

APPENDIX ONE - NORTHAMPTON BOROUGH COUNCIL CORPORATE RISK REGISTER 2018/19 Q1 UPDATE AS AT 31st JULY 2018

CORPORATE RISKS Q1 UPDATE AS AT 31st JULY 2018		Q4 17/18	Q1 18/19
1.	Failure to deliver a balanced budget 2018/2022	20	16
2.	There is insufficient clarity around Member and Officer Roles	20	20
3.	Inadequate succession planning and staff retention	16	12
4.	Inability to meet and manage the demands of homelessness	16	10
5.	Failure to manage or failure to deliver or expose new risks as result of poor project management practice	16	12
6.	Legal obligations under the Data Protection Act 1998 (and also the superseding GDPR EU Regulations in 2018) are breached	16	12
7.	Plans for improving the economic prosperity and regeneration of Northampton are not delivered	16	12
8.	NBC fails to manage its Partnerships (LGSS, NPH, NLT, AMEY)	12	9
9.	Major or large scale incident (accident, natural hazard, riot or act of terrorism) business interruption occurs	12	12
10.	Impropriety or improper business activities leading to fraudulent activity or malpractice	12	16
11.	Significant decisions made at Council and Cabinet level are not sufficiently robust to withstand legal challenge.	12	12
12.	Inability of IT to service future requirements/and or loss of IT due to failure or cyber-attack	10	10
13.	There is non-compliance with Fire and Health and Safety Legislation	9	9
14.	Safeguarding arrangements are not adequate to protect or address concerns of vulnerable adults and children	9	9
15.	NEW RISK: Failure to deliver enough new housing to meet targets and need	N/A	9
16.	NEW RISK: Potential changes and impact as a result of LGR	N/A	10

IMPACT

5 Catastrophic					
4 Major				1,10	2
3 Moderate			8,13,14,15	3, 5,6,7, 9,11	
2 Minor					4,12,16
1 Insignificant					
LIKELIHOOD	1 Rare	2 Unlikely	3 Possible	4 Likely	5 Almost Certain

CORPORATE PRIORITIES - to be updated with new Corporate Plan priorities	
CP1	
CP2	
CP3	

NORTHAMPTON BOROUGH COUNCIL CORPORATE RISK REGISTER UPDATE AS AT 31st JULY 2018

No	Corporate Priority	Risk Description	Risk Causes	Risk Consequences	Inherent Risk Rating	Key Measures in Place to Manage The Risk (Key Controls)	Current Risk Rating		Further Action & Implementation Date	Target Risk Rating	Risk Owner	Update & Date
							Q4 17/18	Q1 18/19				
1.		Failure to deliver a balanced budget 19/20 – 22/23	<ul style="list-style-type: none"> ▪ Council unable to deliver sufficient savings to balance budget ▪ Major projects don't deliver planned benefits ▪ Complacency in the organisation ▪ Increased organisational change and complexity ▪ Changes in govt. funding particularly NNDR ▪ Complex challenges of addressing both the controllable and uncontrollable pressures and events that can act on both income and expenditure ▪ Challenges of working with partnership or arms-length organisations where there is a loss of direct management control over their activities 	<ul style="list-style-type: none"> • Inability to set a legal budget • Depleted Reserves • Need to realise capital receipts • Inability to deliver services to meet customer need/demand and expectations of the Council 	25	<ul style="list-style-type: none"> • Review reserves strategically • Robust monitoring of budgets by services and taking early remedial action where issues identified. • Management Board action to limit spending where appropriate and communicate to staff on spending restrictions • 18/19 budget set • Quarterly financial reporting to Cabinet • Regular financial reporting to the Management Board • Regular monthly financial monitoring (incl. projections) • Finance Away Days for Boards and HoS 	20	16	<ul style="list-style-type: none"> • Robust Medium Term Financial Plan review (September 2018 – January 2019) 	16	CFO (S151)	Updated by CFO 14 th August 2018

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							Q4 17/18	Q1 18/19				
2.		<p>Projects may be instigated outside normal process where there is a lack of clarity around Member and Officer roles.</p> <p>Reputational damage may occur should promises to the public by Members not be realised.</p>	<ul style="list-style-type: none"> ▪ Members and Senior Officers roles (formulating and administering policy respectively) are not always clear ▪ The culture does not resonantly promote a separation of the respective roles and duties of members and officers ▪ Officers feel inhibited in giving full, objective, professional and technical advice to Members in charged political atmospheres ▪ Officers in their role seek to frustrate the strategic choices, policy and direction-setting of Members • Weak management of Members by leadership in the past 	<ul style="list-style-type: none"> • Significant decision-making with significant outcomes and impacts is not robust and is not properly administered or processed by the organisation • The intended outcomes and objectives of decisions are not achieved or are achieved in sub-optimal terms • Maladministration occurs • The control environment is weakened and controls could be bypassed • Potential for reputational damage and loss of public and stakeholder confidence • Regulatory criticism • Legal challenge may be made and increased costs incurred 	20	<ul style="list-style-type: none"> • Council Constitution (incl. the Member-Officer Protocol) • Cabinet reporting system • Scheme of Delegation • Contract Procedure Rules • EPB set up to aid interface between Members and Officers. • Weekly meeting with CMB and Cabinet to discuss general updates and any potential issues/gaps in information communicated. 	20	20	<ul style="list-style-type: none"> • Review of EPB terms of reference (Sept 2018) • Review of Member-Officer Protocol (by Dec 18) • Provision of training on Member-Officer Protocol (by Dec 18) • Corporate training to Officers plus briefings to all staff to reiterate the standards to be enforced (by Dec 18) 	12	Borough Secretary	Updated by Borough Secretary 8 th August 2018

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							Q4 17/18	Q1 18/19				
3.		Inadequate succession planning, capacity and retention leading to service disruptions/non delivery	<ul style="list-style-type: none"> ▪ Salaries not competitive with LAs outside the local catchment area ▪ Reputation of the Council is not positive ▪ Perception of organisational instability ▪ Continual cost cutting ▪ Drift in staff morale ▪ Differing levels of engagement within the organisation ▪ Historic failure and disconnect of leadership to engage with staff ▪ Impact of unitary causing uncertainty ▪ Lack of HR strategic profile in the organisation 	<ul style="list-style-type: none"> • Inability to recruit to roles (particularly key roles) • Inability to retain staff (particularly key talent staff) • Depressed staff morale • Increased staffing costs due to agency/interim costs • Staff leaving (particularly key staff) take their organisational knowledge out of the organisation when they leave • No succession planning is possible particularly around specialist and qualified posts • Reduced organisational effectiveness and performance • Lack of organisational resilience 	20	<ul style="list-style-type: none"> • Recruitment process changed eg. to advertise more widely, use of dynamic job ads and increase use of specialised agencies to find permanent staff or fixed term applicants • Benefit of council pension scheme headlined to attract staff • Performance appraisal rewards highly effective staff • Family friendly policies, eg maternity and paternity leave • Generous holiday allowance • Subsidised car-parking • Guildhall location • Flexible working hours • New Chief Executive recruited 	16	12	<ul style="list-style-type: none"> • Review of staff Terms and Conditions (December 2018) • Review of performance appraisal process (December 2018) • Investigating the use of one common method of job evaluation (December 2018) • A number of initiatives in wellbeing and communication being considered for deployment (On-going) • Roll-out of Leadership Development Programme (On-going) • Introduction of talent management and succession process (December 2018) • Promote unitary as an opportunity for development (September 2018 – March 2019) 	9	CFO (S151)	Updated by CFO 14 th August 2018

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							Q4 17/18	Q1 18/19				
4.		Inability to meet and manage the demands of homelessness in the Borough	<ul style="list-style-type: none"> ▪ Significant increases in the numbers of people who are homeless ▪ Significant increases in the number of people in temporary accommodation (TA) ▪ Welfare reform, eg. extension of the benefit cap reducing affordability of housing ▪ Households loss of private rented accommodation ▪ Difficulty in accessing private rented accommodation ▪ Shortage of social rented housing ▪ Homelessness Reduction Act increasing use of TA 	<ul style="list-style-type: none"> • Increased demand leads to significantly greater costs for the Council • Follow-on significant budgetary overspend occurs • Pressure of financial impact of overspend of c£1.5m • More homelessness applications • Increased statutory duty to rehouse • Increases of numbers of people in BB and TA accommodation 	16	<ul style="list-style-type: none"> • Rigorous budget monitoring in place • Regular financial reporting to Management Board, Portfolio-Holder & Cabinet • Additional resources allocated (£100K for staffing) • Increase in allocated TA budget (£300K) • Two officers now focussing exclusively on TA 	16	10	<ul style="list-style-type: none"> • Prepare Cabinet report to set out position statement for TA (October 2018) • Prepare proposals to further mitigate cost <ul style="list-style-type: none"> - Strategy for procuring cheap accommodation - Slow demand 	10	Head of Housing	Updated by Head of Housing 10 th August 2018
5.		Failure to manage, deliver or expose new risks as result of poor project management practice. Reputational damage possible.	<ul style="list-style-type: none"> ▪ Lack of a clearly-defined project management governance structure ▪ Lack of written procedures and related compliance as a source of assurance ▪ Inadequate checks and balances ▪ Inadequate project documentation maintained - business cases in particular 	<ul style="list-style-type: none"> • Wrong decisions made on an unviable business case • Continual review of the project – stopping the continuation on unviable project • Reputation • Financial costs • Pressure on resources • Pay back on investment funds if not delivering 	16	<ul style="list-style-type: none"> • Gateway reviews conducted and reported to CMB for approval • More robust governance processes (as per above risk on governance) • Completion of Project Management Framework document • Highlight reports reported monthly to CMB • Project Managers are made accountable for reporting issues and risks to the Head of Economic Development and Regeneration. 	16	12	<ul style="list-style-type: none"> • Continue to develop and install more robust governance processes (On-going) • Review of project management documentation to simplify and make it easier for reporting purposes. 	4	Head of Economic Development and Regeneration	Updated by Head of Economic Development and Regeneration 7 th August 2018

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6.		Legal obligations under the Data Protection Act 1998 (and also the superseding GDPR EU Regulations in 2018) are breached and there is inappropriate access and/or disclosure, corruption or loss of data	<ul style="list-style-type: none"> ▪ Not implementing the new EU data protection legislation ▪ Lack of staff knowledge of policy and procedure ▪ Ineffective implementation of GDPR Regulation requirements ▪ Lack of an implementation plan for GDPR 	<ul style="list-style-type: none"> • Data breaches • Prosecution • Fines • Lack of confidence and public trust • Reputational issues • Member criticism 	20	<ul style="list-style-type: none"> • Data sweeps • Data governance • Staff awareness • Campaigns/refresher online training • Data Protection Policy update May 2018 • Follow up actions and lessons learnt communication to all staff through newsletters/all staff emails • GDPR implementation plan in place 	16	12	<ul style="list-style-type: none"> • Continue with training on GDPR refresher courses for officers and members (ongoing) • review and update of all policies and procedures (ongoing) • Implement improved management of data storage (December 2018) 	4	Governance & Risk Manager	Updated by Governance & Risk Manager 10 th August 2018
7.		There are no clear plans for improving the economic prosperity and regeneration of Northampton.	<ul style="list-style-type: none"> ▪ Lack of skilled resource and vision ▪ Lack of local knowledge ▪ LGR creates political uncertainties ▪ No cohesive decision making in relation to regeneration strategy for Northampton between Officers and Members. 	<ul style="list-style-type: none"> ▪ Investors not investing in the town or pulling out of partnership arrangements ▪ Jeopardising current and future regeneration and growth projects ▪ Damage to Northampton as a place of choice 	16	<ul style="list-style-type: none"> • Lessons-learned reviews being held • Improved reporting through to CMB 	12	12	<ul style="list-style-type: none"> • Plans being developed in terms of QA and process and service capability in structure • Preparation of Economic Growth Strategy January 2019) • Plans for regeneration and town centre to be developed (September 2018) • Development of growth team 	2	Head of Economic Development and Regeneration	Updated by Head of Economic Development and Regeneration 7 th August 2018
8.		NBC fails to manage its contractual partnerships with: <ul style="list-style-type: none"> • LGSS • NPH • NLT • Veolia 	<ul style="list-style-type: none"> ▪ Loss of direct management control over activities ▪ Poor governance ▪ Lack of contract monitoring at officer level ▪ Lack of quality control ▪ Performance monitoring information is not developed 	<ul style="list-style-type: none"> • Services not delivered to quality, time and cost • Failure in fulfilling legal responsibilities • Hindering the achievement of the councils objectives • Negative impact to customers and stakeholders • reputational risk to NBC 	12	<ul style="list-style-type: none"> • Taking remedial action where required e.g. HR and Payroll coming back in-house • Quarterly reports and meetings 	12	9	<ul style="list-style-type: none"> • robust contract monitoring and quality control • Continual review of LGSS contract • Holistic/virtual team of contract managers to share good practice 	8	CFO (S151)	Updated by CFO 14 th August 2018

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							Q4 17/18	Q1 18/19				
9.		Major or large scale incident (accident, natural hazard, riot or act of terrorism) business interruption affecting the council resources and its ability to deliver services and risk to safety of staff and loss of staff	<ul style="list-style-type: none"> Accident, natural hazard, riot or act of terrorism or other business interruption 	<ul style="list-style-type: none"> Lack of business continuity Council not able to deliver front-line services Council failing to meet statutory responsibilities Risk of safety to staff and loss of staff Customer needs not being met 	20	<ul style="list-style-type: none"> Updated business continuity strategy and business continuity plans partially in place only for all services with some services remaining outstanding Refreshed Critical Incident Plan Emergency Planning Work-streams facilitated by Emergency Planning lead including town centre evacuation procedures Establishment of Gold and Silver duty rota Review of high-rise buildings in the borough post-Grenfell On-going improvements identified and implemented as a result of participation in national and local exercises eg Cygnus (flu-pandemic) and Jerboa (flooding) exercises Involved in London Bridge briefings London Bridge guidance notes updated August 2018 Follow up briefing given to NBC key officers by CEO. 	12	12	<ul style="list-style-type: none"> Emergency Roles and responsibilities paper to be presented to CMB to address staffing shortages in the duty rota (September 2018) Continuing work to ensure all services at the Council put in place a business continuity strategy and plan (On-going) Continuing improvements to BC and Emergency Planning procedures to be implemented post operations e.g. 2018 Floods (on-going) Clarify arrangements for business continuity responsibility for key partner organisations (On-Going) 	9	CEO	Updated by CEO 24 th August 2018
10.		Impropriety or improper business activities leading to fraudulent activity or malpractice	<ul style="list-style-type: none"> LGSS services returning - HR and Payroll - shifting accountabilities Lack of robust governance, procedure or process Lack of robust internal controls Inadequate reviews by internal audit on financial controls No assurance from LGSS on effectiveness of controls 	<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 	15	<ul style="list-style-type: none"> Counter-fraud strategy in place NBC Fraud policy in place Section 151 controls Review of policy and procedure Review of LGSS Finance SLA and process New Whistleblowing Policy approved by Council 	12	16	<ul style="list-style-type: none"> NBC fraud policy to be reviewed (Dec 2018) Reviews of financial controls within LGSS (Dec 2018) gain assurance of controls through contract management of LGSS and internal audit (Dec 2018) 	10	Governance & Risk Manager	.Updated by Governance & Risk Manager 10 th August 2018

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							Q4 17/18	Q1 18/19				
11.		Significant decisions made at Council and Cabinet level are not sufficiently robust leading to ill informed decisions being made.	<ul style="list-style-type: none"> ▪ Inadequate governance ▪ Inadequate checks and balances 	<ul style="list-style-type: none"> • Civil litigation, including judicial review • Lack of confidence from staff or public • Court cases • Ombudsman reviews 	15	<ul style="list-style-type: none"> • Additional/Increased cabinet clearance protocols in place • Reworked clearance processes • EPB Officer/Member interface in operation to ensure greater understanding prior to cabinet/council meetings 	12	12	<ul style="list-style-type: none"> • Annual reviews of Democratic Services (March 2019) 	10	Borough Secretary	Updated by Borough secretary 8 th August 2018
12.		Inability of IT to service future requirements and or loss of IT due to failure or cyber-attack	<ul style="list-style-type: none"> ▪ Poor governance ▪ Lack of contract monitoring ▪ Lack of quality control 	<ul style="list-style-type: none"> • Services not being delivered to customers • Business interruption • Inefficient business processes and technology not adequately exploited. 	15	<ul style="list-style-type: none"> • Review of current LGSS SLA with IT to see what can be improved and remedial action taken • IT policies and procedures reviewed and refreshed • Review of IT equipment and infrastructure • PSN Compliance achieved • Lessons-learned review implemented following ransomware attacks in 2016/17 	10	10	<ul style="list-style-type: none"> • ICT Governance Meetings (On-going) • ICT Client Meetings to assess relationships and risks (On-going) • Completion of LGA stocktake as at 31st August 2018. • LGA stocktake results action plan implementation. 	10	CFO (S151)	Updated by CFO 15 th August 2018
13.		There is non-compliance with fire and Health and Safety legislation.	<ul style="list-style-type: none"> ▪ Lack of a clear strategy ▪ Processes not followed 	<ul style="list-style-type: none"> • Continuing lack of a clear strategy /strategic direction • Death or injury to public or staff • Criminal prosecution or civil litigation • Service stopped • Loss of public trust • Action by H & S executive or Northants Fire and Rescue • Fines to organisation • Corporate manslaughter charges • Insurance claims • Financial loss 	20	<ul style="list-style-type: none"> • Corporate Health & Safety Group set up and in place • Upskilling of managers in terms of H&S responsibilities • Audit & Inspection Framework in place • H&S Matrix in place cross-referencing role profiles to required H&S training • Review of H&S policies and procedures and refreshed where appropriate • Refresher staff comms and training • Fire Marshal training completed • Implementation of mandatory on-line training courses for all staff • Corporate Health Safety and Wellbeing Policy presented to Council and signed off on 9th July 2018. 	9	9	<ul style="list-style-type: none"> • Review of the H & S delivery and service (September 2018) • Communication and engagement with staff through information/training sessions (On-going) 	6	Governance & Risk Manager	Updated by Governance & Risk Manager 10 th August 2018

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14.		Safeguarding arrangements are not adequate to protect or address concerns of vulnerable adults and children.	<ul style="list-style-type: none"> ▪ Staff lack of awareness of procedure or referral route 	<ul style="list-style-type: none"> • Children or vulnerable adults harmed or put at risk of harm • Criminal prosecution or civil litigation • Seriously damaging reputation or NBC 	20	<ul style="list-style-type: none"> • Procedures and referral routes reviewed and refreshed where necessary • Refreshed procedures and referral routes communicated • Designated Officer for Safeguarding as point of contact in place • Series of presentations on CSE, including with Members and staff, to build awareness • Increased joint working with County Council (Rise Team), other boroughs and districts, including with community safety, licencing and social landlords • Scrutiny Review of CSE in the Borough • Scrutiny Review gone to Cabinet 	9	9	<ul style="list-style-type: none"> • Hotel Watch exercise to be rolled out in conjunction with the Rise Team (March 2019) • Full implementation of recommendations arising from the above Cabinet report (June 2019) • Response to scrutiny review (October 2018) 	9	Head of Housing	Updated by Head of Housing 9 th August 2018
15		NEW RISK #1 Failure to deliver enough new housing to meet targets and needs	<ul style="list-style-type: none"> ▪ Local housing market ▪ housebuilders not wanting to devalue their product by flooding the market ▪ increasing land values 	<ul style="list-style-type: none"> • Note delivering enough housing to meet local demand • Increase in homelessness and demand for temporary housing • Failure to meet local targets • Failure to meet Housing Delivery Test • Potential loss of decision making role • Inability to resist housing proposals in unsustainable locations. 	16	<ul style="list-style-type: none"> • Secured planning Delivery Funding to recruit Housing Delivery Manager to liaise with housebuilders and establish what is delaying delivery • Regular monitoring of local and market area delivery • Flexible approach to planning applications • Investigating investment in infrastructure to open up allocated sites and accelerate delivery • Development of a Growth Deal to secure additional resources for affordable housing, infrastructure and capacity, and planning freedoms • Promotion of role within Growth Corridor 	N/A	9	<ul style="list-style-type: none"> • Recruit Housing Delivery Manager (Autumn 2018) • Develop action plan (January 2019) • Agree Growth Deal (2019) • DevCo formation October 2018 • NBC bid for HRA development (October 2018) • £4.2m Dallington relief road 	9	Head of Planning	Added by Head of Planning 9 th August 2018

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16		<p>NEW RISK #2 There are potential changes to Local Government structures currently including major changes to overarching governance in the local area. Possible outcomes include Northampton Borough Council becoming a Unitary authority or potentially ceasing to exist in its current form.</p> <p>Risk that NBC is not in a favourable position as a result of the LGR proposal.</p>	<ul style="list-style-type: none"> ▪ Impact on NBC and other Northamptonshire district and borough councils following the issues identified at NCC and the Max Caller report ▪ LGR 	<ul style="list-style-type: none"> • Loss of opportunities and investment • Potential impact on community • Lack of focus on Northampton Town • Focus on services • Consumes resources that may impact on business as usual 	20	<ul style="list-style-type: none"> • Working with other councils in Northamptonshire and partners with a view to agreeing a way forward on LGR deal and strengthening current governance structures • Working with County to ensure effective joint working continues • GCR for Town Council • Full risk register associated with the wider project 	N/A	10	<ul style="list-style-type: none"> • Formation of a Unitary Project Team within NBC • New expanded project team that will be resourced • New governance structures in place • Cross party working group meeting regularly • CEO chairs CEX Group/Leader chairs Leaders group 	5	CEO	Update by CEO 24 th August 2018

RISK ASSESSMENT MATRIX KEY

NBC Risk Matrix						
Impact	5 <i>Catastrophic</i>	5	10	15	20	25
	4 <i>Major</i>	4	8	12	16	20
	3 <i>Moderate</i>	3	6	9	12	15
	2 <i>Minor</i>	2	4	6	8	10
	1 <i>Insignificant</i>	1	2	3	4	5
		1 <i>Rare</i>	2 <i>Unlikely</i>	3 <i>Possible</i>	4 <i>Likely</i>	5 <i>Almost certain</i>
		Probability				

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Impact		Health and Safety	Reputation	Financial	Legal / Regulatory
Type of Impact	Level				
5	Catastrophic	Fatality	Critical impact on business reputation and/or national media exposure.	Financial loss in excess of £10 Million/ Impact on budget > 12 %	Regulatory and high level Government intervention/action.
4	Major	Permanent disabling injury and / or long term off work	Significant impact on business reputation and/or national media exposure.	Financial loss from £5 to £10 Million/ Impact on budget 6 - 12%	Management challenged / Large legal liabilities. Likely to result in regulatory intervention/action.
3	Moderate	Injury requiring medical treatment , time off work and rehabilitation	Moderate to small impact on business reputation.	Financial loss from £2 to £6 Million / Impact on budget 2 - 6%	Management reviewed / legal reserves established. Triggers regulatory investigation.
2	Minor	Injury requiring medical treatment with no lost time	Some impact on business reputation.	Financial net loss from £0 to £2 Million/ Impact on budget < 2 %	Minimal / limited liabilities. Requires immediate regulator notification.
1	Insignificant	Minor medical treatment, no lost time.	No impact on business reputation.	No financial net loss or impact on budget	Minimal liabilities. No immediate regulator notification required.

Likelihood		
5	Almost certain	Is expected to occur in most circumstances/ occurs daily - weekly
4	Likely	Could occur in most circumstances / occurs monthly
3	Possible	Has occurred here or elsewhere / Once a year
2	Unlikely	Hasn't occurred yet but could / once in 5 years
1	Rare	Hasn't occurred yet but could / once in 10 years