

Strategic Risk Register

ID	Risk Owner	Risk Lead	The Risk (there is a risk that)	Risk Cause (as a result of)	Risk Impact (which may result in)	Inherent Risk Scores (assume no controls)			Mitigation Actions and Controls	Actual Risk Scores (current position)			Residual Risk Scores (after mitigating actions and controls)			Action Owner	Action Due Date	Action Progress Update	Date Action Completed
						Impact (1-5)	Probability (1-5)	Score (I x P)		Impact (1-5)	Probability (1-5)	Score (I x P)	Impact (1-5)	Probability (1-5)	Score (I x P)				
SR1	David Kennedy	Isabell Procter	Failure to deliver a balanced and deliverable budget.	Council unable to deliver sufficient savings to balance budget.	Inability to set a legal budget. Savings options being implemented which are not thoroughly thought through or will have significant impact on services and people of	5	4	20	Apply reserves to balance the budget. Bring forward plans for following financial year with aim of implementation six months into financial year.	5	2	10	3	2	6	Isabell Procter	31/03/12	Actions closed for 2011/12. Reopened for 2012/13. Medium Term Financial Strategy agreed by Cabinet 30th Nov 2011. Draft budget for consultation to go to Cabinet 21st December.	
SR2	David Kennedy	Cara Boden	The organisation fails to deliver its responsibilities.	Service delivery failure. Effectiveness and capacity of Senior Management.	Financial implications. Sustainability of organisation. Reputational impact.	5	4	20	Strong programme management and governance.	5	3	15	5	2	10	Cara Boden	Complete	In place and continued roll out being implemented.	August 2010.
									Effective corporate performance monitoring.							Cara Boden	Ongoing	The Council's response to self assessment is being produced.	
									Appropriate constitutional governance.							Francis Fernandes	Complete		Completed 14 March 2011.
									Effective leadership capacity - recruitment and retention of appropriately skilled and capable Senior Management.							David Kennedy	Ongoing		
									Effective financial management.							Isabell Procter	Ongoing	Financial Monitoring undertaken monthly, reporting to Cabinet quarterly and also considered at Audit Committee. Finance advising on major projects.	
								Strong external communications plan.											
SR3	David Kennedy	Lesley Wearing	The plans for improving Northampton are not delivered.	Changes in Government strategies and legislation. Disengagement by partners. Impact of current economic climate. Loss/reduction of Government funding. Housing Strategy not delivered. Housing Asset Management and Delivery Strategy not delivered. Loss/reduction of Government funding for Community Safety, also partner organisations. Investment in town centre attracted elsewhere due to policy departures. Uncertainty surrounding the implications of the Localism Bill and Welfare Reform Act.	Damage to Council's reputation. Resources diverted elsewhere. Loss of skills and expertise. Decent homes standard not met. People living in inadequate and unsuitable accommodation. Housing stock becomes more expensive to maintain. Crime and offending increases. Regeneration sites remain undeveloped, the town's reputation as an investment location reduces. Increase in homelessness.	4	4	16	Performance management and monitoring in place.	4	3	12	4	2	8	Cara Boden	Ongoing	In place and being reviewed as part of annual corporate plan development.	
									Leadership team and capacity in place.							Catherine Wilson.	Ongoing		
									Strong implementation plan and programme in place to deliver Housing Strategies.							Christine Ansell.	Ongoing	HRA Business plan/model is being finalised and externally verified. Capital programme is underway with constant monitoring in place and future years contracts are being reviewed so that there are no delays in programme delivery.	
									Review of the Community Safety Strategy underway - aims to identify, develop and implement initiatives to reduce crime and disorder in the town.							Steve Elsey.	01/05/12	Strategy updated and Actions for Partnership plan 11-12 drafted and approved by NCSP board 20 July 2011. Next review May 2012	
									Sound planning policies in place, robust project management and strong partnership working to lever in available funds.							Sue Bridge	31/01/12	The Localism Bill has resulted in delay to the submission of the Joint Core Strategy and the CAAP pending revocation of the RGS. This is being managed, but there is increased risk due to uncertainty in the process.	
SR4	David Kennedy	Francis Fernandes	Failure of governance procedures and processes to facilitate the direct desired outcomes.	Lack of clear documented governance procedures, understanding and application.	Financial implications. Legal action. Reputational impact.	5	4	20	Gap analysis of strategic governance procedures processes and understanding, together with a review of key governance documents, for example, the Constitution.	5	3	15	5	2	10	Francis Fernandes	01/05/12	Many actions progressed, including approval of the new constitution. Leaders Scheme of delegations broadly agreed by Management Board, detail to be drafted shortly. New Audit Plan to look at governance generally which will inform the gap analysis. 13th December update - Work in progress, awaiting Audit report before finalising gap analysis.	
SR5	David Kennedy	Cara Boden	The Council fails to exceed its goals and aims and make the best use of resources (assets, people, technology).	Non-delivery of key Strategic Business Reviews. Holding non-performing assets and assets that are not in line with our Asset and Capital Strategies. Not developing our use of technology and new ways of working.	Reduced efficiency and productivity. Failure to achieve and exceed desired aims and goals. Additional costs to the Council for holding assets that are not in line with the Council's Strategies. Damage to the Council's reputation. Failure to improve accessibility to services. Flexibility of working not delivered.	5	3	15	Strategic review on ownership and purpose of retaining assets. Cabinet Report due outlining the findings on retain or sell. Asset Management Strategy in place, linked to Capital Management Strategy. Corporate Asset Board in place.	5	2	10	5	1	5	Simon Dougall.	Ongoing	Review of assets has led to ongoing programme of disposal of non-operational and poorly performing assets, aligned to Capital Strategy. Revised Corporate Asset Management Strategy 2012-15 to be considered by Cabinet 14/12/11. Corporate Asset Board meets regularly and functions effectively.	
									The Council recognises people as our most valuable asset. Strategic Review undertaken on new ways of working to ensure maximum efficiency. People Strategy in place. Continue to develop staff in new ways of working. Linked to better use of technology and working in partnership with other agencies.							Catherine Wilson.	31/03/12		
									Projects supporting effective use of assets include - IP telephony, Hot Desking, Virtual Contact Centre, Redevelopment of the One Stop Shop, Chanel Shift, Work Flow Management.							Marion Goodman.	31/06/2012	The VoIP project is now complete. All hot desking implemented. Contact centre telephony and workforce management has been implemented and upgraded. OSS redevelopment is complete, with a purpose built self-serve area for promotion of channel shift. Wireless connectivity has now been completed. The Strategic Business Review of the ICT Service is on target.	