularly	Care home tracker in place nationally with tracking or all care homes for early warning signs alongside CQC monitoring
A3		Caseloads monitored to ensure that issues and risks not missed and all cases are allocated and subject to review	Good	Caseloads tracked and audit and assurance checks undertaken	
A4		Oversight and monitoring of Childrens Trust	Reasonable	Strategic and operational group monthly monitoring of Trust performance against KPIs and contract remedies in the case of failures	
B1	Non compliance with regulations, legislation and data protection if services deemed not to be safe and legal on transfer to West Northants Council from future Northants	IAAs in place with clear responsibilities and data sharing agreements where data, systems or staff and shared	Good		
B2		Critical products lists from FN tracked and checked with plans in place for post transfer to deal with any snagging issues or failures to meet duties	Good	Post day 1 tracker of all outstanding actions required	
C1	Legal challenge	Embedded system of legislation, training and policy tracking in place, with clear accountabilities, reviewed regularly by Directors.	Reasonable	LGR checks and policy reviews done on all critical and statutory policies for day and corporate repository available on intranet for staff set. Corporate intranet repository and accountability for policy/legislative changes	Clear action plan for review of all remaining policies to be checked and uploaded post vesting day EDs and ADs address potential policy / legislative changes through a DMT standard agenda item.
C2		Clear accountability for responding to consultations with defined process to ensure Member engagement	Good	Clear process for managing consultations	No direct Covid-19 impact.

Potential impact if risk not mitigated		Controls	Control assessment	Mitigating actions (to address control issues)	Comments	
D1	Ineffective practice/ professional standards leads to poor decision making, outcomes and interventions for poor performance	Risk assessment or initial screening of all cases into adults and childrens to ensure risks identified	Good	Adults and Childrens have intake teams that risk assess all initial contacts and all high risk cases passed to safeguarding for checks		Risk of hidden harm when services not fully open and clients in sight of social workers and support teams
D2		Training and development for professional staff	Good	Staff training for all staff engaged in statutory services to ensure legislation, controls and compliance understood		
D3		Adequate number of qualified and permanent staff employed to manage statutory functions	Good	Gap analysis and skills audit of all WNC teams to assess where staff inadequate to be safe statutory services		Risk in environmental health services during pandemic as less BAU work when focus is compliance with restrictions and lockdown
E1	Failure of care providers	Commissioning and quality teams ensure service standards are met and investigations are completed where reported concerns or as part of regular compliance checks	Reasonable	Quality and safeguarding processes and reviews maintained and undertake regularly		Care home tracker in place nationally with tracking or all care homes for early warning signs alongside CQC monitoring
E2		Ensure Market sustainability responsibilities met	Good	Care Provider Market managed and reviewed to ensure that meets current and emerging need and that fee and contract framework support sustainability		Additional funding for providers during COVID to help meet COVID and PPE costs
F		Support with the mandatory vaccination programme to minimise loss of workforce	Reasonable	Wide programme of work with system and PH to support providers and their workforce to maximise vaccination take up	To be monitored through the care home tracker by ACW SLT.	
G1	Potential financial liability if council deemed to be negligent	Clear accountability for horizon scanning, risk identification / categorisation / escalation and policy interpretation in place	Reasonable	ELT fully engaged	SMT receives a wide variety of reports/information to ensure that it gives its attention to strategy and horizon scanning. To ensure that SMT is fully sighted on all items, it has compiled an SMT tracker that links into the committee and BPM forward plans.	No direct Covid-19 impact.
G2		Robust Committee forward plans to allow member oversight of policy issues and risk management, including Scrutiny and Audit	Reasonable	Ensure committee forward plans are reviewed regularly by senior officers	To ensure that ELT is fully sighted on all items and forward plan tracker that links into the committee and BPM forward plans.	No direct Covid-19 impact.
G3		Internal Audit Plan risk based to provide necessary assurances	Reasonable	Ensure Internal Audit plan focusses on key leadership risks	Internal Audit Plan is approved and monitored by SMT and the Audit Cttee	Covid-19 has had some impact on the implementation of some internal audit recommendations (GDPR). These were recalibrated and are now back on track.
G4		Safeguarding Adults & Childrens boards in place with multi agency presence and accountability	Reasonable	New board constituted post Unitarisation and new cahir and assurance roles to be put in place		
H	Unexpected largescale emergency event impacting population health and wellbeing.	Robust Business continuity and critical incident plans in place in all areas and corporately	Reasonable	Corporate BCP Policy, Critical Incident and Emergency duty rotas in place and shared EP function with North for day 1	Need to undertake review priority services BCP plans to ensure that still appropriate for WNC after services from predecessor Councils merged	
I	Workforce qualified and trained to identify and act on risks	Safer recruitment practices and DBS checks for staff in regulated roles.				
J	Social Care Reforms will create significant budget challenges for the Council	Social Care Reform Board established to programme manage the implications	Reasonable	Cost of care work being implemented, system requirements being evaluated, provider engagement underway		

E03 - Childrens Trust - there is a risk that the quality of social care does not improve and demand and 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

Inherent risk level		Lead Member - Portfolio Holder for Children, Families and Education (Councillor Fiona Baker)		Residual risk level		
Likelihood	4	Risk Owner - Director of Childrens Services (Ann Marie Dodds)		Likelihood	3	
Impact	4	Risk Manager - Chief Executive - NC Trust (Colin Foster)		Impact	4	
Inherent risk score	16			Residual risk score	12	
		Put the date DD/MM/YY when reviewed in box below↓		Direction of travel	↔	
		03/03/22		Identify updated text with red font. Say what columns were updated in box>>>	No change	Ongoing COVID impacts
Potential impact if risk not mitigated		Controls	Control assessment	Mitigating actions (to address control issues)	Comments	
A	Democratic process and transparency not adhered or despite legal responsibility remaining with the Council	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	Good	Trust Risk Register, improvement plans and KPI performance reported to Operations Board on a monthly basis allowing early site and mitigation of issues. Contract allows for Trust to be called into Democratic meetings 3 times annually plus any agreed additional meetings to talk about service and performance	ICF recruitment delayed by 6 months and planned financial and administrative support not in place to service the agreed Governance processes. This prevents proper control through the ICF being fully effective. The Trust has continued to improve its performance reporting. The loss of the joint DCS may create a short term gap in oversight that the ICF will need to mitigate	
B	Council becomes financially unviable due to unexpected additional costs and demand for care and additional investment required by Trust	Service Delivery Contract ensures clear contract price and ongoing monitoring of performance, delivery of outcomes and financial sustainability by Councils Client function	Reasonable	Monthly reports received on financial outturn and performance of service. Variations to contract price subject to clear actions by trust to mitigate and use reserves before seeking additional funds	A provisional budget for 2022/23 and indicative figures for subsequent years have now been agreed and will be built into WNC and NNC budget planning processes	ongoing risk of additional or hidden demand. - COVID funding extended to cover continued additional trust staff to manage cases and proactive follow up. Childrens return to school March 21 in excess of 95% and reduces some of risk as more visibility but ongoing review of those not attending or at risk
C	Councils childrens services remain inadequate with poor practice, poor support for children and families and poor outcomes for children at risk or in care	Service delivery contract includes target service standards and KPIs for Trust and business plan includes clear improvement plan tasks agreed with DFE and commissioners	Reasonable	Clear Improvement plan and business plan outcomes set out and tracked by Council Client unit Contract review point at 5 years, and an annual review process from year 2 of the contract plan for and follow recommendations for improvements from OFSTED inspections DFE provided statistical neighbours as a benchmark for costs and performance	OFSTED visit in March 21 found improving practice and good leadership although some inconsistencies. Subsequent OFSTED monitoring visits have confirmed this as a general direction. All areas already part of improvement plan and associated action plan to be implemented ahead of first ILACs OFSTED visit April 22. The OFSTED monitoring visit in July 2021 found tangible progress which continues to gain traction in improving experiences, progress and outcomes. Consistency remains an area of focus as does caseload sizes and SW recruitment. A further Ofsted inspection took place in October 21 of the independent Fostering Agency. The Nov 21 Ofsted visit looked at Children in Care 16+ and care leavers and was generally positive and recognised improvement in practice and outcomes but also commented on need for consistency. NCT updating improvement plan to provide concentrated focus on improving consistency of quality of practice and supervision, and on recruiting and retaining	
D	Potential financial liability if council deemed to be negligent	Service contract sets out responsibility of Trust for any liabilities and issues and controls to avoid breach of duties	Good	Clear targets for improvements in practice, early detection of risk and timescales to review referrals	Contract and performance monitoring and agreed KPIs allow this to be monitored and the Social Care Improvement Board provides a combined approach to improving outcomes. KPIs will be reviewed in April 2022 to ensure fitness for purpose. However continued resource deficiencies within the ICF create a risk	
E	Potential liabilities or costs if West and North Northants fail to meet obligations for support services or Trust dependencies	Inter Authority Agreement and Support Services Agreement are in place that set out responsibilities and performance standards and which council is responsible for what.	Good	All WNC service directors briefed on dependencies Joint committee in place to manage services and interdependencies including any issues. Contract Support services Agreement clear on services, costs, SLAs and consequences of issues	Joint Committee and Joint Officer Boards now meeting to resolve any issues. Good progress has been made through the Support Services Board that has developed performance measures to ensure that the Council's provide the right support for the Trust to be successful. Contract processes in place to deal with any issues and rectifications	
D4						
D5						

Potential impact if risk not mitigated	Controls	Control assessment	Mitigating actions (to address control issues)	Comments	
D6					
D7					
D8					
D9					
D10					

EO4 - Workforce skills and capacity – Inability to attract or retain staff with the right skills, experience and understanding to deliver outcomes

Inherent risk level		Lead Member - Portfolio Holder for HR and Corporate Services (Councillor Mike Hallam)		Residual risk level		
Likelihood	4	Risk Owner - Chief Executive (Anna Earnshaw)		Likelihood	3	
Impact	4	Risk Manager - Executive Director Corporate (Sarah Reed)		Impact	3	
Inherent risk score	16			Residual risk score	9	
		Put the date DD/MM/YY when reviewed in box below ↓ 12/04/22		Direction of travel	↔	
				Identify updated text with red font. Say what columns were updated in box>>>	Comments updated	Ongoing COVID impacts
Potential impact if risk not mitigated		Controls	Control assessment	Mitigating actions (to address control issues)	Comments	
A1	High levels of vacancies or turnover and inability to deliver services maintain, meet service standards and meet duties of Council	Recruitment and Retention Plan in place to ensure workforce capacity maintained	Reasonable	Workforce strategy in place with clear Recruitment and Retention approach for staff	People Strategy is under final stages of development and all Assistant Directors (AD's) have done their service plans and ensuring that they meet service standards and duties. Pay Award for 2021/22 has been negotiated and implementation of full package will be complete by 31st Jan 2022. HR Business partners are in place who are supporting AD's, and recruitment and retention data is being monitored and interventions made where necessary with assistance of WNC's Resourcing Advisor. Work is continuing on designing the new	Work is actively taking place in relation to position for Care Homes and the need for double covid vaccinations. WNC actively working with Trade Unions and sharing practice between Council and Children's Trust
A2		Resources are aligned to priorities and staff deliver value	Good	Service structures reviewed to ensure sufficient capacity as part of service planning cycle	As well as service planning (see above) all AD's are reviewing their staffing and finance and this is a key focus of the overall transformation programme (enabling) At end of 21/22 HR have supported restructures/reviews across all directorates and plan in place for 22/23	Detailed exercise ongoing looking at Vacancies across all directorates and ensuring that ERP Gold is up to date
A3		Terms and conditions provide a positive framework for workforce	Reasonable	Negotiation of new WNC terms and conditions reflect employee needs	Day one terms and conditions were in place on 1st April. The next phase of terms and conditions negotiations will commence in March 2023 alongside the development of new WNC pay scales and introduction of job family approach. Joint working group running with the Trade Unions and 28% of the workforce have been evaluated as of Sept 21 under new njc job evaluation which will contribute to development of the new pay scale. Pay and grading work progressing well and also work with North and clear job families now provide strong framework	
B	Demoralised workforce or high absences due to workloads and stress	Council has good management policies and practices as is seen as an employer of choice	Reasonable	Workforce strategy in place with clear Recruitment and Retention approach for staff	Work is continuing on development of new WNC HR Policies and procedures, developed in consultation with the trade unions. This is also aligned to the people strategy development to become an employer of choice. It also links to work on culture and values and ensuring that directors and AD's provide the right working conditions THRIVE awards, VIP conversations, recent pay award from April, £10 hour minimum wage, attraction of new talent and apprentices - all have made a big difference to being seen as employer of choice	
C1	Loss of staff to other organisations if seen as offering better prospects	Terms and conditions are comparable and benchmarked to attract and retain staff	Reasonable	Workforce strategy in place with clear Recruitment and Retention approach for staff	See above regarding development of new WNC pay and grading structure.	
C2		Strong staff engagement and culture of support and development for all staff	Good	Staff groups in place and regular cycle of staff roadshows or briefing Expansion of ELT to ensure engagement of wider senior staff on recurring basis	Staff networks all launched and sponsored by individual directors/AD's and regular information through intranet, Anna blog, all staff briefings, moving of ELT to different office locations, staff events. Pulse surveys ongoing and employee survey took place across October. Managers are currently reviewing survey results and undertaking action planning. Big Conversation for Employees will commence after Easter, many staff took place in WNC big conversation too. Each directorate has expanded reach into staff groups	
D	Inability to maintain business as usual and sustain transformation programme plans	Permanent transformation team in place and ability to access resources so services can be delivered with minimal disruption to staff and customers	Reasonable	Use of interim staff as required or additional resource/backfill funding approved from business cases with clear ROI	Under constant review, transformation team has successfully recruited to key positions and the development of a council wide transformation plan will support the delivery of a focused improvement programme. Recent review of transformation resource and alignment with directorates has supported more bespoke work required in directorates for transformation	
E1	No resilience if staff leave or absent	Managers forums and engagement in place to support strong and positive workforce plans and approaches	Reasonable	Use of temporary agency or interim staff	Extended ELT happening regularly. Managers leadership and development course launched in June. People strategy is being developed. People Strategy now in operation, all staff events now being rolled out	

Potential impact if risk not mitigated		Controls	Control assessment	Mitigating actions (to address control issues)	Comments	
E2		Succession planning in place for teams to ensure that resilience in teams and services	Reasonable	Service structures reviewed to ensure sufficient capacity as part of service planning cycle	This will form part of the workforce strategy and a consideration for workforce modelling	
		Staff development programme and graduate development programme as part of workforce plans	Reasonable	Workforce strategy in place with clear Recruitment and Retention approach for staff	Graduate training programme in place from 2021. People Strategy under development and L and D will be a key workstream. Apprenticeship strategy in place and reviewing use of apprenticeship levy. WNC now working with NNC to	
F	Risk of financial claims and workforce retention issues from two tier workforce	Workforce terms and conditions harmonised to avoid two tier or unequal pay challenge	Reasonable	Union and workforce project to move to harmonised terms at the earliest opportunity	Will be phase 3 of the pay and grading work, but unlikely prior to 2023	
G1	Financial impact due to use of agency staff	Succession planning for key roles	Good	Service structures reviewed to ensure sufficient capacity as part of service planning cycle	Capacity kept under review by managers and ELT, management information will be provided by HR business partners to ensure regular assessment	Some staff who are spending a considerable time on dealing with Covid-19 may find it difficult to attend training etc. But generally 1:1s are still being held, and most training is available online and can be provided at times to suit the trainee.
H		Arrangements in place to source appropriate interim resource if needed	Good	Use of OPUS or trusted agencies for staff	Opus board in place - SR sits on the board, induction has been completed and training for directors in place . AD HR undertakes contract monitoring meetings with OPUS.	No direct Covid-19 impact.
I	Inability to deliver council's plans	Delegations to Chief Exec and other senior officers agreed to ensure timely decisions	Reasonable	Review CE and other senior officers' delegations . Keep general staffing levels and critical services under review.	General and emergency delegations in place to cover critical incidents General staffing levels and critical services are being kept under review by the Tactical Command Group (TCG). Recovery plans have been drawn up to deal with backlogs. The Health and Safety covid group has recommended to also ensure services come back safely in person where business case is in place.	See comments column

E05 West Strategic Plan – Failure to complete a plan creates a lack of strategic direction and certainty for developers or investors leading to regeneration stalling, job loss and poor prospects

Inherent risk level		Lead Member - Portfolio Holder for Planning, Built Environment and Rural Affairs (Councillor Rebecca Breese)		Residual risk level		
Likelihood	4	Risk Owner - Executive Director Place and Economy (Stuart Timmiss)		Likelihood	3	
Impact	4	Risk Manager - Assistant Director Economic Growth & Regeneration (Jim Newton)		Impact	4	
Inherent risk score	16	Put the date DD/MM/YY when reviewed in box below↓ 14/04/22		Residual risk score	12	
				Direction of travel	↔	
				Identify updated text with red font. Say what columns were updated in box>>>		Ongoing COVID impacts
Potential impact if risk not mitigated		Controls	Control assessment	Mitigating actions (to address control issues)	Comments	
A1	Developers challenge the basis of the five year land supply pending the publication of the West Strategic plan and new 5 year land supply from 2024	West Strategic Plan published with clear vision, priorities and 5 year land supply set out following period of analysis, consultations and options development	Reasonable	Draft Plan developed for consultation with public and stakeholders post september 21. Completion Northamptonshire Strategic Infrastructure to test scenarios and options for development		
B	Inability to attract the required private investment to complete regeneration plans in Northampton Forward Plan	Prospectus in place for investors setting out our plans, opportunities and vision and engage market, partnerships and funding forums to develop pipeline of viable opportunities.	Reasonable	Collate all Northampton Opportunities with vision, details and investment Draft of prospectus for approval by joint planning unit and members		
	Missed investment from government for regeneration or levelling up funding as no clear plan and strategic framework to support decision	Pipeline of priority projects and speculative schemes assessed against the criteria agreed with members	Good	Options summary developed for discussion and agreement with Members and MPs assessed against published criteria		
	Economy suffers as a result of no planned and stimulated growth leading to less jobs and prospects for residents	Economic recovery plan in place post COVID	Poor	Economic recovery plan to be worked up with clear activities to stimulate new business, maximise investment, help business diversify and support reopening of retail		

E06 Economic Recovery - West Northants recovery from COVID is not supported and managed in a strategic and timely way leading to long term unemployment, a downturn in economy and reduction in prosperity

Inherent risk level		Lead Member - Portfolio Holder for Economic Development, Town Centre Regeneration and Growth (Councillor Lizzy Bowen)		Residual risk level	
Likelihood	4	Risk Owner - Executive Director Place and Economy (Stuart Timmiss)		Likelihood	3
Impact	5	Risk Manager - Assistant Director Economic Growth & Regeneration (Jim Newton)		Impact	4
Inherent risk score	20	Put the date DD/MM/YY when reviewed in box below ↓ 14/04/22		Residual risk score	12
				Direction of travel	↔
				Identify updated text with red font. Say what columns were updated in box>>>	

Ongoing COVID impacts

Potential impact if risk not mitigated		Controls	Control assessment	Mitigating actions (to address control issues)	Comments
A	Significant job loss means greater reliance on Council tax support and Council services increasing costs	Understand where job opportunities are post COVID and skills gaps to maximise return to work	Poor	Survey businesses maximise use of government funding and employment schemes Look at business Incubation schemes	
B	Exodus of large employers as we fail to retain their business making West Northants an unattractive investment area for new businesses	Engage major employers in west Northants	Reasonable	Develop engagement strategy to understand plans, gaps and share prospectus for change and growth. Maximise use of all government funding opportunities. Use of BID to support business	
C	Reduced spending leads to the closure of more retail and offices and business rates income reduction creating cost pressure	Economic strategy and prospectus for business and retail in West Northants	Poor	Research retail trends, spend and business support schemes to stimulate new business or business models	
D	Reduced prosperity leaves of inequality issues for most deprived areas and more reliance on foodbanks and other support	Anti poverty and health inequality strategies in place to supported targeted intervention and support plans	Reasonable	Set up multi agency Anti poverty working group to look at issues, causes and options. Progress health inequalities strategy within the ICS to look at hotspots and develop plans to reduce the gaps	
E	Greater of homelessness and demand on council housing or temporary accommodation	Strategic plan for reduced homelessness and greater council house or social housing provision	Reasonable	development of west Housing & Homelessness strategy	
F	Increased Debt as a result of inability to pay	economic strategy, anti poverty starategy and developemnt of financial support for residents before crisis	Reasonable	ensure support schemes in place with access to early advice and support for debt management	

E07- Strategic Community Partners – Financial failure of a public sector partner organisation. Failure to build the necessary partnership relationships to deliver our strategic plan. Failure to ensure the necessary governance of third party relationships (council businesses, partners, suppliers). ☒

Inherent risk level		Lead Member - Portfolio Holder for Community Safety and Engagement, and Regulatory Services (Councillor David Smith)/Portfolio Holder for Culture, Leisure and Housing (Councillor Adam Brown)		Residual risk level	
Likelihood	4	Risk Owner - Executive Director Adults, Communities and Wellbeing (Stuart Lackenby)		Likelihood	3
Impact	4	Risk Manager - Assistant Director Housing & Communities (Jo Barrett)		Impact	3
Inherent risk score	16			Residual risk score	9

Put the date DD/MM/YY when reviewed in box below ↓
11/04/22

Direction of travel
←→
Identify updated text with red font. Say what columns were updated in box>>>

No change

How has this risk been affected by Covid-19 and what mitigating actions have you made as a result?

Potential impact if risk not mitigated		Controls	Control assessment	Mitigating actions (to address control issues)	Comments	
A	Potential reduction in service areas funded by Partners resulting in an unplanned increase in demand on Council functions or call on budgets leading to service difficulties.	Robust governance/contract management framework in place for key third party relationships	Good	Review existing arrangements/ contracts post Unitarisation to ensure appropriate governance and clarity on roles and responsibilities Impact of potential Partnership budgets and financial plans need to be reviewed for changes proposed and / or made and impact assessed. Ongoing meetings with health CEOs	Clr and Officer appointments to Council owned companies being reviewed Ongoing Monitoring of impacts of New Integrated Care Systems and Financial Operating Framework for health to assess any onward impact	All partnering arrangements have worked effectively during the covid crisis.
B	Poor service delivery	Partnerships have record keeping/ performance monitoring / accountability arrangements	Reasonable	Standard agenda item at senior officer meetings		
C	Inability to deliver council's plans and outcomes for communities	Engagement of partners and alignment of WNC plans as part of corporate plan setting in 2021 so aligned.	Reasonable	Service plan development to identify all key partners and areas of concern or vulnerability to partner plans and pressures. WNC presence at partnership boards and forums	Ongoing meetings with wider health partners to ensure evidence based approach to investment in Wellbeing Directorate Services	
D	Legal challenge	Leader and CEO engaging at National and county level to mitigate impacts of potential service reductions for residents	Reasonable	Engagement with other public bodies. Service plan development to identify all key partners and areas of concern or vulnerability to partner plans and pressures.	Ongoing meetings with Chief Execs from Partnerships	
E	Financial loss	Regular review and sharing of partnership activity/engagement at senior officer meetings Partnerships have record keeping/ performance monitoring / accountability arrangements	Reasonable	Regular discussions at DMT and internal Northants LGR meetings.		
F	Inability to meet and manage the demands of homelessness in the Borough	Northampton Partnership Homes (NPH) Rigorous budget and performance monitoring in place Regular financial reporting to Management Board, Portfolio-Holder & Cabinet	Reasonable	Plans to introduce client manager for better visibility and controls Follow up on Audit January 21 report on NPH and recommendations to improve oversight. An external, independent review of the working relationships and partnership between WNC and NPH has been commissioned. The review has been co-produced with NPH and the recommendations will be available by 31 March 2022.		
G						

E08 - Emergency Planning – Critical Incident not managed effectively

Inherent risk level		Lead Member - Portfolio Holder for HR and Corporate Services (Councillor Mike Hallam)		Residual risk level		
Likelihood	4	Risk Owner - Executive Director Corporate (Sarah Reed)		Likelihood	3	
Impact	4	Risk Manager - Head of Emergency Planning and Community Resilience (Matt Hoy)		Impact	4	
Inherent risk score	16			Residual risk score	12	
		Put the date DD/MM/YY when reviewed in box below ↓ 12/04/22		Direction of travel	↔	
				Identify updated text with red font. Say what columns were updated in box>>>	No change	Ongoing COVID impacts
Potential impact if risk not mitigated		Controls	Control assessment	Mitigating actions (to address control issues)	Comments	
A	Loss of Life	Business Continuity plans for in house and external providers	Reasonable	All Business Continuity plans under review by priority order and to be refreshed post Unitary formation to ensure all new arrangements and contacts are updated All BCP plans and contacts will be available on Resilience Direct for use when required	For the new council, refreshed business continuity plans will be developed for each service. Extra resource has been identified and there will be joint working with the North to share good practice. Interviews will be taking place early September for additional roles to support Business Continuity. Also formalised Business Continuity Board will commence in September New West Emergency Planning and Business Continuity team now in place (disaggregated from North) and resource in place for business continuity	The incident with ICT and power outage in August tested our emergency planning and business continuity arrangements and the Council will be using the Lessons Learned to help develop its future approach
B	Inability to deliver critical services to customers/residents	Business continuity strategy, Critical Incident plan and BC service plans in place and up to date	Reasonable	BC exercise and training delayed by Covid however all services have demonstrated that they have been able to respond to COVID pandemic tests. List of prioritised services for updated BC Plans post Unitary Go Live Emergency Duty Rota in place to ensure that response and actions restore services as soon as possible	All services have reviewed and updated their BC plans in light of the coronavirus situation and with widespread homeworking now in place we have demonstrated that the plans work. Weekly TCG meetings are held with key staff to monitor the national and local coronavirus picture as well as reference being made to official Government advice. The health and safety covid group is now in place to review the return of key services Full reviews of all buildings and risks and new office guides launched as part of Ways of Working. Multi partnership training exercise has been completed and significant training plan in development for 2022/23 for EP and BC	Covid has demonstrated that all services take BC seriously and have been able to operate to near-normal levels since this start of the crisis in March 2020. TCG continues to meet weekly to review service delivery and deal with revised Government guidance and local events to ensure that our services still operate effectively.
B	Reputational damage		Good	LRF logins issued to all senior staff silver and gold rotas in place for day 1	Initial training has been done for all Directors/Ads and where there is the potential for reputational risk. In terms of ELT, there is always communications presence and weekly updates to help facilitate this. The West/North council joint meetings also help ensure there are no surprises. The Cabinet/ELT whatapp group was a useful addition to support communications and especially helpful when we encountered the fire at the sub station.	
C	Inability of council to respond effectively to an emergency	Key contact lists updated monthly. Business Continuity plans for in house and external providers	Good	There is a specific, fully trained WNC employed member of staff covering emergency planning as part of their job role. Training in place for all GOLD, Silver and Bronze leads and rotas in place to cover any incidents BCP plans to be refreshed following Unitarisation based on prioritised list in BCP policy to ensure up to date and reflect services now brought to getehr	Active plans are in place to ensure the authority is prepared for a variety of emergencies. Continual improvements are being made as a result of a review of these plans and in partnership with the Local Resilience Forum. Regular meetings are taking place of the Northants Local Resilience Forum (LRF) (Tactical Command Group (TCG) & Strategic Command Group (SCG command structure) and at WNC internally to ensure that we respond proactively to the Covid-19 as it changes. Work has been done to formally disaggregate the shared service with the North to commence on 01 April 2022 and for arrangements in place to integrate the service under	A high level multi-agency response to covid has been in place since March 2020 in response to the pandemic. Now moving to period of restoration as Lockdown released through April and May and then recovery & react planning - need to closely monitor case rates
C	Financial loss	Services prioritised and recovery plans reflect the criticality of services and finances.	Reasonable	Review of all priority service areas plans following Council Unitarisation to ensure joined up and effective plans taking into account changed locations, staff and IT	WNC BCP lead to undertake review of services and help develop plans in 21-22. Extra resource in place for Information and cyber security oversight. Also Way of Working programme ensures smooth integration of all systems and people issues	covid income and costs risks partially mitigated by dedicated funding and subject to protocol and process to decide where used - tracked centrally vs budget
D	Unnecessary hardship to residents and/or communities	Dedicated Emergency Planning Officer in post to review, test and exercise plan and to establish, monitor and ensure all elements are covered. Dedicated reception centres in place in case of evacuation.	Good	Active participation in LRF response to Covid-19 situation Continuation of COVID 19 governance and central oversight post Unitary to ensure outbreak and impacts monitored and changes in national guidance managed. Economic and community COVID recovery plans being developed	Emergency rotas in place for the year and a report on future of LRF and approach to emergency planning is in train. This will include the need for planned sessions to test the arrangements and ensure the right level of attendance at the county level. Work has commenced to develop a more robust approach to managing emergencies rather than the reliance on a few specialist emergency officers which will form part of the new operating model for EP and BC. This includes the development of Gold and Silver capacity and consideration for a new Bronze level of support	

Potential impact if risk not mitigated		Controls	Control assessment	Mitigating actions (to address control issues)	Comments	
G		Business Continuity Plans tested	Reasonable	London Bridge Protocol updated February 2021 multi agency responses in critical incident plans and protocols maintained within the Local Resilience Forum	Learning from recent events will be undertaken to ensure we are prepared for the event of London Bridge. Work has continued and plans all in place to support LBP. Work continues with partners and learning from recent training event	Subject to nationally imposed restrictions and lifting in line with national plan - have to monitor and manage the impacts at each stage and target actions if any case number surges
E	Risk to human welfare and the environment	Added resilience from cover between shared Public Health Team, Environmental Health team, shared Environmental Services & Housing Team officers with appropriate skill (Bronze Incident Liaison Officers)	Reasonable	Training in place for all GOLD, Silver and Bronze leads and rota in place to cover any incidents - emergency planning exercises to be undertaken as WNC	See above - This is a significant area of focus for 2022/23.	
F	Legal challenge	Senior management attend Civil Emergency training	Good	Training in place for all GOLD, Silver and Bronze leads and rota in place to cover any incidents -	See above	
G	Potential financial loss through compensation claims	Multi agency emergency exercises conducted to ensure readiness	Good	Senior managers have attended duty manager training .	To be planned in year - this took place in 2021/22 and refreshed as part of new arrangements	
H1	Ineffective Cat 1 partnership relationships	Deliver and participate in multi-agency training and exercise programmes to enable a more combined, coordinated and robust response to incidents. All officers that are involved in emergency responses are trained for their roles	Good	The Inter Agency Group has met regularly to review readiness for large events	To be planned in year	
H2		Full participation in Local Resilience Forum (LRF) activities	Good	WNC is represented at the Local Resilience Forum	In place	
H3		Maintain and provide a single point of contact for NCC On a 24 hours a day, 365 days of the year - For major incidents that could occur on a local/ regional/ national level. IT on call arrangements confirmed.	Good		In place	
H4	Data Loss or Breach	IM training - mandatory and completion reported to IM Board monthly GDPR training - mandatory and completion reported to IM Board monthly Enforcement through DPO and IGO roles	Reasonable			
H5		IAAs created for shared services between North and West and DPIAs where data shared - new protocols for data management in place where joint access	Reasonable	Need to monitor and manage compliance while new arrangements	In place but will be reviewed and amended as we consider future delivery of services	
D		ICT disaster recovery arrangements in place	Reasonable	ICT review and assessment required following Unitarisation. Review and development required of a roadmap for ICT and identification of any key risks to services from inadequate DR	New ICT architecture team being put in place by CIO Governance board to be established to oversee risks and plans Transformation board for ICT running and new processes for ICT in place to mitigate risks	There will be some recommendations arising from the Lessons Learned with regard to the recent fire and the importance of cloud based systems

E09 - Health and Safety – Failure to comply with health and safety legislation, corporate H&S policies and corporate H&S landlord responsibilities.						
Inherent risk level		Lead Member - Portfolio Holder for HR and Corporate Services (Councillor Mike Hallam)		Residual risk level		
Likelihood	5	Risk Owner - Executive Director Corporate (Sarah Reed)		Likelihood	3	
Impact	4	Risk Manager - Assistant Director HR (Alison Golding)		Impact	3	
Inherent risk score	20			Residual risk score	9	
		Put the date DD/MM/YY when reviewed in box below ↓ 12/04/22		Direction of travel	↔	
				Identify updated text with red font. Say what columns were updated in box>>>	No change	
Potential impact if risk not mitigated		Controls	Control assessment	Mitigating actions (to address control issues)	Comments	Ongoing COVID impacts
A	Fatality, serious injury & ill health to employees or members of the public	New WNC health & safety corporate forums/arrangements and guidance being updated. Robust risk assessment process, that is suitable and sufficient. Risk Assessments identify risks and suitable control measures.	Reasonable	WNC Corporate Health, Safety and Wellbeing Policy developed following Unitarisation and has been ratified and signed. New forums with Unions to be set up. Managers to assess own department risk assessments to ensure they are suitable, sufficient, up to date and identify all risks. Covid risk assessments to be maintained in WNC as continuation of NCC policy	ELT scheduled to receive Quarterly H&S updates from Senior H&S Officer. H&S Champion Executive Director identified - Stuart Lackenby Updated Corporate Arrangements to be drafted that reflect the WNC structure. These are now in place and first overarching board took place in August 2021. Corporate Action Plan to be developed and agreed picking up predecessor Councils. Risk assessments for all buildings up to date and statutory mandatory training on H and S rolled out across all staff. More information available on the intranet with best practise guidance and reporting forms. Standing item of H and S on team meetings	COVID has drawn H&S leads into incident response - need to ensure that ongoing workplace risk assessments remain and agreed with the Unions as part of any planned repatriation of staff
B	Criminal prosecution for failings	Robust Health & Safety policies and Corporate H&S arrangements in place as part of an Integrated H&S Management System	Reasonable	All Assistant Directors to complete a H&S Checklist to provide a status on the management of H&S in their service areas following ratification of the new checklist format. Actions to be formalised into service plans & monitored at DMT Meetings and H&S forums with Unions need to ensure all relevant staff receive H&S Training	Need to ensure H&S cover for all west sites and responsibilities is sufficient and undertake gap analysis Sharing of best practice across H and S team and suite of policies on intranet.	
C	Financial loss due to compensation claims	Corporate H&S Team in place to provide health and safety advice and guidance to all directorates	Good	All Assistant Directors to complete a H&S Checklist to provide a status on the management of H&S in their service areas following ratification of the new checklist format. Actions to be formalised into service plans & monitored at DMT Meetings and H&S forums with Unions need to ensure all relevant staff receive H&S Training	Mandatory training done by all staff.. Workshops done in DMTs and overarching Manager checklist issued to all.	Some predecessors councils have found Recruiting difficult during COVID.
D	Enforcement action – cost of regulator (HSE) time	Clearly identified accountability and responsibilities for Health and Safety established at all levels throughout the organisation	Good	The new Health, Safety & Wellbeing policy clearly identifies accountability, responsibility and roles.	need to ensure all relevant staff received H&S Training from predecessor Councils	
E	Increased sickness absence	Directorate Health & Safety Improvement Plans where required with embedded reporting and recording arrangements in place	Reasonable	Corporate arrangements being updated for reporting and acting on any improvement areas HR to monitor sickness absence to understand the reason for trends. This to be shared to implement a plan to improve.	need to ensure all relevant staff received H&S Training from predecessor Councils. As well as reviewing h and s issues impacted by sickness absence, additional capacity is given by HR business partners.	Mental health and anxiety are linked to people dealing with the covid -situation. We are actively encouraging employees to access the Well being services and to also access our Mental Health First aiders.
F1	Reduction in capacity impacts service delivery	Effective training regime in place for all staff	Reasonable	All staff to complete H&S training on induction. All other staff will complete H&S eLearning organised by L&D.	need to ensure all relevant staff received H&S Training from predecessor Councils On line training has been madatory for all.	Some training was cancelled due to COVID. Some was moved to eLearning which may not be the best learning style for some staff. Increased cost have been occurred due to the way training has had to be delivered at short notice or reduced numbers.
F2		Positive Health & Safety risk aware culture	Reasonable	H&S staff to meet with departments to understand culture and do gap analysis.	Health and Safety business partners in place and wokring with all Directors/Ads to assess plans and understand gaps and enuree robust systems in place to manage health and safety issues and risks	
F3		Corporate WNC Health & Safety Forum in place for co ordination and consultation	Good	Health, Safety & Wellbeing forum to meet quarterly. Currently SMT. Then will be staff representatives. Monthly meetings set up with H&S Champion.		

Potential impact if risk not mitigated	Controls	Control assessment	Mitigating actions (to address control issues)	Comments	
F4	Corporate body & Member overview of Health & Safety performance via appropriate committee	Reasonable	Improve communication of H&S across all levels. New KPIs to be agreed and formal reporting through H&S forum.	Health, Safety & Wellbeing forum set up- to consult with stakeholders.	
F5	Assurance that third party organisations subscribe to and follow Council Health & Safety guidelines and are performance managed where required	Reasonable	Full audit of process and management of third parties. To include Tendering, management & performance management.		

E10 - Information Security - If there is insufficient security or recovery plans for data held and IT systems used by the councils and resulting in a risk of: a data breach, a loss of service, malicious attacks or inability to deliver services due to loss of systems and data

Inherent risk level	Lead Member - Portfolio Holder for HR and Corporate Services (Councillor Mike Hallam)	Residual risk level	
Likelihood	4 Risk Owner - Executive Director Corporate (Sarah Reed)	Likelihood	3
Impact	5 Risk Manager - Chief Information Officer (Chris Wales)	Impact	5
Inherent risk score	20	Residual risk score	15
	Put the date DD/MM/YY when reviewed in box below ↓ 12/04/22	Direction of travel	↔
		Identify updated text with red font. Say what columns were updated in boxes→	No change

- Loss of critical systems and Service failure
- 2. Data loss/ inability to switch to alternative data centre results in significant delays in re-provisioning services
- 3. Missed risk leading to significant harm to customers or staff
- 4. Unsafe IT systems which are easy to hack and penetrate / risk to NCC data / fines from ICO
- 5. Unstable back up solutions

Potential Impact if risk not mitigated	Controls	Control assessment	Mitigating actions (to address control issues)	Comments	Ongoing COVID impacts
A1 Loss of critical systems and Service failure	Disaster Recovery Plan in place	Reasonable	New Architecture and Security leads recruited Refreshed DTI strategy being drafted to review architecture and reduce/remove points of potential failure. Plans and principles for future decisions to be reviewed as part of architectural work.	Recruitment under proposal to assess gaps in skill provision and to create a properly functioning DTI division. A future road map for change and improvement has commenced and shared with ELT. Successful recruitment to core roles and strategy to be complete at end of April.	The recent fire tested the resilience of our IT networks and the council will be reflecting on Lessons Learned and additional mitigations to take.
A2	File and Data encryption on computer devices	Good	We have cyber-essentials plus certification and comply with best practice. Incoming Head of Cyber will review processes to ensure they remain robust.	Cyber security incidents are inevitable. To manage this risk we have effective controls and mitigations in place including audit and review. Continuing upgrades in place as planned events	With remote working becoming the norm with the start of the covid crisis, it has increased efforts to ensure that the Council's data is secure. Multi-factor authentication is now being rolled out and has already been implemented for the highest risk (of cyber attack) groups of senior managers then
A3	Key business critical systems moved to the Cloud to reduce risk of loss and increase resilience	Reasonable	Eclipse Social Care system moved to the Cloud. Other applications to be reviewed for reliability and risk	High priority agreed projects have been mapped by transformation team, working with DTI (as a key enabler) and full assessment of other projects under way to support future development in line with roadmap.	The recent fire demonstrated the importance of cloud based systems. Staff working at home due to covid were able to still access Office 365 and other cloud based systems. Considerations in the future for how we ensure support is available to staff out of normal office hours
B Data loss/ inability to switch to alternative data centre results in significant delays in re-provisioning services	Regular DR tests and Back up of data Development of DR capability within WNC infrastructure of offsite external hosting	Reasonable	Replication and back ups of key data for critical systems WNC DR assessment to be undertaken and plan developed setting out risk areas and prioritisation of any changes to infrastructure or DR plans		
C Financial loss / fine due to financial data loss or fraud	Managing access permissions and privileged users through AD and individual applications	Good	Audit programme of checks periodically Reconciliation checks		
D Prosecution – penalties imposed	Consistent approach to information and data management and security across the councils	Good	Data breach processes and protocols in place		
E Individuals could be placed at risk of harm	Effective information management and security training and awareness programme for staff. GDPR training on line	Good	Staff training via Ilearn to be rolled out for WNC staff in 2021 as a refresher	Work being done to look at capability across organisation with regard to Office 365, Teams etc and relevant training and support provided	
F Reduced capability to deliver customer facing services	Password security controls in place	Good	Implemented the intrusion prevention and detection system. Multi-factor authentication rolled out in Sep20 for all users, to add additional security to Council system and data access. Members also onboarded.		
G Unlawful disclosure of sensitive information	Robust information and data related incident management procedures in place	Good	IM board in place to oversee key issues		
H inability to share services or work with partners	Appropriate robust contractual arrangements in place with all third parties that supply systems or data processing services	Good	As above, cyber security training is being rolled out as will GDPR update training for all staff	Statutory training - cyber and data for all has been undertaken	
I1 Unsafe IT systems which are easy to hack and penetrate / risk to wnc data / fines from ICO/ Reputational damage	Anti Virus checks up to date and all patches applied in timely way	Good	Regular updates to systems all planned and done to timescale		
I2	Appropriate plans in place to ensure ongoing PSN compliance	Good	Cyber Security issues regularly highlighted to all staff in Staff Specialist training for IT staff		
I3	Adequate preventative measures in place to mitigate insider threat, including physical and system security	Good			
J Data breaches result from the shared use of systems by West and North staff in services where standalone systems not in place	DPIAs in place for all services where systems and data shared between west and north northants and agreed with ICO.	Reasonable	Clear protocols, checks and audit trails in place for systems where shared teams and access		

Controls	Adequacy	Critical Success
01. Disaster Recovery Plan Creation and test of a DR Plan	Reasonable	In place and tested
02. Transformation Strategy incorporating IT and digital strategy/ roadmap development	Good	Aligning development work to Council priorities
03. County-wide CIO network	Good	NCC attendance and representation of NCC views and priorities
04. PSN compliance/ policies and procedures relating to firewalls, emails, password protection and monitoring of the	Good	ability to identify threats quickly and take mitigating actions
05. IT project management and prioritization effective oversight of project development, implementation and resource allocation	Good	Visibility of priorities and IT work programme across the organization
Ability to mobilise the workforce to work in more agile ways Use if innovative IT solutions to enable the workforce to	Good	% of workforce operating remotely and collaboratively

E11 - Local Government Reorganisation - additional costs, compliance issues or disputes arise as a result of incomplete processes on transfer of sovereign Council services to the WNC or lack of progress on wider transformation					
Inherent risk level		Lead Member - Portfolio Holder for Strategy (Councillor Jonathan Nunn)		Residual risk level	
Likelihood	5	Risk Owner - Chief Executive (Anna Earnshaw)		Likelihood	3
Impact	3	Risk Manager - Executive Director Corporate (Sarah Reed)		Impact	3
Inherent risk score	15			Residual risk score	9
		Put the date DD/MM/YY when reviewed in box below ↓		Direction of travel	↔
		12/04/22		Identify updated text with red font. Say what columns were updated in box>>>	Mitigating actions and comments updated
Potential impact if risk not mitigated		Controls	Control assessment	Mitigating actions (to address control issues)	Comments
A	Inability to deliver Council priorities and plans due to disruption while services are aggregated and redesigned, impacting on quality of services delivered to residents and communities.	Day 1 change minimised to avoid disruption	Reasonable	Day 2 plans to be completed owned by service to manage impacts of final changes Regular Service and performance monitoring	Lists collated of all day 2 outstanding actions to be tracked centrally ELT with Ads is providing leadership in terms of developing corporate plan and ensuring services remain to be operated (albeit within sovereign council ways at the moment)
B		Transformation plan sets out priority transformation areas and tasks agreed with task and finish group	Good	Transformation team recruited and own plans for next steps in order to complete aggregation and benefits of single tier services	Work has commenced on developing the council's design principles and our future way of working - home working, agile, assets and also the commencement of a new target operating model. New Grand Design in place that drives the WNC improvement work.
C	Inability to deliver savings in budget due to delays in transforming services, restructures and redesign of delivery	Transformation plans tracked through central PMO and corporate monitoring of delivery	Reasonable	Corporate process for all projects using standard business cases, central progress tracker with milestones, benefits realisations and risks so robustly managed	Process starts post 1st April with delivery plan and prioritised projects for change Feedback from all Ads now done and assessment being undertaken to align to Target Operating Model (TOM). Review of transformation service undertaken and implemented and lite PMO
D	Confusion on accountability between services and North and West Councils for meeting legal duties	IAAs set out who leads or hosts on which services and scope of services held	Good	Agree and complete all IAAs Complete work to disaggregate hosted services into two councils during the timescales set in the IAA	Clear prioritised plan in place for completion of aggregation work - All completed prior to vesting day but work now commences on reviewing performance and assessing new ways of working, aligned to TOM
E	Confusion on budget responsibility and allocations between services and North and West Councils leads to shortfalls in budgets or stranded costs	IAAs to be completed and populated with Budget allocation and signed off	Reasonable	Will require senior management engagement for any disputes on allocations Joint Committee in place to manage process and disputes	Services will own development and completion
F	Confusion on service levels for services shared between North and West Councils leads to disputes and expectation issues	IAAs to be completed and populated with service levels agreements and signed off	Reasonable	Will require senior management engagement for any disputes on SLA offered Joint Committee in place to manage process and disputes	Services will own development and completion
G1	Potential Impact of aggregation of sovereign Council services on quality and consistency of services delivered to residents and communities.	process set out and prioritised following agreement with members with customer facing services first services to be transformed	Fully		The work on the TOM has started with equal consideration for enabling services that underpin customer facing services. Customer user experience in place too
G2		permanent transformation team will lead work so resources to complete aggregation and bring benefits		Change Champions recruited amongst front line staff.	In place Change leads now allocated within directorates and change champion set up in place
G3		Service monitoring and review to ensure no detriment to services quality from changes made			aligned to performance reviews within directorates and oversight by the transformation team

Ongoing COVID impacts

E12 - Corporate Governance - Failure of corporate governance leads to a negative impact on ability to deliver corporate objectives, impacts upon financial sustainability of the Council and potentially exposes Council to legal challenge/action. ☒

Inherent risk level		Lead Member - Portfolio Holder for HR and Corporate Services (Councillor Mike Hallam)		Residual risk level	
Likelihood	4	Risk Owner - Chief Executive (Anna Earnshaw)		Likelihood	3
Impact	4	Risk Manager - Director of Legal & Democratic (Catherine Whitehead)		Impact	2
Inherent risk score	16			Residual risk score	6
		Put the date DD/MM/YY when reviewed in box below ↓		Direction of travel	←→
		14/04/22		Identify updated text with red font. Say what columns were updated in box>>>	No changes

Ongoing COVID impacts

Potential impact if risk not mitigated		Controls	Control assessment	Mitigating actions (to address control issues)	Comments	
A1	Threat to service delivery and performance if good management practices and controls are not adhered to.	Clear and robust control framework including: constitution, scheme of delegation, ethical walls policy etc.	Reasonable	Constitution in place and agreed setting out approvals authority and thresholds Need to ensure all Exec directors assign delegations to Assistant Directors for areas of responsibility and ensure correct legal authorisations for enforcements	Constitution approved and published, work being done across directorates to ensure the correct delegations and amend as the structures and TOM commences	Constitution has also been reviewed to ensure the Council is able to continue to make decisions during the Coronavirus Period.
A2		Clear accountability and resource for corporate governance	Good	Membership of bodies and committees for Councillors to be set at first WNC annual meeting May 2021	MO has overall accountability for policy / legislative change.	Covid 19 Protocol and processes in place for any COVID related spend vs COVID grants - central management
A3		Integrated budget, performance and risk reporting framework.	Reasonable	Standing item at ELT – New budgets assigned but may require changes once used in practice and reviewed - ensure regular review of risk and control measures ongoing so any required actions can be undertaken promptly	Reporting arrangements have been reviewed. Officers will review monthly, and the relevant committees will review quarterly. This also includes setting up additional boards internally for officer (e.g ict) and also consideration for shared services with others.	Covid 19 Protocol and processes in place for any COVID related spend vs COVID grants - central management
A4		Corporate programme office and project management framework. Includes project and programme governance.	Good	Implementation of corporate programme office	Additional resource in place to support ongoing transformation Programme office in place within transformation team	No direct Covid-19 impact
A5		HR policy framework.	Reasonable	Full review of HR policy to be undertaken during 20120/21	All of the major HR policies, including a new redundancy policy have been approved Policies shared through the intranet and communicated through staff briefings	No direct Covid-19 impact
A6		Training and development resource targeted to address priority issues; examples include GDPR, safeguarding etc.	Reasonable	Allocate specific resource to support new projects/policies or statutory requirements e.g. GDPR	Safeguarding teams and processes in place . GDPR training completed.	Covid-19 has had an impact on the resource available to deal with GDPR. Government guidelines on relaxing timelines has been helpful in managing this. In addition some IA recommendations for GDPR have been recalibrated.
A7		Annual governance statements	Reasonable	Review AGS process and content	AGS process and content has been agreed	No direct Covid-19 impact
B	Impropriety or improper business activities leading to fraudulent activity or malpractice	<ul style="list-style-type: none"> • Avoidable financial loss • Criminal prosecution • Civil litigation • Fines • Lack of confidence from staff or public • Reputational damage • Member criticism 	Reasonable	<ul style="list-style-type: none"> • Counter-fraud strategy in place • NBC Fraud policy in place • Section 151 controls • policy and procedure • Whistleblowing Policy approved by Council • Performance management tracking • fraud policy 	Monthly financial reviews Quarterly corporate performance and risk reviews Audit checks and reconciliation	
C	Legal challenge leading to financial consequences, reputational and /or delay to delivery of key priorities	<ul style="list-style-type: none"> • Criminal prosecution • Civil litigation • Fines • Reputational damage • Engagement with Members 	Good	Oversight by ELT through regular reporting by officers. Legal challenges handled by the legal team in a timely manner. MO sign off of every Cabinet and Council report, legal advice to Committees and Senior Officer exercising delegated powers. Legal advice to services on vires, procurement, consultation, equalities, conflicts of interests and other key issues relating		
D	Financial sustainability - ineffective budget management due to lack of clear governance.	<ul style="list-style-type: none"> • Avoidable financial loss • Communication of Constitutional governance • Implementation of processes, procedures and robust system of financial internal controls • Effective internal audit reviews • Integrated budget, performance and risk reporting framework 	Reasonable	Constitution in place and agreed setting out approvals authority and thresholds. In-house internal audit team currently being set up. Budget process on-going - budgets reviewed regularly at ELT.		

Potential impact if risk not mitigated	Controls	Control assessment	Mitigating actions (to address control issues)	Comments	