

ID	Risk Owner	Risk Lead	The Risk <i>(there is a risk that)</i>	Risk Cause <i>(as a result of)</i>	Risk Impact <i>(which may result in)</i>	Inherent Risk Scores <i>(assume no controls)</i>			Mitigation Actions and Controls	Actual Risk Scores <i>(current position)</i>			Residual Risk Scores <i>(after mitigating actions and controls)</i>			Action Owner	Action Due Date	Progress Update and Estimated Completion Date	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 Northampton.	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	31st March 2011	A balanced 3 year budget was presented to Full Council and approved on 28/02/11. The budget will be closely monitored during 11/12, particularly in light of potential changes following the local elections.	28th Feb 2011
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	1.Strong programme management and governance. 2.Effective corporate performance monitoring. 3.Appropriate constitutional governance. 4.Effective leadership capacity - recruitment and retention of appropriately skilled and capable Senior Management. 5.Effective financial management. 6.Strong external communications plan.	5	3	15	5	2	10	1.Cara Boden 2.Cara Boden 3.Francis Fernandes 4.David Kennedy 5.Isabell Procter 6.Cara Boden	1b.Summer 11/12. 2.Ongoing 3.14/03/11. 5.Ongoing 6.Ongoing	1a.Programme management and governance protocols rolled out across the organisation. These need reviewing once the change plan is updated and further developed. 1b.Further training planned for the organisation to embed the practices. 2.Effective corporate performance monitoring is in place. 3.Constitution approved 14/03/11. 4.A review of Senior Management has been instituted to consider the right senior management arrangements and capacity for the next stage of the Council's improvement journey. This is at informal consultation stage and will be moving to formal consultation in due course. 5.Arrangements are in place. The effectiveness of the financial management processes is tested by both internal and external audit. A fully balanced budget was set for 2011/12. A full review of financial processes will be undertaken in 2011/12. 6.A fully developed external communications plan is in place and will be updated as and when required.	1a. August 2010. 3. Completed 14 March 2011. 5. 31st March 2011
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.	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.	4	4	16	Performance management and monitoring in place. Leadership team and capacity in place. 1.Strong implementation plan and programme in place to deliver Housing Strategies. 2.Review of the Community Safety Strategy underway - aims to identify, develop and implement initiatives to reduce crime and disorder in the town. 3.Sound planning policies in place, robust project management and strong partnership working to lever in available funds.	4	3	12	4	2	8	1.Christine Ansell. 2.Steve Elsey. 3.Sue Bridge	2.31/05/11	1. Decent Homes Backlog bid submitted and successful. This has secured £49m for Decent Homes although funding in years 3 and 4 are subject to review. This will be sufficient to deal with all non-decency up to 2012 and the HRA reforms are intended to resource the Council to deal with non-decency after 2012. HRA Business Planning process underway to verify this and to identify need and resources available to the HRA. This will be completed by the end of 2012 as all figures issued by CLG are subject to confirmation. 2.Action plan under consultation, Business Support Group to consider on 10th May in order to finalise for agreement at the CS Board on 18th May. 3.On target to put a sound planning policy framework in place in accordance with the LDS timetable.	
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		Gap analysis to commence after new Constitution is approved - Commence May 2011.	

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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	1.Undertaken a strategic review on the 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. 2.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. 3.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.	5	2	10	5	1	5	1.Simon Dougall. 2.Catherine Wilson. 3.Marion Goodman.	2.31/03/12	1.Strategic review on the ownership and purpose of retaining assets completed in 2010. Cabinet Report July 2010 approved the findings and four tranches of property disposals approved by Cabinet in 2010/11. Further disposals to be completed in 2011/12. Corporate Asset Management Strategy 2010 -2013 adopted and linked to Capital Management Strategy. Corporate Asset Board in place and meeting regularly. 2. New Ways of working and culture change programme to this moving forward. Review of People Plan 11/12. 3. The redevelopment of the OSS is currently on schedule with Phase 1 opened in April 11 and Phase 2 (self-serve area) due to open in late May 11. Customers will have assisted self-service. The IP Telephony Project is on track -June 11. The virtual contact centre project is on track and will be completed by June 11. A channel shift strategy has been developed and adopted, channel shift promotion is taking place between March and July 11. All council tax bills have been published with log-on details for payers to register for electronic billing. EDRMs and CRM are scheduled for PIG in May 11	