

Future addition to Corporate risk register?	SCG ref	TCG risk register ref	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
Y	SCG1	TCG6	Loss of income (licensing, planning, car parking, commercial rent) and/or increased costs	<ul style="list-style-type: none"> Loss of income across multiple services Increased unfunded Covid19 costs Increased demand for services (e.g. homelessness) Reduced Government/grant funding Potential additional community demands Loss of income from civil penalty housing enforcement 	<ul style="list-style-type: none"> Income targets not met (shortfall in the Em) Reduction in service levels £2.5m budget gap (potentially offset by additional Govt. funding) 	E3	<ul style="list-style-type: none"> Keep abreast of Government and commentators views on Government funding plans via information from government, LGA, District Treasurers Assoc. DCN Identify opportunities to realise income Robust budget monitoring Recording and monitoring of losses by finance Identify Central Government grant funding opportunities Financial assistance from Central Government Reduce expenditure (where possible) Monitoring of the County and other council's position re. parking charges Regular financial updates to CMB Regular financial updates to Cabinet (27/05; 10/06; 22/07) Reports re. parking and options for charging being submitted to SCG 	D3	<ul style="list-style-type: none"> Forecasts in early months of the year will attempt to quantify the extent of potential shortfall. Further lobbying of government re funding for Covid especially re income loss Identification and estimation of impacts and future Covid related cost Capture natural savings and costs avoided Avoid recruiting to posts that do not have a material impact on core services, or income streams. Use of reserves as necessary as a last resort 16 July - additional funding allocations confirmed (£2.79m) 	D3	Stuart McGregor	23/07/20
	SCG2	TCG11	Availability of 'suitable and sufficient' Personal Protective Equipment for the delivery of NBC operational services	The availability of suitable and sufficient PPE to support NBC services is not accessible through the Council's normal procurement routes with many of the Council's suppliers reporting that stock is not available	The services may not be able to deliver normal services safely. Services will have to reduce or be amended	D3	<ul style="list-style-type: none"> Chris Stopford appointed as SPOC, reviewing needs and demands for PPE and available stock levels, coordinating the procurement of PPE for the organisation Review of PPE completed for existing needs; stock being purchased from various companies; NBC in close liaison with LRF (as at 03/06/2020 the LRF have reported that the market for the PPE which was limited is improving considerably) 	C3	<ul style="list-style-type: none"> Further reviews will be undertaken when lockdown is reduced to assess an additional staffing PPE needs as they return to normal duties and impact on PPE stock levels Additional PPE procured to facilitate the return to work plan 	B2	Chris Stopford	07/07/20
Y	SCG3	TCG13	Fraudulent activity in the a) business support grant processes b) discretionary fund processes	<ul style="list-style-type: none"> Inadequate verification processes Lack of robust internal controls 	<ul style="list-style-type: none"> Financial loss Reputational damage Fines Criminal prosecution (staff and/or businesses if fraud identified) 	C3	<ul style="list-style-type: none"> Internal audit actively involved in the process Clear eligibility criteria Clear government guidance Maintenance of records including the basis for the allocation of the discretionary fund in case of challenge Verification of all claim forms ID and bank account details are verified Payments only processed when all checks have been 	C3	<ul style="list-style-type: none"> Process and payment procedures, compliant with government guidance, are in place and signed off by internal audit and SCG 	C3	Stuart McGregor	28/05/20
	SCG4	TCG42	Support not being provided for those on the Government Shielding list and those most vulnerable in our communities	<ul style="list-style-type: none"> Timely and thorough process in place to deal with the number of requests for support being received Capacity of the community and voluntary groups to address complex needs Skills and training of the volunteers 	<ul style="list-style-type: none"> Unable to support those most vulnerable in our communities Unable to support and address all needs Safeguarding concerns 	C4	<ul style="list-style-type: none"> Northampton Community Resilience Hub established - Community Safety & Engagement Team deployed to the hub, supported by customer contact centre and other NBC staff who have been deployed to increase capacity and resilience Working with VIN as the LIO to support the community and voluntary sector. Virtual cell created to ensure regular two way comms with the groups. Using new individual volunteers to build the capacity of existing groups. Good practice guides developed and shared, including safe volunteering and safeguarding 	B4	<ul style="list-style-type: none"> Shielding is due to end on 31 July, potential impact on the local cell as the central government support comes to an end. There are 127 community and voluntary groups that are supporting the cell to offer support. 	A4	Vicki Rockall	29/07/20
Y	SCG5	TCG50 to TCG62	Financial implications as a result of: • The implementation of government guidance covering revenues and benefits • The financial impact of the Covid-19 situation on customers and businesses	<ul style="list-style-type: none"> Changes to local economy Increased cost above budgeted amount Increased CTRS caseload Reduced payment by customers Limited recovery action Increased CTRS take-up Increase in LC Pressure on CoCs Backlog in processing Auditor availability Delay to Unitary work Delay to the LGSS target operating model/arrangements for MKC and NBC partnership working Inability to meet partner savings targets 	<ul style="list-style-type: none"> Cashflow issues Unable to meet precept payments Additional borrowing/demand on reserves Reputational damage Pressure to fund own services Additional financial pressures for other preceptors/parishes Passing on deficits to the new unitary Reduction in value of tax base for 21/22 Increased scrutiny from stakeholders Overspend in this area Provision due to limited "pot", funded solely by NBC Reduced income to budgets, this is offset against employee costs in R&B Risk to existing budgeted savings Risk to ability to grow as a shared service Increased LA error Reduced collection rates Loss of DWP incentive 	E4	<ul style="list-style-type: none"> Increased and outcome targeted monthly monitoring Mitigate uncertainty by regular monitoring and review as part of the budget process Liaison with PSH & NPH Monitoring of PIs agreed as part any revised DHP administration process Potential to lobby government Employees can be re-allocated to different workstreams in the service Communication with auditors, partners and stakeholders Monitoring reports of subsidy loss 10-year corrections of incorrect cases Quality assurance of day to day workload Performance monitoring with individuals and teams 	E3	<ul style="list-style-type: none"> Monthly performance monitoring, monthly budget monitoring, regular meetings and communications Need to review arrangements as circumstances change, based on latest intelligence, horizon scanning and evidence gathering (peer group, legislation, government direction) Options report submitted to NBC setting out the proposals for the re-commencement of recovery work Awaiting direction for the R&B service and conducting 'review of what is already in place' with NBC / options for all from 2020 whilst planning to deliver BAU. Understanding scope and any funding implications for unitary work. 	E3	Stuart McGregor / Robin Bates / Ian Tyrer / Matt Steele / Debbie Collins	04/06/20
Y	SCG6	TCG66	Failure to deliver our HR related unitary commitments	<ul style="list-style-type: none"> Limited resource Conflicting priorities (day job/covid-19 specific work/unitary work) Lack of qualified and experienced deputy Excessive pressure placed on the postholders of key roles 	<ul style="list-style-type: none"> Project delays Error/omission Staff stress/burnout Reputational damage 	C3	<ul style="list-style-type: none"> Future Northants team will be responsible for more of the work that originally expected Tasks allocated where appropriate Reprioritising of task/activities to meet demand 	C3		C2	Karen Marriott	02/06/20
Y	SCG7	TCG71	Economic recession	Impact of Covid-19 restrictions	<ul style="list-style-type: none"> Large increase in unemployment Emergence of a higher expectation of ongoing support Business closures Financial impact on the council as a commercial landlord Impact on council services ranging from increased benefit claimants to housing need and staff resources to assist and at the same time reduced income. 	E4	<ul style="list-style-type: none"> Financial Assistance from Central Government to businesses and the public Lobby central government for more funding Monitoring by the Economic Growth team Working with key town centre partners Support to commercial tenants aimed at keeping businesses afloat 	E3	<ul style="list-style-type: none"> Look for alternative sources of funding Implement commercial tenant rent support and weekly arrears monitoring Work with the Jobscentre Plus to support people when being made redundant. The national situation is being monitored. Youth unemployment is being looked at as part of LA Gold's Recovery work 	E3	Kevin Langley	14/07/20
Y	SCG8	TCG69	Second covid-19 wave (national)	<ul style="list-style-type: none"> Non-compliance with govt. guidance Lockdown restrictions lifted too early Limited stock/availability of PPE People now able to socialise more widely Re-opening of the hospitality industry Employees returning to office based working Increased use of public transport Cluster outbreaks Increased testing = potential increase in positive results 	<ul style="list-style-type: none"> National/local lockdown implemented Increase in staff infection Increase in staff absence Staff having to decant from the Guildhall and other council premises Unable to deliver statutory/critical services Increased demand for council services Staff redeployment to partner agencies Adverse financial impact on the council Adverse financial impact on residents/businesses Adverse financial impact on partners/contractors/suppliers 	D3	<ul style="list-style-type: none"> Regular internal and external comms regarding prevention e.g. social distancing, face covering to be used on public transport Process for informing HR of any staff who may have symptoms/been in contact with someone with symptoms Process for referring staff for testing Management process for sending staff home to self-isolate whilst awaiting test results of a potentially infected employee Testing criteria established and complied with Countywide lockdown plans approved Terms of reference drafted for the countywide boards that have been established NBC specific plan being drafted to manage local lockdown 	D2		D2	Marion Goodman / Peter Baguley	23/07/20
N	SCG9		Local covid-19 outbreak	<ul style="list-style-type: none"> Non-compliance with govt. guidance Lockdown restrictions lifted too early Limited stock/availability of PPE People now able to socialise more widely Re-opening of the hospitality industry Employees returning to office based working Increased use of public transport Cluster outbreaks Increased testing = potential increase in positive results 	<ul style="list-style-type: none"> National/local lockdown implemented Increase in staff infection Increase in staff absence Staff having to decant from the Guildhall and other council premises Unable to deliver statutory/critical services Increased demand for council services Staff redeployment to partner agencies Adverse financial impact on the council Adverse financial impact on residents/businesses Adverse financial impact on partners/contractors/suppliers 	D3	<ul style="list-style-type: none"> Re-iteration and education through communication direct with the public/businesses and through social media regarding prevention e.g. social distancing; mobile testing stations; face coverings in shops/takeaways Outbreak SCG and TCG formed Outbreak SCG Terms of Reference approved 28/7/2020 Weekend plan developed in relation to education, information and community engagement Leaflets produced in multiple languages and distributed in targeted areas. 	D3	<ul style="list-style-type: none"> NBC specific plan being drafted to manage imminent local lockdown 	C2	Marion Goodman / Peter Baguley	29/07/20

Risk Likelihood					
E. Almost Certain (90%+)					
D. Likely (56% to 90%)					
C. Possible (16% to 55%)					
B. Unlikely (6% to 15%)					
A. Rare (0%-5%)					
Risk Impact	1. Insignificant Impact or Insignificant Benefit	2. Minor Impact or Minor Benefit	3. Moderate Impact or Moderate Benefit	4. Major Impact or Major Benefit	5. Catastrophic Impact or Exceptional Benefit