



Governance & Audit Committee 23rd September 2020

Risk Monitoring Update – Quarter 1 (2020/21)

Purpose of report

To provide Members with a report on the council's risk register for Quarter 1 of 2020/21.

Attachment(s)

Appendix 1: Governance and Audit Risk Report – Quarter 1 Risks 2020/21

1. Background

- 1.1. The council manages risk on a daily basis and has processes in place for identifying, evaluating and managing risk across the organisation. The risk management strategy was last approved by Governance and Audit Committee on 28th September 2015.

2. Risk Reporting

- 2.1. The risk management system is set up to provide a quarterly update of risks. Reports are provided to risk managers, Corporate Management Team and Members on a regular basis.
- 2.2. A risk report for Quarter 1 2020/21 has been prepared for Governance and Audit Committee and can be seen at **Appendix 1**. The report contains the following information:
- Corporate risks (Pages 2-4)
 - High priority risks - risks with high current score or very high likelihood score or very high impact score (Pages 5-6)
 - Risks with very high impact scores – by each impact measured (Page 7)
 - Risks ended in the last quarter (Page 8) – there is one
 - New risks (Page 9) – there are two
 - Overdue actions (Page 10) – there are none.

3. Equality and Diversity Implications

- 3.1. This is an information report for discussion. There are no equality and diversity implications arising.

4. Privacy Implications

- 4.1 There are no privacy implications arising from this report.

5. Health Implications

- 5.1. This is an information report for discussion. There are no health implications arising directly from this report.

6. Legal Implications

- 6.1. This is an information report for discussion. There are no legal implications arising from the proposals.

7. Risk Management

- 7.1. The council's risk management strategy is designed to ensure that effective processes are in place so that the council understands and manages its risk environment and can achieve its objectives.
- 7.2. The council's approach to risk management is to prioritise the management and mitigation of the highest risks. Recent experience suggests that an increasing amount of time is required to manage these high risks; as such resource and time is being prioritised towards these high risks.

8. Resource and Financial Implications

- 8.1. This is an information report for discussion. There are no financial implications arising directly from this report.

9. Constitutional Implications

- 9.1. This is an information report for discussion. There are no constitutional implications arising from this report.

10. Implications for our Customers

- 10.1. This is an information report for discussion. There are no customer service implications arising from this report.

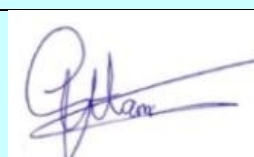
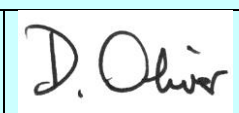
11. Corporate Outcomes

- 11.1. This report links to the following Corporate Outcome:
- **Effective Management** - *Ensuring robust risk management arrangements are in place to manage and minimise risks the Council is exposed to.*

12. Recommendation

- 12.1 The Committee is recommended to note the status of risks included in the report for Quarter 1 2020/21.

(Reason: To ensure the council has an up to date and effective risk reporting and governance process in place)

| | | | | | |
|--|---|-----------------------|--|-----------------------|---|
| Legal | Power: Local Government Act 1972 | | | | |
| | Other considerations: | | | | |
| Background Papers: | | | | | |
| Person Originating Report: Katherine Hayward, Finance Manager ☎ 01832 742090 ✉ khayward@east-northamptonshire.gov.uk | | | | | |
| Date: 07/09/2020 | | | | | |
| CFO 14/09/20 |  | MO XX/09/20 | | CX 14/09/20 |  |



East
Northamptonshire
Council

Governance and Audit Risk Report

Quarter 1 Risk Scores 2020/21

Presented 23rd September 2020

Corporate Risk Register

| | Description | Current Score | | Previous Score | Direction of Travel | Comments | Owner |
|--|---|---------------|---|----------------|---------------------|--|-------------------|
| RM CORP 002 Failure to achieve optimum level of growth across the district | Failure to achieve "the right growth, at the right time and in the right place". This could result from too much unchecked/uncontrolled growth or could result from not achieving enough growth. | 4 | ● | 4 | → | | Macdonald, Greg |
| RM CORP 006 Loss due to major court cases | If the Council becomes liable for costs arising from Court Cases or equivalent legal action. Reputation of Council could also be impacted. | 6 | ● | 6 | → | | Gill, Bhupinder |
| RM CORP 007 Lack of engagement with and provision of services by the Voluntary and Third Sector | The voluntary sector is changing and diminishing due to various factors such as funding, working environment and increasing expectations. A reduction in voluntary bodies will impact on services available to residents. | 6 | ● | 9 | ✓ | <ul style="list-style-type: none"> Through Covid-19 restrictions, the voluntary sector has been instrumental in providing support services to our most vulnerable residents, through our Resilience Hub arrangement. Extra funding has been secured from Lottery and county-based organisations such as: Northamptonshire Communities Foundation (NCF). This is supporting our principal VCS organisation (SERVE Rushden) to operate a referral pathway for vulnerable people to more specialist support services. <p>Going forward we will be developing more structured referral pathways from this arrangement and potentially increase VCS capacity to provide that first stage support for people.</p> | Hogston-HoS, Lucy |
| RM CORP 010 Lack of staff resources in terms of numbers or Knowledge, Skills and/or Behaviours | Due to a lack of staff resources in terms of numbers or KSBs, service failure may occur, which could result in an increased level of complaints, poor reputation and financial penalties from breaches in legislation or failure to follow rules, procedures and meet deadlines. | 6 | ● | 6 | → | | Turner, Kelvin |
| RM CORP 011 Failure to Comply with Legislation relevant to Local Government | As a local government body, ENC is obliged to comply with various legislation and is required to fulfil a range of public duties. Failure to comply with legislation or to fulfil duties could lead to financial, legal and reputational damage. | 8 | ● | 8 | → | | Gill, Bhupinder |
| RM CORP 012 Risk of unitary prep diverting resources from delivery of Corporate/Efficiency Plans | Following the Structural Changes Order being approved by parliament, we are working towards the abolition of the council on 31st April 2021 as part of the move to two unitary councils in Northamptonshire on 1st April 2021. That transition will involve significant officer time so there is a risk that the delivery of 'business as usual' could be compromised | 6 | ● | 9 | ✓ | <ul style="list-style-type: none"> We've reviewed resource needs and concluded that we should be able to cope with demands from the FN programme as well as keeping BAU going. | Oliver, David |
| RM CORP 013 Failure to Achieve PCIDSS Compliance | PCI DSS is the worldwide Payment Card Industry Data Security Standard that was set up to help businesses process card payments securely and reduce card fraud. Failure to comply with this standard could result in removal of the council's ability to process payments. | 12 | ▲ | 12 | → | | Turner, Kelvin |
| RM CORP 014 Failure to follow ENC's Project Framework | The Project framework is designed to ensure effective resource, financial and project management. Failure to follow the framework will have a variety of negative impacts. Adherence necessary from all Service Areas. | 2 | ★ | 2 | → | | Turner, Kelvin |
| | There is a growing risk that ENC could be the subject of a Cyber | | | | | | |

Corporate Risk Register

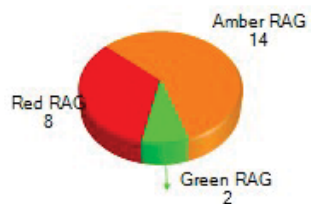
| | Description | Current Score | | Previous Score | Direction of Travel | Comments | Owner |
|---|--|---------------|---|----------------|---------------------|----------|-----------------|
| RM CORP 015 Risk of successful Cyber Attack | Attack in spite of following advised and legislated steps to ensure security of the councils systems and equipment. There is always the danger that hackers will stay one step ahead of any legislation. | 8 | ● | 8 | → | | Turner, Kelvin |
| RM CORP 016 Risk of inappropriate use of IT by Staff | This encompasses misuse of equipment, inappropriate management of data, inappropriate release of personal or commercially sensitive data, malicious or careless damage to systems and processes. | 6 | ● | 6 | → | | Turner, Kelvin |
| RM CORP 017 Risk of inappropriate use of IT by Councillors | This encompasses misuse of equipment, inappropriate management of data, inappropriate release of personal or commercially sensitive data, malicious or careless damage to systems and processes. | 6 | ● | 6 | → | | Turner, Kelvin |
| RM CORP 018 Failure to protect personal data | Failure to comply with the Data Protection Act 2018 and other related legislation including the General Data Protection Regulations (GDPR) through inadvertent. | 12 | ▲ | 12 | → | | Gill, Bhupinder |
| RM CORP 019 Councillors Breaching Code of Conduct and Constitution | Failure by Councillors to follow Code of Conduct and constitution leading to an increased level of complaints, poor reputation and financial penalties from breaches in legislation, failure to follow rules, failure to follow procedures or failure to meet deadlines. | 8 | ● | 8 | → | | Gill, Bhupinder |
| RM CORP 020 Failure to meet corporate health and safety requirements. | Failure to fulfil our requirements as an employer under the health and safety act. This risk includes where many officers attend site visits and often on a lone working basis. There is a risk of personal injury which is greater in remote rural locations. | 8 | ● | 8 | → | | Deacon, Mike |
| RM CORP 021 Failure to respond effectively to Major Incidents | This risk considers a failure to fulfil our requirements as prescribed in legislation (Civil Contingencies Act) in relation to emergency planning and business continuity. This could encompass such events as major utility supply failures, flooding, or events similar to the Grenfell Fire. | 8 | ● | 8 | → | | Deacon, Mike |
| RM CORP 022 Failure to meet business continuity requirements | Failure to fulfil our requirements around business continuity | 8 | ● | 8 | → | | Deacon, Mike |
| RM CORP 027 Failure to plan for and accommodate the impact of BREXIT | The Council suffers from consequences of leaving the EU with impacts to procurement and employment through changes in EU/UK regulation, income and public services as a result of the impact on the economy. | 2 | ★ | 2 | → | | Deacon, Mike |
| RM CORP 028 Failure of core ICT infrastructure leading to inability to provide services | Lack of resilience in the core ICT facilities upon which services depends could result in service failure, loss of key systems, data loss, reputational damage or failure to meet statutory requirements. Staff would be unable to deliver business as usual services (not just statutory) due to unreliability of systems, including emails and teams such as communications. | 12 | ▲ | 12 | → | | Turner, Kelvin |
| RM CORP 029 Deterioration of Staff Health & Wellbeing | Due to significant changes in environment, including unitary reform | 8 | ● | 8 | → | | Turner, Kelvin |
| RM CORP 031 Short term loss of key communication channels (telephone, website, etc.) | Loss of telephones and/or website and emails. | 9 | ▲ | 9 | → | | Young, Joanne |
| | | | | | | | |

Corporate Risk Register

| | Description | Current Score | | Previous Score | Direction of Travel | Comments | Owner |
|---|---|---------------|---|----------------|---------------------|----------|----------------|
| RM CORP 032 Failure of the Council to achieve Value for Money | Achieving good value for money is one of our corporate outcomes at ENC. The challenge is to maintain high quality services with continuing cuts in government funding. There is a risk that effective financial management will suffer whilst trying to manage a multitude of different work streams. | 12 | ▲ | 12 | → | | Hammons, Glenn |
| RM CORP 033 Risk of loss impacting the Council as a result of fraudulent activity | The risk that the Council suffers loss as a result of fraud, due to misrepresentation or failure to disclose information. | 9 | ▲ | 9 | → | | Turner, Kelvin |
| RM CORP 035 The risk of COVID-19 infecting ENC staff, partners and residents of East Northamptonshire | RM CORP 035 The risk of COVID-19 infecting ENC staff, partners and residents of East Northamptonshire and the need to develop of developing a consistent approach across North Northamptonshire authorities with regard to responding to the impacts of the crisis | 16 | ▲ | 16 | → | | Deacon, Mike |
| RM CORP 036 Medium Term Financial Strategy Assumptions become inaccurate | The assumptions made within the MTFS are incorrect, and the actual funding received is different to what has been forecast. | 16 | ▲ | 16 | → | | Hammons, Glenn |

Summary Count

| | | | |
|--------|---------|--------|-------------|
| ▲ 8 | ● 14 | ★ 2 | Total 24 |
|--------|---------|--------|-------------|



| ENC Risks with a HIGH (>=9) Current Score | | | | | | |
|---|---------------|---|-----------|----------------|----------------|---------------------|
| | Current Score | | Direction | Likelihood | Impact | Owner |
| RM CCS 013 Inability to collect income from Council Tax | 9 | ▲ | → | 3. High ● | 3. High ● | Hogston, Lucy |
| RM CCS 022 Failure to Provide Adequate Leisure Facilities across the district | 16 | ▲ | ↗ | 4. Very High ▲ | 4. Very High ▲ | Hogston-HoS, Lucy |
| RM CCS 023 Inability to collect income from NNDR | 12 | ▲ | → | 3. High ● | 4. Very High ▲ | Hogston, Lucy |
| RM PLN 001 Failure to attend emergency / out of hours building control calls | 12 | ▲ | → | 3. High ● | 4. Very High ▲ | Boscott, Robert |
| RM PLN 003 Loss of business and income for Building Control | 16 | ▲ | → | 4. Very High ▲ | 4. Very High ▲ | Boscott, Robert |
| RM PLN 007 Risk of major appeals and associated costs | 16 | ▲ | → | 4. Very High ▲ | 4. Very High ▲ | Tait, Carolyn |
| RM PLN 014 Increase in homeless applications | 9 | ▲ | → | 3. High ● | 3. High ● | Conway, Carol |
| RM PLN 016 Cessation of the council's Choice Based Lettings Scheme | 9 | ▲ | → | 3. High ● | 3. High ● | Conway, Carol |
| RM PLN 019 The breakdown of supported and emergency accommodation | 12 | ▲ | → | 3. High ● | 4. Very High ▲ | Conway, Carol |
| RM ENV 005 Excessively contaminated recycling stream | 9 | ▲ | → | 3. High ● | 3. High ● | Tompkins, Charlotte |
| RM ENV 019 Recyclate disposal increases in cost due to global market changes | 12 | ▲ | → | 3. High ● | 4. Very High ▲ | Tompkins, Charlotte |
| RM CORP 013 Failure to Achieve PCIDSS Compliance | 12 | ▲ | → | 3. High ● | 4. Very High ▲ | Turner, Kelvin |
| RM CORP 018 Failure to protect personal data | 12 | ▲ | → | 3. High ● | 4. Very High ▲ | Gill, Bhupinder |
| RM CORP 028 Failure of core ICT infrastructure leading to inability to provide services | 12 | ▲ | → | 4. Very High ▲ | 3. High ● | Turner, Kelvin |
| RM CORP 031 Short term loss of key communication channels (telephone, website, etc.) | 9 | ▲ | → | 3. High ● | 3. High ● | Young, Joanne |
| RM CORP 032 Failure of the Council to achieve Value for Money | 12 | ▲ | → | 3. High ● | 4. Very High ▲ | Hammons, Glenn |
| RM CORP 033 Risk of loss impacting the Council as a result of fraudulent activity | 9 | ▲ | → | 3. High ● | 3. High ● | Turner, Kelvin |
| RM CORP 035 The risk of COVID-19 infecting ENC staff, partners and residents of East Northamptonshire | 16 | ▲ | → | 4. Very High ▲ | 4. Very High ▲ | Deacon, Mike |
| RM CORP 036 Medium Term Financial Strategy Assumptions become inaccurate | 16 | ▲ | → | 4. Very High ▲ | 4. Very High ▲ | Hammons, Glenn |

| ENC Risks with a VERY HIGH Likelihood Score | | | | | | |
|---|---------------|---|-----------|----------------|----------------|--------------------|
| | Current Score | | Direction | Likelihood | Impact | Owner |
| RM CCS 022 Failure to Provide Adequate Leisure Facilities across the district | 16 | ▲ | ↗ | 4. Very High ▲ | 4. Very High ▲ | Hogston-HoS, Lucy |
| RM PLN 003 Loss of business and income for Building Control | 16 | ▲ | → | 4. Very High ▲ | 4. Very High ▲ | Boscott, Robert |
| RM PLN 007 Risk of major appeals and associated costs | 16 | ▲ | → | 4. Very High ▲ | 4. Very High ▲ | Tait, Carolyn |
| RM PLN 011 Failure to deliver sufficient affordable housing in the district, affordable to local res | 8 | ● | → | 4. Very High ▲ | 2. Medium ● | Conway, Carol |
| RM CORP 036 Medium Term Financial Strategy Assumptions become inaccurate | 16 | ▲ | → | 4. Very High ▲ | 4. Very High ▲ | Hammons, Glenn |
| RM FIN 006 Failure to maintain effective relationships between Financial Services and partners | 8 | ● | → | 4. Very High ▲ | 2. Medium ● | Hayward, Katherine |
| RM CORP 019 Councillors Breaching Code of Conduct and Constitution | 8 | ● | → | 4. Very High ▲ | 2. Medium ● | Gill, Bhupinder |
| RM CORP 028 Failure of core ICT infrastructure leading to inability to provide services | 12 | ▲ | → | 4. Very High ▲ | 3. High ● | Turner, Kelvin |
| RM CORP 035 The risk of COVID-19 infecting ENC staff, partners and residents of East Northamptonshire | 16 | ▲ | → | 4. Very High ▲ | 4. Very High ▲ | Deacon, Mike |
| RM CORP 011 Failure to Comply with Legislation relevant to Local Government | 8 | ● | → | 2. Medium ● | 4. Very High ▲ | Gill, Bhupinder |

ENC Risks with a VERY HIGH Impact Score

| | Current Score | | Direction | Likelihood | | Impact | Owner |
|---|---------------|---|-----------|--------------|---|--------------|-----------------------|
| RM CCS 016 - Inability to maintain or grow income from NNDR in East Northamptonshire | 4 | ● | → | 1. Low | ★ | 4. Very High | ▲ Hogston, Lucy |
| RM CCS 022 Failure to Provide Adequate Leisure Facilities across the district | 16 | ▲ | ↗ | 4. Very High | ▲ | 4. Very High | ▲ Hogston-HoS, Lucy |
| RM CCS 023 Inability to collect income from NNDR | 12 | ▲ | → | 3. High | ● | 4. Very High | ▲ Hogston, Lucy |
| RM ECD 004 ECD's Contractors' non-compliance with Health and Safety Legislation | 4 | ● | → | 1. Low | ★ | 4. Very High | ▲ Lineham, Matthew |
| RM ECD 007 Inability to maximise and maintain occupancy of Enterprise Centre | 8 | ● | ▶ | 2. Medium | ● | 4. Very High | ▲ Macdonald, Greg |
| RM ROD 002 Significant Payroll Failure | 4 | ● | → | 1. Low | ★ | 4. Very High | ▲ Turner, Kelvin |
| RM ROD 011 Failure to complete and publish the Register of Electors by 1 December | 4 | ● | → | 1. Low | ★ | 4. Very High | ▲ Smith, Ben |
| RM PLN 001 Failure to attend emergency / out of hours building control calls | 12 | ▲ | → | 3. High | ● | 4. Very High | ▲ Boscott, Robert |
| RM PLN 002 Failure to determine planning applications on time | 8 | ● | → | 2. Medium | ● | 4. Very High | ▲ Tait, Carolyn |
| RM PLN 003 Loss of business and income for Building Control | 16 | ▲ | → | 4. Very High | ▲ | 4. Very High | ▲ Boscott, Robert |
| RM PLN 007 Risk of major appeals and associated costs | 16 | ▲ | → | 4. Very High | ▲ | 4. Very High | ▲ Tait, Carolyn |
| RM PLN 019 The breakdown of supported and emergency accommodation | 12 | ▲ | → | 3. High | ● | 4. Very High | ▲ Conway, Carol |
| RM PLN 020 Ineffective drafting of Section 106 Agreements | 4 | ● | → | 1. Low | ★ | 4. Very High | ▲ Tait, Carolyn |
| RM PLN 022 Buildings/building elements constructed in the district that do not comply with regulatio | 4 | ● | → | 1. Low | ★ | 4. Very High | ▲ Boscott, Robert |
| RM PLN 024 Ineffective drafting of decision notices | 4 | ● | → | 1. Low | ★ | 4. Very High | ▲ Tait, Carolyn |
| RM ENV 007 Reduction or withdrawal of recycling credits | 4 | ● | → | 1. Low | ★ | 4. Very High | ▲ Tompkins, Charlotte |
| RM ENV 012 Early termination of the waste collection & street cleansing contract | 4 | ● | → | 1. Low | ★ | 4. Very High | ▲ Tompkins, Charlotte |
| RM ENV 016 Environmental Services' Contractors' non-compliance with Health & Safety Legislation | 8 | ● | → | 2. Medium | ● | 4. Very High | ▲ Deacon, Mike |
| RM ENV 019 Recyclate disposal increases in cost due to global market changes | 12 | ▲ | → | 3. High | ● | 4. Very High | ▲ Tompkins, Charlotte |
| RM CORP 036 Medium Term Financial Strategy Assumptions become inaccurate | 16 | ▲ | → | 4. Very High | ▲ | 4. Very High | ▲ Hammons, Glenn |
| RM CORP 013 Failure to Achieve PCIDSS Compliance | 12 | ▲ | → | 3. High | ● | 4. Very High | ▲ Turner, Kelvin |
| RM CORP 015 Risk of successful Cyber Attack | 8 | ● | → | 2. Medium | ● | 4. Very High | ▲ Turner, Kelvin |
| RM CORP 018 Failure to protect personal data | 12 | ▲ | → | 3. High | ● | 4. Very High | ▲ Gill, Bhupinder |
| RM CORP 020 Failure to meet corporate health and safety requirements. | 8 | ● | → | 2. Medium | ● | 4. Very High | ▲ Deacon, Mike |
| RM CORP 021 Failure to respond effectively to Major Incidents | 8 | ● | → | 2. Medium | ● | 4. Very High | ▲ Deacon, Mike |
| RM CORP 022 Failure to meet business continuity requirements | 8 | ● | → | 2. Medium | ● | 4. Very High | ▲ Deacon, Mike |
| RM CORP 029 Deterioration of Staff Health & Wellbeing | 8 | ● | → | 2. Medium | ● | 4. Very High | ▲ Turner, Kelvin |
| RM CORP 032 Failure of the Council to achieve Value for Money | 12 | ▲ | → | 3. High | ● | 4. Very High | ▲ Hammons, Glenn |
| RM CORP 035 The risk of COVID-19 infecting ENC staff, partners and residents of East Northamptonshire | 16 | ▲ | → | 4. Very High | ▲ | 4. Very High | ▲ Deacon, Mike |

Risks with 'Very High' Impact Scores

| Very High Legal Impact Risks | 06 2020 Owner |
|---|--------------------|
| RM CORP 013 Failure to Achieve PCIDSS Compliance | Kelvin Turner |
| RM CORP 018 Failure to protect personal data | Bhupinder Gill |
| RM ECD 004 ECD's Contractors' non-compliance with Health and Safety Legislation | Matthew Lineham |
| RM ENV 007 Reduction or withdrawal of recycling credits | Charlotte Tompkins |
| RM ROD 011 Failure to complete and publish the Register of Electors by 1 December | Ben Smith |

| Very High Health and Safety Impact Risks | 06 2020 Owner |
|--|--------------------|
| RM CORP 029 Deterioration of Staff Health & Wellbeing | Kelvin Turner |
| RM CORP 035 The risk of COVID-19 infecting ENC staff, partners and residents of East Northamptonshir | Mike Deacon |
| RM ECD 004 ECD's Contractors' non-compliance with Health and Safety Legislation | Matthew Lineham |
| RM ENV 007 Reduction or withdrawal of recycling credits | Charlotte Tompkins |
| RM ENV 016 Environmental Services' Contractors' non-compliance with Health & Safety Legislation | Mike Deacon |
| RM PLN 001 Failure to attend emergency / out of hours building control calls | Robert Boscott |
| RM PLN 022 Buildings/building elements constructed in the district that do not comply with regulations | Robert Boscott |

| Very High Performance/service quality Impact Risks | 06 2020 Owner |
|--|--------------------|
| RM CORP 035 The risk of COVID-19 infecting ENC staff, partners and residents of East Northamptonshir | Mike Deacon |
| RM ENV 007 Reduction or withdrawal of recycling credits | Charlotte Tompkins |
| RM ENV 016 Environmental Services' Contractors' non-compliance with Health & Safety Legislation | Mike Deacon |
| RM PLN 002 Failure to determine planning applications on time | Carolyn Tait |
| RM PLN 003 Loss of business and income for Building Control | Robert Boscot |
| RM ROD 002 Significant Payroll Failure | Kelvin Turner |

| Very High Financial Impact Risks | 06 2020 Owner |
|--|--------------------|
| RM CCS 016 - Inability to maintain or grow income from NNDR in East Northamptonshire | Lucy Hogston |
| RM CCS 022 Failure to Provide Adequate Leisure Facilities across the district | Lucy Hogston- |
| RM CCS 023 Inability to collect income from NNDR | Lucy Hogston |
| RM CORP 018 Failure to protect personal data | Bhupinder Gill |
| RM CORP 020 Failure to meet corporate health and safety requirements. | Mike Deacon |
| RM CORP 021 Failure to respond effectively to Major Incidents | Mike Deacon |
| RM CORP 022 Failure to meet business continuity requirements | Mike Deacon |
| RM CORP 029 Deterioration of Staff Health & Wellbeing | Kelvin Turner |
| RM CORP 032 Failure of the Council to achieve Value for Money | Glenn Hammons |
| RM CORP 036 Medium Term Financial Strategy Assumptions become inaccurate | Glenn Hammons |
| RM ECD 004 ECD's Contractors' non-compliance with Health and Safety Legislation | Matthew Lineham |
| RM ECD 007 Inability to maximise and maintain occupancy of Enterprise Centre | Greg Macdonald |
| RM ENV 007 Reduction or withdrawal of recycling credits | CharlotteTompkins |
| RM ENV 012 Early termination of the waste collection & street cleansing contract | CharlotteTompkins |
| RM ENV 016 Environmental Services' Contractors' non-compliance with Health & Safety Legislation | Mike Deacon |
| RM ENV 019 Recyclate disposal increases in cost due to global market changes | Charlotte Tompkins |
| RM PLN 019 The breakdown of supported and emergency accommodation | Carol Conway |
| RM PLN 020 Ineffective drafting of Section 106 Agreements | Carolyn Tait |
| RM PLN 022 Buildings/building elements constructed in the district that do not comply with regulatio | Robert Boscott |
| RM PLN 024 Ineffective drafting of decision notices | Carolyn Tait |

| Very High Reputational Impact Risks | 06 2020 Owner |
|--|--------------------|
| RM CORP 013 Failure to Achieve PCIDSS Compliance | Kelvin Turner |
| RM CORP 015 Risk of successful Cyber Attack | Kelvin Turner |
| RM CORP 035 The risk of COVID-19 infecting ENC staff, partners and residents of East Northamptonshire | Mike Deacon |
| RM ECD 004 ECD's Contractors' non-compliance with Health and Safety Legislation | Matthew Lineham |
| RM ECD 007 Inability to maximise and maintain occupancy of Enterprise Centre | Greg Macdonald |
| RM ENV 007 Reduction or withdrawal of recycling credits | Charlotte Tompkins |
| RM ENV 016 Environmental Services' Contractors' non-compliance with Health & Safety Legislation | Mike Deacon |
| RM PLN 007 Risk of major appeals and associated costs | Carolyn Tait |
| RM PLN 022 Buildings/building elements constructed in the district that do not comply with regulations | Robert Boscott |
| RM ROD 002 Significant Payroll Failure | Kelvin Turner |
| RM ROD 011 Failure to complete and publish the Register of Electors by 1 December | Ben Smith |

Risks Ended in the last quarter

| Risk | Owner | End Date | Comments |
|--|----------------|------------|----------|
| RM ECD 006 Non Delivery of East Northamptonshire Enterprise Centre | Greg Macdonald | 30/06/2020 | |

New Risks defined in the last quarter

| Risk | Owner | Start Date | Current Score | Description |
|--|----------------|------------|---------------|--|
| RM ECD 007 Inability to maximise and maintain occupancy of Enterprise Centre | Greg Macdonald | 30/06/20 | 8 | Not achieving the occupancy rate of 90% in 2 years. Aim is to improve prosperity of the district. |
| RM ENV 021 Significant underspend on DFG budget allocation | Jenny Walker | 01/04/20 | 4 | Failure to spend all of the allocated monies for the provision of adaptations where the council has a stat duty to provide, where ongoing site activity has been stopped / postponed due to the Covid-19 situation |

There are currently no overdue actions