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GENERAL PURPOSES COMMITTEE

Thursday, 15th October, 2020 at 7.00 pm
Virtual meeting via Microsoft teams

Anyone wishing to join the meeting may request an invitation from
Susan.o'connell@enfield.gov.uk

Membership:

Councillors : Mahym Bedekova (Chair), Tim Leaver (Vice Chair),, Yasemin Brett, Katherine Chibah, Lee David-Sanders , Joanne Laban , Bernadette Lappage, Tim Leaver, Dino Lemonides and Claire Stewart and Peter Nwosu (Independent Member)

AGENDA – PART 1

- 1. WELCOME AND APOLOGIES**
- 2. DECLARATIONS OF INTEREST**

Members of the Council are invited to identify any disclosable pecuniary, other pecuniary or non-pecuniary interests relevant to the items on the agenda.

- 3. MINUTES** (Pages 1 - 26)

Members & Democratic Services Group

To receive and agree the minutes of the Members & Democratic Services Group meeting held on the 20 June 2020.

General Purposes Committee

To receive and agree the minutes of the General Purposes Committee meeting held on 23 July 2020.

4. 2019/20 FINAL ACCOUNTS UPDATE (Pages 27 - 34)

To receive an update report on the Final Accounts.

5. BDO- LBE AUDIT UPDATE REPORT (Pages 35 - 44)

To receive from BDO (external auditors) an update report for noting.

6. BDO - PENSION FUND AUDIT UPDATE

To receive a verbal update from BDO (external auditors).

7. 2019/20 FINAL PENSION FUND ACCOUNTS (Pages 45 - 84)

To receive the Final Pension Fund Accounts.

8. COMMISSIONING (BROKERAGE) UPDATE REPORT (Pages 85 - 176)

To receive an update report on Brokerage.

9. RISK REGISTER UPDATES (Pages 177 - 216)

To receive a report from Gemma Young, Head of Internal Audit and Risk Management providing updates on:

- Corporate Risk Register
- Brexit Risk Register
- COVID-19 Risk Register

10. AUDIT AND RISK MANAGEMENT SERVICE PROGRESS REPORT (Pages 217 - 246)

To receive a report on the Audit and Risk Management Service Progress update.

11. AUDIT & RISK COMMITTEE ANNUAL REPORT 2019-20 (Pages 247 - 258)

To receive the Audit and Risk Committee Annual Report 2019-20

12. GENERAL PURPOSES COMMITTEE WORK PROGRAMME (Pages 259 - 262)

13. DATES OF FUTURE MEETINGS

To note the dates of future meetings:

Thursday 26 November 2020
Thursday 14 January 2021
Thursday 4 March 2021
Thursday 22 April 2021

All meetings start at 7pm.

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MEMBER & DEMOCRATIC SERVICES GROUP - 30.6.2020**MINUTES OF THE VIRTUAL MEETING OF THE MEMBER & DEMOCRATIC
SERVICES GROUP
HELD ON TUESDAY, 30 JUNE 2020****COUNCILLORS**

PRESENT Nesil Caliskan (Leader of the Council and Chair), Susan Erbil, Tim Leaver, Ahmet Oykenner and Joanne Laban

OFFICERS: Jeremy Chambers (Director of Law & Governance),
Claire Johnson (Head of Governance & Scrutiny &
Superintendent Registrars),
Jayne Middleton-Albooye (Head of Legal Services),
Clare Bryant (Senior Governance Officer),
Stacey Gilmour (Governance & Scrutiny Team)

**1
WELCOME & APOLOGIES**

The Chair, Councillor Caliskan welcomed everyone to the meeting and introductions were made.

Councillor Laban advised that she needed to leave the meeting by 7:20pm in order to attend the Conservative Group AGM.

**2
DECLARATIONS OF INTEREST**

There were no declarations of interest.

**3
COUNCILS COMMITTEE STRUCTURE & REVIEW OF SCRUTINY**

RECEIVED the report from Jeremy Chambers, Director of Law and Governance.

Following a review of the Council's Constitution, the report provides proposals for a revised streamlined committee structure and enhancement of the council scrutiny function.

Proposals

1. To agree the revised streamlined Council's committee structure to take immediate effect.
2. To note the review of the Council's scrutiny function carried out by the Centre for Public Scrutiny (CfPS) and agree proposed Scrutiny Panels.
3. To agree an additional Associate Cabinet Members focusing on children and young people in the borough.

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4. To instruct the Monitoring Officer to make any necessary amendments to the Constitution as a result of these decisions.

Noted

- i) A complete review of the Constitution was undertaken to ensure that it was fit for purpose and any inconsistencies within the Constitution were amended.
- ii) The review was split into two phases to make it more manageable. At its meeting on 8 May 2019, the Council agreed to implement phase 1 of the constitution review and phase 2 was agreed at Council on 26th February 2020 and the changes have been implemented.
- iii) The final stage of the review of the Constitution was to provide proposals for a revised structure seeking to streamline the current committees and enhance the scrutiny function.
- iv) With this objective in mind, the Council commissioned the Centre for Public Scrutiny (CfPS) to undertake a review of the effectiveness of the Council's scrutiny function. The proposals for the new committee structure are based on the response from members and officers and have been endorsed by the CfPS.
- v) A copy of the CfPS' findings are set out in the report attached as Appendix 3 to the agenda for this meeting.
- vi) The proposals for change to the scrutiny structure entails a move to seven standing Scrutiny Panels, with the Overview & Scrutiny Committee remaining and overseeing the Scrutiny Panels. The proposed Scrutiny Panels are:
 - Crime;
 - Health & Adult Social Care;
 - Children & young People;
 - Regeneration & Economic Development;
 - Finance & Performance;
 - Environment & Climate Action; and
 - Housing
- vii) Membership of both Overview & Scrutiny Committee and the Scrutiny Panels will be approved by full Council. Both OSC and the Scrutiny Panels will have work planning sessions at the start of the municipal year to set their work programmes. These will go to OSC for consideration prior to being approved by Council.
- viii) All existing workstreams will be concluded with immediate effect. However, this does not mean that the work they were doing will disappear, it will now be picked up elsewhere.
- ix) The Overview & Scrutiny Committee will maintain management of the Scrutiny function co-ordinating the Panels' work programmes and dealing with call-ins, pre-decision scrutiny and overseeing scrutiny of major cross-cutting and corporate issues.
- x) This would be the first time the Council has a dedicated Scrutiny Panel for Finance & Performance.
- xi) The proposals are based on feedback from members who felt that standing panels would provide better accountability, transparency and improve their involvement.

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- xii) OSC and Scrutiny Panels will be scheduled to meet a minimum of 4 times per year, however it is likely that OSC will meet more often to deal with call-ins and pre-decision scrutiny.
- xiii) The revised structure for Scrutiny means there is a need to look at the wider committee structure to avoid areas of duplication ensuring that council resources and councillors' time are used effectively.
- xiv) The Terms of Reference for the proposed new committees are set out as Appendix 1 of the agenda.
- xv) The proposals for the revised Committees/Boards/Forums are as follows:
 - Environment Forum;
 - General Purposes Committee;
 - Appeals, Appointments & Remuneration Committee;
 - Equalities Board
- xvi) Details were provided in the report on the remit and function of each of the above.
- xvii) It is also proposed to introduce a fourth Associated Cabinet Member (ACM) with the focus of Children & Young People. This post will be linked into the Children & Young People's Scrutiny Panel.

Further to Jeremy's update, comments and questions were raised and responded to as follows:

- i) The Chair questioned whether the remit of the proposed new ACM had to be identified at full Council as she did not feel that the remit should be linked specifically to the Children & Young People's Panel as it was proposed that the role would be broader than this and would incorporate issues such as youth unemployment and education development skills. Jeremy advised that the remit of the ACM had to be set by Council. He therefore suggested that when this item is 'moved' at tomorrow's Council AGM it should be proposed that the ACM will be linked to the appropriate Scrutiny Panel.
- ii) Councillor Oyken said that he did not feel comfortable agreeing to the recommendations in the report as he was concerned that the whole process had been rushed and sufficient consultation had not taken place. He questioned whether the Overview & Scrutiny Committee had been properly consulted and given the opportunity to feed into the revised structure. He also referred to a previous Scrutiny structure several years ago when again there had been various Scrutiny Panels. These had however been discarded as due to council cuts it had proved too costly to continue with Officer support for the panels. As the proposed new structure would result in an additional cost, he was worried how the public would perceive this especially given the current climate and for these reasons he was not happy to agree to the recommendations.
- iii) The Chair said she was disappointed to hear Cllr Oyken's concerns as the content of the report had been presented to the Labour Group in great detail on the 9th March 2020 and discussions and much engagement with Councillors had taken place. This report had been

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- known about for some considerable time, so she felt it was unfair to suggest that the process had been rushed.
- iv) Councillor Erbil, Chair of the Overview & Scrutiny Committee advised that herself and other Members of OSC had been fully consulted as part of the CfPS review and had also been briefed by Jeremy Chambers, Director of Law & Governance. The Overview & Scrutiny Committee had therefore been fully engaged in the consultation process and their comments and feedback were clearly reflected in the findings of the report from the CfPS.
 - v) Jeremy acknowledged that due to the COVID19 situation the CfPS report had taken longer than anticipated to finalise. However, he emphasised that there were no surprises in the report, and everything discussed at tonight's meeting had previously been presented to the Labour Group in great detail on the 9th March 2020.
 - vi) He also added that MDSG is the correct place for constitutional changes to be discussed before going to full council and the report was therefore prepared in a timely manner for tonight's meeting.
 - vii) Councillor Laban, Leader of the Opposition was felt that the CfPS report had taken a long time to finalise. She said that there were parts of the revised structure that she welcomed and others that she had some real concerns with. She was pleased to see improvements in certain areas so was not dismissing the report in its entirety. However, she did have concerns regarding the proposed merger of the Audit & Risk Management Committee with MDSG and the Electoral Review Panel as she did not feel that the function of each committee could be sufficiently carried out if merged. She also questioned how the proposed Environment Forum would work as again, she was concerned how each original group (e.g. Conservation Advisory Group, Green Belt) would get their fair share of time and representation at each meeting.
 - viii) With regards to the proposal for a fourth ACM, Cllr Laban said that, given the current climate she did not feel the time was right to introduce this additional role. She suggested instead that the roles of the existing three ACM's be re-jigged to include and focus on any additional remit.
 - ix) The Chair acknowledged Cllr Laban's comments regarding the Environment Forum but advised that the aim of this Forum was to provide an additional focus in the relevant areas, and it was really just a 'bolstering' up of what was already in place. She asked however that Jeremy Chambers, Director of Law & Governance ensure that the Terms of Reference for the Environment Forum reflect Cllr Laban's comments and allow adequate time and representation from the existing committees.

Action: Jeremy Chambers, Director of Law & Governance

- x) With regards to Officer support for the additional panels Jeremy advised that he was in discussions with the Chief Exec, Executive Management Team and Claire Johnson, Head of Governance & Scrutiny to look at how this could best be managed across the departments to ensure that the panels are sufficiently supported. He said that the idea of the revised structure was to streamline various

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functions and therefore this proposal would result in a reduction in meetings.

- xi) Councillor Leaver said that MDSG was the correct place for Constitutional changes to be discussed. He felt that the process had been responsive and fed back into the revised structure very well. He welcomed the realignment of the committees and the strengthening of the scrutiny function as this had always been a challenge in the past.
- xii) Members were asked if they were happy to recommend the proposals set out in the report to Council for approval.
Councillors Caliskan, Erbil and Leaver voted in favour of the recommendation. Councillors Oykenner and Laban voted against the recommendation.

AGREED that the Member & Democratic Services Group recommends the Council's Committee Structure and Review of Scrutiny to Council for approval.

**4
MEMBERS ALLOWANCES**

RECEIVED the report from the Director of Law and Governance.

Noted:

- i) The report outlined changes to the members special responsibility allowance (SRA) as well as details on the annual increase in allowances if applied.

Proposals:

- i) That the current Members Allowances Scheme is re-approved as set out in Part 6 of the Constitution, with amendments as detailed in the report.
- ii) That the automatic increase in allowances by the average earnings as at March 2020:
- Not be implemented for the 2019/20 financial year; or
 - Is implemented for the 2019/20 financial year.
- iii) If the annual increase in allowances is applied, the annual increase would be 1.5% equalling to £159. This would raise the basic allowance to £10,729 from £10,570. The overall increase in cost for 63 councillors would be £10,017 in total.
- iv) The proposals take into account the proposed new committee structure for the Council and the additional Associate Cabinet Member post. The approach put forward in the report allows for more transparent Member roles and delivery of more focused work.
- v) Members will only be entitled to one SRA which means £36,474 would be the maximum additional cost.
- vi) The revisions consider the proposed changes to the scrutiny function, the Council's committee structure and the introduction of a fourth

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Associate Cabinet Member. Should the proposals not be approved the SRA level for these positions would have to be reconsidered.

Noted the following comments from Members:

1. The Chair recommended that the committee agreed to keep the basic annual allowance at the same rate for 2019/20 as she felt that it would be inappropriate at this time to agree to an annual increase.
2. Cllr Joanne Laban, Leader of the Opposition said that although she had not yet shared this report with the Conservative Group, it was also her personal view that it would not be appropriate to increase the basic rate allowance for Councillors at this time.
3. The Chair added that it was important to ensure a wide representation of Councillors across the spectrum of society. However, it was often sadly dependent on whether people could afford to give their time when considering become a Councillor. Therefore, it was important to recognise that these allowances often contributed to equal opportunities in Councillor representation. Enfield Council believes that the level of responsibility, work and scrutiny of these new key priorities are as important as the existing roles that have a Special Responsibility Allowance attached. Not doing so would be discriminatory.

AGREED that the Member & Democratic Services Group recommends the following to Council for approval:

- i) That the automated increase in allowances not be implemented for the 2019/20 financial year;
- ii) The changes to the Members Special Responsibility Allowance (SRA) as set out in the report.

5

MEMBER DEVELOPMENT PROGRAMME

Claire Johnson, Head of Governance & Scrutiny discussed the proposed Member Training for 2020/21

Noted:

1. Future training dates had been added to the Council calendar and these would take place pretty much on a monthly basis.
2. Due to the COVID19 situation the Member Development Programme 2019/20 had unfortunately not been finalised. Therefore, the following training items had been carried forward and would take place as follows:
 - Modern Slavery – Virtual Training – 14 July 2020
 - County Lines – Virtual Training – 12 August 2020
3. Members were asked to contact Claire Johnson with any further training suggestions and these would be included in the Development Programme 2020/21.

Action: MDSG/Claire Johnson, Head of Governance & Scrutiny

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4. Councillor Leaver encouraged virtual training going forward as it was felt that people were more comfortable with this way of training as well as the fact that it was likely to encourage better participation as it was often easier and more convenient to access online training/meetings. This suggestion was endorsed by members of MDSG as well as officers. The Chair also said that if the council could ensure high-quality, online training this could be kept and re-visited in years to come.
5. Claire advised that there were several online training courses available on i-Learn and she would again circulate details of these to the committee.

Action: Claire Johnson, Head of Governance & Scrutiny

AGREED:

1. To circulate the Member Development Programme 2020/21 to members once any further training suggestions had been included and the programme finalised.

Action: Claire Johnson, Head of Governance & Scrutiny

6

MINUTES OF THE MEETING HELD ON 4 FEBRUARY 2020

AGREED the minutes of the last meeting held on 4 February 2020 subject to the following amendment:

- i) Councillor Bedekova was substituting for Councillor Leaver at the meeting and as such should be included under Councillors Present in the attendance list.

7

DATES OF FUTURE MEETINGS

NOTED that the dates of future meetings will be agreed at Annual Council on 1 July 2020.

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GENERAL PURPOSES COMMITTEE - 23.7.2020

MINUTES OF THE MEETING OF THE GENERAL PURPOSES COMMITTEE HELD ON THURSDAY, 23RD JULY, 2020

MEMBERS: Councillors Mahym Bedekova, Yasemin Brett, Katherine Chibah, Lee David-Sanders, Joanne Laban, Tim Leaver, Dino Lemonides and Claire Stewart. Peter Nwosu (Independent Member)

Officers: Fay Hammond (Executive Director Resources), Gareth Robinson (Head of Corporate Finance), Gemma Young (Head of Internal Audit and Risk Management), Jeremy Chambers (Director of Law and Governance), Jayne Middleton-Albooye (Head of Legal Services), Martin Sanders (Service Management & Governance Manager), Kieron Murphy (Director of Data, Digital & Technology), Metin Halil (Governance Officer) and Susan O'Connell (Governance Officer)

Also Attending: David Eagles (BDO), Francesca Palmer (BDO), Satinder Jas (BDO) and Roopal Bakarania (BDO)

1. WELCOME AND APOLOGIES FOR ABSENCE

The Chair welcomed everyone to the meeting, which was being broadcast live online. Committee members confirmed their presence. Apologies for absence were received from Councillor Lappage

The Committee held a minute's silence as a tribute to Councillor Chris Bond who had passed away recently.

2. DECLARATIONS OF INTEREST

There were no declarations of interest.

3. MINUTES

AGREED that the minutes of the Audit & Risk Management Committee meeting dated 5 March 2020 be approved.

4. EXTERNAL AUDIT PROGRESS AND FEES UPDATE

David Eagles from BDO (external auditors) introduced the report on the external audit progress and fees update.

NOTED:

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1. The main purpose of the report is to provide an update of where BDO are with the current external audit of the main council and the pension fund; and to update on the fees position for the last couple of years.
2. The main audit progress is at an early stage with the main part starting early August. The national context is that the MHCLG have put the accounts preparation deadline back to the end of August and the publications deadline back to the end of November. The council is ahead of the revised deadlines and is aiming for September publication.
3. Extensive work has been undertaken on valuations particularly on HRA beacons which was an issue on last year's audit. BDO have started early on this to provide lead time for valuers to respond and resolve queries that will be raised.
4. On the valuations that have come through BDO are not only looking the valuations as end of year was March 2020 but also revisiting the position as at the end of March 2019. This is to provide more information to further improve the robustness of positions. This is ongoing at present
5. The Pension fund audit commenced slightly earlier. This is ongoing and a fair bit of progress has been made. This year this has included additional work on what the actuary does in terms of membership data cleansing. Every three years the actuary undertakes an extensive exercise to strip out potential anomalies in the data sets they have for different types of members. So that the calculation of estimated liabilities is as accurate as possible. BDO as part of their work this year are looking at this data cleansing exercise undertaken by the actuary and this work is progressing well.
6. Overall the external audit is on track at present with the caveat being what comes out of the valuations work that is currently being looked at. Regular updates with officers are taking place to keep on track with the audit.
7. There was an additional £55,900 added to the costs of the 2018/19 Audit. There was a detailed analysis undertaken and a summary with the key elements are included in the agenda paper. The majority of this amount relates to additional work on valuations.
8. The 2019/20 fee position reflects in their work programme differences of approach. This is based upon quality reviews that have been feedback in terms of different ways of looking at valuations and pensions. This also includes a significant raising of the bar by FRC meaning the grades which BDO are required to achieve have been increased. This creates movement in terms of what needs to be done so the work programme and resource supply have changed.
9. To provide transparency these have been broken down in the report to areas where a change in approach is a recurring change and those areas considered to be a one off.
10. The report highlights the substantial increase in HRA beacon valuations. This was previously 24 and now is in the region of 400 for this particular year.
11. This is subject to discussions with PSAA who are required to approve any fee variations. The proposals are consistent with proposals elsewhere within BDO and with other firms.

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12. For 2020/21 audit there is a new code of practice introduced from 1 April 2020. This changes significantly the way BDO undertake their use of resources work. Previously undertaken work was solely on what was considered to be significant risk. The new approach is on wider matters and this creates flexibility to look at emerging issues as they arise to provide more timely feedback and more constructive recommendations for improvement.
13. In addition to the widening of the scope there is a need to report back at the end not only the conclusion but a narrative report in a refashioned annual audit letter.
14. These elements are expected to increase both the volume of resources but the grade mixes necessary to undertake the work with increased work at a more senior level.
15. It is expected that this will result in an increase in fees, however the mandatory guidance for auditors on application of the code is still subject to consultation. At the end of autumn, when the guidance notes have been finalised BDO will come back to officers and then to the committee to explain the consequences and fee implications.

The following questions, statement and queries raised in response:

- There have previously been issues where staff were unavailable to assist the council due to illness or lack of staff. Will there be staff available to assist the council if there is an issue and is this reflected in the increased fees. BDO acknowledged that there have been occasional delays in the past due to staff availability and illness. Whilst there is a commitment to provide as much staffing as they can do should there be unforeseeable events that prevent this then nothing more can be done about this. However, the fee reflects the additional resource necessary to do the work. BDO are working to an agreed timetable and will deliver as necessary. The fundamental driver for the increased fees is not timing, it is the issues that were arising from the work undertaken as part of the audit and the audit trail they had to work with. As the paper states officers are working on addressing issues such as audit working papers and supporting ledges to enable those accounts to be prepared on a more robust basis.
- What are the auditor's views on losses due to Covid 19 and how this straddling 2 years? BDO advise for the audit 2019/20 in terms of the accounts must look at how Covid 19 exposure will potentially affect some of the figures in the accounts. It is expected to have implications on certain valuations, and cashflows from activities that had to be suspended e.g. car parking, bad debt issues with fees and charges not being able to be paid, rent issues. This includes looking at the accuracy of the numbers ensuring that there is consideration of those key estimates. In terms of use of resources what has been agreed nationally is because lockdown came very late in terms of the 2019/20 position there is little impact for 19/20 on use of resources considerations. Although it is expected that there will be disclosures in the governance statement that will reflect any significant changes, that have had to be put in place as part of that process. The sign off for the accounts covers up to and including the end of September when the

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audit opinion is given. For 20/21 it is more difficult to say what needs to be looked at in terms of use of resources, partly because the guidance is changing. There will be a full year's impact of arrangements. At present BDO have not determined the risk assessment or the work programme. There is no national guidance at present on what needs to be considered. This is an evolving position.

AGREED to note the External Audit Progress and Fees Update report.

5. DRAFT STATEMENT OF ACCOUNTS 2019/20

Gareth Robinson, Head of Corporate Finance introduced the accounts and apologised for the lateness of these papers. He offered a separate formal or informal session to discuss the accounts to committee members should they require this.

NOTED:

1. The Council have a statutory responsibility to produce accounts and have them audited by two clear deadlines. This year due to Covid 19 the dates for completion have been extended for sign off the draft accounts from 31 May to 30 September and the final accounts from 31 July to 30 November.
2. The council always intending to have the accounts finalised before this date. Last year accounts were significantly extended due to major challenges relating to the HRA valuations and problems with the underlying production statement of accounts.
3. The statement of accounts is four main statements from page 20 onwards in the actual statement of accounts.
4. The balance sheet itself records the councils financial position showing what the council owes and is owed by organisations.
5. The key point to review is council's net assets or equity which is £428m at the end of 2019/20. This is what the Council itself is worth, albeit. that some of the assets are valued in a non-commercial manner but value in use.
6. The comprehensive Income and Expenditure Statement is broadly equivalent to a profit and loss statement in the private sector. This records the income and expenditure in year. It is worth noting that the total income and expenditure shown at the bottom of the page shows the movement between the net equity or net assets between the years. This was £79m for 2019/20.
7. The Movement in Reserves Statement records the details of the difference reserves areas in accordance with statute, this is really important to local government. It includes the usable reserves capital adjustment account, valuation reserve, pension reserve and collect fund reserve, etc. It is often referred to the triple lock. The Movement in Reserve Statement, the Comprehensive Income & Expenditure Statement (CIES) and Balance Sheet. They must all tally up perfectly.
8. Following these statements and the note of the accounts is the Collection Fund which is how we record council tax and business rates, housing

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- revenue account and group accounts as the council has four companies at present plus a dormant one. The pension fund is at the end
9. As BDO referred last year there were some major problems with the account production and had concerns about the HRA dwellings. This caused the council to take a major overall of all its processes which identified historic weaknesses. There is a new CIPFA asset register, reviewing all the data, checking for existence, the classifications and asset lives. This involved cross checking with third party independent sources in property, housing and the land registry. This is industry standard for local government accounting.
 10. The accounts previously were not consistent, now all entries are entered the ledger. Previously lots of entries had been recorded on an Excel spreadsheet and had not been entered into the SAP system.
 11. It is very important to be consistent so now the three main statements reconcile under the triple lock approach. The future goal is to make the step forward and eventually have an automated overlay to produce the accounts automatically. The main focus now is continual improvement and getting it right first time
 12. All major balances have been reviewed and the council is moving to a quarterly approach for all reconciliations.
 13. The Council has gone out to hire for key vacancies at present as want to make ensure that there is in-house development and cut out no agency staff (preferably none).
 14. All bad debt provisions have been produced and should now be IFRS -9 compliant.
 15. There has been a big movement in last year's accounts. This is due to £100m downward reduction in our net equity. This was driven by primarily the fact our infrastructure assets had very long lives which are inappropriate. They had been restated for the 17/18 and 18/19 accounts in the balance sheets. This meant a £72m downward movement on this specific asset group. The details of this are in note 43. You can also see the actual movements on note 12.
 16. There is also very large reclassification of assets, particularly between investment properties, other land buildings and assets under construction categories.
 17. By moving to the new asset register this will make the accounts more robust as it will reduce risk and will make the audit smoother and create greater confidence.
 18. Last year there was one loan that was treated as a grant, so this had to be restated in the 18/19 accounts. This was for £2.5m and related to Meridian Water.
 19. The ultimate focus is to have confidence in our balances and to have the auditor's confidence throughout the process. The auditors have been very supportive of getting it right first time and our fundamental bottoming out of the issues.
 20. Moving on to the current year, Covid19 has had a dramatic impact on accounts. BDO referred to the valuation changes. The council had gone through a robust data driven approach for 18/19 and 19/20. So, we have redone all the 416 different beacons to resent the entire estate on HRA dwellings for 31 March 19 and 31 December 19. This was then rolled

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forward for three months for market assessments with the assumption that there would be little difference. Due to the lockdown it has been very difficult to truly assess market valuations due to sparse data. The HRA valuers have landed on a 5% reduction. It is worth noting that Knight Frank choose 7%.

21. Four months onwards from March 31st, there may be a different opinion and we always anticipated during the audit that we would review these entire processes. So, we would expect the valuation numbers to change, based on discussions with valuers and auditors.
22. By the end of August there will be four and a half months of data and much greater confidence in what the actual numbers should have been. This will likely be an upward revision to the estimated figures.
23. The other main difference is in pension fund liability there is a £216m pension movement downwards driven by gilt rates. This is the same for all local authorities.
24. In the future when gilt rates return closer to historical normalcy, it is likely that this liability will increase significantly.
25. Another issue was that there was a lot of cash at year end. The council received £50m to provide support for businesses, and other monies for care homes and also received monies for 20/21 earlier as government wanted to ensure that councils would not have cash problems and would be able to get money out to local businesses and pay them. Also £80m of loan monies were received at year-end. Over the last three to four months, monies have gradually been given out in relation to Covid-19 and capital expenditure has gradually taken place. More details on this are provided in note 8 on page 42 of the report.
26. The next steps:
 - In the coming weeks the production of the main audit will commence.
 - BDO have started work on Property, Plant and Equipment (PPE) queries earlier, will be reviewing the asset register. They have already been queries on this matter that the council has responded to and this allows the council more time to get back to the valuers and the auditors to resolve outstanding queries.
 - Very grateful for the collaborative working with BOD which is much improved from last year.
 - The next meeting of the Committee is the 15 October and hoping to have unqualified conclusion for then.

Questions, comments and queries,

- Does the change in valuations affect the minimum revenue provision? Officers confirmed that there is no impact on any revenue position from a change in valuation figures.
- What is a beacon)? The local authority has 10k properties across its entire estate. Obviously, the council does not value all of the properties instead beacons are selected to represent the estate. Previously we had 24 beacons; there are now 416 made up of different construction types, postcodes, no of bedrooms, dwelling types (flats/houses et al), different ages and potentially styles allowing a more representative and accurate view.

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AGREED to note the Draft Statement of Accounts.

6. DRAFT ANNUAL GOVERNANCE STATEMENT 2019/20

Jeremy Chambers, Director of Law and Governance presented the Annual Governance Statement.

NOTED

1. This Annual Governance Statement is required to be completed each year. The committee's attention is drawn to the areas of significant change, the actions taken to improve governance during 19/20 and the areas of focus for 20/21 detailed in the report.
2. The areas of focus for 20/21 are Information Governance risks including cyber security which is high on the list (covered next on the agenda); Improving and enhancing customer access to services; continued need to ensure high standards of health and safety; and to ensure that our business continuity plans are fit for purpose.
3. The biggest areas are the ongoing impact of council's response to Covid 19, this is under constant review by the Council, Cabinet, Senior Management team and Departmental Management teams to ensure that there are financial and governance arrangements in place.
4. The Council will also be looking at demand led services which have the higher cost impact on the Council.
5. The impact of the implementation of Universal Credit is to be reviewed.
6. The Impact of a no deal exit from the European Union. The Director of Law and Governance is the senior point of contact for the Government. The Brexit Panel is chaired by Cllr Barnes. The Council is preparing itself reviewing all the options in terms of the impact on the community should the UK leave on the 31 December without a deal in place with the European Union. The Council is working on the basis of the highest risk, worst case scenario which is a no deal at the end of the transition period.
7. When these risks are collated for the Annual Governance Statement, they are sent around the senior management team and discussed at the Assurance Board to identify a list of areas that we believe are our areas of real concern that we need to monitor closely.
8. The conclusion of the Annual Governance Statement, which is signed off by the Leader of the Council and the Chief Executive is that we are satisfied that we have the appropriate governance arrangements in place. Over the next year we will take steps to address the matters raised tonight and to further enhance our government arrangements

Questions, queries and comments raised:

- On the Risk Management Strategy on Meridian Water risks it did not have a risk pandemic flu. In the report it says that we have robust Annual Governance Statement and all the decisions were done correctly, all in public and all properly. It was believed that one meeting of the Planning Committee was not held in public. It was also queried why the Brexit panel is not a public meeting. Officers responded in terms of Planning Committee query more information was requested. The Brexit Panel has

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one member who chairs this. The rest of the attendees are officers of the council and representatives of partner agencies. It is lawful in terms of governance for this not to be a public meeting. It is not a formal meeting of the Council and is not decision making. It is in effect a working group.

- Governance during COVID has been a difficult time for local authorities. The law did not permit virtual meetings, so we were unable to make collective Cabinet Decisions for a period of time from the 23 March when lockdown started till the 4 April when virtual meetings were permissible. The Council had a difficult time in terms of making decisions. A protocol was agreed with both the majority and opposition parties. This was shared with 40 other authorities who had asked how we were dealing with decisions during the Covid crisis.
- In terms of the risk register, there is a huge Meridian Water Risk Register in its own right. There is a separate Brexit risk register which has previously been to this committee. We have as an organisation a pandemic flu plan that was originally activated when Covid19 first emerged. However, this quickly became clear that this was overtaken by events as this is not sufficient for a national emergency. Whilst it was a testing time the governance arrangements and the way we conducted ourselves at Enfield were very robust.

7. CYBER & TECHNOLOGY SECURITY

Kieran Murphy, Fay Hammond and Martin Sanders introduced this report.

Noted

1. A similar report had gone to a previous meeting of the Audit & Risk Committee. This report has been refreshed and brought back.
2. Kieron Murphy has joined the Local authority this year as the Director of Data, Digital and Technology and his title reflects how important cyber security is. One of the top objectives in this role is to move Enfield's cyber security and data assurance to a better setting. The Council now has a very clear plan of action against each of the risk items. These have been ranked, including targeting to individuals and to specific dates. All risks will be reported to the Assurance Board to ensure that progress has been made.
3. Since the last report some risks have been addressed; a phishing test (rogue email) in July was sent to test the council's cyber compliance. This has generated action points amongst them the need for more cyber security training for both public and officers.
4. This report builds on the previous report and considers not just cyber security, but also looks at how we train people and the tools used. The purpose of the report is to recognise some key proposals. The appendix to the report details the types of risks and threats and how the council deals with them.
5. The Council would like to adopt and work towards the National Cyber Security Standards. The key risks will be reviewed through a remediation programme which will be brought back to a future Committee meeting.

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6. Security roles are to be bought under the remit of the Director of Data, Digital and Technology, some roles at present are spread across the Council.
7. The reason for this proposal is that there are some existing assurance risks and will always exist because of the use IT and cyber tools. A number of these risks and threats have risen due to the substantial increase in remote working. These increased threats have become more sophisticated and are not perpetrated by individuals but by criminal organisations. The council wants to ensure that the existing tools we have are being used fully and that the processes are robust.
8. The local authority must maintain statutory compliance including everything from taking payments through to how it communicates with other public organisations.
9. There is a need to raise awareness that the Council as a whole is aware of risks and threats and that it has the tools to deal with them.
10. The National Cyber Centre is promoted by the Cabinet office and the Local Government Committee. Enfield was not previously using these standards, instead they were using other organisations.
11. Prior to Covid 19, research from companies such as Mimecast had indicated a 140% increase in phishing (clicking on links), email spoofs (pretending there are from somewhere else), ransomware attacks (where you have to pay to release your software). Over 40% of small and medium firms had a security incident in the past year.
12. The Council have had 51 reports in the last quarter, 1 of these had severe business impacts. This was an attempt to direct payments to a different bank account, which was prevented with no financial loss. There were some medium risks (these have a potential impact but generally people report them) and low risks (things such as what do I do in these cases).
13. There are 50 risks reported most quarters including the lockdown period. As awareness is raised and the training is improved this number may rise as people report more.
14. There is a Cyber Security Risk Register detailed in the report. The risks in the red box are key an example being old applications, from an external supplier these are not compliant with standards and there will be a future strategy to replace them. In the meantime, they will be monitored.
15. We received a report from government in June identifying the impact of Covid 19 and some of the recommended approaches. The Council has tested against this report. The key point highlighted in this report is that more people working remotely on their own networks attaching to the council's network creates more vulnerability. The amount of remote working across the council has increased from approximately 500 people pre Covid19 to approximately 2.5k people working remotely. This brings an increased exposure to risk.
16. The numbers of staff to deal with increased risks has not been increased so the Council is reviewing the use of the available tools. Increased ransomware attacks are one of the issues that public sector organisations should be most aware of. This is where criminal organisations try and take over organisations and then demand a fee to release the system back.

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- Other examples of threats that we need to be aware of are; phishing, cyber enabled fraud, espionage, and hacking.
17. Some examples of the action that should be undertaken and will be built into our plan are; the need to review the supply chain, including looking at the devices that are coming through our applications; and reviewing local reporting groups that the Council should be a part of.
 18. A survey is now being undertaken and will be completed this month to look at how good we are and where are the gaps.
 19. The Council has been given some free toolsets which will help measure where we are with our security.
 20. Since this report the Council has now joined local digital declaration. This gives as an opportunity to get some funding and some assistance with a number of programmes the Council has. This also means that the local authority is recognised as a leading organisation in the way it deals with security threats.
 21. At the end of this month there will be a report on the standards, and this will put to the internal Assurance Board.
 22. The cyber security remediation plan will be reviewed and will be part of a continuous improvement plan.
 23. A strategic review has been undertaken to ensure that the right people are in the right places, and also moving to report monthly to the Assurance Board.
 24. The council is now bringing into business continuity and emergency planning issues such as ransomware attacks and phishing to simulate potential issues as part of this planning.
 25. A few achievements over the last quarter to be noted; raised the training and awareness within organisation including new starters; issued Covid19 and remote worker guidance; now have permanent people in place in the security team and have received funding from LGA to train them. The Council has introduced a number of key security solutions for remote working such as a layer of security during lockdown, additional risk assessments undertaken on social media.
 26. All our suppliers must meet security standards. All IT projects assigned against the security standards,
 27. Projects being delivered at present; multi factorial identification similar to what banks use. This is being rolled out now and once fully rolled out will reduce the risk of being hacked by 99%
 28. The local authority is working to renew the Public Services Network certificate, the government has granted an extension to allow us to work on fixing Covid19 related issues first. By September we should be in a position to reapply for certificate
 29. There is one dashboard covering data protection, cybersecurity and information governance.
 30. The main considerations for approval by the committee is the adopting of standards, the approval of the cyber security remediation plan, the transfer of the roles into the Director of Data, Digital and Technology, and the acceptance that we are going to need to implement new tools.
 31. A report will go to Cabinet in October as part of the restructure. This will show what further investment may or may not be required. At present no further funding is being requested but this may change.

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32. The Council needs a piece of software to deanonymize data so that we still remain fully compliant in our audit that we are not deleting information that is sent over. The report can be shared on the breaches at the next report. Officers will confirm with the Director of Law and Governance the element of the report that can be sent out to the committee.

The following questions were raised:

Q: 84 per cent of IT security budgets have risen do you expect these rising further do we have enough financial support. There is also a recognition that too much data to analyse can be a security inhibitor do we have enough staff, and can we get ahead of the curve with staff numbers as more will be done online?

A: We do not expect a high increase as we have already spent the money putting in monitoring systems and recruiting the additional permanent staff. In the medium-term financial plan, an additional £350k was included as staffing growth in 2020/21 and a further £350k in 2021/22 in order to strengthen the ICT team. The monitoring software needs to be taken to a new level of scrutiny now we have the internal staff in place who have replaced agency staff. There is currently an ICT staffing restructure under way that will strengthen the Infrastructure and compliance areas by addressing key security skills, including the creation of new jobs requiring different skill sets. - In addition, there is a review of our current ICT programme which will prioritise cyber security, this refreshed programme will be presented to Cabinet in the Autumn of this year.

Q: How often do we monitor security system?

A: Our tools are in operation 24/7. For example, the we use email monitoring software provided by Mimecast, we monitor our network using software called SolarWinds and we undertake Penetration Testing of our network using a company called CareTower. We monitor security breaches daily and report these monthly and for any major breach or incident an incident report is issued on the day. As we develop our approach, we will be creating a new ICT Security, Information Governance and Data Protection dashboard over the coming two months, this then will be shared with the Assurance Board at every meeting.

Q: In what way do you decide to risk level on the risk register?

A: We use the corporate risk register standards to assess risk – (impact/likelihood) to create risk score that is then banded as high/medium/low.

Q: Numerous studies have shown that it is difficult to deanonymize data what reassurances can you give us. Do we keep a ledger of breaches that can be shared with us even if it is a sample?

A: The council is alert to its GDPR responsibilities in this area, should there be any breaches, these would be reported to the Information Governance Board and onto the Assurance Board as appropriate. Further, with the multiple systems used by the council and data we hold, this is indeed a challenging area for system testing. The current approach is to manually change any sensitive data by redacting it. In addition, additional software will be needed, to do this automatically. We are looking to invest in data anonymisation tools that can amend or redact data by rules set within the tool, and we use reporting logs that identify changes to data.

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AGREED:

- i. Recognise and accept the risks and findings in the report
- ii. Support the adoption of the NCSC standards and compliance for the organisation
- iii. Note the proposal to address the key risks through a Cyber Security remediation programme from June 2020 and for regular updates to this Committee
- iv. The movement of SITO and CISO roles to the Director of Digital, Date and Technology

8. 2019/20 ANNUAL INTERNAL AUDIT REPORT

This was introduced by Gemma Young, Head of Internal Audit and Risk Management

NOTED

1. The Public Sector Internal Audit standards require the Head of Internal Audit to give an annual audit opinion of the council's governance, risk management and internal control. This year's opinion is limited assurance.
2. There are four categories of assurance that can be given; substantial, reasonable, limited and no assurance.
3. The reasons behind this rating are as follows. This year there were 44 pieces of work undertaken by the internal audit team which gave an assurance rating. There were 32 audits were targeted at key Corporate Services and 12 of these received a negative audit opinion (limited or no assurance). There were 12 schools' audits and of these 8 received a negative assurance opinion. It is clear that as a Council it is the schools that are pushing us into that limited range.
4. In terms of actions, there were 161 actions recommended in audit reports across the year for corporate audits and 183 actions recommended for schools. The reason why schools' audits have disproportionately more actions is that the audit looks at a broader scope area for schools so it is natural that there would be more actions recommended. Overall there were 344 more actions recommended by internal audit.
5. Part of the opinion is based on the timely implementation of agreed audit actions.
6. As at year end 31 March, 73% of corporate high-risk actions have been implemented and 44% of corporate medium risks implemented rising to 100% for high risk and 85% for medium risk by the 15th of July. For schools, at year end, 59% high risk actions and 75% medium risk actions had been implemented, rising to 82% for high risk and 78%for medium risk by the 15 July.
7. In terms of why the council has received a negative overall assurance opinion for this year, it should be noted that this year audit has targeted the extremely high-risk areas. Although the plan is for the Head of internal Audit and Risk Management alone to decide, there is close working with the Assurance Board and Executive Directors are asked to identify their high-risk areas.

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8. Another reason for the limited assurance category is that the style of audit has changed from continuous monitoring for key financial systems which is essentially the same tests repeated again and again. This has now changed to proper deep reviews of the key financial systems and this has uncovered some issues that need to be resolved.
9. There have been some areas where assurances can be obtained externally such as the good overall rating for the Ofsted report, positive LGA review of the Early Years' service, the Grant Thornton financial resilience review, the adoption of the 10 year capital programme, the treasury management strategy, the introduction of a new risk management framework and improved transparency in financial reporting.

Questions, comments and queries:

- In response to a query on why there is no assurance for homelessness and one of our primary schools. Officers advised that for homelessness it found that they were not always recording reasons for decisions. It is imperative to be able to demonstrate why a decision has been made and this was not always the case. Audit also found that the submission of data for statutory returns was not always accurate. These were the high-level findings from the audit. For Oakthorpe primary school the full detail can be found in Appendix 4 on page 40-41 of the agenda papers. Appendix 4 also provides details on all the No and Limited assurance audits
- Members queried whether it is a common issue across schools and whether something could be done to assist the schools through the Director of Education to support them. Officers advised that in the next report on the agenda the 2019/20 Schools Audit Annual Report, the themes are grouped together. This report goes out annually to schools so that they can see what has been found. Procurement is a common issue and audit tries to provide a how to guide every year. Part of the reason why schools have not come out well is that audit will deliberately target certain schools where there may be suspected issues. Since this item was discussed at the Executive Management team, discussions have taken place with the Director of Education and school improvement team. There is a plan to improve things in schools. The communications with schools will be improved, schools will be given longer lead in times for the audits. The Council is also going to tailor the audit programme slightly to match with the school's financial value standard. The audit reports are already distributed to the Headteachers, governors and school business managers.
- A follow up and escalation process has been agreed with the Executive Director of People and the Director of Education so that they will be more aware of where schools are not implemented the actions that have been agreed with them.
- Members queried why audit findings on the Meridian Water project are identifying as medium or high risk and not critical particularly where the clear identification of roles was identified on p 33. Officers advised that critical will be for a life and death situation only. An example was given of the only critical finding in the last couple of years which was for a telephone line that was going into a care home and was part of an alert system (safe and connected) was going to a single phone line so if this

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was engaged and the fire alarm went off then the fire alarm would not be able to dial out and call the fire brigade.

- In response to a query on how the going up and down for school roles is captured and when this is identified as a risk. Members were advised that for schools' financial management there is an overarching audit in this year's audit plan. This will look at; why this is going wrong, how this can be improved, which schools are good and how can we share best practice and stamp out poor practice. This issue should be captured in this as it is a funding issue for schools. In terms of the impact that the ups and downs of school roles have, this is one of the big risks around the individual school's financial resilience. This does have a big impact on the individual school's financial planning. As part of the work of the Council's finance team every year we require schools to complete budget returns which includes forecasts on their pupil numbers on role so that they understand what their future budget position is. We do have a number of schools where their roles have gone up and down and this does seriously impact schools' budget and individual schools must respond to this challenge and come back into budget. The local authority has a supportive role encouraging schools to identify those problems early and taking early action.
- The Committee asked why is Brexit and climate change are not on the risk register? Officers advised that Brexit has its own separate risk register which comes to the committee. Climate Change can be covered under item 14 on the agenda.

AGREED to note the Internal Audit Annual Report.

9. 2019/20 SCHOOLS AUDIT ANNUAL REPORT

This was introduced by Gemma Young, Head of Internal Audit and Risk Management

NOTED:

- This has already been partially covered under the previous item.
- Page 49 provides information on the details of the themes found in the school's audits.
- Appendix 1 to the report is the letter aimed at Headteachers and school governors to provide them with a summary of what has been found.

AGREED to note the 2019/20 School Audit Annual Report.

10. 2020/21 INTERNAL AUDIT PLAN

This was introduced by Gemma Young, Head of Internal Audit and Risk Management

NOTED:

- This is the 2020/21 Audit plan which is outlined in Appendix A. This includes school's financial management which will be cross cutting. In terms of the other cross cutting audits there is Procurement Social Value, Climate Change, Adult Social Care and financial assessments. Then it is broken down by directorate and detailed in the report.

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- In terms of the Schools audit plan this includes schools that we have not looked at for a while or where we have concerns

AGREED to note the 2020/21 Audit Plan

11. 2019/20 COUNTER FRAUD SERVICE ANNUAL REPORT

This was introduced by Gemma Young, Head of Internal Audit and Risk Management

NOTED:

1. The report covers April 2019 to March 2020.
2. Audit have supported council housing and temporary accommodation teams to recover 100 properties over the course of a year
3. Audit have identified overpayments and potential savings of over £3.11m this includes things such as fraudulently claimed right to buy discounts, claims for support provided by the no recourse to public funds team, council tax and housing benefits.
4. The Council has levied 12 financial penalties totalling £9k for council tax support offences.
5. Page 88 breaks down counter fraud savings analysis and page 89 details category recovery and general investigation details can be found on pages 90-91
6. The Counter Fraud team promoted International Fraud Awareness week last November.
7. Whistle Blowing policy has been promoted in Staff Matters and in discussion with HR on further ways to promote the policy.

Questions, comments and queries:

- The annual target how is it decided, and will it change. The Committee was advised that generally, this target increases every year. However, this year it will remain unchanged. So far this year six properties have already been recovered, may not recover the property target this year. We have already saved well over a million on the business rates grants. That is not included in this report but will be in the next report. The business rates grants include both mandatory scheme and discretionary scheme. The local authority checked and vetted each application received to try to ensure that all grants paid out were genuine. We have either denied or recovered over a million pounds worth of these monies.

AGREED to note the Counter Fraud Service Annual Report 2019/20

12. COUNTER FRAUD STRATEGY AND 2020/21 OPERATIONAL PLAN

This was introduced by Gemma Young, Head of Internal Audit and Risk Management

NOTED:

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1. The annual operating plan now includes business rate grants
2. Following a query on how the Council make sure business grants are used appropriately. The committee was advised that Local authorities are not required to determine how the monies are used just that the businesses are deserving of the grant and qualify for it. There has been a huge amount of work already on pre award checking. Central government is now requiring us to do post award checking. The Council is now looking at whether the business is going concern. Businesses cannot receive state aid if they are non-liquid
3. On what basis will businesses have to pay back. The audit team are identifying businesses that may have to pay the money back. There are around 35 cases in the borough. Discussions will need to take place with the Executive Director Resources to agree what the approach should be, and advice will be sought from the legal team. This will be determined once the full details are available

AGREED to note the Counter Fraud Strategy, including the counter Fraud, Bribery and Corruption Policy Statement, and the associated 2020/21 Operating Plan.

13. 2020/21 RISK STRATEGY AND RISK OPERATING PLAN

This was introduced by Gemma Young, Head of Internal Audit and Risk Management

NOTED:

1. This is a refresh of the risk framework. The Council had an internal audit of risk management which came back as limited and one of the recommendations was that we needed a better framework and an improved strategy.
2. The risk maturity ratings are detailed on the bottom of page 137. We are currently Level 2 developing we are aiming to be level 3 proficient but are not consistent enough at present this needs more embedding.
3. The risk appetite is detailed on page 139 and this will be the approach for the next couple of years if members approve.

AGREED to approve the updated Risk Management Strategy and 2020-21 Risk Operating Plan

14. CORPORATE RISK REGISTER

This was introduced by Gemma Young, Head of Internal Audit and Risk Management

NOTED

1. This item comes to the Committee each meeting to review or comment upon. There have been no addition or subtractions to this document, however some items have moved from medium to high risk:
2. The items that have moved to high risk are; failure to maximise income (increase due to Covid); Fraud/ Corruption (this always increases in a

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- crisis); Information Governance and loss of IT (as a result of increased remote working) and Health & Safety (relating to Covid).
3. Brexit has separate risk register and came to committee in March and Covid 19 is in the overall risk register
 4. Committee members were asked whether they wished anything to be added.

Questions, comments and queries:

- Members felt that Climate Change was a gap and should be included. This issue will be taken to the Assurance Board and the Executive Management team and brought back to the next meeting of the Committee.

AGREED to note the Corporate Risk Register

15. COVID 19 RISK REGISTER

This was introduced by Gemma Young, Head of Internal Audit and Risk Management

NOTED

1. This is a culmination of the work of the Council's Silver Command Group and the Covid Recovery working group, which is chaired by the Executive Director of Place. There is a good mix of operational and strategic risk covering the key areas.
2. Members are invited to comment or identify gaps in the register.

Questions, comments and queries:

- How often are the risks reviewed, noted that mental health for employees has gone from High to medium. Anxiety may increase as people return to their normal work location. What support is in place? The Committee was advised that initially there was a fear that the isolation would bring on huge waves of mental health problems, but this hasn't materialised. However, as people return to their normal place of work there maybe rises of mental health disorders. This will be reviewed by the Silver Group who meet weekly and review risks and it was confirmed that the Director of HR is on this group.
- The risk of a second wave is not listed as a separate risk, felt there is a real risk of a second wave should this not be separate risk. Officers advised that this will be taken to Silver Group and reported back to the committee at the next meeting.

AGREED to note the Covid 19 Risk Register.

16. COMMITTEE MEMBER TRAINING

Jeremy Chambers, Director of Law or Governance advised that appropriate training will be arranged for the Committee immediately before the next meeting.

17. GENERAL PURPOSES COMMITTEE WORK PROGRAMME 2020/21

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The Chair requested officers provide an email update on Brokerage and that a full report comes to the next meeting. Several other amendments were also requested as follows: the Covid 19 Risk Register, the final Statement of Accounts, the response on recording Climate as a risk within the Corporate Risk Register all to October's meeting and the Treasury Strategy to November's meeting. A revised work programme will be circulated.

18. DATES OF FUTURE MEETINGS

The dates of future meetings were noted.

The meeting ended at Time Not Specified.

London Borough of Enfield**General Purposes Committee****15 October 2020**

Subject: Update on the Council's External Audit
Cabinet Member: Cllr. Maguire
Executive Director: Fay Hammond

Key Decision:

Purpose of Report

1. This Report sets out the progress on the Council's External Audit. It reminds members on the wider landscape of auditing but focuses attention on the key items that need to be audited for the accounts to be closed before the statutory deadlines.

Proposals

2. It is recommended that the issues referred to in the report are noted.
3. It is recommended that the Committee note that both parties are still targeting the statutory deadline of 30th November but that the deadline is very tight.

Reason for Proposals

4. To ensure that members are updated on the progress in the External Audit and aware of the risks to a successful Audit within the statutory deadlines.

Relevance to the Council's Corporate Plan

5. The External Audit is process of testing and challenging the Council's Accounts for truthfulness and fairness as well as its internal processes and governance so that Auditors can assure itself that the Council is a viable 'going concern'.

Background

6. The Council managed to close the Accounts by the statutory deadlines of July 30th under the cloud of COVID-19 and included substantial improvements, including:
 - An implementation of a new Asset Register
 - A review of the entire asset base
 - A new Trial Balance and the Accounts produced directly off them
7. However, the lack of resource has caused problems during the Audit. Responses to requests have been consistently slower than required and BDO shifted some resource away from the Council due to this. Even

spreading out samples to non-Corporate Finance has its limits because a lack of experience and review meant some responses did not directly answer the question asked. However, while attempts were made till mid-July to identify external resources, the Council was unsuccessful and trying to incorporate new staff into the team this late in the day was assumed to be counter-productive.

8. Government extended the statutory deadlines for the Account Audit Completion till 30th November, in light of the Pandemic. This was due in part to stresses on Councils to produce the Accounts while resources were delivering new services to residents and arranging emergency payments to businesses and residents.
9. Equally, the Audit firms were under a great deal of pressure as auditing was delayed for the NHS and they have had to continually shift limited resources across multiple audits.
10. Since Enfield's specialist resources for Closedown left, the Council has been stretched and the week's grace that BDO provided to allow the Council to catch up with the outstanding queries was gratefully received and caused the backlog to reduce by almost two thirds.
11. London Borough of Enfield has generated particular local challenges for BDO and the Council. It was building the Accounts from raw system data (far safer Audit-wise but a completely new approach), implementing a new Asset Register and restating much of the Accounts due to changes in the underlying values and economic lives of the assets. Arguably, the resource this would require was under-estimated, as the Council has struggled to keep up with audit queries and sometimes, insufficient quality assurance has taken place, generating extra work for auditors.

Main Considerations for the Council

12. **Pension Fund**
13. The majority of the Audit for the Pension Fund appeared to be complete, besides a revised IAS 19 report at the time of writing this report. The Council was updating a few key notes for additional details and the main Accounts were being updated for changes since the valuation information available as at 31st March 2020. It is worth noting that audited valuations for many hedge funds only arrive in June and July, so that they could not have been included in the Accounts previously. The Auditors have also noted that our custodians, Northern Trust have not responded quickly enough and the Council will need to manage this relationship better in the future.
14. Reflecting on ways in which to improve the Audit process, it is important more than ever that better use is made of Interim Audit. A specific week agreed between the Council and BDO to review Pension Administrative queries between November and February selected before the beginning of the Audit would have been invaluable. The Council will need to plan better in the future.
15. Similarly, while the Council improved the speed of producing the Accounts by having a 9 month review of the coding and reviewing the balances, in the future moving to quarterly accounting would significantly reduce the time to produce the Accounts at year end. The Council will also examine how to

transform the work with its custodian, Northern Trust, so that together they are able to produce quarterly reports closer to quarter end.

16. The Council intends to move the Pension Fund Accounts onto a separate ledger and review the coding of the Pension Fund, which should make it easier to test journals, as it is not tied to waiting for the main Accounts ledger to close. This delayed journal testing during the Audit. Furthermore, in the future, it has been agreed, a trainee Accountant will spend the last 8 months of their first year, supporting the team during Closedown and External Audit.
17. **Main Account Sampling**
18. Overall, the main Accounts are mid-way through the Audit as the majority of the technical queries and review of the Asset Register have not yet taken place in detail yet and sampling is not complete. Therefore, there is a great deal of work to complete in a short time and it is concerning understandably to both parties.
19. Sampling for the main Accounts should be completed over the coming weeks, however, that is significantly later than anticipated and it is only due to BDO granting us a week to catch up, that this is the situation. Three main items are outstanding on this list are outstanding at the point of the report writing: Housing Benefit, Leaseholder queries and Investment Property responses. While, the former is delayed due to the availability of key employees, the other two items stem from historic problems that LBE has not yet resolved.
20. Many of the core system reports upon which the Accounts were produced historically did not have detailed breakdowns that match the balances on the Accounts, which are based on summarised system reports. During these Accounts, the Accounts Payable Account, the Accrual Control Account and the core Northgate reports, proved to be difficult to provide detailed breakdowns and it took more than a week for the two former items to be produced, slowing down the closing of queries.
21. While breakdowns of core reports have been a problem for years, a number of these items were resolved before Closedown but the Leaseholder debtors position (Northgate) now needs a specially built report. This all indicates a requirement for better system reports and the Council needs to ensure that the new housing system has the requisite reports at Civica CX go-live date and not face the same issues at External Audit in 2020/21.
22. Responses on Investment Properties have not been sufficiently quick. That is partially due to the challenges on a stretched Property team but it is also a reflection of chasing cash transactions through bolt-ons to a main system with a lack of standard identifiers. Going forward, the Council will need to review its system set-ups and examine if there are easier ways for auditors to review transactions, as this is clearly very time consuming and frustrating from the point of the view of the auditors. This is likely to take another week to complete.
23. **Main Account Valuations & Asset Register**

24. The Council updated a new Asset Register in 2019/20 and as noted previously, there was a very large revision in the 2018/19 Accounts of £100.178m in relation to Property Values. This was driven by a change in the Useful Economic Lives of Infrastructure Assets, as they were set at erroneous lengths.
25. While Property, Plant & Equipment has been looked at through the lens of the valuations in the Accounts, they have not been examined yet in detail through the process of reviewing the restatements of 2018/19 and the Balance Sheet for 2017/18, nor have the PPE audit queries yet been reviewed. Therefore, there is a lot of work remaining in this area.
26. Early meetings over HRA Valuations and the process for reviewing the beacon valuations have taken place and early challenges have taken place. However, the detailed work was delayed due to problems with the beacon sheets, which are a detailed evidentiary breakdown of asset details and comparator data for concluding valuations, as they did not always match to the main Asset Valuation file. This was discovered during the Audit by BDO.
27. A review process had taken place by the Council during Closedown, however, the document, that was used as a control against which to check the veracity of the beacon sheets. was presented as an extract of the main file. This internal review process took a week, with multiple changes of beacon sheet documents.
28. During the Audit, BDO demonstrated that this review process had not worked, as the control file was not what it was presented to be. This wasted 1 month of the Audit and a week of Audit resources. The Council then had to re-review every single beacon for 3 periods (March 19, Nov 19, March 20) with the valuer, and this took 3 weeks to complete, delaying the Audit of these items by at least 1 month.
29. It is important to note that none of the beacon sheets involved changing the underlying valuation of the HRA Assets and instead reflected on poor copying practices by the valuers. However, without accurate sheets, it is very challenging, if not impossible, to Audit the HRA beacon valuation process.
30. **Next Stages in the Audit**
31. The next steps in the Audit Process will involve further review of the Meridian Water valuation approach and the restatement of the Assets. An additional document has been commissioned by the Council and provided to the Auditors on this matter to provide additional comfort on the classification concerns of why it is treated as Surplus Assets in the Accounts. Retrospectively, it should have been arranged for the start of the Audit, even if there was no change in the Accounting Treatment.
32. Meetings have been scheduled with the four different valuers to allow the auditors to ask additional points and a more detailed note on the Prior Period Adjustments has been requested and that will be produced for review for BDO prior to Committee.

33. BDO will also need to satisfy themselves on the HRA beacon valuation. Although the overarching approach is vastly more thorough and detailed, they still need to check that there are no errors and secondly that the market valuation adjustment at Year-End, is highly likely to be removed, changing the net valuation of the HRA assets in the Accounts in a positive direction, requiring an Audit Adjustment.
34. Similarly, BDO will need to review all the remaining estimates in light of Covid-19, including Pension Liability calculations with particularly focus on IFRS 9's forward-looking approach to Bad Debt Provisions.
35. The Group Accounts were provided on time but they have not yet been reviewed in detail.
36. The Council still anticipates an unqualified set of Accounts and is focusing on resourcing responses to the remaining Audit queries in time for the 26th November General Purposes Meeting.
37. **Safeguarding Implications**
38. None in the context of this report.
39. **Public Health Implications**
40. None besides the impact of managing the Audit during a Pandemic.
41. **Equalities Impact of the Proposal**
42. None in the context of this report.
43. **Environmental and Climate Change Considerations**
44. None in the context of this report.
45. **Risks that may arise if the proposed decision and related work is not taken**
46. None in the context of this report.
47. **Risks that may arise if the proposed decision is taken and actions that will be taken to manage these risks**
48. None in the context of this report.
49. **Financial Implications**
50. There are no direct financial implications beyond that an unqualified set of Accounts demonstrates that the Council is a 'going concern' and that any audit changes may materially affect the underlying net worth of the entity.

51. Nevertheless, any delay in the Audit and the additional work already agreed in relation to reviewing the new Asset Register will inevitably add to costs.

52. **Legal Implications**

53. The responsibilities for the framework within which local authority audits are conducted is the Local Audit and Accountability Act 2014. The Code of Audit Practice sets out what local auditors of relevant local public bodies are required to do to fulfil their statutory responsibilities under the 2014 Act. Schedule 6 of the Act requires that the Code be reviewed, and revisions considered at least every five years. A Code of Audit Practice came into force on 1 April 2020, after being approved by Parliament. The new Code applies to audits of local bodies' 2020-21 financial statements onwards: The detailed statutory Auditor Guidance Notes (AGNs) that will support the new Code are being drafted.

54. **Workforce Implications**

55. None in the context of this report.

56. **Property Implications**

57. None in the context of this report.

58. **Other Implications**

59. None in the context of this report.

60. **Options Considered**

61. Not relevant in the context of this report.

62. **Conclusions**

63. The Council

64.

Report Author:

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Date of report: 6th October 2020

Appendices

Background Papers

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External audit progress update and significant controls deficiencies identified

Report to General Purposes Committee, 15 October 2020

Purpose of this report

The purpose of this report is twofold:

- To provide the Committee with a progress report on the audits of the main Council's Statement of Accounts and of the Pension Fund
- To report on significant control deficiencies identified during the audit to date in accordance with ISA265: *Communicating Deficiencies in Internal Control to Those Charged With Governance and Management*

We are reporting the control deficiencies in advance of our Audit Completion Report because we are required to report significant control deficiencies at the earliest opportunity and because they are relevant to the progress of the audit.

Context

For 2019/20, the Council has taken decisive action to address shortcomings in the accounts audit trail and robustness of HRA assets valuations data identified in previous years' audits. This has included replacing the previous asset register, including a thorough data cleansing exercise, and commissioning a much earlier and more detailed beacons valuation exercise.

We have previously reported that interim work on a number of key areas, including particularly on valuations of property, plant and equipment (PPE) which is a Significant Audit Risk area and one that has caused delays in prior period audit completion, was unable to be completed due to the necessary information not being available. This information included the valuers' reports and also a completed and reconciled transfer of information into the Council's new asset register.

We reported to the Audit and Risk Management Committee on 5 March 2020 that, because we had not been able to undertake the interim work as planned, it was already impossible to meet the then end of July accounts publication deadline with the Council. This position of not being able to complete planned interim work was carried forward into the final audit workload and scheduling.

Since that point, as a consequence of the Covid-19 pandemic, the Ministry of Housing, Communities and Local Government (MHCLG) has deferred the accounts publication from 31 July - initially to 30 September and finally to 30 November, with accounts preparation deadline move back from 31 May to 31 August.

We reported to the General Purposes Committee on 23 July 2020 on audit progress and revised timelines. At that point we had received valuations reports, the PPE note and supporting workings that feed into the PPE note, and an Excel version of the new asset register. The draft Statement of Accounts was circulated with the Committee papers.

The Pension Fund audit had already commenced and was making good progress. The only noted issue was that we would not be able to access journals information until the main Council SAP ledger was accessible, because the Council's accounts were being prepared to a later timetable and the Pension Fund information is not separable.

We also reported that the Council was suffering from resourcing deficits in the finance function due to short notice departures and inability to recruit appropriately skilled and experienced staff, and also some initial experiences of delays and other issues with use of the Council's SharePoint facility.



Current position of Audit as at 1 October 2020

The audit has not progressed as well as expected as planned due to a number of reasons. These include:

- The Enfield finance team being under resourced due to a number of contract employees leaving and inability to recruit suitable replacements
- LBE SharePoint not working as planned for either side and needing to be supplemented by BDO's Inflo system, but with LBE continuing to run Sharepoint too
- Errors identified in the valuations information provided have led for a need for a thorough review and corrections to be made
- Omission of a key asset classification assessment paper
- Asset register trail
- Delays in obtaining an acceptable audit trail and accounts analysis to enable audit sampling to be undertaken, so in some cases staff bookings had completed before samples or, indeed, primary analyses had been received
- Incomplete audit trail including of prior period adjustments made in preparing the Statement of Accounts
- Delays and incorrect responses in sample evidence provided
- The move to remote working because of the Covid-19 pandemic and wider public sector timetable changes.

We are also, as noted above, catching up for planned interim audit work not being able to be completed as planned.

Finance team resourcing

The Enfield Finance team continues to be under-resourced compared to their ideal, with the roles of Chief Accountant and Capital Accountant remaining unfilled from March 2020 - these roles were filled on a temporary basis at the start of the year but they both left the Council. This has meant that the work that would normally be carried out by them has needed to be taken on top of existing roles by other team members, with the Head of Service - Corporate Finance taking on a significant proportion of this work. These vacancies have had an inevitable impact on the timeliness and quality of the audit trail supporting the preparation of the accounts process and the preparation and delivery of working papers to the audit team.

We recognise that this is a significant issue and is not what was originally planned by the Council. Whilst some of the issues described below would, we expect, have been mitigated by the original planned resourcing level, these issues nevertheless did arise and we are required to report what has actually happened to the Council.

Valuations information and asset register

We identified a number of issues with the Council's audit trail and valuers' reports and supporting information. These are set out in more detail in the section dealing with progress against significant audit risks below (non current asset valuations and migration to new asset register).



Audit trail

Access to working papers proved challenging at the start of the final audit. This was due to issues with the length of time it took Enfield Finance team staff to upload working papers on to the SharePoint site as a result of limits to system bandwidth capacity, and then for the audit team to be able to download working papers. This has now largely been resolved with the introduction of the Inflo software hosted by BDO, although there remain issues for some Enfield users and the Council is continuing to duplicate filing through SharePoint.

We have noted a number of omissions relating to key elements of audit trail. These have included, critically:

- Lack of documented trail for prior period adjustments (PPAs). There has been a considerable amount of movement and also amendments in balances from changes to code mappings in the financial statements and also changes in prior period values. However, only material corrections of errors (i.e. those at or in excess of approximately £20m) qualify as valid PPAs - anything else, including revisions of estimates, should be actioned through an in-period movement. The changes have not been tracked and differentiated so this trail is being created so that we can then audit this. This trail should have been prepared during the course of preparing the draft financial statements and been subject to review, but it was not;
- No accounting asset classifications paper was prepared as part of the valuations process, as had been explicitly agreed as part of the 2018/19 completion and then debrief process, for the Meridian Water assets. This paper was necessary as a first step in obtaining appropriate valuations because the classification and accounting treatment drives the valuation method that needs to be applied. This paper was repeatedly requested but not forthcoming. Intervention by senior finance officers has seen this paper commissioned from a recognised external accounting expert, and this has now been received and is subject to audit;
- Issues in obtaining breakdowns to the level of end of year balance components (i.e. a list of outstanding creditor and debtor balances as at 31 March 2020 making up the various categories of creditors and debtors disclosed in the notes to the financial statements). This issue has undergone several iterations, including providing us with transaction listings (so not just the actual items outstanding, meaning we could not be sure to select appropriate items), but the majority of areas have been resolved by our sampling certain areas and supporting analyses then being obtained. However, there remains an issue relating to lease holder debtors where the breakdown is only available on a real time basis and not easily exported from the system. This is a relatively small balance but has been identified as a balance for sample testing this year.

Evidence provided in support of audit queries and sampling

We have encountered repeated issues with existence, completeness and accuracy of information requested, in some cases complicated by duplicated filing arrangements. Issues have included:

- Response provided for preliminary analytical review analysis not being of sufficient quality/detail to explain identified variances outside of expected ranges;
- Information stated as being delivered but was not available on either Inflo or Sharepoint;
- Information stated as provided but subsequently agreed as not being available (e.g. PPA working papers trail);
- Information stated as provided but actually totally different information (e.g. provision of title deeds when rental invoices requested);
- Information stated as provided but not the specific items requested (e.g. rental invoices re 2020/21 provided when March 2020 requested).



A considerable amount of time has been spent in repeatedly working through issues and sampling trackers lists to address the issues of sampled items. We have also offered to provide some “space” for the resource-stretched Council team to work through samples by offering to withdraw booked audit team resource for a week, and this has enabled some catch up, but of course at the expense of the audit input being reduced. Unless improvements are achieved in “right first time” responses to audit queries and samples requests, potentially through improved quality review and control, there is a threat to our achieving deadlines.

Remote working and wider public sector timetable changes

The move to remote working has meant that the audit is less efficient as the audit team are not all in the same room having informal conversations and overhearing other discussions both internally and with Enfield staff. For example, an impact of this has been a number of duplicated requests where one member of the audit team has not realised that another member has already requested a report/ explanation. This could have been mitigated had the summary of information provided/outstanding items that we requested been provided.

The position also restricts the ability of senior audit staff to supervise on a “live basis” and junior staff to freely seek guidance or clarification as issues arise. There is, unfortunately, no virtual equivalent of being able to sit down with relevant contacts and simply work through issues and working papers by discussion.

In addition, we believe that the Enfield Finance team are also having similar issues with remote working resulting in answers to queries taking longer.

Audit resource has been challenging to manage across the firm this year as a result of delays to the NHS Audits and Local Government clients also delaying audits due to Covid-19. NHS deadlines were pushed back to the end of June (from end of May) and both provider and commissioner audits suffered from very late key third party information, so all audits were right up against the deadline. This meant that early phase local government audits were delayed/deprived of resource, and the position continued during the summer. Despite considerable overtime hours worked, this position has not fully recovered, and we have also needed to reallocate staff to try and compensate.

Further, pushing the work back beyond the original deadlines leads to clashes with existing holiday bookings. BDO, as other employers, have required staff to take a summer break during lockdown in support of staff wellbeing, particularly given the intense early NHS and also central government audits phase.

This has all meant that we have not been able to have the continuity of staff from prior years that we would have had in a normal year. This has occurred as a result of needing to reorganise resource across our portfolio in response to timetable deferrals and that Local Government audit scheduling was in the same period as pre-booked annual leave and college time, resulting in breaks in staff bookings to Enfield.

Conclusion

We continue to work with the Council towards the goal of enabling the Council to publish an audited Statement of Accounts by the 30 November 2020 deadline.

This goal is achievable if there are no further delays or significant issues identified, and we receive “right first time” audit responses and evidence.

Neither we nor the Council has any further resource that we can draw on to address any further significant issues arising.



Progress against significant risks

In our Audit Planning Report we identified 6 significant audit risk areas. We have set out in the Appendix to this report full details of the planned work and progress to date for all of these risk areas. The key issues arising were:

- **Management override of controls:**
 - No work concluded yet
 - Our review of the accounts noted that a number of changes had been made to the prior period balance sheet lines. This is because of LBE not knowing how the mapping was done in the prior year and therefore amending the prior year audited figures to reflect the current year. At the time of writing we have not been provided with a working paper explaining the changes.
- **Expenditure cut-off:**
 - No work concluded yet.
 - Awaiting evidence for cut-off testing and manual accruals
- **Valuation of non-current assets:**
 - Work deferred from interim because valuations reports and asset register not available at that time
 - Errors with HRA beacons sheets and supporting valuations trail, in part linked to the valuer providing the wrong information to the Council to test check pre audit. Our initial sampling showed an error rate of 1 in 6 across the 30 sampled.
 - No Meridian Water asset classification paper which determines the basis of valuation that needs to be used
 - Issues with investment properties valuations reports and supporting sample evidence
 - Infrastructure useful economic lives have been reset, but we are reviewing the treatment applied because revised estimates usually put through in year not PPA
- **Valuation of pension liability**
 - Actuarial assumptions incorrect/out of range so we have requested a new valuation be undertaken
 - Almost completed our work on membership data checks of information sent to the actuary
- **Preparation of the financial statements**
 - Lack of clear audit trail for PPAs and non-adjusting errors and lack of detailed quality review prior to authorisation for issue
 - Issues in responding to our audit queries relating to preliminary analytical review variances outside of tolerable range (this being the audit equivalent of a numerical quality control exercise - we use this for audit risk assessment purposes)
- **Migration of fixed asset register**
 - Work is ongoing, linked to valuations.
 - We have noted instances where potentially the opening balance per the new FAR for assets not revalued this year do not agree to balance per the last year valuation report. The work is ongoing



Significant control deficiencies identified

The following deficiencies linked to significant audit risks (and therefore representing significant control deficiencies) have been identified by audit work undertaken to date:

1. *Financial statements preparation quality control*

Resource shortages and pressures within the finance department have contributed to reduced levels of quality control reviews of the financial statements and of the supporting working papers. Whilst the draft financial statements were submitted to the scheduled General Purposes Committee on 23 July 2020, the accounts were presented later for audit than had originally been agreed (end June). The compressed timetable prevented the Council undertaking of the originally planned quality review and control processes.

These quality control issues are evident, for example, in:

- Prior Period Adjustments (PPAs). This is a critical and sensitive area, even in “normal” years, but particularly given the high profile reworking of the closedown process in 2019/20:
 - The note was not clear or complete. A number of matters within the main body of the accounts referred to the note but were not included within the explanations. These included the impact on the CIES, cash and debtors of changes made to the prior period.
 - There was no documented trail for or working paper to support the PPAs
 - Non-material items had not been acknowledged or identified by quality review. Non-material “PPAs” do not qualify to be PPAs and so either need to be reversed or concluded to be errors. There is no quantification of these to date.
- Meridian Water assets classification paper. As noted above, this key element of the Council’s audit accounting and valuations trail was agreed as being necessary at a very early stage. The absence of the paper was not identified in quality review.
- Issues identified in the accuracy of the valuations reports and supporting information that were used to draft the financial statements and which were then provided for audit.

Recommendation

The Council should, as part of a wider root cause analysis process:

- Reflect on the experiences of the 2019/20 closedown experience
- Revisit finance department structures, and skill set and experience needs, updating as necessary
- Secure necessary additional resources
- Ensure the closedown plan for 2020/21 enables the support for “hard close” (both for trial run but also as a key interim audit step)
- Ensure the closedown and preparation of draft Statement of Accounts allows for a thorough and robust quality control and review process
- Ensure that there is a clear plan for what will be undertaken during the quality control and review and who will undertake the various steps, with clear guidance on documentation and evidence of these processes
- The General Purposes Committee should receive and review these plans



2. Quality review and challenge of valuers' reports and supporting working papers

The Council had intended to subject the valuations information provided to a thorough review and challenge as part of the closedown process. However, due to compressed timescales and significant finance team resource shortages, this was reduced.

We have identified a number of issues that should have been identified by management's own quality checking, including:

- Errors with beacon sheet entries and supporting valuations trail
- Errors in certain investment property valuations (wrong values reported) and these needing to be reissued
- Supporting information not provided as part of the initial working paper
- A draft unsigned report being provided to the audit team as a final version and the finance team taking some time to accept that it was not a final version.

Recommendation

Linked to the preceding accounts review quality control point and recommendations above, the Council should, as part of a wider root cause analysis process:

- Ensure the closedown step relating to valuations of no current assets allows for a thorough and robust quality control and review process
- Ensure that there is a clear plan for what will be undertaken during the quality control and review and who will undertake the various steps, with clear guidance on documentation and evidence of these processes
- The General Purposes Committee should receive and review these plans

Overall conclusion

The delivery of the Audit by 30 November deadline remains potentially achievable but will be challenging.

The Council needs to ensure that sufficient resource of the right level is made available to support the audit team and that audit evidence provided is complete, accurate and "right first time".

BDO LLP

7 October 2020



Appendix

Management override of controls

Planned work:

- Review and verification of journal entries made in the year, agreeing the journals to supporting documentation. We will determine key risk characteristics to filter the population of journals. We will use our IT team to assist with the journal
- Extraction and test a sample of these journals;
- Review of estimates and judgements applied by management in the financial statements to assess their appropriateness and the existence of any systematic bias;
- Review of unadjusted audit differences for indications of bias or deliberate misstatement; and
- Follow up on our significant control deficiency in the prior year to confirm that the Council are deactivating leavers from the system and that they are monitoring dates of journals including those which have been processed but not posted to the system.

Progress to date:

Our work on this area is ongoing and we have not concluded on any of the testing to date.

Expenditure cut off

Planned work:

- Check that expenditure is recognised in the correct accounting period by substantively testing a sample of expenditure around year-end.
- Test an increased sample of manual accruals to supporting documentation.

Progress to date:

Still waiting for evidence from the Council to support our cut-off and manual accruals sample testing. Our work in this area is therefore ongoing.

Valuation of Non-current assets

Planned work:

- Review the instructions provided to the valuer and the valuer's skills and expertise in order to determine if we can rely on the management expert;
- Confirm that the basis of valuation for assets valued in year is appropriate based on their usage;
- Review accuracy and completeness of information provided to the valuer, such as rental agreements and sizes;
- Review assumptions used by the valuer and movements against relevant indices for similar classes of assets;
- Follow up valuation movements that appear unusual;
- Review the classification of Meridian Water assets within the financial statements and confirm that this is consistent with the basis for valuation; and
- Confirm that assets not specifically valued in the year have been assessed to ensure their reported values remain materially correct.



Progress to date:

To date we have identified that

- A number of the HRA beacon revaluations used incorrect data. From an initial sample of 30 reviewed, 5 errors were identified. As a result these have all been reviewed by Enfield Staff and are pending further review by the audit team;
- We have noted instances where potentially the opening balance per the new FAR for assets not revalued this year do not agree to balance per the last year valuation report. The work is ongoing;
- The Valuation report relating to Investment properties contained errors and has been reissued;
- Where valuations were not carried out at year end, management have not adjusted the opening balances to reflect the market changes since 1 April 2019. There is an expectation that the condition of the assets will have changed since April 2019 and/or their value may have changed due to Covid-19. These should be assessed and reflected when determining the closing balance for the assets. Management have agreed to process an adjustment if the outcome is material but the work is currently ongoing.
- The Council did not prepare an asset classification assessment for the Meridian Water assets. This is key to determining the appropriate valuation basis for these assets. An assessment was commissioned from a recognised external accounting expert and is currently being reviewed by the external audit team.

Valuation of LG pension liability

Planned work:

- Agreeing the disclosures to the information provided by the pension fund actuary;
- Reviewing the competence of the management expert (actuary);
- Reviewing the reasonableness of the assumptions used in the calculation against other local government actuaries and other observable data;
- Reviewing the controls in place for providing accurate membership data to the actuary;
- Contacting the pension fund auditor and requesting confirmation of the controls in place for providing accurate membership data to the actuary and testing of that data; and
- Checking that any significant changes in membership data have been communicated to the actuary.

Progress to date

We reviewed the reasonableness of the assumptions used in the calculation against other local government actuaries and other observable data and identified that the assumptions used by the Actuary to calculate the liability are outside of expected ranges and have requested updated figures.

We have nearly completed work on membership data submissions to the actuary.



Preparation of Financial Statements.

We planned to carry out the following work

- Carry out an early review of the interim month 9 financial statements against the requirements of the Code of practice for Local Authority Accounting 2019/20;
- Briefing finance staff on our expectations for good quality working papers and our requirements for completing a detailed and thorough interim visit;
- Reviewing the consistency of the financial statements with underlying working papers before the start on the onsite audit visit; and
- Obtaining assurance that management has carried out a critical review of the financial statements before they are submitted for audit, including comprehensive explanations for all significant variances from the prior year.

Progress to date:

- We were unable to review interim financial statements as due to resource constraints the Council was unable to produce these. We reconciled the accounts to the TB and high level working papers at the start of the audit however we have had issues obtaining detailed breakdowns of some balances selected for testing.
- The accounts were reviewed before issue however our initial review identified a number on inconsistencies and that a number of balances had been amended as Prior Period Adjustments. A number of these PPAs were not referred to as such in the PPA note so it was unclear why they had been made or the movement from the prior year was immaterial and therefore is not a PPA under the Code of Accounting Practice.
- We had to request the output of management's review of the draft Statement of Accounts on a number of occasions before it was provided. The explanations initially provided were not sufficiently detailed and we required further work to be done before we had sufficient information.

Migration of Fixed asset register

Planned work:

- Review the work undertaken by the Council to test the migration of data from the previous fixed asset register to the new system, and the associated reconciliations.
- We will carry out further testing as necessary to obtain assurance over the completeness and accuracy of the fixed asset transfer.

Progress to date:

Our work in this area is ongoing and links to our work on non-current asset valuations.

We have noted that the some opening balances in the new fixed asset register for assets not revalued in the year do not agree to the prior year valuation reports. We are awaiting explanations from the Council as to the reasons for this.

London Borough of Enfield**GENERAL PURPOSES COMMITTEE****Meeting Date: 15 October 2020**

Subject: Enfield Pension Fund Financial Statement for 2019/20**Cabinet Member: Cllr Maguire****Executive Director: Fay Hammond****Key Decision: []**

Purpose of Report

1. This report presents the Pension Fund Statement of Accounts for 2019-20 for approval.
2. As part of this meeting agenda, the external auditors, BDO are also tabling their draft report to this Committee, charged with governance (ISA260) for 2019-20.
3. The audited Pension Fund Statement of Accounts 2019/20 is attached as Appendix A to this report.

Proposal(s)

4. The Committee are recommended to:
 - i) Approve the audited Pension Fund Statement of Accounts for 2019/20. (attached as Appendix A to this report);

Reason for Proposal(s)

5. The Accounts and Audit Regulations 2015 require that each Local Authority approve its audited financial report statements by the statutory deadline of 31st July each year. The external auditors are required to audit this report and to provide an audit opinion by the same date.
6. The Pension Policy & Investment Committee (PPIC) acts as quasi-trustee to the Pension Fund and as such acts in the capacity of the Administering Authority of the Pension Fund. The PPIC's terms of reference require that the Annual Report and Accounts on the activities of the Fund are presented and approved prior to their publication. The Local Government Pension Scheme Regulations 2013, Regulation 57 require the Pension Fund to publish its report and accounts by 1st December following the financial year end and for the Report to contain a number of standard items.

7. The publication of the Pension Fund Annual Report and Statement of Accounts helps to keep Fund members informed, shows good governance and also helps to demonstrate effective management of Fund assets

Relevance to the Council's Corporate Plan

8. Good homes in well-connected neighbourhoods.
9. Build our Economy to create a thriving place.
10. Sustain Strong and healthy Communities.

Background

THE STATEMENT OF ACCOUNTS

11. The Accounts comprise two main statements with supporting notes. The main statements are:
 - i) Dealings with members, employers and others which is essentially the fund's revenue account; and
 - ii) The Net Assets Statement which can be considered as the fund's balance sheet.
12. The return on investment section of the accounts sets out the movement in the net worth of the fund in the year by analysing the relevant financial transactions and movements in the market value of the investment portfolio. The statement has two main sections:
 - i) The financial transactions relating to the administration of the fund; and
 - ii) The transactions relating to its role as an investor.
13. Overall, the Fund's assets had decreased further from £16.7m reported in the account to £35.7m in the final accounts for the financial year (the further £19m reduction experienced by the Fund was due to the global custodian using February 2020 valuation positions to close five portfolios at the end of March 2020 as these managers were not able to produce March month end valuations in time). The overall reduction for the year was due to the financial markets under performance in which the Fund held its investments and the contribution of the net withdrawals of the fund expenditure over income.
14. The restated net asset statement represents the net worth (£1,150m) of the Fund as at the 31st March 2020. The statement reflects how the transactions outlined in the other statement have impacted on the value of the Fund's assets.
15. The Fund income section of the report principally relates to the receipt of contributions from employers and active members, and the payment of pensions benefits. The section indicates that the Fund is cash positive in that that the receipt of contributions exceeds payments, which stood at £7.1m net additions for 2019/20 compared to net addition of £4.1m in 2018/19.

16. Investment income decreased slightly over the year as expected in line with weakened assets value by some £0.7m. Transfer Values received (amounts paid over when a fund member transfers their benefits from one fund to another) were slightly less by £40k over the year. It is not possible to predict the value of transfer value payments as they are dependent on an individual's length of service and salary and as such may vary significantly. The total contributions increased over the year by £3.9m compared to last year this was due to LB Enfield employer contribution rate increasing from 24.4% to 24.9%.
17. In 2019/20 the overall expenditure increased by some £875k. The major contributors were the overall benefits paid which increased by some £810k over the year. The management expenses went up by £190k and this is solely and increase from administration costs.
18. Overall, fund membership has increased slightly from 22,281 to 23,123, an increase in membership number of 842. The active members increased by 167 members over the year whilst deferred members increased significantly by 465. Retired membership increased by 210 members.
19. The investment performance section of the report details returns on the investment portfolio, the impact of managers' activities and investment markets on the value of investments.
20. The Audit Plan for the Pension Fund and any reports arising from the audit will also be reported to the Pension Policy & Investments Committee. However, as the pension fund accounts remain part of the financial statements of the Council as a whole, this Committee retains ultimate responsibility for receiving, considering and agreeing audit plans as well as receiving any reports arising from the audit.
21. The External Auditor provides an independent assessment of the Council's Pension Fund financial statements, systems, procedures and performance. The external auditor is required to issue an ISA 260 report, an opinion on the Council's accounts and this include an opinion on the Pension Fund accounts.
22. The audit of the Pension Fund accounts is now complete, and an Audit Completion Report (ACR/ISA 260 report) will be table by the auditor at this meeting. The ACR/ISA 260 report sets out their opinion and any issues which they believe the Committee should be aware of.
23. The Pension Fund audit is being undertaken by BDO and the audit fee is being maintained at £19,000, this would be charged to the Pension Fund.

PIRC LEAGUE TABLE PERFORMANCE

24. PIRC measures the performance of the Fund against their Local Authority Universe data. The PIRC Local Authority Universe is an aggregation of Funds (currently 63 Funds) within the LGPS sector that is used for peer group comparisons. The performance results set out in this section are from the league tables.

25. The PIRC universe average for local authority Pension Fund return for 2019/20 was -4.8% compared to the Fund benchmark of -0.84%, the Fund underperformed its benchmark but outperformed the PIRC universe and ranked at 10th position for this period.
26. The PIRC universe 3-year average performance return for 2019/20 was 1.9% and the Fund benchmark return was 2.2%, the Enfield Fund outperformed its benchmark by 0.3% and the PIRC universe by 0.6% and was ranked in 23rd position for this period.
27. Over the longer period of 5, 10, 20 and 30 year are shown in below table:

	One year	3 years	5 years	10 years	20 years	30 Years
Enfield Fund % p.a.	-1.5	2.5	5.4	6.8	5.4	8.1
Benchmark % p.a.	-0.8	2.2	5.0	-	-	-
PIRC Universe % p.a.	-4.8	1.9	5.2	6.9	5.5	7.9
Ranking	10	23	27	48	35	22

FUNDING UPDATE

28. This funding update has been provided to give the result of the Fund funding level compared to its last formal valuation of 31 March 2019. At the last 2019 formal valuation, the funding ratio of 103%, with Fund assets of £1,185m and liabilities of £1,146m, generating a surplus of some £39m as at 31st March 2019.

Assumption	31st March 2016 Valuation Results	31st March 2019 Final Valuation Results	31st March 2020 Estimated Valuation Update
Main scheduled body funding target:			
Probability of funding success	69%	80%	80%
Discount rate	4.50%	4.20%	4.20%
Ongoing orphan funding target:			
In service discount rate	4.10%	3.30%	3.30%
Left service discount rate	2.50%	1.60%	1.60%
RPI inflation	3.10%	3.20%	3.10%
CPI inflation (pension increases / CARE rev)	2.00%	2.10%	2.20%
Post 88 GMP pension increases	1.80%	1.90%	1.70%
Pay inflation	3.50%	3.60%	3.40%
Value of Assets	£916.3m	£1,185.5m	£1,169m
Value of Liabilities	(£1,048.2m)	(£1,146.2m)	(£1,119m)
(Deficit)/Surplus	(£131.9m)	£39.3m	(£50m)
Funding Ratio	87%	103%	96%
Primary Contribution	17.70%	18.50%	18.50%
Secondary Contribution (to reduce deficit)	5.10%	0%	0%
Extraordinary Contribution (possible cost of McCloud)		1.50%	1.50%

Total Employer Contribution	22.80%	20.00%	20.00%
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29. Shown above is the update position as at 31st March 2020 which indicates a weakened funding level position of 96%, a 7% reduction from 2019 funding level of 103%, creating a deficit of some £50m as at 31st March 2020 as shown below.
30. Liabilities increased significantly on a gilts basis over the quarter as long-dated bond yields fell sharply. This, along with the risk asset selloff, led to deteriorating funding ratios. Long-dated fixed interest gilt yields (20-year duration) decreased by 48bps to 0.87% over the quarter. 20-year real yields also fell over the quarter but by comparatively less due to the fall in breakeven inflation.

Safeguarding Implications

31. The report provides clear evidence of sound financial management, efficient use of resources, promotion of income generation and adherence to Best Value and good performance management.

Public Health Implications

32. The Enfield Pension Fund indirectly contributes to the delivery of Public Health priorities in the borough.

Equalities Impact of the Proposal

33. The Council is committed to Fairness for All to apply throughout all work and decisions made. The Council serves the whole borough fairly, tackling inequality through the provision of excellent services for all, targeted to meet the needs of each area. The Council will listen to and understand the needs of all its communities.

Environmental and Climate Change Considerations

34. There are no environmental and climate change considerations arising from this report.

Risks that may arise if the proposed decision and related work is not taken

35. Accounts provide an effective mechanism to safeguard the Council's assets and assess the risks associated with its activities.

Risks that may arise if the proposed decision is taken and actions that will be taken to manage these risks

36. Not approving the report recommendations and not adhering to the overriding legal requirements could impact on meeting the ongoing objectives of the Enfield Pension Fund.

Financial Implications

37. The Council as Administering Authority has the responsibility of ensuring that the Pension Fund is administered effectively and efficiently and that arrangements for financial management are properly scrutinised. The performance of the fund affects the level of employer's contribution to the fund.
38. The Pension Fund Statement of Accounts sets out the financial position of the Pension Fund as at 31st March 2020 and acts as the basis for understanding the financial wellbeing of the Pension Fund. It enables Members to manage and monitor the Scheme effectively, helping to ensure that they are able to fully understand the financial implications of the decisions they make.

Legal Implications

39. Regulation 57 of the Local Government Pension Scheme Regulations 2013 imposes a duty on the Council as an administering authority to prepare a pension fund annual report. The report must be published by 1st December following the financial year end.
40. The Council is required to prepare a statement of accounts in accordance with the Accounts and Audit Regulations 2015.
41. The Accounts and Audit Regulations 2015 specify a procedure for signing, approval and publication of a statement of accounts. The chief finance officer is required to sign and date the statement of accounts by 31 May each year, certifying that it presents a true and fair view of the Council's financial position at the end of the relevant financial year and of the Council's income and expenditure for the year. The Audit Committee must approve the statement of accounts by 31 July each year and the statement must be signed by the chair of the meeting at which the accounts were approved. The statement of the accounts must be published by 31 July along with any certificate, opinion or report issued or given by the Local Auditor under the Local Audit and Accountability Act 2014.
42. As indicated in the report, it is consistent with good practice for the committee to see the statement of accounts at an early stage, given that it will be asked to approve the accounts upon completion of the audit.

Workforce Implications

43. The employer's contribution is a significant element of the Council's budget and consequently any improvement in investment performance will allow the Council to meet this obligation easily and could also make resources available for other corporate priorities.

Property Implications

44. None

Other Implications

45. None

Options Considered

46. There are no alternative options in so far as the publication of the Statement of Accounts and Annual Reports is a legislative requirement

Conclusions

47. The Fund assets reduced by £35.7m over the year. The net asset statement represents the net worth (£1,149.8m) of the Fund. This reduction was because of the Covid-19 outbreak turned into a global pandemic. Whereby, global equities sold off sharply after reaching all time highs in mid-February. By end of June 2020 the audited custodian accounts demonstrate the Fund assets appreciated by over £96m due to the bounced back effect of global equity markets
48. The PIRC average universe for Local Authority Pension Fund return in 2019/20 was -4.8%. The Enfield Pension Fund had a return on investment of -1.5% and ranked 10th in the performance league table. Looking at the longer-term performance, the three-year return for the Fund was 2.5% per annum and for over five years, the Fund posted a return of 5.4% p.a. the Fund outperforming the universe average return of 1.9% and 5.2% respectively.
49. At the last formal valuation (31st March 2019) the funding level increased to 103%, with assets of £1,185m and liabilities of some £1,146m, giving rise to a surplus of over £39m.
50. The valuation updates as at 31st March 2020 was received from the Fund actuary 4th May 2020 and this demonstrated the Fund funding level was slightly weakened from the last formal valuation by 7% from 103% to 96%. This reduction in funding level gave rise to a deficit position of some £50m. There is a possibility of this position to have improved significantly if were to carry out this assessment again as the net assets value of the Fund appreciated by over £95m.

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Date of report 30th September 2020

Appendices

Appendix A – Enfield Pension Fund Financial Statements For 2019/20

Background Papers

None

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2019/20

ENFIELD PENSION FUND STATEMENT OF ACCOUNTS



Bola Tobun

London Borough of Enfield

2019/20

PENSION FUND ACCOUNTS – 2019/20

LONDON BOROUGH OF ENFIELD PENSION FUND ACCOUNT			
2018/19 £000s		Notes	2019/20 £000s
	Dealings with members, employers and others directly involved in the Fund		
47,179	Contributions	7	51,044
4,009	Transfers in from other pension funds	8	3,971
51,188			55,014
(41,966)	Benefits payable	9	(42,777)
(5,116)	Payments to and on account of leavers	10	(5,173)
(47,082)			(47,950)
4,106	Net additions/(withdrawals) from dealings with members		7,064
(9,442)	Management expenses	11	(9,156)
(5,336)	Net additional/(withdrawals) including fund management		(2,092)
	Returns on investments		
12,643	Investment income	12	11,960
(462)	Taxes on income	13a	
79,653	Profit & losses on disposal of investments and changes in the market value of investments	14a	(45,549)
91,834	Net returns on investments		(33,589)
86,498	Net change in assets available for benefits during the year		(35,681)
1,099,002	Opening net assets of the scheme		1,185,500
1,185,500	Closing net assets of the scheme		1,149,819

NET ASSETS STATEMENT FOR YEAR ENDED 31 MARCH 2020			
2018/19 £000s		Notes	2019/20 £000s
1,124,026	Investment assets	14	1,093,995
(150)	Investment liabilities		(84)
1,123,876			1,093,911
58,091	Cash deposits	14	52,855
3,533	Other investment balances -assets	14	2,438
(183)	Other investment balances - liabilities	14	(149)
1,185,317	Total net investments	14	1,148,968
14	Long term debtor	21a	53
801	Current assets	21	1,357
(632)	Current liabilities	22	(559)
1,185,500	Net assets of the fund available to fund benefits at the end of the reporting period		1,149,819

Note: The fund's financial statements do not take account of liabilities to pay pensions and other benefits after the period end. The actuarial present value of promised retirement benefits is disclosed at Note 20.

Signed:

Fay Hammond

Executive Director Resources

31st May 2020

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1. Description of the Fund

The Enfield Pension Fund ('the fund') is part of the LGPS and is administered by London Borough of Enfield. The council is the reporting entity for this pension fund.

The following description of the fund is a summary only. For more detail, reference should be made to the Enfield Pension Fund Annual Report 2019/20 and the underlying statutory powers underpinning the scheme.

a) General

The scheme is governed by the Public Service Pensions Act 2013. The fund is administered in accordance with the following secondary legislation:

- the Local Government Pension Scheme Regulations 2013 (as amended).
- the Local Government Pension Scheme (Transitional Provisions, Savings and (Amendment) Regulations 2014 (as amended).
- the Local Government Pension Scheme (Management and Investment of Funds) Regulations 2016.

It is a contributory defined benefit pension scheme administered by London Borough of Enfield to provide pensions and other benefits for pensionable employees of London Borough of Enfield and a range of other scheduled and admitted bodies within the borough. Teachers, police officers and firefighters are not included as they come within other national pension schemes.

The fund is overseen by the Enfield Pension Policy & Investment Committee, which is a committee of London Borough of Enfield.

b) Membership

Membership of the LGPS is voluntary and employees are free to choose whether to join the scheme, remain in the scheme or make their own personal arrangements outside the scheme.

Organisations participating in the fund include the following:

Scheduled bodies, which are local authorities and similar bodies whose staff are automatically entitled to be members of the fund.

Admitted bodies, which are other organisations that participate in the fund under an admission agreement between the fund and the relevant organisation. Admitted bodies include voluntary, charitable and similar bodies or private contractors undertaking a local authority function following outsourcing to the private sector.

There are 39 employer organisations within the fund (including the Council itself), and 23,123 individual members, as detailed below. A full analysis is included

Enfield Pension Fund	31 March 2019	31 March 2020
Number of employers with active members	7,246	7,413
Number of pensioners	5,453	5,663
Deferred pensioners	5,930	6,899
Frozen/undecided	3,652	3,148
Total number of members in pension scheme	22,281	23,123

c) Funding

Benefits are funded by contributions and investment earnings. Contributions are made by active members of the fund in accordance with the Local Government Pension Scheme Regulations 2013 and range from 5.5% to 12.5% of pensionable pay for the financial year ending 31 March 2020. Employee contributions are matched by employers' contributions which are set based on triennial actuarial funding valuations. The results of recent formal valuation as at 31 March 2019 has employer contribution rates range from 0% to 25.0% of pensionable pay.

d) Benefits

Prior to 1 April 2014, pension benefits under the LGPS were based on final pensionable pay and length of pensionable service, summarised below.

	Service pre April 2008	Service post 31 March 2008
Pension	Each year worked is worth 1/80 x final pensionable salary.	Each year worked is worth 1/60 x final pensionable salary.
Lump sum	Automatic lump sum of 3 x pension. In addition, part of the annual pension can be exchanged for a one-off tax-free cash payment. A lump sum of £12 is paid for each £1 of pension given up.	No automatic lump sum. Part of the annual pension can be exchanged for a one-off tax-free cash payment. A lump sum of £12 is paid for each £1 of pension given up.

From 1 April 2014, the scheme became a career average scheme, whereby members accrue benefits based on their pensionable pay in that year at an accrual rate of 1/49th. Accrued pension is uprated annually in line with the Consumer Price Index.

There are a range of other benefits provided under the scheme including early retirement, disability pensions and death benefits.

2. Basis of preparation

The statement of accounts summarises the fund's transactions for the 2019/20 financial year and its position at year-end as at 31 March 2020. The accounts have been prepared in accordance with the Code of Practice on Local Authority Accounting in the United Kingdom 2019/20, which is based upon International Financial Reporting Standards (IFRS), as amended for the UK public sector.

The accounts report on the net assets available to pay pension benefits. They do not take account of obligations to pay pensions and benefits which fall due after the end of the financial year nor do they take into account the actuarial present value of promised retirement benefits. The Code gives administering authorities the option to disclose this information in the net assets statement, in the notes to the accounts or by appending an actuarial report prepared for this purpose. The pension fund has opted to disclose this information in Note 20.

The accounts have been prepared on a going concern basis.

3. Summary of significant accounting policies**Fund account – revenue recognition****a) Contribution income**

Normal contributions, both from the members and from the employer, are accounted for on an accruals basis at the percentage rate recommended by the fund actuary in the payroll period to which they relate.

Employer deficit funding contributions are accounted for on the due dates on which they are payable under the schedule of contributions set by the scheme actuary or on receipt if earlier than the due date.

Employers' augmentation contributions and pensions strain contributions are accounted for in the period in which the liability arises. Any amount due in year but unpaid will be classed as a current financial asset. Amounts not due until future years are classed as long-term financial assets.

b) Transfers to and from other schemes

Transfer values represent the amounts received and paid during the year for members who have either joined or left the fund during the financial year and are calculated in accordance with the Local Government Pension Scheme Regulations 2013 (see Notes 8 and 10).

Individual transfers in/out are accounted for when received/paid, which is normally when the member liability is accepted or discharged.

Transfers in from members wishing to use the proceeds of their additional voluntary contributions (see below) to purchase scheme benefits are accounted for on a receipts basis and are included in transfers in (see Note 8).

Bulk (group) transfers are accounted for on an accruals basis in accordance with the terms of the transfer agreement.

c) Investment income

i) **Interest income** Interest income is recognised in the fund account as it accrues, using the effective interest rate of the financial instrument as at the date of acquisition or origination. Income includes the amortisation of any discount or premium, transaction costs (where material) or other differences between the initial carrying amount of the instrument and its amount at maturity calculated on an effective interest rate basis.

ii) **Dividend income** Dividend income is recognised on the date the shares are quoted ex-dividend. Any amount not received by the end of the reporting period is disclosed in the net assets statement as a current financial asset.

iii) **Distributions from pooled funds** Distributions from pooled funds are recognised at the date of issue. Any amount not received by the end of the reporting period is disclosed in the net assets statement as a current financial asset.

iv) **Movement in the net market value of investments** Changes in the net market value of investments (including investment properties) are recognised as income and comprise all realised and unrealised profits/losses during the year.

Fund account – expense items

d) Benefits payable

Pensions and lump-sum benefits payable include all amounts known to be due as at the end of the financial year. Any amounts due but unpaid are disclosed in the net assets statement as current liabilities.

e) Taxation

The fund is a registered public service scheme under Section 1(1) of Schedule 36 of the Finance Act 2004 and as such is exempt from UK income tax on interest received and from capital gains tax on the proceeds of investments sold. Income from overseas investments suffers withholding tax in the country of origin, unless exemption is permitted. Irrecoverable tax is accounted for as a fund expense as it arises.

f) Management expenses

The Code does not require any breakdown of pension fund administrative expenses; however, it requires the disclosure of investment management transaction costs. For greater transparency, the fund discloses its pension fund management expenses in accordance with the CIPFA's Accounting for Local Government Pension Scheme Management Expenses (2016), which shows the breakdown of administrative expenses, including transaction costs.

i) **Administrative expenses** All administrative expenses are accounted for on an accruals basis. All staff costs of the pension's administration team are charged direct to the fund. Associated management, accommodation and other overheads are apportioned to this activity and charged as expenses to the fund.

ii) **Oversight and governance costs** All oversight and governance expenses are accounted for on an accruals basis. All staff costs associated with governance and oversight are charged direct to the

fund. Associated management, accommodation and other overheads are apportioned to this activity and charged as expenses to the fund.

iii) **Investment management expenses** All investment management expenses are accounted for on an accruals basis.

Fees of the external investment managers and custodian are agreed in the respective mandates governing their appointments. Broadly, these are based on the market value of the investments under their management and therefore increase or reduce as the value of these investments change.

In addition the fund has negotiated with the following managers that an element of their fee be performance related. Where an investment manager's fee note has not been received by the year-end date, an estimate based upon the market value of their mandate as at the end of the year is used for inclusion in the fund account.

Net assets statement

g) Financial assets

Financial assets are included in the net assets statement on a fair value basis as at the reporting date. A financial asset is recognised in the net assets statement on the date the fund becomes party to the contractual acquisition of the asset. From this date any gains or losses arising from changes in the fair value of the asset are recognised in the fund account.

The values of investments as shown in the net assets statement have been determined at fair value in accordance with the requirements of the Code and IFRS13 (see Note 16). For the purposes of disclosing levels of fair value hierarchy, the fund has adopted the classification guidelines recommended in *Practical Guidance on Investment Disclosures* (PRAG/Investment Association, 2016).

Foreign currency transactions

h) Dividends

Interest and purchases and sales of investments in foreign currencies have been accounted for at the spot market rates at the date of transaction. End-of-year spot market exchange rates are used to value cash balances held in foreign currency bank accounts, market values of overseas investments and purchases and sales outstanding at the end of the reporting period.

i) Derivatives

The fund uses derivative financial instruments to manage its exposure to specific risks arising from its investment activities. The fund does not hold derivatives for speculative purposes (see Note 15).

j) Cash and cash equivalents

Cash comprises cash in hand and demand deposits and includes amounts held by the fund's external managers.

Cash equivalents are short-term, highly liquid investments that are readily convertible to known amounts of cash and that are subject to minimal risk of changes in value.

k) Financial liabilities

The fund recognises financial liabilities at fair value as at the reporting date. A financial liability is recognised in the net assets statement on the date the fund becomes party to the liability. From this date any gains or losses arising from changes in the fair value of the liability are recognised by the fund.

l) Actuarial present value of promised retirement benefits

The actuarial present value of promised retirement benefits is assessed on a triennial basis by the scheme actuary in accordance with the requirements of IAS 19 and relevant actuarial standards.

As permitted under the Code, the fund has opted to disclose the actuarial present value of promised retirement benefits by way of a note to the net assets statement (Note 20).

m) Additional voluntary contributions

The Enfield Pension Fund provides an additional voluntary contribution (AVC) scheme for its employers and are specifically for providing additional benefits for individual contributors. The fund has appointed Prudential as its AVC provider. AVCs are paid to the AVC provider by employers and are specifically for providing additional benefits for individual contributors. Each AVC contributor receives an annual statement showing the amount held in their account and the movements in the year.

AVCs are not included in the accounts in accordance with Regulation 4(1)(b) of the Local Government Pension Scheme (Management and Investment of Funds) Regulations 2016 but are disclosed as a note only (Note 23).

n) Contingent assets and contingent liabilities

A contingent liability arises where an event has taken place prior to the year-end giving rise to a possible financial obligation whose existence will only be confirmed or otherwise by the occurrence of future events. Contingent liabilities can also arise in circumstances where a provision would be made, except that it is not possible at the balance sheet date to measure the value of the financial obligation reliably.

4. Critical judgements in applying accounting policies

The actuarial revaluations are used to set future contribution rates and underpin the fund's most significant investment management policies, for example in terms of balance struck between longer term investment growth and short yield/return.

5. Assumptions made about the future and other major sources of estimation uncertainty

Pension fund liability

The net pension fund liability is recalculated every three years by the appointed actuary, with annual updates in the intervening years. The methodology used is in line with accepted guidelines.

This estimate is subject to significant variances based on changes to the underlying assumptions which are agreed with the actuary and have been summarised in Note 19.

Preparing financial statements requires management to make judgements, estimates and assumptions that affect the amounts reported for assets and liabilities at the year-end and the amounts reported for income and expenditure during the year. Estimates and assumptions are made taking into account historical experience, current trends and other relevant factors. However, the nature of estimation means that the actual results could differ from the assumptions and estimates. This will have not had an affect on either the fun account or the nest asset statement but on the disclosure in Note 20.

The items in the net assets statement at 31 March 2020 (for which there is a significant risk of material adjustment in the forthcoming financial year are set out in the table below:

Item	Uncertainties	Effect if actual results differ from assumptions
Actuarial present value of promised retirement benefits (Note 20)	Estimation of the net liability to pay pensions depends on a number of complex judgements relating to the discount rate used, the rate at which salaries are projected to increase, changes in retirement ages, mortality rates and expected returns on pension fund assets. A firm of consulting actuaries is engaged to provide the fund with expert advice about the assumptions to be applied.	<p>The effects on the net pension liability of changes in individual assumptions can be measured. For instance:</p> <ul style="list-style-type: none"> a. 1% decrease in the discount rate assumption would result in a increase in the pension liability of approximately £300m. b. 1% increase in assumed earnings inflation would increase the value of liabilities by approximately £50m. c. three-year increase in assumed life expectancy would increase the liability by approximately £90m. <p>It should be noted that any changes in the above would not have an effect on either the Fund Account or the Net Asset Statement.</p>
Private equity investments (Note 16)	<p>Private equity investments are valued at fair value in accordance with generally accepted accounting principles. The valuation basis is U.S. GAAP. and all investments are recorded at fair value in accordance with ASC 820, Fair Value Measurements and Disclosures.</p> <p>These investments are not publicly listed and as such there is a degree of estimation involved in the valuation.</p>	Private equity investments are valued at £69m in the financial statements. There is a risk that this investment may be under-or overstated in the accounts. Given a tolerance of +/-5% around the net asset values on which the valuation is based, this would equate to a tolerance of +/- £3.5 million.
Private equity property investments (Note 16)	The estimate of the value of the investment in Portfolio Companies and Intermediate Vehicles requires considerable judgment and estimation techniques. The valuation methodologies are considered to be consistent with the International Private Equity and Venture Capital Valuation Guidelines.	Given a tolerance of +/-5% around the effect of variations in the factors supporting the valuation would be an increase or decrease in the value of held property of £1.3m, on a fair value of £25m.

NOTE 6: EVENTS AFTER THE REPORTING DATE

Management have reviewed and can confirm that there are no significant events occurring after the reporting period.

NOTE 7: CONTRIBUTIONS**By category**

2018/19 £000s		2019/20 £000s
10,151	Employees' contributions	11,078
	Employers' contributions: -	
27,460	Normal	29,648
8,206	Deficit recovery contributions	9,503
1,362	Augmentation contributions	815
37,028	Total employers' contributions	39,966
47,179		51,044

By authority

2018/19 £000s		2019/20 £000s
38,245	Administering authority	39,237
7,296	Scheduled bodies	9,724
1,638	Admitted bodies	2,083
47,179		51,044

NOTE 8: TRANSFERS IN FROM OTHER PENSION FUNDS

2018/19 £000s		2019/20 £000s
4,009	Individual transfers	3,971
4,009		3,971

NOTE 9: BENEFITS PAID/PAYABLE**By category**

2018/19 £000s		2019/20 £000s
(34,195)	Pensions	(35,828)
(6,485)	Commutation and lump sum retirement benefits	(6,684)
(1,286)	Lump sum death benefits	(266)
(41,966)		(42,777)

By authority

2018/19 £000s		2019/20 £000s
(40,355)	Administration authority	(40,988)
(1,248)	Scheduled bodies	(1,404)
(363)	Admitted bodies	(384)
(41,966)		(42,777)

NOTE 10: PAYMENTS TO AND ON ACCOUNT OF LEAVERS

2018/19 £000s		2019/20 £000s
(108)	Refunds to members leaving service	(129)
(5,008)	Individual transfers	(5,173)
(5,116)		(5,302)

NOTE 11: MANAGEMENT EXPENSES

2018/19 £000s		2019/20 £000s
(935)	Administrative costs	(1124)
(350)	Oversight and governance costs	(108)
(8,157)	Investment management expenses	(7,925)
(9,442)		(9,156)

NOTE 11A: INVESTMENT MANAGEMENT EXPENSES

2018/19 £000s		2019/20 £000s
(6,494)	Management fees	(6,397)
(186)	Performance related fees	(304)
(1,405)	Transaction costs	(1,031)
(66)	Custody fees	(63)
(6)	Other	(130)
(8,157)		(7,925)

NOTE 12: INVESTMENT INCOME

2018/19 £000s		2019/20 £000s
5,066	Income from equities	2,052
3,290	Income from bonds	3,439
1,704	Pooled property investments	1,786
1,855	Pooled investments – unit trusts and other managed funds	4,121
728	Interest on cash deposits	561
12,643		11,960

NOTE 13: TAXES ON INCOME

2018/19 £000s		2019/20 £000s
	<i>Withholding tax</i>	
(320)	Income from equities	(0)
(142)	Pooled investments – unit trusts and other managed funds	(0)
(462)		(0)

NOTE 13A: EXTERNAL AUDIT FEES

2018/19 £000s		2019/20 £000s
19	Paid in respect of external audit (excluding VAT)	19
19		19

NOTE 14: INVESTMENTS

Market value 31 March 2019 £000s		Market value 31 March 2020 £000s
Investments		
88,279	Fixed interest securities	90,621
43,141	Equities	45,015
824,211	Pooled investments	766,037
69,598	Pooled property investments	90,244
98,549	Private equity	102,078
Derivative contracts:		
215	- Futures	0
33	- Forward currency contracts	0
1,124,026	Total investment assets	1,093,995
58,091	Cash deposits	52,855
2,386	Investment income due	2,351
1,147	Amounts receivable for sales	0
1,185,650	Total investment assets	1,149,201
Investment liabilities		
Derivative contracts:		
(150)	- Futures	99
-	- Forward currency contracts	(183)
(183)	Investment expenditure due	(149)
(333)	Total investment liabilities	(233)
1,185,317	Net investment assets	1,148,968

NOTE 14A: RECONCILIATION OF MOVEMENTS IN INVESTMENTS & DERIVATIVES

	Market value 1 April 2019	Purchases	Sales	Management fees in Market value	Change in market value	Market value 31 March 2020
Period 2019/20	£000s	£000s	£000s	£000s	£000s	£000s
Bonds	88,278	30,830	(27,041)		(1,446)	90,621
Equities	43,141	989	0		885	45,015
Pooled investments	824,211	10,111	(8,764)	(3,347)	(56,174)	766,037
Pooled property	69,598	18,505	0	(684)	2,825	90,244
Private equity	98,549	10,765	(10,973)	(1,610)	5,347	102,078
	1,123,777	71,200	(46,778)	(5,641)	(48,563)	1,093,995
Derivatives contracts:						
Futures	66	901	(1,290)	-	422	99
Options						
Forward foreign exchange	33	486	(455)	-	(247)	(183)
	99	1,387	(1,745)	-	175	(84)
	1,123,876	72,587	(48,523)	(5,641)	(48,388)	1,093,911
Other investment balances						
Cash deposits	58,091				2,839	52,855
Investment income due	2,386					2,355
Pending investment sales	1,147					(149)
Other investment expenses	(183)				(9)	-
Net investment assets	1,185,317				(45,549)	1,148,968

PENSION FUND ACCOUNTS – 2019/20

	Market value 1 April 2018	Purchases	Sales	Management fees in Market value	Change in market value	Market value 31 March 2019
Period 2018/19	£000s	£000s	£000s	£000s	£000s	£000s
Fixed interest securities	82,344	23,989	(18,982)	-	927	88,278
Equities	192,565	143,829	(301,690)	-	8,437	43,141
Pooled investments	620,173	193,379	(32,356)	(3,474)	46,489	824,211
Pooled property	67,887	-	(1)	-	1,712	69,598
Private equity	63,333	29,985	(13,045)	(2,092)	20,368	98,549
	1,026,302	391,182	(366,074)	(5,566)	77,933	1,123,777
Derivatives contracts:						
Futures	173	4,078	(2,130)	-	(2,055)	66
Forward foreign exchange	43	1,612	(2,288)	-	666	33
	216	5,690	(4,418)	-	(1,389)	99
	1,026,518	396,872	(370,492)	(5,566)	76,544	1,123,876
Other investment balances						
Cash deposits	69,956				3,553	58,091
Investment income due	2,346					2,386
Pending investment sales	-					1,147
Other investment expenses	(476)				(444)	(183)
Net investment assets	1,098,344				79,653	1,185,317

Purchases and sales of derivatives are recognised in Note 14a above as follows:

- Futures – on close out or expiry of the futures contract the variation margin balances held in respect of unrealised gains or losses are recognised as cash receipts or payments, depending on whether there is a gain or loss.
- Forward currency contracts – forward foreign exchange contracts settled during the period are reported on a gross basis as gross receipts and payments.

PENSION FUND ACCOUNTS – 2019/20

NOTE 14B: ANALYSIS OF INVESTMENTS

Market value 31 March 2019 £000s		Market value 31 March 2020 £000s
	Bonds	
	UK	
4,703	Public sector quoted	2,702
39,103	Corporate quoted	42,100
	Overseas	
1,868	Public sector quoted	806
42,604	Corporate quoted	45,013
88,278		90,621
	Equities	
43,141	UK –quoted	45,015
-	Overseas –quoted	-
43,141		45,015
	Pooled funds –additional analysis	
89,072	Indexed linked securities	90,762
458,410	Equities	426,985
50,041	Developed markets equity long short fund	38,925
46,806	Events driven fund hedge fund	36,286
72,354	Inflation opportunities fund	73,161
30,911	Absolute bond fund	29,321
25,921	Multi-strategy equity hedge fund	27,839
50,696	Multi asset credit fund	43,676
824,211		766,037
	Pooled property investments	
69,598	UK property investments	67,866
69,598		67,866
	Private equity	
4,610	Opportunistic property	6,791
17,045	European infrastructure	21,764
72,283	Fund of Funds global private equity	73,524
4,611	UK secured long income fund	22,377
98,549		124,456
	Derivatives- Assets	
215	Futures	168
33	Forward foreign exchange	-
248		168
1,124,025	Total Investment Assets	1,094,164
58,091	Cash deposits	52,855
2,386	Investment income due	2,351
1,147	Amounts receivable from sales	-
1,185,649		1,149,369
	Investment liabilities	
(149)	Derivatives- futures	-
-	Derivatives- forward foreign exchanges	(252)
(183)	Investment expenses	(149)
(332)		(401)
1,185,317	Net investment assets	1,148,968

NOTE 14C: INVESTMENTS ANALYSED BY FUND MANAGER

Market value 31 March 2019			Market value 31 March 2020	
£000s	%		£000s	%
Fixed income securities				
90,940	7.7%	Western Asset Management	91,756	8.0%
Equities				
765	0.1%	Trilogy	881	0.1%
43,141	3.6%	International Public Partnerships	45,015	3.9%
Pooled investments				
89,072	7.5%	Blackrock indexed linked bonds	90,762	7.9%
12,022	1.0%	Blackrock UK passive fund	9,782	0.9%
155,836	13.2%	Blackrock Global passive	148,736	12.9%
110,109	9.3%	MFS global equities	102,567	8.9%
75,336	6.4%	LCIV Baillie Gifford global equities	74,376	6.5%
28,156	2.4%	LCIV JP Morgan emerging equities	23,420	2.0%
76,950	6.5%	LCIV Longview	67,187	5.8%
50,696	4.3%	LCIV CQS Multi asset	43,676	3.8%
50,041	4.2%	Lansdowne hedge fund	38,925	3.4%
19,147	1.6%	York Capital hedge fund	11,051	1.0%
72,354	6.1%	M&G inflation opportunities	73,161	6.4%
30,911	2.6%	Insight hedge fund	29,321	2.6%
27,659	2.3%	Davidson Kempner hedge fund	27,839	2.4%
1,147	0.1%	Gross hedge fund	-	-
25,921	2.2%	CFM hedge fund	25,235	2.2%
Pooled property				
338	-	RREEF commercial property	-	-
36,797	3.1%	Blackrock commercial property	34,558	3.0%
33,032	2.8%	Legal & General commercial prop.	33,256	2.9%
Private equity				
72,283	6.1%	Adam St Partners fund of funds	73,523	6.4%
17,045	1.4%	Antin European infrastructure	21,764	1.9%
4,610	0.4%	Brockton opportunistic property	6,791	0.6%
4,611	0.4%	CBRE UK secured long income fund	22,377	1.9%
Cash & accruals				
34,474	2.9%	Goldman Sachs cash	35,868	3.1%
17,063	1.4%	Northern Trust cash	16,587	1.4%
35	-	Blackrock MMF	-	-
(183)	-	Enfield Investment accruals	-	-
1,185,317	100.0%		1,1148,968	100.0%

The following investments represent more than 5% of the net assets of the scheme. All of these companies are registered in the UK.

Security	Market value 31 March 2019 £000s	% of total Fund	Market value 31 March 2020 £000s	% of total Fund
Blackrock –global equities	155,836	13.2%	158,518	13.8%
MFS – global equities	110,109	9.3%	102,567	8.9%
Western Asset – corporate bonds	90,940	7.7%	92,276	8.0%
Blackrock – indexed linked bonds	89,072	7.5%	90,762	7.9%
LCIV – Longview global equities	76,950	6.5%	67,187	5.8%
LCIV – Baillie Gifford global equities	75,336	6.4%	74,376	6.5%
M&G Inflation opportunities	72,354	6.1%	73,161	6.4%
Adam Street Partners – private equity	72,283	6.1%	73,523	6.4%

NOTE 14D: STOCK LENDING

The Fund's investment strategy does not permit stock lending.

NOTE 15a: ANALYSIS OF DERIVATIVES

Objectives and policies for holding derivatives

Most of the holding in derivatives is to hedge liabilities or hedge exposures to reduce risk in the fund. Derivatives maybe used to gain exposure to an asset more efficiently than holding the underlying asset. The use of derivatives is managed in line with the investment management agreements in place between the fund and the various investment managers.

a) Futures

The fund had to hold cash assets towards the end of the year in order to meet an expected peak in retirements. The pension fund committee did not want this cash to be 'out of the market' and so bought index-based futures contracts which had an underlying economic value broadly equivalent to the cash held in anticipation of the cash outflow for year-end retirements. The economic exposure represents the notional value of stock purchased under futures contracts and is therefore subject to market movements.

b) Forward foreign currency

To maintain appropriate diversification and to take advantage of overseas investment returns, a significant proportion of the fund's quoted equity and bond portfolio is in overseas stock. To reduce the volatility associated with fluctuating currency rates, the relevant fund manager currency programme in place managed by the global custodian, and hedges a proportion of the overseas holdings

PENSION FUND ACCOUNTS – 2019/20

Open forward currency contracts

Settlement	Currency bought	Local value 000	Currency sold	Local value 000	Asset value £000	Liability value £000
1-6 months	GBP	693	EUR	(804)	0	(19)
1-6 months	GBP	3,427	USD	(4,434)	0	(146)
1-6 months	USD	663	GBP	(553)	0	(18)
Open forward currency contracts at 31 March 2019					0	(183)
Net forward currency contracts at 31 March 2019						(183)
Prior year comparative						
Open forward currency contracts at 31 March 2019					33	-
Net forward currency contracts at 31 March 2019						33

Futures

Outstanding exchange traded futures contracts are as follows:

Type Assets	Expires	Economic exposure £000s	Market value 31 March 2019 £000s	Economic exposure £000s	Market value 31 March 2020 £000s
UK Fixed income	Less than a year	-	-	6,129	89
Overseas fixed income	Less than a year	11,665	215	430	79
Total assets			215		168
Overseas fixed income		(5,646)	(149)	(716)	(69)
Total liabilities			(149)		(69)
Net Futures			66		99

NOTE 15b: HEDGE ACCOUNTING

Hedging is the process of entering into a derivative contract with the objective of reducing or eliminating exposure to a particular type of risk. This is achieved because expected changes in the value or cash flows of the hedged item move in the opposite direction to expected changes in the value or cash flow of other investment holdings.

NOTE 16: FAIR VALUE – BASIS OF VALUATION

The basis of the valuation of each class of investment asset is set out below. There has been no change in the valuation techniques used during the year. All assets have been valued using fair value techniques which represent the highest and best price available at the reporting date.

Description of asset	Valuation hierarchy	Basis of valuation	Observable & unobservable inputs	Key sensitivities affecting the valuations provided
Market quoted investments	Level 1	Published bid market price ruling on the final day of the accounting period	Not required	Not required
Quoted bonds	Level 1	Fixed interest securities are valued at a market value based on current yields	Not required	Not required

PENSION FUND ACCOUNTS – 2019/20

Futures and options in UK bonds	Level 1	Published exchange prices at the year-end	Not required	Not required
Unquoted bonds	Level 2	Average of broker prices	Not required	Not required
Forward foreign exchange derivatives	Level 2	Market forward exchange rates at the year-end	Exchange rate risk	Not required
Overseas bond options	Level 2	Option pricing model	Annualised volatility of counterparty credit risk	Not required
Pooled investments – overseas unit trusts and property funds	Level 2	Closing bid price where bid and offer prices are published Closing single price where single price published	NAV-based pricing set on a forward pricing basis	Not required
Pooled investments – hedge funds	Level 2	Closing bid price where bid and offer prices are published Closing single price where single price published	NAV-based pricing set on a forward pricing basis	Valuations could be affected by material events occurring between the date of the financial statements provided and the pension fund's own reporting date, by changes to expected cashflows, and by any differences between audited and unaudited accounts
Property held in a limited partnership	Level 3		Existing lease terms and rentals Independent market research Nature of tenancies Covenant strength for existing tenants Assumed vacancy levels Estimated rental growth Discount rate	Significant changes in rental growth, vacancy levels or the discount rate could affect valuations as could more general changes to market prices
Private equity	Level 3	Comparable valuation of similar companies in accordance with <i>International Private Equity and Venture Capital Valuation Guidelines</i> (2012)	EBITDA multiple Revenue multiple Discount for lack of marketability Control premium	Valuations could be affected by material events occurring between the date of the financial statements provided and the pension fund's own reporting date, by changes to expected cashflows, and by any differences between audited and unaudited accounts

Sensitivity of assets valued at level 3

The fund has determined that the valuation methods described above are likely to be accurate to 10% within the following ranges, and has set out below the consequent potential impact on the closing value of investments held at 31 March 2020

Description of asset	Assessed valuation range (+/-) %	Value at 31 March 2020 £000s	Value on increase £000s	Value on decrease £000s
UK secured long income fund	10%	22,377	+2,237	-2,237
UK opportunistic property	10%	6,791	+679	-679
European Infrastructure	10%	21,764	+2,176	-2,176
Private equity fund of funds	10%	73,524	+7,352	-7,352
Total		124,456	+12,446	-12,446

NOTE 16A: FAIR VALUE HIERARCHY

Asset and liability valuations have been classified into three levels, according to the quality and reliability of information used to determine fair values. Transfers between levels are recognised in the year in which they occur.

Level 1

Assets and liabilities at level 1 are those where the fair values are derived from unadjusted quoted prices in active markets for identical assets or liabilities. Products classified as level 1 comprise quoted equities, quoted fixed securities, quoted index linked securities and unit trusts.

Level 2

Assets and liabilities at level 2 are those where quoted market prices are not available; for example, where an instrument is traded in a market that is not considered to be active, or where valuation techniques are used to determine fair value.

Level 3

Assets and liabilities at level 3 are those where at least one input that could have a significant effect on the instrument's valuation is not based on observable market data.

The following table provides an analysis of the financial assets and liabilities of the pension fund grouped into levels 1 to 3, based on the level at which the fair value is observable.

	Quoted market price	Using observable inputs	With significant unobservable inputs	
Values at 31 March 2020	Level 1	Level 2	Level 3	Total
	£000s	£000s	£000s	£000s
Financial assets at fair value	98,941	925,921	124,508	1,149,369
Financial liabilities at fair value	(69)	(332)	-	(401)
Net investment assets	98,872	925,589	124,508	1,148,969

	Quoted market price	Using observable inputs	With significant unobservable inputs	
Values at 31 March 2019	Level 1	Level 2	Level 3	Total
	£000s	£000s	£000s	£000s
Financial assets at fair value	131,420	894,057	98,549	1,124,026
Financial liabilities at fair value	-	(150)	-	(150)
Net investment assets	131,420	893,907	98,549	1,123,876

NOTE 16B: TRANSFERS BETWEEN LEVELS 1 AND 2

There has been no movement during 2019/20.

PENSION FUND ACCOUNTS – 2019/20

NOTE 16C: RECONCILIATION OF FAIR VALUE MEASUREMENTS WITHIN LEVEL 3

	Market value 1 April 2019	Transfers in/out of level	Purchases during the year	Sales during the year	Unrealised gains/losses	Realised gains/losses	Market value 31 March 2020
	£000s	£000s	£000s	£000s	£000s	£000s	£000s
Venture capital	84,885	0	7,965	(8,619)	5,877	5,179	95,287
UK Equity Funds	1	0	0	(1)	74	(74)	0
UK Property Fds	337	4,950	18,505	0	(1,363)	0	22,430
UK Venture Capital	4,483	0	2,780	(2,355)	407	1,456	6,791
	89,707	4,950	29,270	(10,874)	4,975	6,561	124,580

NOTE 17: FINANCIAL INSTRUMENTS
NOTE 17A: CLASSIFICATION OF FINANCIAL INSTRUMENTS

The following table analyses the carrying amounts of financial instruments by category and net assets statement heading. No financial instruments were reclassified during the accounting period

31 March 2019			31 March 2020			
Fair value through profit & loss	Financial assets at amortised cost	Financial liabilities at amortised cost		Fair value through profit & loss	Financial assets at amortised cost	Financial liabilities at amortised cost
£000s	£000s	£000s		£000s	£000s	£000s
			Financial assets			
88,278			Bonds	90,621		
43,141			Equities	45,015		
824,211			Pooled investments	766,037		
69,598			Pooled property	90,244		
98,549			Private equity	102,078		
248			Derivative contracts	168		
	58,091		Cash deposits		52,855	
	2,547		Other investment balances		2,351	
	815		Trade debtors			
1,124,025	61,453	-	Total financial assets	1,094,163	55,206	-
			Financial liabilities			
(149)			Derivative contracts			(252)
		(183)	Other investment balances			(149)
		(632)	Trade creditors			
(149)	-	(815)	Total financial liabilities		-	(401)
1,123,876	61,453	(815)	Grand total	1,094,163	55,206	(401)

NOTE 17B: NET GAINS AND LOSSES ON FINANCIAL INSTRUMENTS

31 March 2019 £000s		31 March 2020 £000s
	Financial assets	
76,544	Designated at fair value through profit & loss	(49,312)
3,109	Loans & receivables	1,829
79,653	Total	(47,483)

The authority has not entered into any financial guarantees that are required to be accounted for as financial instruments.

NOTE 18: NATURE AND EXTENT OF RISKS ARISING FROM FINANCIAL INSTRUMENTS**Risk and risk management**

The fund's primary long-term risk is that its assets will fall short of its liabilities (i.e. promised benefits payable to members). Therefore the aim of investment risk management is to minimise the risk of an overall reduction in the value of the fund and to maximise the opportunity for gains across the whole fund portfolio. The fund achieves this through asset diversification to reduce exposure to market risk (price risk, currency risk and interest rate risk) and credit risk to an acceptable level. In addition, the fund manages its liquidity risk to ensure there is sufficient liquidity to meet the fund's forecast cash flows. The council manages these investment risks as part of its overall pension fund risk management programme.

Responsibility for the fund's risk management strategy rests with the pension fund committee. Risk management policies are established to identify and analyse the risks faced by the council's pensions operations. Policies are reviewed regularly to reflect changes in activity and in market conditions.

a) Market risk

Market risk is the risk of loss from fluctuations in equity and commodity prices, interest and foreign exchange rates and credit spreads. The fund is exposed to market risk from its investment activities, particularly through its equity holdings. The level of risk exposure depends on market conditions, expectations of future price and yield movements and the asset mix.

The objective of the fund's risk management strategy is to identify, manage and control market risk exposure within acceptable parameters, while optimising the return on risk.

In general, excessive volatility in market risk is managed through the diversification of the portfolio in terms of geographical and industry sectors and individual securities. To mitigate market risk, the council and its investment advisors undertake appropriate monitoring of market conditions and benchmark analysis.

The fund manages these risks in two ways:

1. the exposure of the fund to market risk is monitored through a factor risk analysis, to ensure that risk remains within tolerable levels
2. specific risk exposure is limited by applying risk-weighted maximum exposures to individual investments.

Equity futures contracts and exchange traded option contracts on individual securities may also be used to manage market risk on equity investments. It is possible for over-the-counter equity derivative contracts to be used in exceptional circumstances to manage specific aspects of market risk.

Other price risk

Other price risk represents the risk that the value of a financial instrument will fluctuate as a result of changes in market prices (other than those arising from interest rate risk or foreign exchange risk), whether those changes are caused by factors specific to the individual instrument or its issuer or factors affecting all such instruments in the market.

The fund is exposed to share and derivative price risk. This arises from investments held by the fund for which the future price is uncertain. All securities investments present a risk of loss of capital. Except for shares sold short, the maximum risk resulting from financial instruments is determined by the fair value of the financial instruments. Possible losses from shares sold short are unlimited.

The fund's investment managers mitigate this price risk through diversification and the selection of securities and other financial instruments is monitored by the council to ensure it is within limits specified in the fund investment strategy.

Other price risk – sensitivity analysis

Following analysis of historical data and expected investment return movement during the financial year, in consultation with the fund's investment advisors, the Fund has determined that the following movements in market price risk are reasonably possible for the 2019/20 reporting period (based on assumption made in December 2019 on data provided by the Fund's investment consultant. The sensitivities are consistent with the assumptions contained in the investment advisor's most recent review. This analysis assumes that all other variables, in particular foreign currency exchange rates and interest rates, remain the same.

Asset type	Potential market movements (+/-) 2018/19	Potential market movements (+/-) 2019/20
Fixed income government bond	1.2%	1.4%
Inflation-linked government bonds	1.2%	1.2%
Investment grade corporate bonds	2.0%	2.2%
Equities	7.0%	6.5%
Private equity	9.3%	8.7%
Real estate	5.3%	5.5%
Hedge funds	4.2%	3.7%

Had the market price of the fund investments increased/decreased in line with the above, the change in the net assets available to pay benefits in the market price would have been as follows (the prior year comparator is shown below).

Asset type	Value at 31 March 2020 £000	Potential value on increase £000	Potential value on decrease £000
Fixed income government bond	44,803	+627	-627
Inflation-linked government bonds	90,778	+ 1,089	- 1,089
Investment grade corporate bonds	45,819	+1008	-1008
Equities	472,119	+30,688	-30,688
Private equity	80,779	+7,030	-7,030
Real estate	98,805	+5,434	-5,434
Hedge funds	282,512	+10,453	-10,453
Cash & accruals	55,060	-	-
	1,170,675	+56,329	-56,329

Asset type	Value at 31 March 2019	Potential value on increase	Potential value on decrease
	£000	£000	£000
Fixed income government bond	43,806	+526	-526
Inflation-linked government bonds	89,072	+ 1,069	- 1,069
Investment grade corporate bonds	44,473	+889	-889
Equities	501,551	+35,109	-35,109
Private equity	72,283	+6,722	-6,722
Real estate	91,253	+4,836	-4,836
Hedge funds	281,340	+11,816	-11,816
Cash & accruals	61,539	-	-
	1,185,317	+60,967	-60,967

Interest rate risk

The fund invests in financial assets for the primary purpose of obtaining a return on investments. These investments are subject to interest rate risks, which represent the risk that the fair value or future cash flows of a financial instrument will fluctuate because of changes in market interest rates. The fund's interest rate risk is routinely monitored by the council and its investment advisors in accordance with the fund's risk management strategy, including monitoring the exposure to interest rates and assessment of actual interest rates against the relevant benchmarks.

The fund's direct exposure to interest rate movements as at 31 March 2020 and 31 March 2019 is set out below. These disclosures present interest rate risk based on the underlying financial assets at fair value.

Interest rate risk sensitivity analysis

The council recognises that interest rates can vary and can affect both income to the fund and the carrying value of fund assets, both of which affect the value of the net assets available to pay benefits. A 100 basis point (BPS) movement in interest rates is consistent with the level of sensitivity applied as part of the fund's risk management strategy. The fund's investment advisor has advised that long-term average rates are expected to move less than 100 basis points from one year to the next and experience suggests that such movements are likely.

The analysis that follows assumes that all other variables, in particular exchange rates, remain constant, and shows the effect in the year on the net assets available to pay benefits of a +/- 100 BPS change in interest rates.

Assets exposed to interest rate risk	Value as at 31 March 2020	Potential movement on 1% change in interest rates	Value on increase	Value on decrease
	£000	£000	£000	£000
Cash deposits	-	-	-	-
Cash & cash equivalents	52,855	529	-	-
Cash balances	53	-	-	-
Bonds	225,059	2,250	227,309	222,809
Total	277,967	2,779	227,309	222,809

Assets exposed to interest rate risk	Value as at 31 March 2019	Potential movement on 1% change in interest rates	Value on increase	Value on decrease
	£000	£000	£000	£000
Cash deposits	5,000	50	-	-
Cash & cash equivalents	53,091	531	-	-
Cash balances	13	-	-	-
Bonds	177,350	1,774	179,124	175,576
Total	235,454	2,355	179,124	175,576

PENSION FUND ACCOUNTS – 2019/20

Income exposed to interest rate risks	Amount receivable as at 31 March 2020 £000	Potential movement on 1% change in interest rates £000	Value on increase £000	Value on decrease £000
Interest on cash deposits	561	6	567	554
Bonds	3,440	34	3,474	3,406
Total	4,001	40	4,041	4,960

Income exposed to interest rate risks	Amount receivable as at 31 March 2019 £000	Potential movement on 1% change in interest rates £000	Value on increase £000	Value on decrease £000
Interest on cash deposits	728	7	735	721
Bonds	3,290	33	3,323	3,257
Total	4,018	40	4,058	3,978

This analysis demonstrates that a 1% increase in interest rates will not affect the interest received on fixed interest assets but will reduce their fair value, and vice versa. Changes in interest rates do not impact on the value of cash and cash equivalent balances but they will affect the interest income received on those balances. Changes to both the fair value of assets and the income received from investments impact on the net assets available to pay benefits.

Currency risk

Currency risk represents the risk that the fair value of future cash flows of a financial instrument will fluctuate because of changes in foreign exchange rates. The fund is exposed to currency risk on financial instruments that are denominated in any currency other than the functional currency of the fund (UK sterling). The fund holds both monetary and non-monetary assets denominated in currencies other than UK sterling.

The fund's currency rate risk is routinely monitored by the council and its investment advisors in accordance with the fund's risk management strategy, including monitoring the range of exposure to currency fluctuations.

Currency risk – sensitivity analysis

Following analysis of historical data in consultation with the fund investment advisors, the council considers the likely volatility associated with foreign exchange rate movements to be 10%.

A 10% fluctuation in the currency is considered reasonable. This analysis assumes that all other variables, in particular interest rates, remain constant.

PENSION FUND ACCOUNTS – 2019/20

Assets exposed to currency risk	Assets value as at 31 March 2020	Potential movement	Value on increase	Value on decrease
	£000	£000	£000	£000
Canadian Dollar	1,079	108	1,187	971
Danish Krone	4,091	409	4,500	3,682
Euro	34,661	3,466	38,127	31,195
Hong Kong Dollar	7,993	799	8,792	7,194
Japanese Yen	18,787	1,879	20,666	16,908
Swedish Krona	5	1	6	4
Norwegian Krone	611	61	672	550
Swiss Franc	1,153	115	1,268	1,038
US Dollar	222,875	22,288	245,163	200,587
	291,255	29,126	320,381	262,129

Assets exposed to currency risk	Assets value as at 31 March 2019	Potential movement	Value on increase	Value on decrease
	£000	£000	£000	£000
Australian Dollar	1,562	156	1,718	1,406
Canadian Dollar	1	-	1	1
Danish Krone	737	74	811	663
Euro	39,617	3,962	43,579	35,655
Japanese Yen	291	29	320	262
Mexican Peso	677	68	745	609
Norwegian Krone	6	1	7	5
Singapore Dollar	1,143	114	1,257	1,029
South African Rand	480	48	528	432
Swedish Krona	541	54	595	487
Swiss Franc	1,089	109	1,198	980
US Dollar	161,988	16,199	178,187	145,789
	208,132	20,814	228,946	187,318

b) Credit risk

Credit risk represents the risk that the counterparty to a transaction or a financial instrument will fail to discharge an obligation and cause the fund to incur a financial loss. The market values of investments generally reflect an assessment of credit in their pricing and consequently the risk of loss is implicitly provided for in the carrying value of the fund's financial assets and liabilities.

In essence the fund's entire investment portfolio is exposed to some form of credit risk, with the exception of the derivatives' positions, where the risk equates to the net market value of a positive derivative position. However, the selection of high quality counterparties, brokers and financial institutions minimises credit risk that may occur through the failure to settle a transaction in a timely manner.

Contractual credit risk is represented by the net payment or receipt that remains outstanding, and the cost of replacing the derivative position in the event of a counterparty default. The residual risk is minimal due to the various insurance policies held by the exchanges to cover defaulting counterparties.

Credit risk on over-the-counter derivative contracts is minimised as counterparties are recognised financial intermediaries with acceptable credit ratings determined by a recognised rating agency.

Deposits are not made with banks and financial institutions unless they are rated independently and meet the council's credit criteria. The council has also set limits as to the maximum percentage of the deposits placed with any one class of financial institution. In addition, the council invests an agreed percentage of its funds in the money markets to provide diversification. Money market funds chosen all have AAA rating from a leading ratings agency.

The Council believes it has managed its exposure to credit risk and has had no experience of default or uncollectable deposits over the past five financial years. The fund's cash holding under its treasury management arrangements at 31 March 2020 was £52.9m (31 March 2019 - £58.1m). This was held with the following institutions:

	Rating	Balances as at 31 March 2019 £000	Balances as at 31 March 2020 £000
Termed deposits			
Close Brothers	A-	5,009	-
Money market funds			
Goldman Sachs money market fund	AAAm	34,474	35,868
Blackrock money market fund	AAAm	35	-
Bank current accounts			
HSBC	AA-	12	53
Northern Trust Custodian	AA-	17,063	4,705
Cash held by fund managers		1,510	12,282
		58,103	52,908

c) Liquidity risk Liquidity risk represents the risk that the fund will not be able to meet its financial obligations as they fall due. The council therefore takes steps to ensure that the pension fund has adequate cash resources to meet its commitments. This will particularly be the case for cash from the cash flow matching mandates from the main investment strategy to meet the pensioner payroll costs; and also cash to meet investment commitments.

The Fund has immediate access to its pension fund cash holdings.

Management prepares periodic cash flow forecasts to understand and manage the timing of the fund's cash flows. The appropriate strategic level of cash balances to be held forms part of the fund investment strategy.

All financial liabilities at 31 March 2020 are due within one year.

d) Refinancing risk - The key risk is that the council will be bound to replenish a significant proportion of its pension fund financial instruments at a time of unfavourable interest rates. The council does not have any financial instruments that have a refinancing risk as part of its investment strategy

NOTE 19: FUNDING ARRANGEMENTS

In line with the Local Government Pension Scheme Regulations 2013, the fund's actuary undertakes a funding valuation every three years for the purpose of setting employer contribution rates for the forthcoming triennial period. The last such valuation took place as at 31 March 2019 and the results was approved by the Pension Policy & Investment Committee at their February 2020 meeting, for implementation from 01 April 2020.

The key elements of the funding policy are:

- 1) to ensure the long-term solvency of the fund, i.e. that sufficient funds are available to meet all pension liabilities as they fall due for payment
- 2) to ensure that employer contribution rates are as stable as possible
- 3) to minimise the long-term cost of the scheme by recognising the link between assets and liabilities and adopting an investment strategy that balances risk and return
- 4) to reflect the different characteristics of employing bodies in determining contribution rates where it is reasonable to do so, and
- 5) to use reasonable measures to reduce the risk to other employers and ultimately to the council tax payer from an employer defaulting on its pension obligations.

The aim is to achieve 100% solvency over a period of 19 years and to provide stability in employer contribution rates by spreading any increases in rates over a period of time. Normally this is three

years. Solvency is achieved when the funds held, plus future expected investment returns and future contributions, are sufficient to meet expected future pension benefits payable.

At the 2019 actuarial valuation, the fund was assessed as 103% funded.

Financial assumptions

The valuation was carried out using the projected unit actuarial method for most employers and the main actuarial assumptions used for assessing the funding target and the contribution rates are shown in note 20 in the financial assumption section.

Demographic assumptions

The key demographic assumption was the allowance made for longevity. The post retirement mortality assumption adopted for the actuarial valuation was in line with standard self-administered pension scheme (SAPS) S2P Light mortality tables with appropriate scaling factors applied based on the mortality experience of members within the Fund and included an allowance for improvements based on the Continuous Mortality Investigation (CMI) 2014 Core Projections with a long term annual rate of improvement in mortality rates of 1.5% p.a. The resulting average future life expectancies at age 65 were:

Life expectancy from age 65 as valuation date	Males	Females
Current pensioners aged 65 at the valuation date	22.3	24.2
Future pensioners aged 45 at the valuation date	22.9	24.9

NOTE 20: ACTUARIAL PRESENT VALUE OF PROMISED RETIREMENT BENEFITS

Introduction

The Scheme Regulations require that a full actuarial valuation is carried out every third year. The purpose of this is to establish that the London Borough of Enfield Pension Fund (the Fund) is able to meet its liabilities to past and present contributors and to review employer contribution rates. The last full actuarial investigation into the financial position of the Fund was completed as at 31 March 2019 by Aon, in accordance with Regulation 62 of the Local Government Pension Scheme Regulations 2013.

Actuarial Position

- a) The valuation as at 31 March 2019 showed that the funding level of the Fund had increased since the previous valuation with the market value of the Fund's assets as at 31 March 2019 (of £1,185.5M) covering 103% of the liabilities allowing, in the case of pre- 1 April 2014 membership for current contributors to the Fund, for future increases in pensionable pay.
- b) The valuation also showed that the aggregate level of contributions required to be paid by participating employers with effect from 1 April 2020 was:
 - 18.5% of pensionable pay. This is the rate calculated as being sufficient, together with contributions paid by members, to meet the liabilities arising in respect of service after the valuation date (the primary rate),

Plus

 - an allowance of 1.5% of pay for McCloud and cost management – see paragraph i below,
- c) In practice, each individual employer's or group of employers' position is assessed separately and contributions are set out in Aon's report dated 31 March 2020 (the "actuarial valuation report"). In addition to the contributions certified, payments to cover additional liabilities arising from early retirements (other than ill-health retirements) will be made to the Fund by the employers.

Total contributions payable by all employers over the three years to 31 March 2023 are estimated to be:

Year from 1 April	% of pensionable pay	Plus total contribution amount (£M)
2020	19.8	0.008
2021	19.8	0.008
2022	19.8	0.009

- d) The funding plan adopted in assessing the contributions for each employer is in accordance with the Funding Strategy Statement. Different approaches were adopted in relation to the calculation of the primary contribution rate and individual employers' recovery periods as agreed with the Administering Authority and reflected in the Funding Strategy Statement, reflecting the employers' circumstances.
- e) The valuation was carried out using the projected unit actuarial method for most employers and the main financial actuarial assumptions used for assessing the funding target and the contribution rates were as follows.

Summary of Assumptions	31 March 2016 Valuation	31 March 2019 Valuation
Discount rate for periods in service		
Scheduled body funding target *	4.5%pa	4.2%pa
Orphan body funding target	4.1%pa	3.3%pa
Discount rate for periods after leaving service		
Scheduled body funding target*	4.5%pa	4.2%pa
Orphan body funding target	2.5%pa	1.6%pa
Rate of inflationary pay increases	3.5%pa	3.6%pa
Rate of increase to pension accounts	2.0%pa	2.1%pa
Rate of increases in pensions in payment	2.0%pa	2.1%pa

* The scheduled and subsumption body discount rate was used for scheduled bodies and other employers whose liabilities will be subsumed after exit by a scheduled body

The assets were valued at market value.

Further details of the assumptions adopted for the valuation, including the demographic assumptions, are set out in the actuarial valuation report.

- f) The key demographic assumption was the allowance made for longevity. The post retirement mortality assumption adopted for the actuarial valuation was in line with standard self-administered pension scheme (SAPS) S2P mortality tables with appropriate scaling factors applied based on an analysis of the Fund's postcode data using Aon's Demographic Horizons™ longevity model, and included an allowance for improvements based on the 2018 Continuous Mortality Investigation (CMI) Projections Model (CMI2018), with s_k of 7.5 and parameter A of 0.0 assuming a long term annual rate of improvement in mortality rates of 1.5% p.a. The resulting average future life expectancies at age 65 (for normal health retirements) were:

	Men	Women
Current pensioners aged 65 at the valuation date	22.3	24.2
Future pensioners aged 45 at the valuation date	22.9	24.9

- g) The valuation results summarised in paragraphs a and b above are based on the financial position and market levels at the valuation date, 31 March 2019. As such the results do not make allowance for changes which have occurred subsequent to the valuation date, although we comment on changes in market conditions to 31 March 2020 in paragraph j below.
- h) The formal actuarial valuation report and the Rates and Adjustments Certificate setting out the employer contribution rates for the period from 1 April 2020 to 31 March 2023 were signed on 31 March 2020. Other than as agreed or otherwise permitted or required by the Regulations, employer contribution rates will be reviewed at the next actuarial valuation of the Fund as at 31 March 2022 in accordance with Regulation 62 of the Local Government Pension Scheme

Regulations 2013. Since the date the valuation report was signed, there have been a number of developments in respect of the Local Government Pension Scheme (LGPS):

i) There are a number of uncertainties regarding the Scheme benefits and hence liabilities:

- **Increases to GMPs:**

The 2019 valuation allows for the extension of the 'interim solution' for public service schemes to pay full inflationary increases on GMPs for those reaching State Pension Age (SPA) between 6 April 2016 and 5 April 2021. However, the Government is still exploring various options, including conversion of GMPs to Scheme benefits, in order to achieve equalisation for GMPs as required by the High Court judgement in the Lloyds Bank case.

The results of the 2019 valuation do not allow for the impact of potentially extending this interim solution indefinitely, providing full pension increases on GMPs for members reaching State Pension Age after 5 April 2021 nor for conversion of GMPs to Scheme benefits. Based on approximate calculations, at a whole of fund level, the impact of providing full pension increases on GMPs for those members reaching State Pension Age after 5 April 2021 is an increase in past service liabilities of between 0.1% to 0.2% across the Fund as a whole.

- **Cost Management Process and McCloud judgement:**

Initial results from the Scheme Advisory Board cost management process indicated that benefit improvements / member contribution reductions equivalent to 0.9% of pay would be required. However, the cost management process was paused following the Court of Appeal ruling that the transitional arrangements in both the Judges' Pension Scheme (McCloud) and Firefighters' Pension Scheme (Sargeant) constituted illegal age discrimination. Government confirmed that the judgement would be treated as applying to all public service schemes including the LGPS (where the transitional arrangements were in the form of a final salary underpin) and a consultation on changes to the LGPS is expected in the summer of 2020.

The employer contributions certified from 1 April 2020 as part of the 2019 valuation include an allowance of 1.5% of pay in relation to the potential additional costs following the McCloud judgement / cost management process. This was a simplified approach which didn't take account of different employer membership profiles or funding targets and may be more or less than the assessed cost once the LGPS changes have been agreed depending upon the precise nature of the new final salary underpin, the members in scope, and how this affects the cost management process.

j) Since the valuation date, Fund asset returns have fallen short of the assumed return of 4.20% over the year to 31 March 2020, on its own leading to a reduction in the funding level. The Actuary, in conjunction with the Administering Authority, will monitor the position on a regular basis and the Administering Authority will take action if it believes necessary.

k) This Statement has been prepared by the Actuary to the Fund, Aon, for inclusion in the accounts of the Fund. It provides a summary of the results of the actuarial valuation which was carried out as at 31 March 2019. The valuation provides a snapshot of the funding position at the valuation date and is used to assess the future level of contributions required.

This Statement must not be considered without reference to the formal actuarial valuation report which details fully the context and limitations of the actuarial valuation.

Aon does not accept any responsibility or liability to any party other than our client, London Borough of Enfield, the Administering Authority of the Fund, in respect of this Statement.

l) The report on the actuarial valuation as at 31 March 2019 is available on the Fund's website at the following address:

<https://new.enfield.gov.uk/pensions/wp-content/uploads/2017/10/London-Borough-of-Enfield-Pension-Fund-Actuarial-valuation-as-at-31-March-2019-.pdf>

NOTE 21: CURRENT ASSETS

31 March 2019 £000s		31 March 2020 £000s
	Debtors	
168	Contributions due - employees	208
495	Contributions due - employers	636
72	Sundry debtors	461
53	Prepayments	53
788		1,357
	Cash balances	
13	Current account	53
801		1,410

NOTE 21A: LONG TERM DEBTORS

31 March 2019 £000s		31 March 2020 £000s
	Debtors	
14	Pensioner Tax liability	14
14		14

NOTE 22: CURRENT LIABILITIES

31 March 2019 £000s		31 March 2020 £000s
(19)	Sundry creditors	(275)
(613)	Benefits payable	(285)
(632)		(560)

NOTE 23: ADDITIONAL VOLUNTARY CONTRIBUTIONS

Members of the Fund are able to make AVCs in addition to their normal contributions. The related assets are invested separately from the main Fund and in accordance with the Local Government Pension Scheme (Management and Investment of Funds) regulations 2016, are not accounted for within the financial statements. If on retirement members opt to enhance their Scheme benefits using their AVC funds, the amounts returned to the Fund by the AVC provider are disclosed within transfers-in.

The current provider is Prudential. Funds held are summarised below:

	Opening Balance at 1 st April 19	Contributions & Transfers	Sums Paid Out	Investment Return	Closing Balance at 31 March 2020
	£000s	£000s	£000s	£000s	£000s
Plan Value	3,512	767	(1,100)	103	3,282
Bonus	(332)				(411)
	3,180	767	(1,100)	103	2,871

NOTE 24: AGENCY SERVICES

The Enfield Pension Fund does not use any agency services to administer the pension service.

NOTE 25: RELATED PARTY TRANSACTIONS

London Borough of Enfield

The Enfield Pension Fund is administered by the London Borough of Enfield. Consequently, there is a strong relationship between the Council and the Pension fund.

During the reporting period, the Council incurred costs of £1.124m (2018/19: £935k) in relation to the administration of the fund and was subsequently reimbursed by the fund for these expenses. The Council is also the single largest employer of members of the pension fund and contributed £39.2m to the fund in (2018/19 £38.2m). At year end the London Borough of Enfield owed the Pension Fund £460k (£72k in 2018/19).

Scheduled and admitted bodies owed the Fund £854k (£664k in 2018/19) from employer & employee contributions. All payments were received by 19th April 2020.

Governance

The Enfield Council has decided that Councillors should not be allowed to join the LGPS scheme and receive pension benefits from the Fund.

No allowances are paid to Members directly in respect of the Pension Policy & Investment Committee. The Chair of the Pension Policy & Investment Committee, however, is paid a special responsibility allowance.

During the year, no member or Council Officer with direct responsibility for pension fund issues had undertaken any declarable material transactions with the Pension Fund. Each member of the Pension Committee is required to declare their interests at meetings.

NOTE 25A: KEY MANAGEMENT PERSONNEL

The key management personnel of the fund are the Pension manager, Finance Manager (Pensions & Treasury), the Head of Exchequer Services. As required by paragraph 3.9.4.2 of the CIPFA code of practice 2019/20 the figures below show the total remuneration and the change in value of post-employment benefits provided to these individuals over the accounting year.

31 March 2019 £000s		31 March 2020 £000s
197	Short-term benefits	237
62	Post-employment benefits	72
259		309

NOTE 26: CONTINGENT LIABILITIES AND CONTRACTUAL COMMITMENTS

Outstanding capital commitments (investments) at 31 March 2020 totalled £70m (31 March 2019 totalled £100.6m).

These commitments relate to outstanding call payments due on unquoted limited partnership funds held in the private equity and infrastructure parts of the portfolio. The amounts 'called' by these funds are irregular in both size and timing over a period of between four and six years from the date of each original commitment.

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London Borough of Enfield**General Purposes Committee****Meeting Date 15/10/2020**

Subject: Brokerage Update Report
Cabinet Member: Councillor Alev Cazimoglu
Executive Director: Tony Theodoulou

Purpose of Report

1. Brokerage is responsible for the commissioning of all social care support packages, including, care home placements, domiciliary care, & day care. The service also oversees people being discharged from hospital or require a care service. For further information, please see (Appendix A)

A Commissioning (Brokerage) audit was undertaken as part of the 2018/19 Audit Plan. The 2018/19 Audit Plan was approved by the Audit & Risk Management Committee on 7th March 2018.

The service was audited in order to ensure that appropriate processes and governance arrangements were in place regarding the allocation of new business to Enfield's provider market.

The audit report was issued in March 2019 and Reasonable Assurance was considered the appropriate assurance opinion.

The report was identified as being of special interest and the Audit & Risk Management Committee reviewed this report on 3rd October 2019. It was requested that a further follow up review was completed. Terms of reference were issued, and the review completed in December 2019. All initial findings have now been implemented/remediated and closed as a result. Please see Appendix B

This report provides further assurance to the audit committee that all recommendations have been actioned. Appendices are attached to this report as supporting evidence. Furthermore, a monthly assurance process is in place where information contained within the appendices is reviewed.

Proposal(s)

2. **The recommendations from the audit committee meetings on were as follows:**

Selection of Care – Implemented
Policy Documentation – Implemented
Documentation on CareFirst System - Implemented

Please see attached letter noting that internal Audit are satisfied and that all recommendations have been actioned. (Appendix B)

The report is for noting and the proposal is that this item is now removed from the Audit Committee's work plan.

Reason for Proposal(s)

3. Please see attached Appendix B letter from internal Audit noting all actions are closed.

Relevance to the Council Plan

4. The work undertaken by the brokerage service fits with the Council's strategic aims:

Safe, healthy and confident – service users and their families are supported to make informed choices when it comes to their care and support arrangements, exercising as much flexibility, choice and control as they require.

An economy that works for everyone – There is transparency and accountability in the decision-making process with regards to the allocation of packages of support across our local care providers.

Background

Brokerage was audited on the 13th March 2019 and Reasonable Assurance was considered the appropriate assurance opinion. Following this, the report was identified as being of special interest and the Audit & Risk Management Committee reviewed this report on 3rd October 2019. It was requested that a further follow up review was completed. All initial findings have now been implemented/remediated and closed as a result. Please see Appendix B

Main Considerations for the Council

6. This item has been presented to two audit committee meetings and all actions required have been met as evidence in Appendix B. Continuous assurance processes are in place as evidence by further appendices which are reviewed at least monthly. See below the detailed actions previously reviewed:

Selection of Care:

When multiple care providers confirm that they can provide care to a service user, it is normally the responsibility of the service user or their next of kin to select a provider as the Council applies the Direct Payments model where possible. For non-direct payments cases, the Council still allows the service user to choose a care provider in the first instance. The total financial amount of Council managed payments and of direct payments is as follows:

- Direct Payments £20.52m
- Council managed £6.85m

Where the service user or next of kin selects a provider, there is no documented policy around what contextual information on the providers is given to service users by the Council to support an informed decision. In addition, sometimes the Council is required to select a provider, most commonly because the service user is unable or unwilling to make the decision. There is currently no defined policy over what information is provided to the service user to enable an informed decision.

In these cases, the Council will first prioritise providers where price is in line with the Council's agreed rates. Where there are multiple providers that do this, the Council will select a provider, relying on the knowledge and experience of its officers. Brokerage Officers sometimes consider criteria such as Care Quality Commission (CQC) inspection ratings or geography and are also instructed to informally rotate providers to avoid denying market access, as is required under Direct Payments regulation. We were advised that care providers should be preassessed for quality before appearing on CarePlace. However, there are no clearly defined criteria for selecting a provider in these circumstances and we saw varied means of selecting. For example, in our sample of 25 cases we noted one case where a provider was selected based on CQC rating, and another where a provider was selected because the other three providers had been recently used by that broker. There is no formal tracking across the Service of the rotation of providers. Reports are run on an ad hoc basis to show acceptances by provider, for example to gather information to respond if a provider believes it is not receiving sufficient cases. However, there is no periodic system to proactively monitor the rotation of providers.

In our sample of 25 cases, we identified five cases where the Council selected a provider based on non-price factors. This is not an issue in itself, but these are the cases where the finding described may leave the Council open to challenge.

Implemented Finding: Closed It was evident that the process documentation has been updated to include details of the justification for selecting care providers with the aim of ensuring that brokers maintain records of their care provider selection decision. Despite this action being fully remediated, the policy document requires further updates to ensure clarity when officers discuss the basis of selecting providers. We have also confirmed that a monthly report detailing care providers used, is run and is independently monitored by the Brokerage Team Manager to ensure that market access is being appropriately rotated. This action has been fully remediated. Please see Appendix C, D & E

Policy Documentation

Whilst the Service has a detailed process document which is followed by brokers, there is no overarching policy document setting out the purpose and objective of the Service. We would expect such a policy to include: – The overall objective of the Service. – How this objective aligns with the Council's strategic priorities. – A summary of the key responsibilities of the Service and tasks performed (we note that these are described in detail in the process document). – The resource required by the Service to achieve its objective. Any policy should be approved at senior level and reviewed regularly.

Implemented Finding: Closed An overarching policy document has been implemented. This sets out the purpose and objective of the Service and includes

key tasks performed, required resourcing and key relationships held. We have been advised by the Brokerage Manager that this has been reviewed and approved by the Director of Health and Adult Social Care. Please see Appendix A & F)

Documentation on CareFirst System

All information relating to cases is stored in Eclipse now. This includes Service User Support Plans and Financial Assessment documentation, records of the tender process and communication with Service providers, and notes explaining any consultations and how key case decisions were made. For a sample of 25 cases concluded between April and December 2018, we noted that in three cases (12%), there was no information on the system demonstrating how the Care Provider had been selected. It was not obvious whether these were selected by the Council or by the Service User. In all three cases, there had been multiple bidders at Enfield's agreed rate.

Implemented Finding: Closed It was noted that efforts have been made to ensure that brokerage officers are aware that they must document details of care provider decisions within the CareFirst system. This is also a standing item on the agenda for formal monthly meetings held by the Brokerage Team. The current policy document specifies that all four requirements must be documented, however after discussions with the team and management we understand this is not the case, therefore the policy requires updating to ensure clarity when documenting the reasoning of the care provider being selected. (Please see Appendix A)

Safeguarding Implications

7. The Brokerage service works closely with the central Safeguarding service, Multi Assessment Hub and Social Care teams. Within the Brokerage protocol there is reference to Safeguarding values that need to be supported by the Brokers and training is undertaken by all staff.

Public Health Implications

8. The purpose of Brokerage is to support our most vulnerable residents to access informed choice and personalised care services maximising choice and control

Equalities Impact of the Proposal

9. Service users and their representatives are supported to make choices and to select providers appropriate to them. Supporting information is listed below but not all supporting information needs to be provided if the su/representative feels they are able to make decision based on some or one of the information the Broker has already discussed, i.e. CQC rating. However, it's important that the broker evidences the reason/conversation why a particular provider was chosen and record this information in Carefirst/Eclipse (Case Notes).

Supporting Information:
CQC rating

Geographical location

Culturally specific criteria important to the service user, for example language, gender

Response time – is the start of the package and ongoing support time critical

Specialist experience of working with people with particular needs, for example dementia care, PEG feeds or Stoma bags

If more than one provider meets the criteria for delivering the service, review the previous allocation of new work in order to ensure work is allocated equitably

Environmental and Climate Change Considerations

10. Not applicable

Risks that may arise if the proposed decision and related work is not taken

11. The Brokerage team ensure that the Council purchases care and support whether in the community or in residential/nursing homes that is appropriate to need and quality and represents value for money to the Council. This supports the Council's and People Department's strategic objectives achieving best value quality services and meeting residents identified needs appropriately and safely. The importance of having good governance in place is essential to support the transparency of procuring care

Risks that may arise if the proposed decision is taken and actions that will be taken to manage these risks

12. Assurance process is in place to ensure transparency and fairness in the allocation of work. Service users supported to make informed choices with regards to their care and support arrangements.

Financial Implications

13. Not applicable

Legal Implications

14. Not applicable

Workforce Implications

15. Not applicable

Property Implications

16. Not applicable

Other Implications

17. Not applicable

Options Considered

18. Not applicable

Conclusions

19. The Brokerage audit has been discussed at two previous Audit committees. All recommendations have been fully implemented and the required assurance/procedures are now in place. This report is for noting and recommends that no further audit committee attendance is required.

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020 8132 2091

Date of report: 05/10/2020

Appendices:

1. Brokerage Service Role Objectives Process and System Policy (Appendix A)
2. 2018/2019 Commissioning (Brokerage) Internal Audit Follow-Up Review (Appendix B)
3. Audit report on reasons why packages awarded to providers (Date range October 2019 – August 2020) Appendix C
4. Care Place allocations to providers Appendix D
5. Brokerage Flow Chart – Step by step guide on process to commission Care Package Appendix E
6. Awarded packages (Date Range from October 2019 – August 2020) Appendix F

Brokerage Service Role, Objectives for Domiciliary Care and Residential/Nursing Care Placements

1. Background

- 1.1** Health and Adult Social Care (HASC) spends around £85m gross (excluding income) per annum on purchased care and support for around 6,500 people. The Brokerage team ensure that the Council purchases care and support whether in the community or in residential/nursing homes that is appropriate to need and quality and represents value for money to the Council. This supports the Council's and People Department's strategic objectives achieving best value quality services and meeting residents identified needs appropriately and safely.
- 1.2** Currently, the DPS is used for Domiciliary Home Care, Residential and Nursing Care, Learning Disability that features supported living accommodation and community activities suitable for people with learning disabilities.
- 1.3** Enfield Council does not have contracts in place for the provision of domiciliary care, residential or nursing placements, so providers are not guaranteed any level of business or spend.

2. Access to Brokerage Services

- 2.1** People who have been assessed as eligible for care and support under the Care Act 2014 can be referred to the Brokerage Team. The broker will act on behalf of the Council and the service user/their representative.
- 2.2** Where a person is in receipt of a personal budget for community care and support services, they can opt to make their own arrangements, subject to the needs and outcomes identified within their assessment and support plan being met appropriately. They can also request support from the brokerage service to do this on their behalf.
- 2.3** Full cost clients – if the client lives in their own home and they are not entitled to financial support from the council, but have eligible care needs the service user/their representative can ask the Brokerage Team to arrange care on their behalf. This would include looking for a Home Care provider or Residential/Nursing placement. If the request comes to Brokerage for to arrange care, a flat rate fee of £260 will be charged. This fee will cover the council's costs in finding a care provider/care home and negotiating the rate if required.

3. Objectives of the Brokerage Service:

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- Work with service users/families, health and social care professionals and providers to secure care and support that is appropriate and safe;
- Support service users/families to exercise choice and control in the selection of providers to deliver care and support;
- Secure care and support provision in a timely fashion to meet a variety of care and support needs across all areas of service delivery;
- To ensure transparency and an evidence-based approach to the allocation of business to care and support providers, is provided;
- Communicate to service development any market capacity issues or gaps in provision;
- Maintain a good level of understanding and awareness of market provision, including community assets and services outside of statutory, regulated provision;
- Deliver value for money in terms of care and support service provision and evidence to support this;
- To explore access opportunities for service users and families to community assets including universal services as viable and appropriate alternatives to statutory care and support;
- To explore new opportunities for joint working and co-operation across London, the North Central London sub-region and NHS Enfield CCG.

4. Support Available from the Brokerage Service

- Exploring solutions to emergency events, for example, emergency placements
- Liaising and negotiating with homes;
- Sourcing care homes in and out of the borough.
- Sourcing culturally specific homes.

5. Some of the Services commissioned may include:

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- **Residential/Nursing Care;**
- **Temporary breaks/respite support for carers;**
- **Specialised transport;**
- **Transfers from in or out of borough**
- **Day opportunities**
- **Blitz Clean**

6. Resources

The Brokerage service is under Resources and sits with the Service Development service. The Brokerage service is resourced as follows:

1 Team Manager

1 Deputy Manager

5.5 Brokers

1 Direct Payments Support Officer.

7. The Role of the Broker

- 7.1** The role of the broker is to seek the best and most appropriate care option for the service user.
- 7.2** Where a placement or domiciliary care service is required, the Council uses a Dynamic Purchasing System (DPS). The DPS will contain details of homes/domiciliary care providers who have met a set of criteria including an appropriate Care Quality Commission (CQC) registration.
- 7.3** All homes/domiciliary providers who are on the Council's DPS will have been visited by the Quality/Contract monitoring team to ensure staffing levels are appropriate, DBS checks are in place along with other appropriate documentation including verification of their staff records, for example, training and immigration status (they have the legal right to reside and work here).
- 7.4** Domiciliary Care providers, Residential and Nursing homes can request access to this DPS. It is not a contractual arrangement, however. Simply being on the DPS is no guarantee that business will be received.
- 7.5** When brokers receive information from care management services (an assessment and support plan), anonymised details will be uploaded on to the DPS indicating a summary of needs, geographical location, any specific

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needs that must be met, for example, a need to speak a certain language if English is not the first language or experience of working with PEG feeds/Stoma bags/medications. There may often be a time critical element, particularly where discharge from hospital is involved or an emergency placement is required to prevent crisis.

- 7.6** Domiciliary care provider/homes will then receive alerts through the system detailing, as above, what is required and if they can meet the needs identified within the timeframe, they will respond.
- 7.7** If a single home/domiciliary care provider has responded within the criteria sent out, the broker will communicate this to the service user or their representative and record the decision made on the HASC client information system under the service user's record (Carefirst/Eclipse).
- 7.8** Where multiple homes/domiciliary care providers respond to a referral and these providers can meet the needs identified appropriately, this information will again be shared with the service user or their representative for them to be supported to make the choice of provider.
- 7.9** It can and does often occur that the service user requests that the broker makes the decision. When this is the case, the broker will review a summary record of how much business has been allocated to the providers who have declared an interest in providing a placement within the previous two months. They do this to ensure that access to new business is distributed as equitably as it can be. This, of course, is subject to the provider being able to deliver the care appropriately and in a timely way, where time is a critical factor.

8. Safeguarding

The Brokerage service in conjunction with Social Care teams will ensure the service user is at the centre of any decisions made in relation to choosing the right care provider. This supports safeguarding values as follows:

- People are able to access support and protection to live independently and have control over their lives;
- The individual's views, wishes, feelings and beliefs should be paramount and are critical to a personalised way of working with them;

Brokers will work alongside service users and their representatives to ensure they are able to make an informed choice. Furthermore, they will provide the necessary support and guidance should a service user or their representative wish to raise a safeguarding concern. The Brokerage service works closely with the Council's Safeguarding service and the Multi Assessment Safeguarding Hub. All Brokers regularly attend Safeguarding training to ensure they update with all Safeguarding legislation.

9. SETTING UP A NEW DOMICILIARY CARE SERVICE

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- 9.1** Contact the service user (SU), if they have capacity or the next of kin as they may already know who they want to provide the care.
- 9.2** Explain your role as a Broker and how you will be supporting them.
- 9.3** Discussion to be held with service user or next of kin to arrange a Direct Payment appointment to complete E-Card application form. Broker to send an activity to BROKDP to advise of package details and appt date and time.
- 9.4** If the service user or next of kin are unable to organise their own care and they want the council to arrange the care, please enter the following information on Care Place (DPS):
- **Postcode**
 - **Details of care required**
 - **Gender**
 - **Age**
 - **How the package will be funded, direct payment, council managed, or third party managed**
- 9.5** The service package will then be sent out on Care Place (DPS) to providers to respond.
- 9.6** Following either 2 or 4 hrs (depending on urgency) check Care Place to see which provider has responded. If providers have bided, the Broker should call the service user or NOK to see if they would like to choose a provider.
- 9.7** It is preferable that the service user or representative choose, but it is recognised that this is often a difficult decision and they may request the Broker choose on their behalf.
- 9.8** Should the service user/representative want the Broker to decide or if more than one provider bid on Care Place the Broker must give supporting information relating to each provider that has bided to enable the service user/representative to make an informed choice.
- 9.9** Supporting information is listed below but not all supporting information needs to be provided if the su/representative feels they are able to make decision based on some of the information the Broker has already discussed,

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i.e. CQC rating. However, it's important that the broker evidences the reason/conversation why a particular provider was chosen and record this information in Eclipse (Case Notes).

Supporting Information:

- **CQC rating**
- **Geographical location**
- **Culturally specific criteria important to the service user, for example language, gender**
- **Response time – is the start of the package and ongoing support time critical**
- **Specialist experience of working with people with particular needs, for example dementia care, PEG feeds or Stoma bags**
- **If more than one provider meets the criteria for delivering the service, review the previous allocation of new work in order to ensure work is allocated equitably**

9.10 Once the provider has been chosen, the Broker will send the assessment paperwork via Care Place to the provider to arrange an assessment

9.11 Inform the service user or NOK of the name of the provider who will contact them directly to arrange a preassessment giving the contact number for the provider and any other relevant information

9.12 Wait for provider to confirm assessment has taken place and to confirm your stated start date. This information must be recorded in an email and not just taken verbally for evidence.

9.13 Call the service user or NOK to confirm start date.

9.14 Upload the acceptance email onto wisdom under the service user's record

New Placement request for Residential/Nursing Care Home

10. Where the care planning process has determined that a person's needs are best met in a care home, the local authority must ensure that the person has a genuine choice and that at least one option is affordable within a person's personal budget. However, a person must also be able to choose alternative options, including a more expensive setting, where a third party or in certain circumstances the resident

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is willing and able to pay the additional cost ('top up'). However, an additional payment or 'top up' arrangement must always be optional and never because of commissioning failures leading to a lack of choice.

The Broker would contact the family and explain their role and advise how they would be supporting them throughout the whole process. When discussing placement options with Families, the brokers need to ensure those families are aware of the below:

- **Families may not get their first choice as placements are primarily needs driven**
- **All cases are means tested and financially assessed**
- **If the family chooses a more expensive home than the service user's needs require, the family will have to pay a third party top up.**
- **If the family default on their top up payments and if new terms cannot be negotiated with the provider, the council reserves the right to move the placed individual**
- **When discussing placement options with the family the Broker is to advise the family that the council uses Care Place (DPS) for source a care home.**
- **If the family chooses to be placed out of borough, it is essential to maintain the agreed price banding for Enfield whether this is in or outside borough. Should a home be identified that falls outside the banding, the service user will need to pay the difference. The only exception is where Enfield is unable to procure a suitable placement within the price banding and therefore, we will need to pay additional fees to ensure an appropriate placement is made**
- **If the home needs to specialise in certain types of conditions such as: severe physical disabilities, learning disabilities, brain injury resulting from an accident or mental health problems – ensure to cross reference with “previous placements” and use it as a guide in terms of agreeing the weekly care fee**

The Brokers must not place outside the price guides and if providers request a higher amount, the Brokers must seek advice from the Brokerage Managers

If the service user or their next of kin Families would like the Brokerage service to source a care home the Broker will advise that it will be sent out on Care Place (dynamic purchasing system) for the homes to respond. The Broker must explain what Care Place does.

The Brokers would need to enter the following on Care Place (DPS):

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- **Details of care required**
- **Gender**
- **Age**
- **Select Primary need on Care Place (Either Residential or Nursing)**

Following either 2 or 4 hrs (depending on urgency) the Broker would check Care Place to see which Care Homes have responded.

Broker's will then review the bids on Care place and ensure placements are cost effective and note where a 3rd party top up is needed by using:

- **Provider's guide rates**
- **Price bandings**
- **Information provided by care homes via Care place**
- **Cross reference the Case Tracker with previous service users placed at these homes to ensure the appropriate fee**
- **Information provided by other local authorities when placing out of borough**

Discussions will then take place with the Broker and family around the care home options available.

Broker will inform the service user and/or their representative, the choice of homes that are available and to advise them that the care homes will contact them to carry out assessment.

Once assessment has taken place and family are happy to accept home, if required, negotiations will take place between the home and the Broker to support the appropriate sourcing with top rank providers allowing value for money for the service, users and their families.

Once negotiations have taken place and price has been agreed with family and care home, the Broker will record in the service user's case notes, the placement name, negotiation undertaken, homes considered, 3rd party top up amount (if applicable), placement date (if confirmed). The Broker will then ask the relevant budget holder to sign a Delegated Authority form (DAF) therefore approving the placement fee. The authorised DAF is uploaded to wisdom with the PLACEMENT DATE once the client has been placed

The Broker will send a confirmation instruction to the provider via Careplace to confirm placement. This will ensure the placement is carried out as planned and not dependent on receipt of full contract

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The Broker will ensure the date of placement is not recorded if there is no guarantee that the client will be placed on the agreed date to avoid paying any additional charges

The Broker will also

- a. **Email the chosen Provider, the Council's contract containing terms and conditions, requesting the home's representative signs the contract, retaining a copy and returning a copy to be stored on the service user's file.**
- b. **Send 3rd party top up letter to family (if appropriate)**
- c. **Service instruction is completed and send to budget holder via email for signature**
- d. **Documents uploaded in Eclipse.**

11.12 WEEK DISREGARD

Should a service user own their home, the Council we allow up to 12 weeks for the property to be sold, this is known as a 12-week disregard. However, during the 12-week period the service user will need to pay an assessed weekly contribution (please see charging booklet)

If the stay is permanent and the service user's home is up for sale the value of your home, less any outstanding mortgage, is disregarded from their assets for up to the first 12 weeks of their stay. During this time, the service user will pay an interim charge (their weekly income less their Personal Expenses Allowance) and the Council will pay the shortfall. Service users will not have to pay the shortfall for this period back to the Council unless their property is sold during the first 12 weeks, in which case they become liable for the full cost fees from that date. From week 13 the service user will become liable for all the fees. If the Council continues to arrange the placement from week 13 as a full cost client, the service user will also be charged a brokerage set up fee of £260. If the service user decides to sell their property, they may be entitled to Income Support, ESA, UC or Pension Credit whilst their property is up for sale. Once the property is sold, it is unlikely they will be entitled to Income Support, ESA, UC or Pension Credit because they will have too much capital.

11. Deferred Payment Agreement

The deferred payment option means service users are not forced to sell their home in their lifetime to pay for their care. By entering into a deferred payment agreement, a person can 'defer' or delay paying the costs of their care and support until a later date. Deferring payment can help people to delay the need to sell their home and provides peace of mind during a time that can be challenging (or even

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a crisis points) for them and their loved ones as they make the transition into care. It should be stressed from the outset that the payment for care and support is deferred and not 'written off' – the costs of provision of care and support will have to be repaid by the individual (or a third party on their behalf) at a later date.

The Council is required to offer deferred payment agreements to people who meet the eligibility criteria. The Council will also need to ensure that adequate security is in place for the amount being deferred, so that they can be confident that the amount deferred will be repaid in the future. A deferral can last until death; however, many people choose to use a deferred payment agreement as a 'bridging loan' to give them time and flexibility to sell their home when they choose to do so. This is entirely up to the individual to decide.

The regulations specify that someone is eligible for and so must be offered a deferred payment agreement if they meet all three of the following criteria at the point of applying for a deferred payment agreement:

(a) anyone whose needs are to be met by the provision of care in a care home. This is determined when someone is assessed as having eligible needs which the local authority decides should be met through a care home placement.

(b) anyone who has less than (or equal to) £23,250 in assets excluding the value of their home (i.e. in savings and other non-housing assets); and

(c) anyone whose home is not disregarded, for example it is not occupied by a spouse or dependent relative as defined in regulations on charging for care and support (i.e. someone whose home is considered in the local authority financial assessment and so might need to be sold).

12. Quality Assurance

12.1 On a monthly basis, DPS reports are produced to show all new referrals, which homes expressed an interest and which homes were accepted to provide a placement.

12.2 The deputy brokerage manager will, during regular staff supervision sessions, sample the cases they have worked on the month before to make sure that all decisions made with regards to quality and access are appropriately evidenced on Carefirst/Eclipse.

12.3 If any issues are identified, these are addressed during supervision and where appropriate, further training and direction will be given to the broker to make sure process is followed appropriately.

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12.4 The Brokerage manager will review DPS reports on a monthly basis with the team in order to provide further assurance that appropriate choice and control is available to service users or their representatives and that new business is being allocated equitably.

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Doug Wilson
Head of Strategy and Service
Development

Please reply to :

E-mail : gemma.young@enfield.gov.uk

Telephone : 07900 168938

Date : 25 February 2020

Dear Doug,

2018/2019 COMMISSIONING (BROKERAGE) INTERNAL AUDIT FOLLOW-UP REVIEW

This letter summarises the findings from our recent follow-up review, which we conducted of the Commissioning (Brokerage) Audit concluded in March 2019. The full scope of this review was set out in our terms of reference, which were issued on 6 December 2019.

Background

This review was undertaken as part of the 2019/20 internal audit programme, which has been approved by the Council's Audit and Risk Management Committee.

Under the Care Act 2014, Councils have a statutory duty to provide adult social care. At Enfield, the Commissioning (Brokerage) team supports front line services by matching an appropriate external care provider with service users' needs.

Cases are received through the Customer Support Centre (CSC) or Access Team (AT). Once a case has been logged into CareFirst (Care Management System), a social worker will attend a site-visit for an initial care and financial assessment with the client. The initial assessment will be reviewed by a team manager and converted into a support plan before referral for a detailed financial assessment to develop the care budget. Once the support plan and budget have been approved by the respective team managers, the care 'package' will be sent for approval by the CMS Panel (multidisciplinary panel including practitioners and representation from: CMS, Brokerage Team, Procurement Team etc.) to approve the care required. Brokerage can then match the care needs to a care provider through Eclipse (A dynamic purchasing system that has recently replaced CarePlace). The client's care requirements will be matched with an appropriate care provider, which will be approved by an appropriate team manager.

In the 2018/19 Commissioning (Brokerage) Audit we identified one medium risk finding and two low risk findings associated with the Council's brokerage process.

Audit objective, approach and scope

The objective of this follow up was to review the processes, procedures and controls that have been implemented to address the risks identified during the 2018/19 Commissioning (Brokerage) Internal Audit review.

The approach was to understand and evaluate the processes and controls now in place to address the finding and risks identified during the 2018/19 audit, through discussions with key personnel, review of systems documentation and by undertaking walkthrough tests.

Observations

The process is clearly understood, and brokerage officers have sufficient understanding, however this is not reflected in the policy document at present. Therefore, the policy requires further updates to ensure clarification.

We have set out our detailed observations below.

Status of Prior Findings

- 1. Selection of Care Providers** – This finding is closed as this has been remediated. Policy documents have been updated in line with agreed actions, however require further updating is required to ensure only one requirement is documented when selecting a care provider. Following the testing of 20 cases in the CareFirst system, we found exceptions, where documentation was either missing or had not been appropriately updated. However, this related to one individual only, who has since left the Council.
- 2. Policy Documentation** – This finding has been implemented and is therefore closed. An overarching policy document that sets out the purpose and objective of the Service has been developed and approved by the Director of Health and Adult Social Care.
- 3. Documentation on CareFirst System** – This finding has been implemented and is therefore closed. The need to document justification is now regularly communicated to the brokerage officers as evidenced in team meetings.

I would like to thank you and your staff for your assistance during the course of this review. If you have any queries or comments, please do not hesitate to contact myself or Marion Cameron.

Yours sincerely,

Gemma Young

Head of Internal Audit & Risk Management Cc:

Des O'Donoghue	Brokerage & Market Development Manager
Bindi Nagra	Director of Health & Adult Social Care
Jeremy Chambers	Director of Legal and Governance
Marion Cameron	Deputy Head of Audit and Risk Management
Lisa Byrne Ejaz	Audit and Risk Manager
Patel	Senior Risk Officer

STATUS OF ACTIONS

REF	DETAILED FINDING	RISK	RISK RATING	REVISED RISK RATING	AGREED ACTIONS AND IMPLEMENTATION DATES	STATUS OF ACTION
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<p>1</p>	<p>Selection of Care Providers</p> <p>When multiple care providers confirm that they are able to provide care to a service user, it is normally the responsibility of the service user or their next of kin to select a provider as the Council applies the Direct Payments model where possible. For non-direct payments cases, the Council still allows the service user to choose a care provider in the first instance. The total financial amount of Council managed payments and of direct payments is as follows:</p> <ul style="list-style-type: none"> • Direct Payments £20.52m • Council managed £6.85m <p>Where the service user or next of kin selects a provider, there is no documented policy around what contextual information on the providers is given to service users by the Council to support an informed decision.</p> <p>In addition, sometimes the Council is required to select a</p>	<p>Without documented principles for selecting care providers, reasoning for selection may be inconsistent in cases where the council makes the decision. If this is the case, or if service users are not fully informed about providers, users may not be placed with the optimal provider for their care needs, resulting in the Council not fulfilling its legal obligations.</p> <p>If care providers are selected arbitrarily based on an informal rotation of providers, case</p>	<p>MEDIUM</p>	<p>NA</p>	<p>We will amend our process documentation to include the information that will be provided to service users to enable them to make an informed decision. This information will include:</p> <ul style="list-style-type: none"> • CQC rating • Geographical location • Culturally specific factors • Response time. <p>We will also update our process documentation to include details of the basis the Council uses for selecting providers. We will run reports by provider on a monthly basis to identify whether market access is being appropriately rotated and will inform brokerage officers if we identify this is not the case. Evidence of these reports will be retained.</p> <p>Responsible Officer:</p>	<p>Implemented</p> <p>Finding: Closed</p> <p>It was evident that the process documentation has been updated to include details of the justification for selecting care providers with the aim of ensuring that brokers maintain records of their care provider selection decision. Despite this action being fully remediated, the policy document requires further updates to ensure clarity when officers discuss the basis of selecting providers.</p> <p>We have also confirmed that a monthly report detailing care providers used, is run and is independently monitored by the Brokerage Team Manager to ensure that market access is being appropriately rotated. This action has been fully remediated.</p>
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REF	DETAILED FINDING	RISK	RISK RATING	REVISED RISK RATING	AGREED ACTIONS AND IMPLEMENTATION DATES	STATUS OF ACTION
	<p>provider, most commonly because the service user is unable or unwilling to make the decision. There is currently no defined policy over what information is provided to the service user to enable an informed decision.</p> <p>In these cases, the Council will first prioritise providers where price is in line with the Council’s agreed rates.</p> <p>Where there are multiple providers that do this, the Council will select a provider, relying on the knowledge and experience of its officers. Brokerage Officers sometimes consider criteria such as Care Quality Commission (CQC) inspection ratings or geography and are also instructed to informally rotate providers to avoid denying market access, as is required under Direct Payments regulation. We were advised that care providers should be preassessed for quality before appearing on CarePlace.</p> <p>However, there are no clearly defined criteria for selecting a</p>	<p>specific details may not be considered. Without team wide tracking and monitoring, the aim to rotate may be ineffective, resulting in a challenge by providers who do not have regular or any placements with them, which could result in reputational or financial implications for the Council.</p>			<p>Des O’Donoghue (Brokerage Manager) Target date: 1 July 2019</p>	

Internal Audit – CHIEF EXECUTIVE'S Commissioning
Follow Up

REF	DETAILED FINDING	RISK	RISK RATING	REVISED RISK RATING	AGREED ACTIONS AND IMPLEMENTATION DATES	STATUS OF ACTION
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	<p>provider in these circumstances and we saw varied means of selecting. For example, in our sample of 25 cases we noted one case where a provider was selected based on CQC rating, and another where a provider was selected because the other three providers had been recently used by that broker.</p> <p>There is no formal tracking across the Service of the rotation of providers. Reports are run on an ad hoc basis to show acceptances by provider, for example to gather information to respond if a provider believes it is not receiving sufficient cases. However, there is no periodic system to proactively monitor the rotation of providers.</p> <p>In our sample of 25 cases, we identified five cases where the Council selected a provider based on non-price factors. This is not an issue in itself, but these are the cases where the finding described may leave the Council open to challenge.</p>					
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Internal Audit – CHIEF EXECUTIVE’S Commissioning
Follow Up

REF	DETAILED FINDING	RISK	RISK RATING	REVISED RISK RATING	AGREED ACTIONS AND IMPLEMENTATION DATES	STATUS OF ACTION
2	<p>Policy Documentation</p> <p>Whilst the Service has a detailed process document which is</p>	- Without a policy document, it may	LOW	NA	Management will produce an overarching policy	Implemented

	<p>followed by brokers, there is no overarching policy document setting out the purpose and objective of the Service. We would expect such a policy to include:</p> <ul style="list-style-type: none"> - The overall objective of the Service. - How this objective aligns with the Council’s strategic priorities. - A summary of the key responsibilities of the Service and tasks performed (we note that these are described in detail in the process document). - The resource required by the Service to achieve its objective. <p>Any policy should be approved at senior level and reviewed regularly.</p>	<p>be unclear how the Brokerage Service fits into the strategic objectives of the Council, which may lead to duplication or omission of tasks, particularly if key staff members leave the organisation. Accountability for officers in the Service may also be unclear. This could result in reduced quality of Service and consequent legal or reputational damage.</p>		<p>document setting out the purpose and objective of the Service including the key tasks performed, the required resourcing, and key relationships held by the Service. This will be subject to director approval and will be reviewed annually going forwards Responsible Officer: Des O’Donoghue (Brokerage Manager) Target date: 1 July 2019</p>	<p>Finding: Closed</p> <p>An overarching policy document has been implemented. This sets out the purpose and objective of the Service and includes key tasks performed, required resourcing and key relationships held.</p> <p>We have been advised by the Brokerage Manager that this has been reviewed and approved by the Director of Health and Adult Social Care.</p>
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REF	DETAILED FINDING	RISK	RISK RATING	REVISED RISK RATING	AGREED ACTIONS AND IMPLEMENTATION DATES	STATUS OF ACTION
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<p>3</p>	<p>Documentation on CareFirst System</p> <p>All information relating to cases is stored in the CareFirst system. This includes Service User Support Plans and Financial Assessment documentation, records of the tender process and communication with Service providers, and notes explaining any consultations and how key case decisions were made.</p> <p>For a sample of 25 cases concluded between April and December 2018, we noted that in three cases (12%), there was no information on the system demonstrating how the Care Provider had been selected. It was not obvious whether these were selected by the Council or by the Service User. In all three cases, there had been multiple bidders at Enfield’s agreed rate.</p>	<p>Without clear documentation in the CareFirst system indicating how the winning provider was selected, the Council may not be able to retain transparency in the process. Additionally, if the provider turns out to be not fit for purpose, the Council may be held accountable for any resulting issues. This may lead to legal or reputational damage.</p>	<p>LOW</p>	<p>NA</p>	<p>We will reiterate to the brokerage officers in the weekly meetings the importance of fully documenting the details of cases within the CareFirst system</p> <p>Responsible Officer: Des O’Donoghue (Brokerage Manager) Target date: 1 July 2019</p>	<p>Implemented</p> <p>Finding: Closed</p> <p>It was noted that efforts have been made to ensure that brokerage officers are aware that they must document details of care provider decisions within the CareFirst system. This is also a standing item on the agenda for formal monthly meetings held by the Brokerage Team.</p> <p>The current policy document specifies that all four requirements must be documented, however after discussions with the team and management we understand this is not the case, therefore the policy requires updating to ensure clarity when documenting the reasoning of the care provider being selected.</p>
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APPENDIX 2 - DEFINITION OF ASSURANCE CATEGORIES AND PRIORITIES

Risk rating

<p>Critical ★</p>	<p>Life threatening or multiple serious injuries or prolonged work place stress. Severe impact on morale & service performance. Mass strike actions etc.</p> <p>Critical impact on the reputation or brand of the organisation which could threaten its future viability. Intense political and media scrutiny i.e. front-page headlines, TV. Possible criminal, or high profile, civil action against the Council, members or officers.</p> <p>Cessation of core activities, Strategies not consistent with government’s agenda, trends show service is degraded. Failure of major Projects – elected Members & SMBs are required to intervene</p> <p>Major financial loss – Significant, material increase on project budget/cost. Statutory intervention triggered. Impact the whole Council; Critical breach in laws and regulations that could result in material fines or consequences</p>
<p>High ★</p>	<p>Serious injuries or stressful experience requiring medical many workdays lost. Major impact on morale & performance of staff.</p> <p>Significant impact on the reputation or brand of the organisation; Scrutiny required by external agencies, Audit Commission etc. Unfavourable external media coverage. Noticeable impact on public opinion</p> <p>Significant disruption of core activities. Key targets missed, some services compromised. Management action required to overcome med – term difficulties High financial loss Significant increase on project budget/cost. Service budgets exceeded. Significant breach in laws and regulations resulting in significant fines and consequences</p>
<p>Medium ★</p>	<p>Injuries or stress level requiring some medical treatment, potentially some workdays lost. Some impact on morale & performance of staff.</p> <p>Moderate impact on the reputation or brand of the organisation; Scrutiny required by internal committees or internal audit to prevent escalation. Probable limited unfavourable media coverage.</p> <p>Significant short-term disruption of non-core activities. Standing Orders occasionally not complied with, or services do not fully meet needs. Service action will be required.</p> <p>Medium financial loss - Small increase on project budget/cost. Handled within the team. Moderate breach in laws and regulations resulting in fines and consequences</p>
<p>Low ★</p>	<p>Minor injuries or stress with no workdays lost or minimal medical treatment. No impact on staff morale</p> <p>Internal Review, unlikely to have impact on the corporate image. Minor impact on the reputation of the organisation</p> <p>Minor errors in systems/operations or processes requiring action or minor delay without impact on overall schedule. Handled within normal day to day routines.</p> <p>Minimal financial loss – Minimal effect on project budget/cost. Minor breach in laws and regulations with limited consequences</p>
<p>Advisory ★</p>	<p>Advisory findings or observation that would help to improve the system or process being reviewed or align it to good practice seen elsewhere. Does not require a formal management response.</p>

Brokerage – LA Performance (By Package) October 2019

Client Reference	Sent To Providers	Responses Required By	Service Level	No. Services Sent To	Responses	Positive Responses	Chosen Service	Unit Cost	Reason Provider Was Chosen
E813795	01/10/2019 9:35 AM	01/10/2019 11:35 AM	Standard Personal Care & Home Support	1	1	1	Kangaroo Healthcare	£14.50	Only Provider that bid for the Care package
E679764	01/10/2019 5:21 PM	02/10/2019 10:37 AM	Standard Personal Care & Home Support	33	4	3	BMF Social Care Limited	£14.50	I asked if she would like to choose the provider out of the three accepted, but she requested I do. BMF Social Care selected as they have a good CQC rating (out of others one requires improvement and other has not been inspected yet).
E563048	02/10/2019 10:21 AM	02/10/2019 12:00 PM	Standard Personal Care & Home Support	36	11	8	Elmich Care Support at Home	£14.50	I explained that we have 7 bids from providers that are willing to accept her mums care package. I explained that we go by CQC rating and choice by the family. I mentioned all the providers and Gella decided to pick Elmich Care
E676279	02/10/2019 11:35 AM	02/10/2019 4:00 PM	Standard Personal Care & Home Support	32	7	2	Bluebird Care (Enfield)	£14.50	Service user chose Bluebird Care
M01821	02/10/2019 12:26 PM	02/10/2019 2:26 PM	Standard Personal Care & Home Support	33	10	10	Bluebird Care (Enfield)	£14.50	Broker spoke to SU, provided a list of agencies by name to Ms Young...suggests Bluebird care sound nice and is happy for agency to contact SU for an AX
E514057	03/10/2019 2:53 PM	03/10/2019 3:55 PM	Standard Personal Care & Home Support	37	6	3	Elmich Care Support at Home	£14.50	Awarded via Care Place Agency was chosen on the basis of: Availability, Capacity to start as required and Choice agreed with Client and/or Family/Advocates
E681399	07/10/2019 9:38 AM	07/10/2019 11:38 AM	Standard Personal Care & Home Support	33	8	6	Blowing Point Care	£14.50	It's Kathy Scott speaking . I've decided to pick blowing point care
E814708	07/10/2019 9:41 AM	07/10/2019 11:41 AM	Standard Personal Care & Home Support	33	6	3	Loyal Care Consortium Ltd	£14.50	Service user agreed to this idea and suggests she will try Loyal Care Consortium.
E814189	07/10/2019 12:05 PM	07/10/2019 1:05 PM	Standard Personal Care & Home Support	36	9	7	Kansas Home Care Ltd	£14.50	T/C to Lorraine, discussed LT POC. Explained above agencies accepted, Lorraine made the decision for LBE to choose who the agency will be. Awarded to Kansas Ltd as they are a new agency and broker not awarded to them.
SL E803651 071019	07/10/2019 4:56 PM	08/10/2019 10:35 AM	Standard Personal Care & Home Support	35	4	1	Kangaroo Healthcare	£14.50	T/c to Service user Informed her regarding referral to arrange long-term carers. I asked if she would like to choose the provider, but she requested I do. Angels Caring Care selected as they have a good CQC rating and closet in location (one provider I picked yesterday and other two require improvement). They will contact her to arrange assessment. Also provided my direct line.

E816811	08/10/2019 9:32 AM	08/10/2019 10:38 AM	Standard Personal Care & Home Support	36	6	2	Core Outreach and Care Services	£14.50	Awarded via Care Place Agency was chosen on the basis of: Availability, Capacity to start as required and Choice agreed with Client and/or Family/Advocates
E794144	08/10/2019 10:21 AM	08/10/2019 12:18 PM	Standard Personal Care & Home Support	37	7	6	Kangaroo Healthcare	£14.50	Unable to award to provider - due to provider concerns- package should have been cancelled on Care Place
J10970	08/10/2019 1:39 PM	08/10/2019 2:28 PM	Standard Personal Care & Home Support	36	8	8	Orchid Care	£14.50	Awarded via Care Place Agency was chosen on the basis of: Availability, Capacity to start as required and Choice agreed with Client and/or Family/Advocates. Able to support Cultural, Physical and Psychological needs and provide the appropriate recommendation for identified care needs for ongoing support and to facilitate safe and appropriate discharge from hospital setting.
E794144	09/10/2019 8:24 AM	09/10/2019 10:24 AM	Standard Personal Care & Home Support	36	5	5	Surecare Enfield	£14.50	Awarded via Care Place Agency was chosen on the basis of: Availability, Capacity to start as required and Choice agreed with Client and/or Family/Advocates. Able to support Cultural, Physical and Psychological needs and provide the appropriate recommendation for identified care needs for ongoing support and to facilitate safe and appropriate discharge from hospital setting. Sincerely and Kind regards
L06813	09/10/2019 10:03 AM	09/10/2019 11:03 AM	Standard Personal Care & Home Support	34	6	6	Loyal Care Consortium Ltd	£14.50	POC accepted by Blessing Care, Orchid Care, Golden4Care (unable to use - provider concerns), Sure Care (unable to use - provider concerns), Loyal Care & BMF Social Care. POC awarded to Loyal Care as they have dealt with other complex cases with challenging behaviour.
N00738	09/10/2019 10:40 AM	09/10/2019 2:10 PM	Standard Personal Care & Home Support	36	7	5	Bluebird Care (Enfield)	£14.50	T/C back from son, he confirmed following my email, he would like to go ahead with Bluebird Care due to reading reviews.
E609129	09/10/2019 2:30 PM	09/10/2019 4:30 PM	Standard Personal Care & Home Support	37	7	4	Orchid Care	£14.50	T/C to s/u, discussed setting up LT POC, he was in receipt of this. I discussed selection of agency with Service user and advised that he can make the decision as to who it is or allow Brokerage to make this decision, he requested for Brokerage to make this decision. POC equally awarded to Orchid Care as not awarded to them recently.
E499519	10/10/2019 10:41 AM	10/10/2019 12:41 PM	Standard Personal Care & Home Support	36	13	10	Blessing Family Limited	£101.50	T/C from daughter, discussed POC. She advised that she has not made a decision as she is not good with technical things such as looking at reviews. I advised that ideally we would need to transfer this asap as we are blocking another s/u from receiving enab services. I advised to daughter that Brokerage can make a decision on who the care agency is for now and if things are not working out/daughter is unhappy, the agency can always be changed. Daughter was in receipt of this and agreed to go ahead with choice of agency.

									POC allocated to Blessing Family Ltd as not allocated recently - evenly distributing packages.
L02482	11/10/2019 11:20 AM	11/10/2019 1:20 PM	Standard Personal Care & Home Support	37	2	2	Loyal Care Consortium Ltd	£14.50	Call to NOK to discuss agency choice for enablement transfer - doesn't mind which agency as long they are good. Broker advise both are good. NOK suggests she would choose Loyal Care as agency name sound nice.
J10970	11/10/2019 1:14 PM	11/10/2019 3:14 PM	Standard Personal Care & Home Support	37	1	1	Kansas Home Care Ltd	£14.50	Kansas Homecare - offered - only bidder
E548540	14/10/2019 10:29 AM	14/10/2019 12:29 PM	Standard Personal Care & Home Support	37	8	5	Westminster Homecare (Enfiled/WF)	£14.50	Advised daughter that she can make decision or allow LA to do this, daughter agreed for Brokerage officer to make decision and she was fine with this. POC allocated to Westminster Homecare due to not allocating to this provider recently.
E550554	14/10/2019 2:46 PM	15/10/2019 11:00 AM	Standard Personal Care & Home Support	31	6	6	Blessing Family Limited	£253.75	She asked if I could recommend one. I explained four (one higher costing) have a good rating by the CQC and we do not have concerns. She agreed to proceed with Blessing Family Limited as they are the closest in location.
E661548	14/10/2019 3:25 PM	21/10/2019 2:00 PM	Standard Personal Care & Home Support	32	14	3	North London Homecare & Support Ltd	£17.75	Email from s/u's son, Antony. He met with North London Homecare & Support last week. However they won't be able to start the care until at least 3 weeks. He has queried about notice period he should give to Mears. Action: *Email sent to Antony with information requested. No further action required as s/u pays provider privately and son just required help finding alternative provider. Son to contact if any further queries.
E760560	14/10/2019 4:04 PM	15/10/2019 10:00 AM	Standard Personal Care & Home Support	33	4	1	Blowing Point Care	£14.50	Only Provider that bid for the Care package
E585339	14/10/2019 4:23 PM	15/10/2019 11:00 AM	Standard Personal Care & Home Support	33	5	3	Foremost Care UK Limited	£14.50	SU Obi states he would like to try Foremost care
SL E601331 141019	14/10/2019 8:20 PM	15/10/2019 10:30 AM	Standard Personal Care & Home Support	31	4	2	Blowing Point Care	£14.50	NOK wanted to go with blowing point as cqc results were Good
E691311	15/10/2019 1:45 PM	15/10/2019 4:30 PM	Standard Personal Care & Home Support	32	14	4	North London Asian Care	£14.50	T/c to NOK Explained referral to arrange long-term care, she requested I choose the provider. North London Asian Care selected as they have the best CQC rating out of the four and closest in location
E816328	16/10/2019 9:40 AM	16/10/2019 10:40 AM	Standard Personal Care & Home Support	33	4	2	Blowing Point Care	£14.50	T/C to niece to discuss POC, e-card etc. Explained how all works, niece confirmed she can manage e-card. Discussed agencies accepted - provided niece with CQC

									reports for both agencies, as Blowing Point have a CQC of good in all areas, NOK chose this agency
E816511	16/10/2019 10:49 AM	16/10/2019 11:42 AM	Standard Personal Care & Home Support	36	8	7	Sinan Care	£14.50	Awarded via Care Place Agency was chosen on the basis of: Availability, Capacity to start as required and Choice agreed with Client and/or Family/Advocates. Able to support Cultural, Physical and Psychological needs and provide the appropriate recommendation for identified care needs for ongoing support and to facilitate safe and appropriate discharge from hospital setting.
E550289	16/10/2019 11:47 AM	16/10/2019 12:07 PM	Standard Personal Care & Home Support	37	4	2	Blowing Point Care	£14.50	Awarded via Care Place Agency was chosen on the basis of: Availability, Capacity to start as required and Choice agreed with Client and/or Family/Advocates. Able to support Cultural, Physical and Psychological needs and provide the appropriate recommendation for identified care needs for ongoing support and to facilitate safe and appropriate discharge from hospital setting.
SL E561072 161019	16/10/2019 4:25 PM	16/10/2019 5:05 PM	Standard Personal Care & Home Support	1	1	1	Jays Homecare Limited	£14.50	Only Provider that bid for the Care package
E495559	17/10/2019 9:53 AM	17/10/2019 10:53 AM	Standard Personal Care & Home Support	33	4	2	North London Asian Care	£14.50	T/C from Rita to confirm choice of agency. She advised she has chosen NLAC and contacted them already
SL E648628 300919	18/10/2019 9:28 AM	18/10/2019 11:28 AM	Standard Personal Care & Home Support	33	4	2	Blowing Point Care	£14.50	s/u daughter is going ahead with Blowing Point Care and daughter has booked an assessment for today as services will need to commence tomorrow 22/10.
E813465	18/10/2019 2:05 PM	21/10/2019 10:00 AM	Standard Personal Care & Home Support	32	7	2	Jacaranda Healthcare	£14.50	Two providers have accepted on CarePlace and Mr Gardner requested I choose. Jacaranda selected, they have a good CQC (selected as closest in location and referred to the other provider last week). They will contact him to arrange assessment
E731746	18/10/2019 4:23 PM	21/10/2019 10:30 AM	Standard Personal Care & Home Support	32	7	2	Jacaranda Healthcare	£14.50	T/c from daughter, Yvonne. Provided name of the two providers accepted and their CQC ratings. Yvonne opted for Jacaranda Healthcare. She requested they contact her parents to arrange assessment.
E816508	21/10/2019 10:53 AM	21/10/2019 11:52 AM	Standard Personal Care & Home Support	32	5	4	Westminster Homecare (Enfiled/WF)	£14.50	T/c from Service user. She said Westminster Homecare is the only agency which stood out to her due to their location and asked what their CQC rating is. I advised her overall they're rated as 'requires improvement', good on 3 out of the 5 areas inspected and requires improvement on 2. I explained our Quality Assurance also inspect the agencies and work alongside them. Service user was still happy to proceed with Westminster. They will contact her to arrange assessment firstly.

E811912	21/10/2019 11:13 AM	21/10/2019 2:00 PM	Standard Personal Care & Home Support	32	6	4	Elmich Care Support at Home	£14.50	Explained referral to arrange long-term care, four providers have capacity. I asked if he would like to choose, but he requested I do. Elmich Care selected as they have a good CQC rating (other provider rated 'good' already awarded recently and other two 'require improvement'). They will contact him to arrange assessment firstly
I09294	21/10/2019 12:27 PM	21/10/2019 1:27 PM	Standard Personal Care & Home Support	31	5	4	Blowing Point Care	£14.50	T/c to Service user She asked me to read out the names, she didn't recognise any so asked me to choose one. Blowing Point Care selected as they have a good CQC rating (referred to less recently than other provider rated 'good', and other two 'require improvement').
E815990	21/10/2019 2:58 PM	23/10/2019 4:47 PM	Standard Personal Care & Home Support	34	6	1	Elmich Care Support at Home	£14.50	Only Provider that bid for the Care package
E815129	22/10/2019 9:55 AM	22/10/2019 5:00 PM	Standard Personal Care & Home Support	32	6	3	BMF Social Care Limited	£14.50	Son He confirmed NLAC advised them re ending and he wants a provider with a good CQC rating. BMF Social Care are the only provider with this (other two 'require improvement'), however they can't meet language request. NOK advised his mother doesn't speak Bengali anyway, it's Punjabi. He declined me putting referral back out with correct language, as said it's not a necessity. He agreed for BMF to contact him to arrange assessment.
E505603	22/10/2019 10:32 AM	22/10/2019 11:32 AM	Standard Personal Care & Home Support	34	3	1	Foremost Care UK Limited	£14.50	Only Provider that bid for the Care package
E536896	22/10/2019 10:47 AM	22/10/2019 12:47 PM	Standard Personal Care & Home Support	33	4	2	BMF Social Care Limited	£14.50	NOK son chose BMF social care
E806586	23/10/2019 9:38 AM	23/10/2019 11:37 AM	Standard Personal Care & Home Support	31	4	2	Blessing Family Limited	£101.50	S/u chose to go with Blessing Family as her choice of provider
E534636	23/10/2019 10:35 AM	23/10/2019 11:34 AM	Standard Personal Care & Home Support	34	3	2	Foremost Care UK Limited	£14.50	POC accepted by Foremost Care (only provider at £14.50 rate)
E488125	23/10/2019 11:21 AM	23/10/2019 1:21 PM	Standard Personal Care & Home Support	36	6	2	BMF Social Care Limited	£14.50	POC accepted by Golden4Care (unable to use/provider concerns) & BMF Social Care. POC allocated to BMF as they were the only agency to accept.
E779083	23/10/2019 3:37 PM	23/10/2019 4:37 PM	Standard Personal Care & Home Support	33	2	1	Orchid Care	£14.50	Only Provider that bid for the Care package
E812999	23/10/2019 5:02 PM	24/10/2019 5:00 PM	Standard Personal Care & Home Support	32	8	6	Elmich Care Support at Home	£14.50	6 providers have accepted, she requested I choose one. Explained 3 have been rated 'good' by CQC (she discounted those with require improvement), the closest in location is Elmich Care. She agreed to proceed with them

E640322	24/10/2019 4:01 PM	24/10/2019 5:03 PM	Standard Personal Care & Home Support	33	3	2	Sinan Care	£14.50	Broker gave two care agencies who bided on CP - BMF social care and Sinan Care. Daughter chose Sinan Care
SL E710734 241019	24/10/2019 4:45 PM	28/10/2019 1:15 PM	Standard Personal Care & Home Support	31	7	3	Turkish Cypriot Community Association	£14.50	Family chose provider and asked the broker to see if they had capacity - cultural reasons
E464649	25/10/2019 9:35 AM	25/10/2019 10:34 AM	Standard Personal Care & Home Support	36	8	8	Elmich Care Support at Home	£14.50	Spoke to the daughter to advise her that 8 provider have bid for the package, daughter wasn't sure what provider to pick, so i advised her that we go by CQC rating. She agreed with me and wanted a provider with good and above CQC. I advised her that i would pick Elmich on the basis that the provider has a good CQC and location for the family to go to the provider if there are any problems
E661601	25/10/2019 10:27 AM	25/10/2019 12:00 PM	Standard Personal Care & Home Support	31	10	4	Unique Care UK	£14.50	Unique Care UK selected as other 3 providers CQC report 'require improvement' overall and on 3 or more areas. Unique Care have not been inspected yet but have been inspected by internal Quality Assurance team and meet requirements.
H03412	28/10/2019 9:34 AM	28/10/2019 11:34 AM	Standard Personal Care & Home Support	32	3	2	Blessing Family Limited	£199.37	Broker suggests Paul to have Blessing Family to assess while broker waits for the PA carer / brother SU to decide for a PA carer as current care agency is ending and that we only have till Friday. NOKagreed on this and suggests Blessing Family to contact him and arrange AX for tomorrow afternoon.
E757886	28/10/2019 9:38 AM	01/11/2019 9:42 AM	Standard Personal Care & Home Support	32	9	1	Jacaranda Healthcare	£14.50	Only Provider that bid for the Care package
E561110	28/10/2019 11:29 AM	28/10/2019 12:29 PM	Standard Personal Care & Home Support	33	2	1	Cyprian Care	£14.50	Only Provider that bid for the Care package
E518837	28/10/2019 11:45 AM	28/10/2019 5:00 PM	Standard Personal Care & Home Support	31	8	2	Jacaranda Healthcare	£14.50	informed him of the above. He requested I choose. Explained one had recent inspection by CQC and require improvement on 4/5 areas and one is rated 'good' on 4/5 areas. John agreed to proceed with Jacaranda as good CQC rating. They will contact him to arrange assessment
E808977	28/10/2019 12:04 PM	28/10/2019 4:42 PM	Standard Personal Care & Home Support	31	9	1	Jacaranda Healthcare	£14.50	Only Provider that bid for the Care package
SL E469502 28.10.19	28/10/2019 2:19 PM	28/10/2019 6:00 PM	Standard Personal Care & Home Support	31	5	3	North London Homecare & Support Ltd	£17.75	wife and updated on the 3- agreed to go with the highest rating which is NLhomecare NLhomecare scored the highest so awrded to them on cp
E813314	29/10/2019 11:42 AM	29/10/2019 12:42 PM	Standard Personal Care & Home Support	32	6	6	Orchid Care	£14.50	Broker called the son on 30th October. Son picked the provider
SL E811012 29102019	29/10/2019 2:37 PM	30/10/2019 10:32 AM	Standard Personal Care & Home Support	33	4	4	Loyal Care Consortium Ltd	£14.50	called son back 30.10.19 decided on Loyal consortium due to cqc rating

SL E801730 291019	29/10/2019 4:26 PM	29/10/2019 4:35 PM	Standard Personal Care & Home Support	35	2	2	Foremost Care UK Limited	£14.50	Wife already with provider and husband wanted to go with that provider
E696958	30/10/2019 9:38 AM	30/10/2019 10:00 AM	Standard Personal Care & Home Support	32	6	5	Cyprian Care	£14.50	Above POC has been awarded to Cyprian Care as confirmed carers are familiar with providing support to s/u in Bridgewood House
SL E755860 301019	30/10/2019 10:35 AM	30/10/2019 4:47 PM	Standard Personal Care & Home Support	30	5	3	North London Asian Care	£14.50	Provider chosen as they bided second choice, first provider couldn't meet times- all e-mails uploaded in wisdom
E811852	30/10/2019 12:32 PM	30/10/2019 1:32 PM	Standard Personal Care & Home Support	31	5	3	Orchid Care	£14.50	Informed him regarding referral to arrange long-term carers and if he would like to choose the agency, he requested I choose. Orchid Care selected as they have the best CQC out of the three. They will contact him to arrange assessment firstly. He was fine with this.
E803031	30/10/2019 2:55 PM	30/10/2019 3:55 PM	Standard Personal Care & Home Support	32	5	1	Pristine Homecare, Care Agency , Support at Home	£66.50	Only Provider that bid for the Care package

Brokerage LA Performance (By Provider November 2019)

Client Reference	Sent To Providers	Package Status	Responses Required By	Service Level	No. Services Sent To	Responses	Positive Responses	Chosen Service	Unit Cost	Reason Provider Was Chosen
E675302	01/11/2019 10:09 AM	Complete	05/11/2019 5:00 PM	Standard Personal Care & Home Support	32	5	3	Mears Care - Laindon	£16.75	T/c to private carer, She passed the phone to Miss Ramsden. I explained referral to arrange long-term carers and she confirmed she would like Mears
E773063	01/11/2019 10:30 AM	Complete	05/11/2019 1:00 PM	Standard Personal Care & Home Support	32	6	3	Blessing Family Limited	£108.75	Broker informed dgt that Blessing Family, Orchid Care and Blowing Point bided on CP. Daughter choose Blessing Family as she checked on google that there were lost of reviews for this agency
E490235	01/11/2019 3:14 PM	Complete	01/11/2019 5:13 PM	Standard Personal Care & Home Support	32	4	1	Cyprian Care	£14.50	Only Provider that Bid
E813465	04/11/2019 9:39 AM	Complete	04/11/2019 10:39 AM	Standard Personal Care & Home Support	31	7	6	Angels Caring Care Ltd	£14.50	Checked CarePlace. Six providers have accepted. Angels Caring Care selected as closest in location, and out of the agencies with good CQC rating they have been referred to less recently

E658024	05/11/2019 12:12 PM	Complete	05/11/2019 1:12 PM	Standard Personal Care & Home Support	35	4	1	Jacaranda Healthcare	£14.50	Only Provider that Bid
E55880	05/11/2019 3:00 PM	Complete	05/11/2019 4:00 PM	Standard Personal Care & Home Support	35	5	1	Foremost Care UK Limited	£14.50	Only Provider that Bid
E816668	06/11/2019 10:30 AM	Complete	06/11/2019 11:30 AM	Standard Personal Care & Home Support	35	10	9	Elmich Care Support at Home	£14.50	Broker allocated to Elmich as not allocated any packages recently.
PER45101	06/11/2019 4:25 PM	Complete	06/11/2019 6:25 PM	Standard Personal Care & Home Support	35	5	2	Cyprian Care	£14.50	NOK would like to go with Cyprian care
PER54604	08/11/2019 11:11 AM	Complete	08/11/2019 11:40 AM	Standard Personal Care & Home Support	32	4	1	Foremost Care UK Limited	£14.50	Only Provider that Bid
PER42113	08/11/2019 1:04 PM	Complete	11/11/2019 4:03 PM	Standard Personal Care & Home Support	33	8	3	Sinan Care	£14.50	Sinan was indicated by CPN via telephone call with broker. Sinan Care advised only female carer was available in SU's post code area and Sinan Care agreed to give it a try and see how it goes.
PER9223	08/11/2019 2:37 PM	Complete	11/11/2019 10:30 AM	Standard Personal Care & Home Support	32	4	1	Elmich Care Support at Home	£14.50	Only Provider that Bid
PER48872	08/11/2019 3:39 PM	Complete	11/11/2019 11:00 AM	Standard Personal Care & Home Support	33	11	5	Westminster Homecare (Enfiled/WF)	£14.50	Checked CarePlace. Four providers have accepted. Westminster Homecare selected as best CQC and closest location (other provider with same CQC/location has just come off provider concerns, so awarded to Westminster as this is a difficult case).
PER57875	11/11/2019 11:37 AM	Complete	11/11/2019 12:36 PM	Standard Personal Care & Home Support	33	7	5	Angels Caring Care Ltd	£14.50	POC allocated to Angels Caring Care as could not get hold of NOK to discuss - NOK was fine with choice of agency as agency is close to where s/u resides.
PER9223	14/11/2019 2:54 PM	Complete	14/11/2019 3:54 PM	Standard Personal Care & Home Support	32	5	2	Angels Caring Care Ltd	£14.50	Checked CarePlace. Two providers have accepted. Angels Caring Care selected as I already awarded a package to other the provider this week
PER65930	18/11/2019 9:55 AM	Complete	18/11/2019 12:30 PM	Standard Personal Care & Home Support	33	4	3	Elmich Care Support at Home	£14.50	Change of provider - awarded to Elmich as good CQC

PER80337	19/11/2019 12:51 PM	Complete	19/11/2019 2:30 PM	Standard Personal Care & Home Support	33	4	1	Orchid Care	£14.50	Only Provider that Bid
PER58754	19/11/2019 3:01 PM	Complete	19/11/2019 4:01 PM	Standard Personal Care & Home Support	33	6	4	Foremost Care UK Limited	£14.50	Foremost Care UK selected as they are the closest in location
PER3551	19/11/2019 4:08 PM	Complete	19/11/2019 7:07 PM	Standard Personal Care & Home Support	1	1	1	Jacaranda Healthcare	£14.50	Only Provider that Bid
PER6769	20/11/2019 10:50 AM	Complete	20/11/2019 12:50 PM	Standard Personal Care & Home Support	31	13	13	Bluebird Care (Enfield)	£14.50	Request received to arrange care package, family requesting Bluebird Care
(PER49131)	20/11/2019 11:25 AM	Complete	20/11/2019 12:04 PM	Standard Personal Care & Home Support	31	5	4	Loyal Care Consortium Ltd	£14.50	T/C to DIL on landline - discussed POC to commence today, she was in receipt of this. Discussed agencies accepted - Orchid, Loyal, Primavera, Westminster. Daughter confirmed brokerage to make decision as to who the agency will be. Broker allocated equally to Loyal Care good CQC
PER73428	20/11/2019 11:43 AM	Complete	20/11/2019 12:43 PM	Standard Personal Care & Home Support	31	8	6	Angels Caring Care Ltd	£14.50	I asked if he would like to choose the provider but he requested I do as know which is best. Therefore Angels Caring Care selected as they're the only one rated 'good' by CQC.
PER66673	20/11/2019 4:04 PM	Complete	21/11/2019 10:30 AM	Standard Personal Care & Home Support	32	8	4	Cyprian Care	£14.50	T/c to s/u's son, Ali (07949 861 424). Informed him of the two providers accepted with Turkish speaking carers, Cyprian Care and Sinan Care. Ali chose Cyprian Care as he is aware of them
PER78533	20/11/2019 4:45 PM	Complete	21/11/2019 10:30 AM	Standard Personal Care & Home Support	32	10	5	Angels Caring Care Ltd	£14.50	S/u's wife has chosen Angels Caring Care
PER6613	22/11/2019 10:57 AM	Complete	22/11/2019 2:41 PM	Standard Personal Care & Home Support	33	7	5	Angels Caring Care Ltd	£14.50	Provided agencies who bided on CP: angels caring care, blowing point, elmich, first choice & orchid care. Dgt chose Angels Caring Care
PER65875	22/11/2019 3:55 PM	Complete	25/11/2019 10:03 AM	Standard Personal Care & Home Support	36	4	3	Verity Healthcare (Haringey)	£14.00	New POC was source for client: Verity healthcare, the client wanted a new provider as the previous one wasn't to the clients satisfaction. The client didn't mind which provider so Verity was chosen because of Good CQC rating

(PER79813)	26/11/2019 3:14 PM	Complete	26/11/2019 4:14 PM	Standard Personal Care & Home Support	34	5	5	Westminster Homecare (Enfield/WF)	£14.50	POC allocated to Westminster Homecare as broker has not allocated to them recently.
E529343	27/11/2019 11:22 AM	Complete	27/11/2019 12:22 PM	Standard Personal Care & Home Support	33	8	4	Sinan Care	£14.50	Grand-daughter chose Sinan Care as agency name sounded turkish and mgr name Hassan sounded Turkish
PER58153	29/11/2019 10:03 AM	Complete	29/11/2019 11:03 AM	Standard Personal Care & Home Support	32	5	5	Elmich Care Support at Home	£14.50	Daughter choose Elmich care as suggests as agency has been with LBE for some time and has a good CQC and like the sound of this agency.
PER72257	29/11/2019 4:50 PM	Complete	02/12/2019 11:02 AM	Standard Personal Care & Home Support	33	4	1	Angels Caring Care Ltd	£14.50	Only Provider that Bid

Brokerage LA Performance (By Provider December 2019)

Client Reference	Sent To Providers	Package Status	Responses Required By	Service Level	No. Services Sent To	Responses	Positive Responses	Chosen Service	Unit Cost	Reason Provider Was Chosen
PER78356	02/12/2019 4:06 PM	Complete	02/12/2019 5:06 PM	Standard Personal Care & Home Support	34	5	5	Blowing Point Care	£14.50	Broker explained all agencies are CQC registered with all good ratings and approved by QA team to provide care to SUs in Enfield. Daughter chose Blowing Point Care and agreed for agency to contact her after 3pm
PER30880	03/12/2019 12:58 PM	Complete	03/12/2019 2:58 PM	Standard Personal Care & Home Support	33	5	2	Angels Caring Care Ltd	£14.50	T/C to NOK discussed agencies and allowed to make the decision or for broker to. Discussed CQC rating with mother. Cyprian = Requires improvement & Angels Caring Care = Good. Upon this info, NOK chose to go ahead with Angels Caring Care.
PER32037	04/12/2019 12:19 PM	Complete	04/12/2019 2:19 PM	Standard Personal Care & Home Support	32	1	1	Orchid Care	£14.50	Only provider that Bid

PER70288	04/12/2019 12:24 PM	Complete	04/12/2019 1:23 PM	Standard Personal Care & Home Support	32	6	3	Angels Caring Care Ltd	£14.50	Call to s/u dtr - discussed care agencies who bided on CP - Angels, Kanassas and Westminster homecare. Advised daughter that Angels and Kanzas have an 'all good' CQC, and Westminster require improvement, however QA team have approved all the three agencies to support LBE SUs. Daughter states she leave out Westminster homecare and decided to choose Angels Caring Care.
PER1651	04/12/2019 5:42 PM	Complete	05/12/2019 4:42 PM	Standard Personal Care & Home Support	30	8	6	Surecare Enfield	£14.50	T/C to EP, gave her the names of the 5 providers Who chose the provider: the s/user which provider was chosen: Sure Care reason: location
PER57215	09/12/2019 11:34 AM	Complete	09/12/2019 12:14 PM	Standard Personal Care & Home Support	31	10	8	Global North London Business School	£14.50	package awarded to Global North London at the s/users request
PER78055	09/12/2019 11:52 AM	Complete	09/12/2019 12:52 PM	Standard Personal Care & Home Support	32	5	2	Blowing Point Care	£14.50	NOK asked which agencies were available again. Broker informed Blowing Point with all good CQC report and First Choice who is still be inspected in the five areas but have passed basic registration checks with CQC, and both agencies are approved by LBE. NOK chose Blowing Point Care
PER8161	09/12/2019 2:35 PM	Complete	10/12/2019 11:00 AM	Standard Personal Care & Home Support	31	4	2	Orchid Care	£14.50	Orchid care will be providing a POC from tomorrow, this provider was chosen as this was the only one to respond on careplace that had capacity to provide the care for the client.
PER80297	10/12/2019 2:42 PM	Complete	10/12/2019 3:42 PM	Standard Personal Care & Home Support	31	6	3	Cyprian Care	£14.50	Referral sent to Cyprian Care chosen by daughter as per email below:

PER15187	10/12/2019 3:58 PM	Complete	11/12/2019 10:06 AM	Standard Personal Care & Home Support	31	4	3	Blowing Point Care	£14.50	Blowing Point will be starting a POC for the client from 12/12/2019 PM, this provider was chosen because it was the best rated provider out of the 3 that responded on careplace.
PER76874	11/12/2019 11:46 AM	Complete	11/12/2019 1:00 PM	Standard Personal Care & Home Support	30	6	4	Angels Caring Care Ltd	£14.50	T/C to Sheila, she selected Angels Caring Care based on their CQC...
PER8441	12/12/2019 4:20 PM	Complete	13/12/2019 10:09 AM	Standard Personal Care & Home Support	31	2	1	Cyprian Care	£14.50	Only provider that Bid
PER46629	13/12/2019 11:03 AM	Complete	13/12/2019 12:03 PM	Standard Personal Care & Home Support	30	3	2	Unique Care UK	£14.50	Provider selected by broker: Unique Care UK Reason: GOOD cqc rating in 3 areas, plus location is in EN3 close to s/users address
Google	16/12/2019 1:55 PM	Complete	16/12/2019 2:54 PM	Standard Personal Care & Home Support	31	3	1	Loyal Care Consortium Ltd	£14.50	Only provider that Bid
PER69366	16/12/2019 3:17 PM	Complete	16/12/2019 5:17 PM	Standard Personal Care & Home Support	30	6	1	Verity Healthcare (Haringey)	£14.50	Only provider that Bid
PER13248	17/12/2019 11:20 AM	Complete	17/12/2019 1:50 PM	Standard Personal Care & Home Support	30	3	1	Cyprian Care	£14.50	Only provider that Bid
PER64705	17/12/2019 3:03 PM	Complete	18/12/2019 10:00 AM	Standard Personal Care & Home Support	30	3	1	Cyprian Care	£14.50	Only provider that Bid
PER30400	18/12/2019 9:46 AM	Complete	18/12/2019 11:46 AM	Standard Personal Care & Home Support	31	3	1	Elmich Care Support at Home	£14.50	Only provider that Bid
PER30283	18/12/2019 10:28 AM	Complete	18/12/2019 12:28 PM	Standard Personal Care & Home Support	30	7	2	North London Asian Care	£14.50	2nd T/C to LB, to discuss which provider she would like to choose from Foremost Care and NLAC.Provider chosen by: s/username of provider: NLACReason: Good CQC rating and location close to s/users home in N11
PER40055	18/12/2019 2:46 PM	Complete	18/12/2019 4:46 PM	Standard Personal Care & Home Support	32	2	1	Loyal Care Consortium Ltd	£14.50	Only provider that Bid

PER24387	19/12/2019 12:44 PM	Complete	20/12/2019 9:30 AM	Standard Personal Care & Home Support	29	5	3	First Choice Medical Solutions Ltd	£14.50	spoke to Clive, he accepted First Choice Medical
PER5516	20/12/2019 11:31 AM	Complete	23/12/2019 9:23 AM	Standard Personal Care & Home Support	30	4	2	First Choice Medical Solutions Ltd	£14.50	DIL - states she would like to go with First Choice Med Solutions.
PER62564	20/12/2019 11:53 AM	Complete	20/12/2019 12:33 PM	Standard Personal Care & Home Support	34	3	1	First Choice Medical Solutions Ltd	£14.50	Only provider that Bid
PER52154	20/12/2019 12:22 PM	Complete	20/12/2019 2:22 PM	Standard Personal Care & Home Support	29	4	1	Sinan Care	£14.50	Only provider that Bid
PER66501	20/12/2019 12:44 PM	Complete	20/12/2019 1:30 PM	Standard Personal Care & Home Support	32	3	1	Foremost Care UK Limited	£14.50	Only provider that Bid
PER79662	20/12/2019 3:09 PM	Complete	20/12/2019 5:09 PM	Standard Personal Care & Home Support	30	4	3	Loyal Care Consortium Ltd	£14.50	Call to Grand daughter provided three agencies with CQC inspection updates who bided on CP = Loyal Care - CQC all good, Orchid Care - CQC req improvement and Westminster homecare - CQC require improvement. Michelle decided to choose Loyal Care.
PER54604	23/12/2019 12:49 PM	Complete	23/12/2019 2:49 PM	Standard Personal Care & Home Support	31	3	1	Angels Caring Care Ltd	£14.50	Only provider that Bid
PER5516	23/12/2019 3:36 PM	Complete	08/01/2020 10:00 AM	Standard Personal Care & Home Support	29	6	4	Bluebird Care (Enfield)	£14.50	VM received from DIL Carol informing broker that she would like to choose Bluebird care and would like AX to be next Tuesday
PER7080	30/12/2019 10:06 AM	Complete	30/12/2019 12:06 PM	Standard Personal Care & Home Support	31	4	4	Bluebird Care (Enfield)	£14.50	S/u chose the agency herself and wants to go with Bluebird.
PER62564	30/12/2019 1:27 PM	Complete	30/12/2019 3:27 PM	Standard Personal Care & Home Support	34	4	2	Cyprian Care	£14.50	Cyprian Care were only agency to bid, s/u has not rec'd services from this agency as other provider bid already had s/u in the past
PER47048	30/12/2019 1:40 PM	Complete	31/12/2019 11:40 AM	Standard Personal Care & Home Support	31	4	1	Verity Healthcare (Haringey)	£14.50	Only provider that Bid

PER80893	30/12/2019 4:26 PM	Complete	31/12/2019 10:26 AM	Standard Personal Care & Home Support	31	3	1	Bluebird Care (Enfield)	£14.50	Only provider that Bid
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Brokerage LA Performance (By Provider January 2020)

Package Reference	Sent to providers	Package Status	Response required By	Service Level	No. Services Sent To	Responses	Positive response	Chosen Service	Unit Cost	Reason Why Provider was Chosen
PER8035	03/01/2020 12:32 PM	Complete	03/01/2020 1:32 PM	Standard Personal Care & Home Support	34	5	4	Angels Caring Care Ltd	£14.50	Both agencies CQC of 'good' - allocated to Angels Caring Care as broker has not assigned recently.
PER54604	03/01/2020 3:17 PM	Complete	03/01/2020 3:26 PM	Standard Personal Care & Home Support	34	3	3	Unique Care UK	£14.50	POC allocated to Unique Care (not commissioned POC recently with Unique Care & first to confirm capacity
PER18258	06/01/2020 10:32 AM	Complete	06/01/2020 11:32 AM	Standard Personal Care & Home Support	29	5	4	Kansas Home Care Ltd	£14.50	Daughter states she will choose the care agency that has a name of 'K'. Broker said that would be Kansas homecare.
PER80504	06/01/2020 12:47 PM	Complete	06/01/2020 1:22 PM	Standard Personal Care & Home Support	30	6	6	Bluebird Care (Enfield)	£14.50	package awarded to Bluebird Care, as requested by the s/user
PER26502	07/01/2020 10:41 AM	Complete	07/01/2020 11:41 AM	Standard Personal Care & Home Support	35	7	5	North London Asian Care	£14.50	T/C from DIL Lynn to confirm choice of agency - this is NLAC and Lynn has already confirmed that she has spoken to manager Churinda about POC.
PER78551	07/01/2020 11:21 AM	Complete	07/01/2020 1:20 PM	Standard Personal Care & Home Support	30	7	5	Foremost Care UK Limited	£14.50	Bernard Kingprovider selected : Foremost Care UKreason: reviewed

										the most recent CQC report / GOOD cqc report
PER49254	07/01/2020 3:14 PM	Complete	15/01/2020 1:00 PM	Standard Personal Care & Home Support	29	14	11	Foremost Care UK Limited	£14.50	Call to daughter confirms would like to go for Foremost care.
PER80635	08/01/2020 2:57 PM	Complete	08/01/2020 4:55 PM	Standard Personal Care & Home Support	30	5	5	Loyal Care Consortium Ltd	£14.50	T/C to S/U gave the details of all 4 providers, including the office locations and the current CQC ratings.Provider chosen by: Annette SmithChosen Provider: Loyal Care Consortiumreason: GOOD cqc rating..
PER52737	09/01/2020 12:14 PM	Complete	09/01/2020 2:13 PM	Standard Personal Care & Home Support	30	8	7	Elmich Care Support at Home	£14.50	provider chosen by Marian: Elmich Care reason: GOOD cqc rating and office located in N9 area
PER65618	09/01/2020 4:09 PM	Complete	10/01/2020 10:00 AM	Standard Personal Care & Home Support	30	6	5	North London Asian Care	£14.50	brokerage to choose the agency on her behalf.chosen provider: NLACreason selected: GOOD cqc rating and office location
PER5633	09/01/2020 4:34 PM	Complete	09/01/2020 6:34 PM	Standard Personal Care & Home Support	35	4	2	Unique Care UK	£14.50	T/C back from NOK discussed agencies accepted. NOK confirmed to go ahead with Unique Care.
PER77559	13/01/2020 9:52 AM	Complete	13/01/2020 11:52 AM	Standard Personal Care & Home Support	34	6	4	Global North London Business School	£14.50	T/C back from Anne - confirmed to go ahead with choice of Global North London.
PER75181	14/01/2020 4:39 PM	Complete	15/01/2020 9:51 AM	Standard Personal Care & Home Support	30	1	1	Cyprian Care	£152.25	Cyprian Care will be providing a POC for the client, this agency was chosen as they were the only provider able to take on the package at such short notice
PER15258	22/01/2020 10:14 AM	Complete	22/01/2020 12:14 PM	Standard Personal Care & Home Support	30	6	5	North London Asian Care	£14.50	Son researched the agencies and decided to go ahead with NLAC
PER9331	22/01/2020 12:31 PM	Complete	22/01/2020 1:31 PM	Standard Personal Care & Home Support	31	8	7	Elmich Care Support at Home	£14.50	Call from NOK informed broker she would like to choose Elmich Care
PER73575	23/01/2020 10:03 AM	Complete	23/01/2020 12:12 PM	Standard Personal Care & Home Support	31	3	2	Loyal Care Consortium Ltd	£14.50	Call from NOK SIL returning broker's call. states she can choose care agency now.NOK confirms SU is moving to EN1 states she would choose Loyal Care Consortium....
PER30837	24/01/2020 1:46 PM	Complete	24/01/2020 2:53 PM	Standard Personal Care & Home Support	30	6	2	Mears Care - Laindon	£16.75	Bluebird was due to take package but s/u didn't like them so went with the other provider Mears

PER74091	27/01/2020 10:33 AM	Complete	27/01/2020 12:00 PM	Standard Personal Care & Home Support	32	8	7	Jays Homecare Limited	£14.50	Jays Home Care will be providing a POC for the client from 30/01/2020 Tea Time, This provider was chosen because of fair distribution of new POC's
PER60007	28/01/2020 10:25 AM	Complete	28/01/2020 11:25 AM	Standard Personal Care & Home Support	35	8	8	Angels Caring Care Ltd	£14.50	Email rec'd from daughter regarding decision on care agency - daughter chose Angels Caring Care
PER5645	28/01/2020 12:07 PM	Complete	28/01/2020 1:20 PM	Standard Personal Care & Home Support	32	5	5	Loyal Care Consortium Ltd	£14.50	Loyal Care Consortium are providing a POC for the client starting from 28/01/2020 PM, this provider was chosen as they were the only provider able to take the package for the required start date and time.
PER36952	30/01/2020 11:09 AM	Complete	30/01/2020 1:09 PM	Standard Personal Care & Home Support	32	3	2	Loyal Care Consortium Ltd	£14.50	Email rec'd from Sheryl (granddaughter), Sheryl has chosen Loyal Care

Brokerage LA Performance (By Provider February 2020)

Client Reference	Sent To Providers	Package Status	Responses Required By	Service Level	No. Services Sent To	Responses	Positive Responses	Chosen Service	Unit Cost	Reason Provider Was Chosen
PER77806	03/02/2020 3:31 PM	Complete	03/02/2020 4:31 PM	Standard Personal Care & Home Support	30	6	4	Foremost Care UK Limited	£14.50	Foremost Care UK selected as out of the two with a good CQC they are the closest in location.
PER34184	04/02/2020 11:53 AM	Complete	04/02/2020 12:52 PM	Standard Personal Care & Home Support	31	2	1	Loyal Care Consortium Ltd	£14.50	Only provider that Bid
PER79748	04/02/2020 12:41 PM	Complete	06/02/2020 1:06 PM	Standard Personal Care & Home Support	31	8	1	Jacaranda Healthcare	£14.50	Only provider that Bid
PER80581	05/02/2020 11:49 AM	Complete	05/02/2020 3:49 PM	Standard Personal Care & Home Support	32	4	2	Elmich Care Support at Home	£14.50	Hospital discharge - provider was able to start the care package straight away
PER55823	05/02/2020 12:21 PM	Complete	05/02/2020 2:21 PM	Standard Personal Care & Home Support	31	9	7	Blowing Point Care	£14.50	Package awarded to Blowing Point Care, Reason: fair distribution of new care packages and GOOD cqc rating

PER51351	05/02/2020 12:44 PM	Complete	05/02/2020 4:44 PM	Standard Personal Care & Home Support	30	11	8	Surecare Enfield	£14.50	NOK states he would like any care agency with a CQC rating with all good, agreed to go with Sure Care
PER60098	05/02/2020 1:24 PM	Complete	05/02/2020 3:24 PM	Standard Personal Care & Home Support	31	6	2	Jays Homecare Limited	£14.50	Package awarded to Jays Homecare, broker selected for fair distribution of new care packages and GOOD cqc rating.
PER51351	06/02/2020 2:40 PM	Complete	06/02/2020 3:39 PM	Standard Personal Care & Home Support	30	6	5	Loyal Care Consortium Ltd	£14.50	Martin decided to go for Loyal Care who were the only agency on list who has 'overall good CQC'....
PER67094	07/02/2020 1:14 PM	Complete	07/02/2020 2:14 PM	Standard Personal Care & Home Support	32	5	3	Orchid Care	£14.50	NOK wife chose Orchid Care.
PER58805	10/02/2020 3:33 PM	Complete	10/02/2020 5:33 PM	Standard Personal Care & Home Support	32	6	1	Loyal Care Consortium Ltd	£14.50	Only provider that Bid
PER81932	10/02/2020 5:22 PM	Complete	12/02/2020 10:25 AM	Standard Personal Care & Home Support	31	8	1	Loyal Care Consortium Ltd	£14.50	Only provider that Bid
PER24305	11/02/2020 10:33 AM	Complete	11/02/2020 12:33 PM	Standard Personal Care & Home Support	31	6	3	Loyal Care Consortium Ltd	£14.50	T/C to DIL (Lisa), the family have chosen Loyal Care based on their GOOD cqc rating
PER69366	11/02/2020 12:08 PM	Complete	11/02/2020 2:30 PM	Standard Personal Care & Home Support	31	9	3	North London Asian Care	£14.50	North London Asian Care selected due to fair distribution and good CQC
PER1816	12/02/2020 10:31 AM	Complete	12/02/2020 12:31 PM	Standard Personal Care & Home Support	31	5	1	Foremost Care UK Limited	£14.50	Only provider that Bid
PER79419	12/02/2020 3:17 PM	Complete	13/02/2020 9:17 AM	Standard Personal Care & Home Support	31	6	3	Foremost Care UK Limited	£14.50	Foremost Care will be taking over care for the client from Friday 14/02/2020, this provider was chosen as they were the only GOOD rated provider that accepted on careplace.
PER1536	13/02/2020 2:51 PM	Complete	13/02/2020 3:20 PM	Standard Personal Care & Home Support	31	5	2	Orchid Care	£14.50	Checked CarePlace, two providers have accepted. Orchid Care selected as they have a good CQC (other requires improvement).

PER66531	13/02/2020 4:54 PM	Complete	14/02/2020 11:00 AM	Standard Personal Care & Home Support	32	8	7	Primavera Domiciliary Care Services Limited	£14.50	Primavera selected due to good CQC rating and fair distribution of awarding to care providers
PER80727	14/02/2020 4:03 PM	Complete	17/02/2020 10:00 AM	Standard Personal Care & Home Support	31	4	1	North London Asian Care	£14.50	Only provider that Bid
PER32345	17/02/2020 10:43 AM	Complete	17/02/2020 12:42 PM	Standard Personal Care & Home Support	31	5	1	Jacaranda Healthcare	£14.50	Only provider that Bid
PER56367	17/02/2020 12:55 PM	Complete	17/02/2020 1:55 PM	Standard Personal Care & Home Support	35	4	3	Loyal Care Consortium Ltd	£14.50	T/C to NOK Guy - he advised to go ahead with Loyal Care
PER2698	17/02/2020 4:29 PM	Complete	18/02/2020 10:00 AM	Standard Personal Care & Home Support	31	5	4	Elmich Care Support at Home	£14.50	T/c to s/u's daughter,. Informed her of the above, she requested I select the provider. Elmich Care selected due to good CQC and closest location
PER81262	18/02/2020 11:22 AM	Complete	18/02/2020 1:22 PM	Standard Personal Care & Home Support	32	3	2	Orchid Care	£14.50	T/C to brother Ali to discuss choice of agency, he allowed broker to make this decision. Allocated to Orchid Care as broker allocated to Foremost Care this morning.
PER81757	18/02/2020 12:12 PM	Complete	18/02/2020 2:11 PM	Standard Personal Care & Home Support	31	6	6	Elmich Care Support at Home	£14.50	poc awarded to Elmich, GOOD cqc rating and nearest location to s/user.
PER78175	19/02/2020 12:12 PM	Complete	19/02/2020 4:00 PM	Standard Personal Care & Home Support	31	4	1	Blowing Point Care	£14.50	Only provider that Bid
PER66505	19/02/2020 12:52 PM	Complete	19/02/2020 1:51 PM	Standard Personal Care & Home Support	36	3	3	Orchid Care	£14.50	POC allocated fairly to Orchid Care as Elmich and Foremost Care have been allocated packages recently.
PER32394	19/02/2020 2:20 PM	Complete	19/02/2020 4:20 PM	Standard Personal Care & Home Support	35	3	1	Loyal Care Consortium Ltd	£14.50	Only provider that Bid
PER82128	19/02/2020 4:46 PM	Complete	19/02/2020 5:46 PM	Standard Personal Care & Home Support	36	3	1	Blowing Point Care	£14.50	Only provider that Bid

PER82162	20/02/2020 2:25 PM	Complete	20/02/2020 3:33 PM	Standard Personal Care & Home Support	36	1	1	Elmich Care Support at Home	£14.50	Only provider that Bid
PER47124	20/02/2020 2:31 PM	Complete	20/02/2020 4:20 PM	Standard Personal Care & Home Support	36	2	1	Blowing Point Care	£14.50	Only provider that Bid
PER54795	20/02/2020 2:38 PM	Complete	20/02/2020 3:17 PM	Standard Personal Care & Home Support	35	2	1	Jacaranda Healthcare	£14.50	Only provider that Bid
PER60862	20/02/2020 4:09 PM	Complete	21/02/2020 10:00 AM	Standard Personal Care & Home Support	31	4	1	Elmich Care Support at Home	£14.50	Only provider that Bid
PER80229	21/02/2020 9:56 AM	Complete	21/02/2020 11:56 AM	Standard Personal Care & Home Support	30	4	3	Bluebird Care (Enfield)	£14.50	Work list received to arrange long-term care. S/u requesting Bluebird Care
PER66565	21/02/2020 10:16 AM	Complete	21/02/2020 11:15 AM	Standard Personal Care & Home Support	30	3	1	Elmich Care Support at Home	£14.50	T/c to s/u's daughter, Informed her only one provider has accepted, Elmich Care
PER80293	21/02/2020 11:19 AM	Complete	21/02/2020 1:19 PM	Standard Personal Care & Home Support	35	5	1	Jacaranda Healthcare	£14.50	Only provider that Bid
PER80529	21/02/2020 4:28 PM	Complete	21/02/2020 4:38 PM	Standard Personal Care & Home Support	36	1	1	North London Asian Care	£14.50	Only provider that Bid
PER32304	24/02/2020 3:47 PM	Complete	27/02/2020 12:00 PM	Standard Personal Care & Home Support	30	10	4	Bluebird Care (Enfield)	£14.50	Daughter spoke to Service user , and confirms they would like to choose Bluebird
PER33432	24/02/2020 3:56 PM	Complete	27/02/2020 5:00 PM	Standard Personal Care & Home Support	31	5	3	Surecare Enfield	£14.50	T/c to s/u's niece, she requested I choose. Surecare selected as rated good by CQC (other two require improvement),
PER82088	25/02/2020 10:30 AM	Complete	25/02/2020 12:30 PM	Standard Personal Care & Home Support	35	5	1	Global North London Business School	£14.50	Only provider that Bid
PER62383	25/02/2020 10:39 AM	Complete	25/02/2020 11:38 AM	Standard Personal Care & Home Support	35	3	2	Cyprian Care	£14.50	Allocated to Cyprian Care as broker has not allocated to them recently

SL PER79419 250220	25/02/2020 10:59 AM	Complete	25/02/2020 12:28 PM	Standard Personal Care & Home Support	29	3	1	Cyprian Care	£14.50	Only provider that Bid
PER78809	26/02/2020 10:54 AM	Complete	27/02/2020 10:00 AM	Standard Personal Care & Home Support	30	7	1	First Choice Medical Solutions Ltd	£14.50	Only provider that Bid
PER48963	26/02/2020 11:39 AM	Complete	27/02/2020 11:20 AM	Standard Personal Care & Home Support	31	5	1	Elmich Care Support at Home	£14.50	Only provider that Bid
PER68563	26/02/2020 11:45 AM	Complete	27/02/2020 10:21 AM	Standard Personal Care & Home Support	31	6	1	Elmich Care Support at Home	£14.50	Only provider that Bid
PER3021	27/02/2020 11:54 AM	Complete	27/02/2020 1:54 PM	Standard Personal Care & Home Support	30	8	4	Jays Homecare Limited	£14.50	T/c to s/u's daughter, she requested I choose. Jays Homecare selected due to fair distribution
PER81938	27/02/2020 12:09 PM	Complete	27/02/2020 2:09 PM	Standard Personal Care & Home Support	30	6	2	Cyprian Care	£14.50	poc awarded to Cyprian Care for fair distribution of new packages, selected by the brokerage officer
PER58603	27/02/2020 12:22 PM	Complete	06/03/2020 5:00 PM	Standard Personal Care & Home Support	30	9	2	Cyprian Care	£14.50	NOK confirmed that they would like to go with Cyprian Care as the provider has Turkish speaking care workers

Brokerage LA Performance (By Provider March 2020)

Client Reference	Sent To Providers	Package Status	Responses Required By	Service Level	No. Services Sent To	Responses	Positive Responses	Chosen Service	Unit Cost	Reason Provider Was Chosen
PER2666	02/03/2020 10:45 AM	Complete	02/03/2020 11:45 AM	Standard Personal Care & Home Support	35	3	2	Cyprian Care	£14.50	Provider chosen by NOK
PER82257	02/03/2020 1:43 PM	Complete	02/03/2020 2:43 PM	Standard Personal Care & Home Support	35	2	2	Primavera Domiciliary Care Services Limited	£14.50	T/c from Brokerage with update that Blue bird Agency has declined the POC due to capacity . So had to go with alternative provider

PER3504	02/03/2020 2:39 PM	Complete	03/03/2020 12:04 PM	Standard Personal Care & Home Support	31	7	1	Westminster Homecare (Enfiled/WF)	£14.50	Only Provider that Bid
PER62425	02/03/2020 4:16 PM	Complete	03/03/2020 10:00 AM	Standard Personal Care & Home Support	30	4	1	Elmich Care Support at Home	£14.50	Only Provider that Bid
PER59841	02/03/2020 4:46 PM	Complete	05/03/2020 3:52 PM	Standard Personal Care & Home Support	31	8	2	Surecare Enfield	£14.50	IWE ENAB package awarded to Sure Care as other provider was higher cost per hour
PER78273	02/03/2020 4:51 PM	Complete	03/03/2020 10:30 AM	Standard Personal Care & Home Support	29	6	2	Foremost Care UK Limited	£14.50	Provider chosen by NOK due to CQC
PER82119	03/03/2020 1:34 PM	Complete	03/03/2020 3:34 PM	Standard Personal Care & Home Support	35	5	3	BMF Social Care Limited	£14.50	NOK / daughter Sophie chosen provider due to CQC
SL PER71470 03032020	03/03/2020 2:17 PM	Complete	03/03/2020 4:16 PM	Standard Personal Care & Home Support	30	7	1	Sinan Care	£14.50	Only Provider that Bid
PER37751	03/03/2020 2:31 PM	Complete	03/03/2020 3:31 PM	Standard Personal Care & Home Support	29	2	1	Jays Homecare Limited	£14.50	Only Provider that Bid
PER34543	03/03/2020 2:49 PM	Complete	03/03/2020 4:49 PM	Standard Personal Care & Home Support	35	7	1	First Choice Medical Solutions Ltd	£14.50	Only Provider that Bid
PER80732	03/03/2020 3:29 PM	Complete	03/03/2020 5:28 PM	Standard Personal Care & Home Support	30	4	1	Sinan Care	£14.50	Only Provider that Bid
PER51362	04/03/2020 2:34 PM	Complete	05/03/2020 4:34 PM	Standard Personal Care & Home Support	31	9	5	Primavera Domiciliary Care Services Limited	£14.50	Primavera selected due to fair distribution and good CQC.
PER57768	05/03/2020 5:30 PM	Complete	18/03/2020 4:13 PM	Standard Personal Care & Home Support	29	9	1	Mears Care - Laindon	£16.75	Only Provider that Bid
PER 72510	10/03/2020 8:55 AM	Complete	10/03/2020 9:55 AM	Standard Personal Care & Home Support	35	2	1	Blowing Point Care	£14.50	Only Provider that Bid
PER80451	10/03/2020 1:27 PM	Complete	17/03/2020 3:13 PM	Standard Personal Care & Home Support	30	7	1	Cyprian Care	£14.50	Only Provider that Bid

PER46068	10/03/2020 3:04 PM	Complete	11/03/2020 5:00 PM	Standard Personal Care & Home Support	29	5	1	North London Asian Care	£14.50	Only Provider that Bid
PER35718	11/03/2020 3:33 PM	Complete	11/03/2020 3:54 PM	Standard Personal Care & Home Support	35	2	1	Loyal Care Consortium Ltd	£14.50	Only Provider that Bid
PER78486	11/03/2020 3:41 PM	Complete	12/03/2020 10:11 AM	Standard Personal Care & Home Support	30	5	1	Cyprian Care	£14.50	Only Provider that Bid
PER26849	12/03/2020 5:04 PM	Complete	13/03/2020 11:03 AM	Standard Personal Care & Home Support	30	4	4	Global North London Business School	£14.50	Call to SU, suggests she would first choose Blowing Point and second choice will be Global NL Bus School
PER9968	18/03/2020 3:30 PM	Complete	18/03/2020 5:30 PM	Standard Personal Care & Home Support	31	8	4	Sinan Care	£14.50	NOK select Sinan Care due to good CQC
PER65990	19/03/2020 10:27 AM	Complete	25/03/2020 12:59 PM	Standard Personal Care & Home Support	30	4	1	Loyal Care Consortium Ltd	£14.50	Only Provider that Bid
PER21441	19/03/2020 10:56 AM	Complete	20/03/2020 10:00 AM	Standard Personal Care & Home Support	30	2	1	Elmich Care Support at Home	£14.50	Only Provider that Bid
PER77680	19/03/2020 12:46 PM	Complete	19/03/2020 3:34 PM	Standard Personal Care & Home Support	31	2	1	Mears Care - Laindon	£16.75	Only Provider that Bid
PER6365	20/03/2020 10:08 AM	Complete	20/03/2020 11:17 AM	Standard Personal Care & Home Support	31	6	6	Kangaroo Healthcare	£14.50	Only provider that was able to start asap - hospital discharge
PER54377	20/03/2020 10:25 AM	Complete	20/03/2020 10:57 AM	Standard Personal Care & Home Support	30	4	3	Kangaroo Healthcare	£14.50	awarded to Kangaroo, even distribution of new packages
PER75951	20/03/2020 3:24 PM	Complete	08/04/2020 12:00 PM	Standard Personal Care & Home Support	29	3	1	First Choice Medical Solutions Ltd	£14.50	Only provider that Bid
PER80372	20/03/2020 3:47 PM	Complete	20/03/2020 4:56 PM	Standard Personal Care & Home Support	30	2	1	North London Asian Care	£14.50	Only provider that bid
PER82573	20/03/2020 3:49 PM	Complete	20/03/2020 4:20 PM	Standard Personal Care & Home Support	30	3	1	North London Asian Care	£14.50	Only provider that Bid

PER82497	20/03/2020 4:49 PM	Complete	20/03/2020 5:24 PM	Standard Personal Care & Home Support	30	1	1	Elmich Care Support at Home	£14.50	Only Provider that Bid
PER80347	23/03/2020 10:26 AM	Complete	23/03/2020 12:25 PM	Standard Personal Care & Home Support	31	4	1	Foremost Care UK Limited	£14.50	Only Provider that Bid
PER69839	23/03/2020 1:13 PM	Complete	23/03/2020 2:13 PM	Standard Personal Care & Home Support	34	2	1	Sinan Care	£14.50	Only Provider that Bid
PER82415	23/03/2020 5:10 PM	Complete	26/03/2020 5:19 PM	Standard Personal Care & Home Support	30	5	1	First Choice Medical Solutions Ltd	£14.50	Only Provider that Bid
PER75604	24/03/2020 5:13 PM	Complete	25/03/2020 9:15 AM	Standard Personal Care & Home Support	30	2	1	Loyal Care Consortium Ltd	£14.50	Only provider that Bid
PER2896	25/03/2020 10:54 AM	Complete	25/03/2020 11:46 AM	Standard Personal Care & Home Support	30	4	4	First Choice Medical Solutions Ltd	£14.50	Only provider that was able to start package urgently from hospital discharge
PER5423	26/03/2020 11:18 AM	Complete	26/03/2020 1:18 PM	Standard Personal Care & Home Support	30	2	1	Bluebird Care (Enfield)	£14.50	Only Provider that Bid
PER33819	26/03/2020 3:01 PM	Complete	26/03/2020 3:30 PM	Standard Personal Care & Home Support	30	3	2	Foremost Care UK Limited	£14.50	T/c to s/u's grandson, He was happy me to choose the provider. Foremost Care UK selected as Good CQC rating (other agency requires improvement).
PER82061	27/03/2020 3:46 PM	Complete	30/03/2020 5:00 PM	Standard Personal Care & Home Support	30	8	5	Sinan Care	£14.50	Provided the names and all have a good CQC rating, Peter selected Sinan Care
PER81217	30/03/2020 11:24 AM	Complete	30/03/2020 1:24 PM	Standard Personal Care & Home Support	31	7	4	Orchid Care	£14.50	poc awarded to Orchid Care for fair distribution of new packages
PER79773	30/03/2020 1:11 PM	Complete	30/03/2020 3:11 PM	Standard Personal Care & Home Support	30	6	4	Sinan Care	£14.50	Awarded to Sinan Care, GOOD cqc rating and fair distribution of new pocs.

Brokerage LA Performance (By Provider April 2020)

Client Reference	Sent To Providers	Package Status	Responses Required By	Service Level	No. Services Sent To	Responses	Positive Responses	Chosen Service	Unit Cost	Reason Provider Was Chosen
PER81771	01/04/2020 3:03 PM	Complete	02/04/2020 11:28 AM	Standard Personal Care & Home Support	31	6	1	Kanssas Home Care Ltd	£15.10	Only Provider that Bid
PER17583	02/04/2020 5:30 PM	Complete	03/04/2020 11:30 AM	Standard Personal Care & Home Support	33	5	5	Angels Caring Care Ltd	£14.50	NOK agreed to Angels Caring Care assessing on 8/4/2020
SL PER74603 030420	03/04/2020 10:35 AM	Complete	03/04/2020 12:00 PM	Standard Personal Care & Home Support	33	3	1	Loyal Care Consortium Ltd	£14.50	Only Provider that Bid
SL PER48258 030420	03/04/2020 10:46 AM	Complete	03/04/2020 12:06 PM	Standard Personal Care & Home Support	33	5	2	Cyprian Care	£14.50	Awarded to provider due to cultural reasons
PER81126	03/04/2020 10:55 AM	Complete	03/04/2020 12:00 PM	Standard Personal Care & Home Support	34	2	1	Angels Caring Care Ltd	£14.50	Only Provider that Bid
PER82534	03/04/2020 12:29 PM	Complete	03/04/2020 1:00 PM	Standard Personal Care & Home Support	36	2	1	Loyal Care Consortium Ltd	£15.10	POC accepted by Loyal Care (only agency)
PER25870	03/04/2020 3:56 PM	Complete	03/04/2020 4:55 PM	Standard Personal Care & Home Support	34	4	1	Loyal Care Consortium Ltd	£15.10	Only provider that bid
PER73460	06/04/2020 9:52 AM	Complete	06/04/2020 10:25 AM	Standard Personal Care & Home Support	35	2	1	Loyal Care Consortium Ltd	£15.10	Only Provider that Bid
1	06/04/2020 11:31 AM	Complete	06/04/2020 12:00 PM	Standard Personal Care & Home Support	36	2	1	Loyal Care Consortium Ltd	£15.10	Only Provider that Bid
PER81233	06/04/2020 12:14 PM	Complete	07/04/2020 9:20 AM	Standard Personal Care & Home Support	34	4	1	Verity Healthcare (Haringey)	£237.83	Only Provider that Bid
PER28866	06/04/2020 3:40 PM	Complete	10/04/2020 2:00 PM	Standard Personal Care & Home Support	34	6	1	Loyal Care Consortium Ltd	£15.10	Only Provider that Bid

PER82756	06/04/2020 4:53 PM	Complete	07/04/2020 3:00 PM	Standard Personal Care & Home Support	34	7	4	Angels Caring Care Ltd	£15.10	Dgt decided to choose Angels Caring Care
PER68959	06/04/2020 5:03 PM	Complete	06/04/2020 7:03 PM	Standard Personal Care & Home Support	36	2	2	Blowing Point Care	£15.10	POC allocated to Blowing Point Care as Redyfn have been given a couple of packages by broker recently
SL PER77532 060420	06/04/2020 11:11 PM	Complete	07/04/2020 11:00 AM	Standard Personal Care & Home Support	33	4	3	Blowing Point Care	£15.10	broker to review cpemailed providers 1st to be able to acceptblowing point can start firstF
PER82170	07/04/2020 10:28 AM	Complete	07/04/2020 11:28 AM	Standard Personal Care & Home Support	34	3	1	Loyal Care Consortium Ltd	£15.10	Only Provider that Bid
SL PER9931 070420	07/04/2020 12:25 PM	Complete	07/04/2020 2:25 PM	Standard Personal Care & Home Support	33	3	1	Bluebird Care (Enfield)	£15.10	Only Provider that Bid
PER46864	07/04/2020 6:20 PM	Complete	08/04/2020 11:00 AM	Standard Personal Care & Home Support	34	4	1	Redyfn	£15.10	Only Provider that Bid
PER82509	08/04/2020 9:58 AM	Complete	08/04/2020 10:36 AM	Standard Personal Care & Home Support	34	3	1	Foremost Care UK Limited	£14.50	Only Provider that Bid
PER28356	08/04/2020 10:44 AM	Complete	08/04/2020 11:30 AM	Standard Personal Care & Home Support	35	3	1	Loyal Care Consortium Ltd	£15.10	Only Provider that Bid
PER80931	08/04/2020 1:59 PM	Complete	08/04/2020 2:12 PM	Standard Personal Care & Home Support	36	3	1	Redyfn	£15.10	Only Provider that Bid
PER75515	08/04/2020 3:54 PM	Complete	09/04/2020 4:12 PM	Standard Personal Care & Home Support	34	4	1	Kansas Home Care Ltd	£15.10	Only Provider that Bid
PER25183	09/04/2020 10:48 AM	Complete	09/04/2020 12:48 PM	Standard Personal Care & Home Support	35	2	1	Redyfn	£15.10	Only Provider that Bid
SL PER59147 090420	09/04/2020 12:36 PM	Complete	09/04/2020 12:54 PM	Standard Personal Care & Home Support	33	1	1	Loyal Care Consortium Ltd	£15.10	Only Provider that Bid
SL PER3715 090420	09/04/2020 10:18 PM	Complete	14/04/2020 9:18 AM	Standard Personal Care & Home Support	1	1	1	Loyal Care Consortium Ltd	£15.10	Only Provider that Bid

PER77939	14/04/2020 9:53 AM	Complete	14/04/2020 11:53 AM	Standard Personal Care & Home Support	34	4	2	Loyal Care Consortium Ltd	£15.10	Checked CarePlace, two agencies have accepted.Awarded to Bluebird Care due to fair distribution.Action
PER78359	14/04/2020 12:35 PM	Complete	14/04/2020 2:35 PM	Standard Personal Care & Home Support	34	3	1	Loyal Care Consortium Ltd	£15.10	Only Provider that Bid
PER82921	15/04/2020 11:38 AM	Complete	15/04/2020 1:38 PM	Standard Personal Care & Home Support	34	4	1	Loyal Care Consortium Ltd	£15.10	Only Provider that Bid
PER64342	15/04/2020 2:35 PM	Complete	15/04/2020 4:35 PM	Standard Personal Care & Home Support	34	3	1	Loyal Care Consortium Ltd	£15.10	Only Provider that Bid
PER68643	15/04/2020 4:38 PM	Complete	17/04/2020 12:16 PM	Standard Personal Care & Home Support	35	3	1	Redyfne	£15.10	Only Provider that Bid
PER51362	16/04/2020 10:55 AM	Complete	16/04/2020 3:55 PM	Standard Personal Care & Home Support	34	5	3	Foremost Care UK Limited	£15.10	Return T/C rec'd from son selected Redyfne, due to their location and GOOD CQC rating in all 6 areas.
PER80735	16/04/2020 12:01 PM	Complete	16/04/2020 1:01 PM	Standard Personal Care & Home Support	35	4	1	Loyal Care Consortium Ltd	£15.10	Only Provider that Bid
SL PER17198 160420	16/04/2020 9:36 PM	Complete	17/04/2020 10:36 AM	Standard Personal Care & Home Support	33	3	1	Kansas Home Care Ltd	£15.10	Only Provider that Bid
SL PER14301 160420	16/04/2020 9:52 PM	Complete	17/04/2020 10:00 AM	Standard Personal Care & Home Support	34	1	1	Redyfne	£15.10	Only Provider that Bid
PER44330	17/04/2020 9:21 AM	Complete	17/04/2020 11:21 AM	Standard Personal Care & Home Support	33	5	4	Elmich Care Support at Home	£15.10	.T/c to daughter,. She's happy for me to choose, Elmich Care selected due to good CQC and closest location.
PER45624	17/04/2020 2:24 PM	Complete	17/04/2020 2:35 PM	Standard Personal Care & Home Support	36	1	1	Blowing Point Care	£15.10	Only Provider that Bid
PER70991	20/04/2020 4:00 PM	Complete	20/04/2020 6:00 PM	Standard Personal Care & Home Support	35	4	1	Westminster Homecare (Enfiled/WF)	£14.50	1 acceptance and 2 rejections rec'd via CarePlace, see uploaded files.* 2 hours weekly domestic awarded to WHC, (the only provider to accept)

SL PER54896 200420	20/04/2020 5:01 PM	Complete	20/04/2020 5:02 PM	Standard Personal Care & Home Support	34	1	1	Blowing Point Care	£15.10	Only Provider that Bid
PER25700	21/04/2020 8:29 AM	Complete	21/04/2020 9:28 AM	Standard Personal Care & Home Support	36	2	1	Redyfn	£15.10	POC loaded to Care Place, only agency to bid is Redyfn
PER74434	21/04/2020 3:09 PM	Complete	21/04/2020 3:25 PM	Standard Personal Care & Home Support	34	4	2	Loyal Care Consortium Ltd	£15.10	Long term poc awarded to Loyal Care as the s/user is already known to them via the existing short term Enablement support
PER65582	22/04/2020 9:31 AM	Complete	22/04/2020 11:00 AM	Standard Personal Care & Home Support	34	5	2	Surecare Enfield	£15.10	Loyal Care bided on Care Place. But broker decided to award to another agency as Loyal Care have bided lots. Call to Sure Care who bided on Care Place
PER59766	22/04/2020 4:28 PM	Complete	23/04/2020 10:00 AM	Standard Personal Care & Home Support	35	3	1	Bluebird Care (Enfield)	£15.10	Only Provider that Bid
PER77824	23/04/2020 11:32 AM	Complete	23/04/2020 5:00 PM	Standard Personal Care & Home Support	34	6	4	Jacaranda Healthcare	£15.10	Jacaranda Healthcare selected due to fair distribution
PER24200	23/04/2020 12:05 PM	Complete	23/04/2020 2:05 PM	Standard Personal Care & Home Support	34	4	1	Blowing Point Care	£15.10	Only Provider that Bid
PER80661	23/04/2020 12:58 PM	Complete	23/04/2020 2:58 PM	Standard Personal Care & Home Support	38	5	3	Westminster Homecare (Enfield/WF)	£14.50	NOK contact to see if they want to choose the provider, therefore I have Westminster Homecare selected due to fair distribution
SL PER44624 240420	24/04/2020 4:55 PM	Complete	27/04/2020 11:12 AM	Standard Personal Care & Home Support	32	2	1	Verity Healthcare (Haringey)	£14.50	Only provider that Bid
PER29662	24/04/2020 5:02 PM	Complete	24/04/2020 7:02 PM	Standard Personal Care & Home Support	35	2	1	Blowing Point Care	£15.10	Only Provider that Bid
PER44330	28/04/2020 12:58 PM	Complete	28/04/2020 2:58 PM	Standard Personal Care & Home Support	33	6	4	Westminster Homecare (Enfield/WF)	£15.10	Westminster Homecare selected due to good CQC and fair distribution
PER39219	28/04/2020 4:24 PM	Complete	29/04/2020 12:00 PM	Standard Personal Care & Home Support	35	4	1	Loyal Care Consortium Ltd	£15.10	Only provider that Bid

PER77415	28/04/2020 4:54 PM	Complete	28/04/2020 6:54 PM	Standard Personal Care & Home Support	34	4	1	Loyal Care Consortium Ltd	£15.10	Only provider that Bid
PER73400	28/04/2020 5:17 PM	Complete	29/04/2020 10:16 AM	Standard Personal Care & Home Support	34	5	4	Blowing Point Care	£15.10	Service user was happy to choose broker's suggestion - Blowing Point as wasn't sure which was better.
SL PER30670 290420	29/04/2020 9:57 AM	Complete	29/04/2020 3:43 PM	Standard Personal Care & Home Support	33	3	1	Loyal Care Consortium Ltd	£15.10	Only provider that Bid
PER39219	29/04/2020 12:09 PM	Complete	30/04/2020 12:12 PM	Standard Personal Care & Home Support	35	5	1	Loyal Care Consortium Ltd	£15.10	Only Provider that Bid
PER69449	29/04/2020 1:25 PM	Complete	29/04/2020 3:25 PM	Standard Personal Care & Home Support	35	7	5	Loyal Care Consortium Ltd	£15.10	Broker advised all agencies are based in Enfield, and so decided to choose Loyal Care to support him fair distribution
SL PER31872 290420	29/04/2020 2:45 PM	Complete	29/04/2020 3:45 PM	Standard Personal Care & Home Support	33	3	1	Loyal Care Consortium Ltd	£15.10	Only Provider that Bid
SL PER29265 290420	29/04/2020 3:47 PM	Complete	29/04/2020 4:47 PM	Standard Personal Care & Home Support	33	6	4	Westminster Homecare (Enfield/WF)	£15.10	broker spoke with SU daughter in law awarded to westminster as the other 2 bids came from agencies that i had awarded to in last 7 days
PER74051	29/04/2020 5:28 PM	Complete	30/04/2020 9:15 AM	Standard Personal Care & Home Support	35	5	3	Redyfn	£15.10	new package awarded to Redyfn due to fair distribution of new packages and GOOD cqc rating.action

Brokerage LA Performance (By Provider May 2020)

Client Reference	Sent To Providers	Package Status	Responses Required By	Service Level	No. Services Sent To	Responses	Positive Responses	Chosen Service	Unit Cost	Reason Provider Was Chosen
PER78724	01/05/2020 10:38 AM	Complete	01/05/2020 11:41 AM	Standard Personal Care & Home Support	34	4	1	Loyal Care Consortium Ltd	£15.10	Only provider that Bid
PER64577	04/05/2020 2:48 PM	Complete	04/05/2020 4:48 PM	Standard Personal Care & Home Support	34	7	5	Loyal Care Consortium Ltd	£15.10	Call to Daughter Eileen to confirm that Loyal Care Tina care worker would continue after the Enablement period. Eileen confirms they will take this agency
PER70460	04/05/2020 4:34 PM	Complete	04/05/2020 5:23 PM	Standard Personal Care & Home Support	34	5	4	Westminster Homecare (Enfiled/WF)	£15.10	4 acceptances rec'd via CarePlace, see file uploaded to case note. * Package awarded to WHC, * GOOD cqc rating and fair distribution of new packages.
PER54172	05/05/2020 11:57 AM	Complete	05/05/2020 1:30 PM	Standard Personal Care & Home Support	35	6	6	Redyfne	£15.10	Call from daughter- Redyfne agency to be chosen
PER57192	05/05/2020 12:26 PM	Complete	05/05/2020 1:19 PM	Standard Personal Care & Home Support	35	7	6	Loyal Care Consortium Ltd	£15.10	Advised him that 6 providers had accepted via CarePlace* Martin selected Loyal Care, as he has rec'd good feedback / recommendations
PER58142	05/05/2020 1:32 PM	Complete	05/05/2020 2:32 PM	Standard Personal Care & Home Support	34	4	3	Westminster Homecare (Enfiled/WF)	£15.10	package awarded to WHC, for fair distribution of new packages and GOOD cqc rating.
PER77526	05/05/2020 3:45 PM	Complete	06/05/2020 3:10 PM	Standard Personal Care & Home Support	34	5	1	Loyal Care Consortium Ltd	£15.10	Only provider that Bid
PER76194	06/05/2020 4:12 PM	Complete	06/05/2020 5:12 PM	Standard Personal Care & Home Support	35	8	5	Sinan Care	£15.15	T/C back from son, he advised he would like to go with Sinan Care as they have the most up to date CQC visit and report.
PER60394	07/05/2020 9:37 AM	Complete	07/05/2020 11:37 AM	Standard Personal Care & Home Support	35	4	1	Loyal Care Consortium Ltd	£15.10	Only provider that Bid

sl PER59370 070520	07/05/2020 12:04 PM	Complete	07/05/2020 4:03 PM	Standard Personal Care & Home Support	33	3	1	Core Outreach and Care Services	£15.10	Only provider that Bid
PER83003	11/05/2020 9:57 AM	Complete	11/05/2020 11:57 AM	Standard Personal Care & Home Support	35	4	4	Core Outreach and Care Services	£15.10	T/C to John to discuss choice of agency, John chose to go ahead with Core Outreach
PER75535	11/05/2020 1:59 PM	Complete	11/05/2020 3:59 PM	Standard Personal Care & Home Support	35	4	3	Bluebird Care (Enfield)	£15.10	NOK chose Bluebird and agreed to agree a start date with agency so enablement can cease.
SL PER79234 110520	11/05/2020 2:49 PM	Complete	12/05/2020 4:00 PM	Standard Personal Care & Home Support	32	4	1	Loyal Care Consortium Ltd	£15.10	Only provider that Bid
PER70380	11/05/2020 3:33 PM	Complete	12/05/2020 11:08 AM	Standard Personal Care & Home Support	34	4	1	Loyal Care Consortium Ltd	£15.10	Only provider that Bid
PER54317	12/05/2020 1:22 PM	Complete	12/05/2020 3:22 PM	Standard Personal Care & Home Support	33	8	6	BMF Social Care Limited	£15.10	BMF Social Care selected due to good CQC rating and fair distribution.
PER32040	12/05/2020 3:32 PM	Complete	12/05/2020 5:32 PM	Standard Personal Care & Home Support	34	4	1	Loyal Care Consortium Ltd	£15.10	Only provider that Bid
PER18127	14/05/2020 10:19 AM	Complete	14/05/2020 11:19 AM	Standard Personal Care & Home Support	35	6	1	North London Asian Care	£14.50	POC allocated to NLAC as only agency who accepted
PER30562	14/05/2020 12:15 PM	Complete	14/05/2020 2:15 PM	Standard Personal Care & Home Support	34	5	2	Loyal Care Consortium Ltd	£15.10	package awarded to Loyal Care by broker as not able to spk to the s/user.
PER78221	14/05/2020 12:16 PM	Complete	15/05/2020 3:15 PM	Standard Personal Care & Home Support	32	6	1	Mears Care - Laindon	£16.75	Only provider that Bid
PER83273	14/05/2020 12:46 PM	Complete	14/05/2020 2:33 PM	Standard Personal Care & Home Support	35	10	7	Orchid Care	£15.10	new poc awarded to Orchid Care, for fair distribution of new packages and current GOOD cqc rating
PER31892	15/05/2020 10:06 AM	Complete	15/05/2020 3:11 PM	Standard Personal Care & Home Support	34	7	2	Cyprian Care	£15.10	Care Provider was able to provide male care worker turkish speaking so awarded to cyprian
PER4818	15/05/2020 1:32 PM	Complete	15/05/2020 3:25 PM	Standard Personal Care & Home Support	34	5	1	Loyal Care Consortium Ltd	£15.10	Only provider that Bid

SL PER10399 150520	15/05/2020 3:43 PM	Complete	18/05/2020 10:05 AM	Standard Personal Care & Home Support	33	5	1	Loyal Care Consortium Ltd	£15.10	Only provider that Bid
PER51463	19/05/2020 1:15 PM	Complete	19/05/2020 3:15 PM	Standard Personal Care & Home Support	34	11	10	Surecare Enfield	£15.10	package awarded to Sure Care for fair distribution of new care packages
PER3280	19/05/2020 4:18 PM	Complete	20/05/2020 11:00 AM	Standard Personal Care & Home Support	34	9	7	Elmich Care Support at Home	£15.10	She requested I choose the provider, Elmich Care selected due to good CQC and fair distribution
PER4132	19/05/2020 5:22 PM	Complete	19/05/2020 7:22 PM	Standard Personal Care & Home Support	35	5	5	Blowing Point Care	£15.10	Jane decided to go ahead with Blowing Point Care
PER34773	20/05/2020 9:21 AM	Complete	20/05/2020 2:21 PM	Standard Personal Care & Home Support	34	10	8	Cyprian Care	£15.10	Maria suggests Cyprian Care as they have Greek speaking carers and some carers from Bulgaria speak Greek. Broker agreed to contact Cyprian Care to clarify if they have capacity and will call dgt back to confirm.
PER82909	21/05/2020 12:01 PM	Complete	22/05/2020 10:00 AM	Standard Personal Care & Home Support	35	4	2	Blowing Point Care	£15.10	T/C from Jane to advise on choice of agency. Jane decided to go ahead with Blowing Point Care.
PER14264	21/05/2020 4:13 PM	Complete	22/05/2020 12:48 PM	Standard Personal Care & Home Support	34	7	2	Kangaroo Healthcare	£15.10	SU agreed to go with Kangaroo healthcare for 6 weeks free care only.
PER80815	22/05/2020 12:08 PM	Complete	22/05/2020 1:07 PM	Standard Personal Care & Home Support	35	11	10	Primavera Domiciliary Care Services Limited	£14.50	Broker allocated POC to Primavera as not allocated POC to them recently.
PER71933	26/05/2020 1:41 PM	Complete	26/05/2020 3:40 PM	Standard Personal Care & Home Support	35	10	10	Core Outreach and Care Services	£15.10	Susan requested that the brokerage officer select a provider on her behalf, as she has no knowledge of care providers. * package awarded to Core Outreach as they are able to start on the 30/5/2020.
PER82909	26/05/2020 4:44 PM	Complete	27/05/2020 10:30 AM	Standard Personal Care & Home Support	35	5	1	Sinan Care	£15.15	Only provider that Bid
PER30462	27/05/2020 11:33 AM	Complete	27/05/2020 1:33 PM	Standard Personal Care & Home Support	34	12	11	Angels Caring Care Ltd	£15.10	Angels Caring Care selected due to fair distribution.

PER3320	28/05/2020 11:10 AM	Complete	28/05/2020 1:10 PM	Standard Personal Care & Home Support	34	9	6	Foremost Care UK Limited	£15.10	package awarded to Foremost Care UK, fair distribution of new packages and GOOD cqc rating.
PER71232	28/05/2020 11:47 AM	Complete	28/05/2020 1:47 PM	Standard Personal Care & Home Support	34	10	10	Angels Caring Care Ltd	£15.10	awarded to Angels Caring Care, reason: fair distribution of new packages and current GOOD cqc rating
sl PER35648 280520	28/05/2020 1:45 PM	Complete	28/05/2020 2:45 PM	Standard Personal Care & Home Support	32	5	3	Kangaroo Healthcare	£15.10	provider selected by su as they were the only agency to state had turkish speakers
PER76047	28/05/2020 3:03 PM	Complete	28/05/2020 3:30 PM	Standard Personal Care & Home Support	36	6	6	Orchid Care	£15.10	POC awarded to Orchid Care as broker has not given POC to them.
PER47855	28/05/2020 3:28 PM	Complete	29/05/2020 11:00 AM	Standard Personal Care & Home Support	34	10	3	Loyal Care Consortium Ltd	£15.10	S/u's daughter has selected Loyal Care.
PER7542	29/05/2020 12:24 PM	Complete	29/05/2020 1:24 PM	Standard Personal Care & Home Support	34	10	6	Core Outreach and Care Services	£15.10	New poc awarded to Core Outreach, for fair distribution of new packages and GOOD cqc rating.

Brokerage LA Performance (By Provider June 2020)

Client Reference	Sent To Providers	Package Status	Responses Required By	Service Type	Service Level	No. Services Sent To	Responses	Positive Responses	Chosen Service	Unit Cost	Reason Provider Was Chosen
PER24845	01/06/2020 3:35 PM	Complete	01/06/2020 4:35 PM	Support at Home	Standard Personal Care & Home Support	34	11	9	Foremost Care UK Limited	£15.10	Email rec'd from NOK he has selected Foremost Care
PER76649	02/06/2020 9:24 AM	Complete	02/06/2020 11:23 AM	Support at Home	Standard Personal Care & Home Support	33	8	3	Mears Care - Laidon	£16.75	Broker chose Mears to enable fair distribution of services as both Kangaroo and Loyal Care have been awarded with many packages by broker.

PER9191	02/06/2020 3:32 PM	Complete	05/06/2020 2:54 PM	Support at Home	Standard Personal Care & Home Support	27	8	1	Alpha Care Specialists (Edmonton)	£17.50	Only provider that Bid
PER83388	03/06/2020 1:02 PM	Complete	03/06/2020 3:02 PM	Support at Home	Standard Personal Care & Home Support	35	13	12	Foremost Care UK Limited	£15.10	Broker advised the list given by broker yesterday were from a 'biding' system which offers live capacity from care agencies who have carers in the postal code area. SIL suggests to try Foremost Care and broker agreed to send referral to agency.
PER54155	04/06/2020 4:07 PM	Complete	05/06/2020 11:52 AM	Support at Home	Standard Personal Care & Home Support	33	14	9	North London Asian Care	£15.10	SW advise SU does not speak English, but only speaks Urdu or Gujarati, so a care agency with a carer who can speak required language is chosen. Broker identified that NLAC is likely to be the only one.
SL PER59436 050620	05/06/2020 12:06 PM	Complete	05/06/2020 12:41 PM	Support at Home	Standard Personal Care & Home Support	33	7	4	Sinan Care	£15.00	Care Place choice - Sinan Care chosen as daughter requested broker to choose. Broker chose agency as agency has not been awarded by broker recently and according to the allocations spreadsheet recorded by team.
PER83642	08/06/2020 10:58 AM	Complete	08/06/2020 12:52 PM	Support at Home	Standard Personal Care & Home Support	32	9	5	Verity Healthcare (Haringey)	£14.50	nok selected Verity Healthcare as they are able to provide support in E17 and N9.
PER28441	08/06/2020 12:06 PM	Complete	08/06/2020 1:06 PM	Support at Home	Standard Personal Care & Home Support	35	13	11	Bluebird Care (Enfield)	£15.10	Sarah confirmed that MS has used Bluebird Care in the past, and would be happy to go with them again.
PER69453	08/06/2020 4:14 PM	Complete	09/06/2020 10:00 AM	Support at Home	Standard Personal Care & Home Support	34	11	9	Elmich Care Support at Home	£15.10	Nicola has chosen Elmich care based on the location of the offices.

PER83227	09/06/2020 11:13 AM	Complete	09/06/2020 11:46 AM	Support at Home	Standard Personal Care & Home Support	34	8	8	Loyal Care Consortium Ltd	£15.10	Simon selected Loyal Care as they are already know to him and the s/user (Loyal Care currently provide the short term support on behalf of Enablement).
PER83373	09/06/2020 11:30 AM	Complete	09/06/2020 1:30 PM	Support at Home	Standard Personal Care & Home Support	34	11	8	Core Outreach and Care Services	£15.10	He requested I choose the provider. Core Outreach selected due to fair distribution and good CQC
PER52247	09/06/2020 12:11 PM	Complete	09/06/2020 1:11 PM	Support at Home	Standard Personal Care & Home Support	34	10	8	Angels Caring Care Ltd	£15.10	package awarded to Angels Caring Care for fair distribution of new packages and GOOD cqc rating.
PER58732	09/06/2020 3:01 PM	Complete	09/06/2020 5:01 PM	Support at Home	Standard Personal Care & Home Support	35	13	11	Redyfne	£15.10	T/c to s/u's land lady). She agreed for me to choose the provider. Redyfne selected due to fair distribution and good CQC
PER81022	10/06/2020 2:36 PM	Complete	10/06/2020 3:36 PM	Support at Home	Standard Personal Care & Home Support	34	10	9	Core Outreach and Care Services	£15.10	SU suggests third agency listed on CP: Core Outreach.
PER51362	11/06/2020 12:22 PM	Complete	11/06/2020 2:22 PM	Support at Home	Standard Personal Care & Home Support	32	9	6	Global North London Business School	£15.10	He requested I choose the provider. Global North London Business School selected due to fair distribution and good CQC
PER22980	12/06/2020 1:12 PM	Complete	12/06/2020 2:39 PM	Support at Home	Standard Personal Care & Home Support	33	9	6	Mears Care - Laindon	£16.75	Awarded to Mears as already providing to wife
PER56120	12/06/2020 1:31 PM	Complete	12/06/2020 2:31 PM	Support at Home	Standard Personal Care & Home Support	34	12	10	Core Outreach and Care Services	£15.10	S/u's daughter has selected Core Outreach

PER11583	12/06/2020 1:34 PM	Complete	12/06/2020 2:34 PM	Support at Home	Standard Personal Care & Home Support	34	10	7	Core Outreach and Care Services	£15.10	Attempted to contact next of kin for choice of provider. No response on mobile phone. Core Outreach chosen due to good CQC ratings, location of offices to service user and ability to start at very short notice
PER46846	12/06/2020 4:22 PM	Complete	12/06/2020 6:21 PM	Support at Home	Standard Personal Care & Home Support	34	5	2	Core Outreach and Care Services	£15.10	new package awarded to Core Outreach as they currently have the better CQC rating out of the 2 providers.
PER52013	15/06/2020 9:45 AM	Complete	15/06/2020 10:45 AM	Support at Home	Standard Personal Care & Home Support	33	4	3	Angels Caring Care Ltd	£15.10	package awarded to Angels Caring Care reason: fair distribution of new packages / current GOOD cqc rating
PER78720	15/06/2020 12:28 PM	Complete	15/06/2020 2:28 PM	Support at Home	Standard Personal Care & Home Support	34	9	6	Unique Care UK	£15.10	new package awarded to Unique Care UK, reason: fair distribution of new packages.
PER82993	16/06/2020 12:06 PM	Complete	16/06/2020 1:30 PM	Support at Home	Standard Personal Care & Home Support	34	9	5	Loyal Care Consortium Ltd	£15.10	T/C to the nok (Mark), to discuss setting up the long term care via 1 of the 5 providers sourced via CarePlace.* Mark selected Loyal Care, due to SS already being known to the agency,
PER52061	16/06/2020 3:39 PM	Complete	16/06/2020 5:39 PM	Support at Home	Standard Personal Care & Home Support	34	10	10	Redyfn	£15.10	Checked CarePlace. Out of the three providers daughter in law requested, Redyfn are the only one to accept the revised hours.
PER75603	23/06/2020 12:38 PM	Complete	23/06/2020 2:38 PM	Support at Home	Standard Personal Care & Home Support	31	7	7	Orchid Care	£15.10	Daughter chose Orchid Care. Broker advised daughter to agree AX date asap and then start date

PER12974	24/06/2020 10:08 AM	Complete	24/06/2020 12:08 PM	Support at Home	Standard Personal Care & Home Support	32	9	8	Blowing Point Care	£15.10	T/C to s/user, he selected Blowing Point Care as the office is based close to where he lives, and they also have a GOOD cqc rating.
SL PER69556 240620	24/06/2020 11:47 AM	Complete	24/06/2020 12:26 PM	Support at Home	Standard Personal Care & Home Support	33	10	10	Blowing Point Care	£15.10	placesu wife given list of all higher rated cqc resultsBlowing point appointed choice left to broker fair shared
PER40239	25/06/2020 12:45 PM	Complete	25/06/2020 2:45 PM	Support at Home	Standard Personal Care & Home Support	32	5	1	Loyal Care Consortium Ltd	£15.10	Only provider that Bid
PER51893	25/06/2020 4:32 PM	Complete	25/06/2020 4:44 PM	Support at Home	Standard Personal Care & Home Support	33	7	5	Angels Caring Care Ltd	£15.10	She requested I choose a provider with a good CQC rating, Angels Caring Care selected due to fair distribution.
PER74998	29/06/2020 10:40 AM	Complete	29/06/2020 11:39 AM	Support at Home	Standard Personal Care & Home Support	34	7	6	Primavera Domiciliary Care Services Limited	£15.10	new package awarded to Primavera, due to Good cqc rating and fair distribution of new packages.
SL PER76179 290620	29/06/2020 3:13 PM	Complete	29/06/2020 4:13 PM	Support at Home	Standard Personal Care & Home Support	32	10	10	Primavera Domiciliary Care Services Limited	£15.10	providersspoke with Primavera as selected by me due to cqc and fair rotationemailed

Brokerage LA Performance (By Provider July 2020)

Client Reference	Sent To Providers	Package Status	Responses Required By	Service Level	No. Services Sent To	Responses	Positive Responses	Chosen Service	Unit Cost	Reason Provider Was Chosen
PER83735	01/07/2020 1:55 PM	Complete	01/07/2020 3:55 PM	Standard Personal Care & Home Support	32	7	1	Angels Caring Care Ltd	£15.10	Only provider that Bid
PER49921	02/07/2020 11:06 AM	Complete	02/07/2020 12:06 PM	Standard Personal Care & Home Support	35	7	6	North London Homecare & Support Ltd	£18.60	T/C from daughter to confirm her choice of agency, she has agreed to go ahead with North London Home Care and confirmed family will fund top up directly to the agency
PER27612	02/07/2020 11:56 AM	Complete	02/07/2020 1:55 PM	Standard Personal Care & Home Support	33	8	5	Surecare Enfield	£15.10	Daughter selected Sure Care, no reason given however they currently have a GOOD cqc report.action
PER81744	03/07/2020 2:43 PM	Complete	07/07/2020 10:00 AM	Standard Personal Care & Home Support	33	10	6	Cyprian Care	£15.10	Care Place bids received - Cyprian Care - offered acceptance and have a Turkish speaking carer available
PER14011	03/07/2020 3:11 PM	Complete	03/07/2020 5:10 PM	Standard Personal Care & Home Support	32	9	5	Sinan Care	£15.10	T/C to s/user, He selected Sinan Care as they have assessed and agreed to his preferred visit times
PER35252	03/07/2020 3:25 PM	Complete	03/07/2020 4:25 PM	Standard Personal Care & Home Support	33	9	9	Elmich Care Support at Home	£15.10	Elmich Care selected as I've awarded to them least recently than the others who accept Enfields rate
PER36677	03/07/2020 5:54 PM	Complete	06/07/2020 8:30 AM	Standard Personal Care & Home Support	33	13	12	Loyal Care Consortium Ltd	£15.10	Selected provider due to time frame to start POC and good cqc rating
PER33695	07/07/2020 11:19 AM	Complete	07/07/2020 12:19 PM	Standard Personal Care & Home Support	32	6	3	Sinan Care	£15.10	Sinan Care selected due to fair distribution and good CQC
PER79562	07/07/2020 12:26 PM	Complete	07/07/2020 2:25 PM	Standard Personal Care & Home Support	33	14	14	Blowing Point Care	£15.10	Blowing Point Care selected due to price, location and cqc rating.
PER78497	07/07/2020 1:26 PM	Complete	07/07/2020 2:45 PM	Standard Personal Care & Home Support	33	9	8	Redyfne	£15.10	Package awarded to Redyfne, reason: GOOD cqc rating, and office location based close to the s/user (in EN1).

PER73144	08/07/2020 10:41 AM	Complete	08/07/2020 11:41 AM	Standard Personal Care & Home Support	34	14	14	Surecare Enfield	£15.10	Checked CarePlace. 14 providers have accepted (x2 do not accept Enfield's rate).T/c to s/u's nephew, Martin Lemay (07949245747), explained referral to arrange long-term care. He requested I choose the provider, Surecare selected due to fair distribution and good CQC
PER83543	08/07/2020 11:22 AM	Complete	08/07/2020 1:22 PM	Standard Personal Care & Home Support	34	9	5	Westminster Homecare (Enfield/WF)	£15.10	CarePlace responses, see file upload.* T/C to the daughter, she requested that the Broker / Council select 1 of the providers on her mother behalf.* New package awarded to Westminster Homecare
PER81001	09/07/2020 4:37 PM	Complete	09/07/2020 6:37 PM	Standard Personal Care & Home Support	34	9	8	Kangaroo Healthcare	£15.10	Package awarded to Kangaroo Healthcare, reason: fair distribution of new packages.action
PER64635	10/07/2020 3:27 PM	Complete	13/07/2020 4:00 PM	Standard Personal Care & Home Support	34	10	4	Angels Caring Care Ltd	£15.10	Email from Angels Caring Care advising they assessed but the Punjabi speaking carer
PER13248 PJ	13/07/2020 11:37 AM	Complete	13/07/2020 1:36 PM	Standard Personal Care & Home Support	35	11	9	Core Outreach and Care Services	£15.10	Core Outreach was selected by S/W
PER41823	13/07/2020 12:39 PM	Complete	13/07/2020 2:39 PM	Standard Personal Care & Home Support	34	10	9	Orchid Care	£15.10	Orchid Care - Chosen by NOK for CQC rating and location of offices.
PER73959	13/07/2020 4:50 PM	Complete	14/07/2020 2:50 PM	Standard Personal Care & Home Support	33	5	4	Core Outreach and Care Services	£15.10	SU decided to choose Core Outreach.
PER79170	13/07/2020 6:09 PM	Complete	14/07/2020 11:00 AM	Standard Personal Care & Home Support	33	14	14	BMF Social Care Limited	£15.10	Provider: BMF Social Care - chosen by Claire McFarquhar due to cqc ratings
PER8258	14/07/2020 10:43 AM	Complete	14/07/2020 12:43 PM	Standard Personal Care & Home Support	32	11	8	Core Outreach and Care Services	£15.10	Contact with brokerage team regarding care agency and have requested Core Outreach to be approached
SL PER80689 14.07.20	14/07/2020 2:43 PM	Complete	14/07/2020 4:39 PM	Standard Personal Care & Home Support	33	5	1	Loyal Care Consortium Ltd	£15.10	Only provider that bid
PER36583	14/07/2020 4:19 PM	Complete	15/07/2020 10:19 AM	Standard Personal Care & Home Support	33	12	12	Core Outreach and Care Services	£15.10	NOK: daughter Lesley Halverson chose provider

PER55357	15/07/2020 10:59 AM	Complete	15/07/2020 12:19 PM	Standard Personal Care & Home Support	33	6	4	Elmich Care Support at Home	£15.10	Package awarded to Elmich Care, reason: location is close to where Mr HK lives.
PER39929	15/07/2020 11:01 AM	Complete	15/07/2020 1:01 PM	Standard Personal Care & Home Support	29	3	1	Kangaroo Healthcare	£15.10	Only Provider that Bid
PER65773	15/07/2020 11:39 AM	Complete	15/07/2020 1:00 PM	Standard Personal Care & Home Support	33	10	9	Orchid Care	£15.10	package awarded to Orchid Care, reason: fair distribution of new packags
PER27124	15/07/2020 2:01 PM	Complete	15/07/2020 4:01 PM	Standard Personal Care & Home Support	34	12	11	Bluebird Care (Enfield)	£15.10	Bluebird care was chosen due to CQC ratings and family recommendations.Provider
PER83965	15/07/2020 3:34 PM	Complete	15/07/2020 5:34 PM	Standard Personal Care & Home Support	33	9	6	Global North London Business School	£15.10	Global North London Business School - Only provider that had Polish speaking Care worker
PER17667	15/07/2020 3:57 PM	Complete	15/07/2020 5:00 PM	Standard Personal Care & Home Support	34	10	8	Surecare Enfield	£15.10	Choice of provider due to CQC ratings and providing fairness across providers. Provider: Sure Care Enfield
PER16534	17/07/2020 10:41 AM	Complete	17/07/2020 12:41 PM	Standard Personal Care & Home Support	34	12	12	Unique Care UK	£15.10	new package awarded to Unique Care UK, for fair distribution of new packages.
PER20197	17/07/2020 1:33 PM	Complete	17/07/2020 3:33 PM	Standard Personal Care & Home Support	32	4	1	Blowing Point Care	£15.10	Only provider that Bid
PER45788	20/07/2020 11:38 AM	Complete	20/07/2020 1:38 PM	Standard Personal Care & Home Support	33	13	12	BMF Social Care Limited	£15.10	new poc awarded to BMF Social Care, reason: Fair distribution of new packages and current GOOD cqc rating.
SL (PER83645 200720	20/07/2020 4:31 PM	Complete	27/07/2020 1:00 PM	Standard Personal Care & Home Support	34	8	3	Cyprian Care	£15.10	Only provider that was able to provide Kurdish Speaking care worker
PER84275	21/07/2020 11:08 AM	Complete	21/07/2020 1:08 PM	Standard Personal Care & Home Support	33	12	11	Bluebird Care (Enfield)	£15.10	Bluebird Care -chosen by NOK Jan as she used to work for them
PER58996	21/07/2020 3:37 PM	Complete	21/07/2020 4:59 PM	Standard Personal Care & Home Support	32	8	5	Surecare Enfield	£15.10	Sure Care Enfield - chosen by NOK "The report made for good reading as a well established company with the proper recruitment process, risk assessments and training in place.

PER4788	21/07/2020 4:08 PM	Complete	21/07/2020 5:08 PM	Standard Personal Care & Home Support	32	7	4	Global North London Business School	£15.10	Global North London Business School - chosen by NOK sister Linda Sutton due to CQC ratings
PER83145	21/07/2020 5:42 PM	Complete	22/07/2020 9:15 AM	Standard Personal Care & Home Support	32	5	4	Jacaranda Healthcare	£15.10	Raymond requested that the Council / Broker select 1 of the providers.* new package awarded to Jacaranda Healthcare, reason: fair distribution of new packages.
PER38776	22/07/2020 3:57 PM	Complete	22/07/2020 5:57 PM	Standard Personal Care & Home Support	33	8	5	Westminster Homecare (Enfiled/WF)	£15.10	Explained to Dawn that if Dawn / SU can change agency as there is no commitment, but advised Dawn to contact brokerage to change if this is required. Dawn chooses Westminster homecare
PER63302	22/07/2020 4:48 PM	Complete	22/07/2020 6:48 PM	Standard Personal Care & Home Support	34	9	8	Foremost Care UK Limited	£15.10	new package awarded to Foremost Care UK, reason: Location to s/user and GOOD cqc rating.
PER46499	23/07/2020 11:06 AM	Complete	23/07/2020 1:06 PM	Standard Personal Care & Home Support	38	9	9	Angels Caring Care Ltd	£15.10	Package awarded to Angels Caring Care, reason location to where s/user lives
PER23819	23/07/2020 5:36 PM	Complete	24/07/2020 10:00 AM	Standard Personal Care & Home Support	38	6	5	Angels Caring Care Ltd	£15.10	Angels Caring Care Ltd - Call made to Magnolia Unit - agency selected by client due to CQC ratings and location
PER84331	24/07/2020 10:15 AM	Complete	24/07/2020 11:45 AM	Standard Personal Care & Home Support	33	7	4	Core Outreach and Care Services	£15.10	Core Outreach -chosen by NOK Jake Wynne (jakeswynne@hotmail.com)
PER72416	24/07/2020 1:14 PM	Complete	24/07/2020 2:15 PM	Standard Personal Care & Home Support	32	10	8	North London Homecare & Support Ltd	£18.60	Request made to change provider. Daughter was recommended North London Home Care (NLHC).
PER26996	24/07/2020 1:54 PM	Complete	24/07/2020 3:54 PM	Standard Personal Care & Home Support	33	12	8	Surecare Enfield	£15.10	New provider: Sure Care Enfield - chosen by Susan Harper due to openness and clarity on company website
PER83355	28/07/2020 11:20 AM	Complete	28/07/2020 1:20 PM	Standard Personal Care & Home Support	35	11	9	Kanssas Home Care Ltd	£15.10	T/C to Gary, he selected Kanssas Homecare Ltd, GOOD cqc
SL PER35732 28.07.20	28/07/2020 11:34 AM	Complete	28/07/2020 11:50 AM	Standard Personal Care & Home Support	35	3	3	Orchid Care	£15.10	daughter chose orchid
PER60784 SH	29/07/2020 10:29 AM	Complete	29/07/2020 11:29 AM	Standard Personal Care & Home Support	34	6	3	Kangaroo Healthcare	£15.10	Only provider that was able to provide Male care worker

PER4137	29/07/2020 5:04 PM	Complete	29/07/2020 5:30 PM	Standard Personal Care & Home Support	35	6	5	Core Outreach and Care Services	£15.10	Package loaded onto Care Place - Awarded to Core Out Reach - disrupted fairly as i could see on the list they haven't been awarded a package.
PER56820	30/07/2020 10:56 AM	Complete	30/07/2020 12:56 PM	Standard Personal Care & Home Support	35	12	10	Loyal Care Consortium Ltd	£15.10	T/C to NOK, she selected Loyal Care due to continuity of care
PER83926	30/07/2020 3:42 PM	Complete	30/07/2020 5:00 PM	Standard Personal Care & Home Support	36	16	14	Bluebird Care (Enfield)	£15.10	NOK chose Bluebird Care based on ccq ratings and location

Brokerage LA Performance (By Provider August 2020)

Client Reference	Sent To Providers	Package Status	Responses Required By	Service Level	No. Services Sent To	Responses	Positive Responses	Chosen Service	Unit Cost	Reason Provider Was Chosen
PER80472	03/08/2020 9:59 AM	Complete	03/08/2020 10:21 AM	Standard Personal Care & Home Support	40	10	8	Global North London Business School	£15.10	Email rec'd from daughter who confirmed that her choice of agency is Global Business School
PER84350	03/08/2020 10:19 AM	Complete	03/08/2020 11:19 AM	Standard Personal Care & Home Support	34	12	10	Kansas Home Care Ltd	£15.10	Kansas Homecare selected due to fair distribution.
SL PER62589 030820	03/08/2020 5:48 PM	Complete	04/08/2020 2:35 PM	Standard Personal Care & Home Support	35	2	1	Cyprian Care	£15.10	Only Provider that Bid
PER59796	04/08/2020 4:04 PM	Complete	04/08/2020 4:27 PM	Standard Personal Care & Home Support	35	8	8	Core Outreach and Care Services	£15.10	POC sourced via Care Place. Chosen Core Outreach as client expressed to SW that used them privately before
PER63988	05/08/2020 5:42 PM	Complete	06/08/2020 10:00 AM	Standard Personal Care & Home Support	34	8	8	Orchid Care	£15.10	Discussed DP ecard, financial contribution and care agency. Broker provided list of bided care agencies. Daughter Lisa chose Orchid Care
PER83989	10/08/2020 11:52 AM	Complete	10/08/2020 12:52 PM	Standard Personal Care & Home Support	35	3	3	Loyal Care Consortium Ltd	£15.10	Return T/C rec'd from Joseph Ward, to arrange the long term care for his father.* Joe selected Loyal Care, as his father is known the the agency,

										and he would prefer continuity of carer(s)
SL PER34352 100820	10/08/2020 2:38 PM	Complete	10/08/2020 3:00 PM	Standard Personal Care & Home Support	33	5	1	Loyal Care Consortium Ltd	£15.10	Only Provider that Bid
PER27478	11/08/2020 1:37 PM	Complete	11/08/2020 2:37 PM	Standard Personal Care & Home Support	35	8	8	Loyal Care Consortium Ltd	£15.10	Call returned to Confirms she would choose Loyal Care Consortium to complete an assessment
SL PER80602 110820	11/08/2020 3:12 PM	Complete	11/08/2020 4:01 PM	Standard Personal Care & Home Support	34	4	3	Elmich Care Support at Home	£15.10	broker placed on care placebroker called su no answer3 providers had capacityi will keep retryinggot through su wants Elmichcalled Elmich confirmed can start this fridaybroker emailed them awaiting response then broker will load broker
PER29265	11/08/2020 3:36 PM	Complete	11/08/2020 5:36 PM	Standard Personal Care & Home Support	35	9	8	Westminster Homecare (Enfiled/WF)	£15.10	Call to DIL - decided to choose Westminster homecare as the provider as DIL states SU used them before she went to hospital and suggests would not mind using them again.
PER78314	11/08/2020 3:43 PM	Complete	11/08/2020 5:13 PM	Standard Personal Care & Home Support	36	6	6	Westminster Homecare (Enfiled/WF)	£15.10	Margaret requested the council / broker select on her mothers behalf. action: 1. package awarded to WHC, as they are located close to where the s/user lives
PER21567	12/08/2020 10:24 AM	Complete	12/08/2020 11:23 AM	Standard Personal Care & Home Support	35	7	4	Jacaranda Healthcare	£15.10	POC loaded to Care Place - 3 providers placed bid (Bluebird, Loyal Care & Jacaranda) T/C to son to discuss above and advise that LT support will be put in place to commence from 13/08/2020. Son requested Brokerage to allocate the POC - awarded to Jacaranda as broker has not given a package to that agency recently.

PER40055	12/08/2020 10:39 AM	Complete	12/08/2020 11:11 AM	Standard Personal Care & Home Support	34	9	7	Bluebird Care (Enfield)	£15.10	T/call received from SU regarding request to change his care agency to Bluebird
PER29524	13/08/2020 11:49 AM	Complete	13/08/2020 1:49 PM	Standard Personal Care & Home Support	36	10	9	Surecare Enfield	£15.10	NOK would like to try Sure Care Enfield
PER77121	13/08/2020 12:58 PM	Complete	13/08/2020 2:57 PM	Standard Personal Care & Home Support	35	9	6	Redyfne	£15.10	Provider: Redyfne- email sent to NOK to chose provider Patricia Goulbourne
PER3757	17/08/2020 10:37 AM	Complete	17/08/2020 11:36 AM	Standard Personal Care & Home Support	35	9	9	Angels Caring Care Ltd	£15.10	POC allocated to Angels Caring Care as broker has not assigned package to them recently
PER73332	17/08/2020 1:16 PM	Complete	17/08/2020 3:16 PM	Standard Personal Care & Home Support	35	9	7	Elmich Care Support at Home	£15.10	Email rec'd from the daughter (Nadia), see file upload.* Nadia selected Elmich Care reason: It is close by to our home and their CQC rating is good.
PER79878	17/08/2020 1:23 PM	Complete	17/08/2020 3:23 PM	Standard Personal Care & Home Support	35	9	9	Primavera Domiciliary Care Services Limited	£15.10	Primavera - NOK asked me to choose so allocated for fairness across all providers
PER65875	17/08/2020 2:37 PM	Complete	17/08/2020 4:37 PM	Standard Personal Care & Home Support	33	7	3	BMF Social Care Limited	£15.10	POC to remain the same just a change in provider from Loyal Care to BMF Social. BMF Social chosen for fairness amongst providers
PER4213	18/08/2020 10:58 AM	Complete	18/08/2020 11:58 AM	Standard Personal Care & Home Support	36	9	7	Unique Care UK	£15.10	T/C to landline, spoke with husband to discuss choice of agency. He confirmed that he is happy for broker to make the decision on who the agency is. Broker awarded POC to Unique Care as not awarded to them recently
PER58918	18/08/2020 1:08 PM	Complete	18/08/2020 2:30 PM	Standard Personal Care & Home Support	34	5	3	Core Outreach and Care Services	£15.10	New provider: Core Outreach chosen by NOK Michael Pearce as email sent with a list of providers
PER74724	19/08/2020 9:37 AM	Complete	19/08/2020 11:00 AM	Standard Personal Care & Home Support	36	13	10	Westminster Homecare (Enfield/WF)	£15.10	Westminster Homecare - client wife asked me to choose a provider. They were chosen to provide fairness amongst providers
PER84274	20/08/2020 1:14 PM	Complete	20/08/2020 2:12 PM	Standard Personal Care & Home Support	36	4	4	Loyal Care Consortium Ltd	£15.10	T/C from son, he confirmed he would like to go ahead with Loyal Care

PER65404	21/08/2020 4:02 PM	Complete	21/08/2020 4:26 PM	Standard Personal Care & Home Support	36	3	2	Loyal Care Consortium Ltd	£15.10	POC accepted by 2 agencies. Broker awarded to Loyal Care as not allocated to them recently and they are able to start tonight PM call
PER26537	21/08/2020 4:38 PM	Complete	21/08/2020 6:38 PM	Standard Personal Care & Home Support	36	4	3	Loyal Care Consortium Ltd	£15.10	Elvan selected Loyal Care, as they are based in EN3 (closest to where Ezgi lives compared to the other 2 providers).
PER48260	24/08/2020 11:28 AM	Complete	24/08/2020 1:28 PM	Standard Personal Care & Home Support	35	7	7	Foremost Care UK Limited	£15.10	eil states would like to choose Foremost Care as they are based in Enfield town
PER56271	24/08/2020 2:50 PM	Complete	03/09/2020 12:00 PM	Standard Personal Care & Home Support	35	10	8	Cyprian Care	£15.10	Call to NOK to discuss available care agencies. Mary states she would like the same agency for SU as her mother is being attended to by Cyprian Care
PER17745	24/08/2020 3:37 PM	Complete	24/08/2020 5:37 PM	Standard Personal Care & Home Support	34	5	2	Elmich Care Support at Home	£15.10	T/C to DIL, to discuss the long term care for RM.selected Elmich Care, as they are located closer to where RM lives
PER34311	26/08/2020 11:26 AM	Complete	26/08/2020 12:26 PM	Standard Personal Care & Home Support	33	7	5	Elmich Care Support at Home	£15.10	Email received from BMF Social Care requesting to withdraw from poc as the carer in mind has to self-isolate for 2 weeks.Son previously requested I choose the provider, therefore Elmich Care selected due to fair distribution and good CQC
PER18005	27/08/2020 10:27 AM	Complete	27/08/2020 11:27 AM	Standard Personal Care & Home Support	34	5	5	Core Outreach and Care Services	£15.10	Checked CarePlace, 5 providers have accepted.T/c to s/u's daughter, she requested I choose the provider, Core Outreach selected due to fair distribution and good CQC
PER18106	27/08/2020 2:27 PM	Complete	27/08/2020 4:00 PM	Standard Personal Care & Home Support	35	4	3	Orchid Care	£15.10	Orchid Care - chosen via email by NOK
PER81316	27/08/2020 4:58 PM	Complete	27/08/2020 5:58 PM	Standard Personal Care & Home Support	33	6	6	Redyfine	£15.10	Checked CarePlace, five providers have accepted. Awarded to Redyfine due to fair distribution
PER84656	28/08/2020 2:50 PM	Complete	28/08/2020 3:20 PM	Standard Personal Care & Home Support	34	6	5	Loyal Care Consortium Ltd	£15.10	Checked CarePlace, 5 providers have accepted.Agreed with Manager to proceed with Loyal Care due to urgency and fair distribution.

Brokerage - Awarded Services October 2019

Total Packages	Average Price
70	£23.93

Organisation Name	Service Name	Service Type	Number of Packages Awarded	Average Unit Price per Package	Total Spend per Unit
Elmich Care	Elmich Care Support at Home	Support at Home	7	£14.50	£102
Blowing Point Care	Blowing Point Care	Support at Home	7	£14.50	£102
Orchid Care	Orchid Care	Support at Home	6	£14.50	£87
Jacaranda Healthcare Limited	Jacaranda Healthcare	Support at Home	5	£14.50	£73
Loyal Care Consortium Ltd	Loyal Care Consortium Ltd	Support at Home	5	£14.50	£73
BMF Social Care Limited	BMF Social Care Limited	Support at Home	4	£14.50	£58
Foremost Care UK Limited	Foremost Care UK Limited	Support at Home	4	£14.50	£58
Blessing Family Limited	Blessing Family Limited	Support at Home	4	£164.03	£656
North London Asian Care	North London Asian Care	Support at Home	3	£14.50	£44
Bluebird Care (Enfield)	Bluebird Care (Enfield)	Support at Home	3	£14.50	£44
Kangaroo Healthcare	Kangaroo Healthcare	Support at Home	3	£14.50	£44
North London Home Care & Support Limited	North London Homecare & Support Ltd	Support at Home	3	£17.75	£53
Sinan Care Ltd	Sinan Care	Support at Home	3	£14.50	£44
Kanssas Home Care Ltd	Kanssas Home Care Ltd	Support at Home	3	£14.50	£44
Westminster Homecare Limited	Westminster Homecare (Enfiled/WF)	Support at Home	2	£14.50	£29
Cyprian Care	Cyprian Care	Support at Home	2	£14.50	£29
Jays Homecare Limited	Jays Homecare Limited	Support at Home	1	£14.50	£15

Core Outreach and Care Services UK Ltd	Core Outreach and Care Services	Support at Home	1	£14.50	£15
Surecare Enfield	Surecare Enfield	Support at Home	1	£14.50	£15
Turkish Cypriot Community Association	Turkish Cypriot Community Association	Support at Home	1	£14.50	£15
Pristine Recruitment Ltd	Pristine Homecare, Care Agency, Support at Home	Support at Home	1	£66.50	£67
Unique Care UK	Unique Care UK	Support at Home	1	£14.50	£15
-			70	£23.93	£1,675

Brokerage - Awarded Services November 2019

Organisation Name	Service Name	Service Type	Number of Packages Awarded	Average Unit Price per Package	Total Spend per Unit
Angels Caring Care Ltd	Angels Caring Care Ltd	Support at Home	8	£14.50	£116
Cyprian Care	Cyprian Care	Support at Home	4	£14.50	£58
Elmich Care	Elmich Care Support at Home	Support at Home	4	£14.50	£58
Sinan Care Ltd	Sinan Care	Support at Home	4	£14.50	£58
Foremost Care UK Limited	Foremost Care UK Limited	Support at Home	4	£14.50	£58
Westminster Homecare Limited	Westminster Homecare (Enfiled/WF)	Support at Home	3	£14.50	£44
Jacaranda Healthcare Limited	Jacaranda Healthcare	Support at Home	2	£14.50	£29
Unique Care UK	Unique Care UK	Support at Home	2	£14.50	£29
Blessing Family Limited	Blessing Family Limited	Support at Home	2	£105.13	£210
Loyal Care Consortium Ltd	Loyal Care Consortium Ltd	Support at Home	2	£14.50	£29
Orchid Care	Orchid Care	Support at Home	2	£14.50	£29

Jays Homecare Limited	Jays Homecare Limited	Support at Home	1	£14.50	£15
Bluebird Care (Enfield)	Bluebird Care (Enfield)	Support at Home	1	£14.50	£15
Mears Care Limited	Mears Care - Laindon	Support at Home	1	£16.75	£17
Turkish Cypriot Community Association	Turkish Cypriot Community Association	Support at Home	1	£14.50	£15
Verity Healthcare	Verity Healthcare (Haringey)	Support at Home	1	£14.00	£14
Blowing Point Care	Blowing Point Care	Support at Home	1	£14.50	£15
Kansas Home Care Ltd	Kansas Home Care Ltd	Support at Home	1	£14.50	£15
-			44	£18.66	£821

Brokerage - Awarded Services December 2019

Organisation Name	Service Name	Service Type	Number of Packages Awarded	Average Unit Price per Package	Total Spend per Unit
Cyprian Care	Cyprian Care	Support at Home	7	£14.50	£102
Angels Caring Care Ltd	Angels Caring Care Ltd	Support at Home	6	£14.50	£87
Loyal Care Consortium Ltd	Loyal Care Consortium Ltd	Support at Home	6	£14.50	£87
Verity Healthcare	Verity Healthcare (Haringey)	Support at Home	5	£14.40	£72
Bluebird Care (Enfield)	Bluebird Care (Enfield)	Support at Home	4	£14.50	£58
Blowing Point Care	Blowing Point Care	Support at Home	4	£14.50	£58
First Choice Medical Solutions Ltd	First Choice Medical Solutions Ltd	Support at Home	3	£14.50	£44
Orchid Care	Orchid Care	Support at Home	2	£14.50	£29
Jays Homecare Limited	Jays Homecare Limited	Support at Home	1	£14.50	£15

North London Asian Care	North London Asian Care	Support at Home	1	£14.50	£15
Elmich Care	Elmich Care Support at Home	Support at Home	1	£14.50	£15
Surecare Enfield	Surecare Enfield	Support at Home	1	£14.50	£15
Sinan Care Ltd	Sinan Care	Support at Home	1	£14.50	£15
Foremost Care UK Limited	Foremost Care UK Limited	Support at Home	1	£14.50	£15
Global North London Business School	Global North London Business School	Support at Home	1	£14.50	£15
Unique Care UK	Unique Care UK	Support at Home	1	£14.50	£15
-			45	£14.49	£652

Brokerage - Awarded Services January 2020

Organisation Name	Service Name	Service Type	Number of Packages Awarded	Average Unit Price per Package	Total Spend per Unit
Loyal Care Consortium Ltd	Loyal Care Consortium Ltd	Support at Home	17	£14.50	£247
Bluebird Care (Enfield)	Bluebird Care (Enfield)	Support at Home	5	£14.50	£73
Angels Caring Care Ltd	Angels Caring Care Ltd	Support at Home	5	£14.50	£73
North London Asian Care	North London Asian Care	Support at Home	4	£14.50	£58
Elmich Care	Elmich Care Support at Home	Support at Home	4	£14.50	£58
Foremost Care UK Limited	Foremost Care UK Limited	Support at Home	4	£14.50	£58
Unique Care UK	Unique Care UK	Support at Home	3	£14.50	£44
Kansas Home Care Ltd	Kansas Home Care Ltd	Support at Home	3	£14.50	£44
Westminster Homecare Limited	Westminster Homecare (Enfiled/WF)	Support at Home	2	£14.50	£29
Cyprian Care	Cyprian Care	Support at Home	2	£83.38	£167
Mears Care Limited	Mears Care - Laindon	Support at Home	2	£16.75	£34

Verity Healthcare	Verity Healthcare (Haringey)	Support at Home	2	£14.50	£29
Blowing Point Care	Blowing Point Care	Support at Home	2	£14.50	£29
Jays Homecare Limited	Jays Homecare Limited	Support at Home	1	£14.50	£15
Global North London Business School	Global North London Business School	Support at Home	1	£14.50	£15
			57	£17.00	£969

Brokerage - Awarded Services February 2020

Organisation Name	Service Name	Service Type	Number of Packages Awarded	Average Unit Price per Package	Total Spend per Unit
Elmich Care	Elmich Care Support at Home	Support at Home	11	£14.50	£160
Loyal Care Consortium Ltd	Loyal Care Consortium Ltd	Support at Home	10	£14.50	£145
Jacaranda Healthcare Limited	Jacaranda Healthcare	Support at Home	8	£14.50	£116
Foremost Care UK Limited	Foremost Care UK Limited	Support at Home	8	£14.50	£116
Blowing Point Care	Blowing Point Care	Support at Home	8	£14.50	£116
Westminster Homecare Limited	Westminster Homecare (Enfiled/WF)	Support at Home	6	£14.50	£87
Cyprian Care	Cyprian Care	Support at Home	5	£14.50	£73
Surecare Enfield	Surecare Enfield	Support at Home	4	£14.50	£58
Angels Caring Care Ltd	Angels Caring Care Ltd	Support at Home	4	£14.50	£58
Orchid Care	Orchid Care	Support at Home	4	£14.50	£58
Jays Homecare Limited	Jays Homecare Limited	Support at Home	3	£14.50	£44
North London Asian Care	North London Asian Care	Support at Home	3	£14.50	£44
Global North London Business School	Global North London Business School	Support at Home	3	£14.50	£44

Bluebird Care (Enfield)	Bluebird Care (Enfield)	Support at Home	2	£14.50	£29
BMF Social Care Limited	BMF Social Care Limited	Support at Home	2	£14.50	£29
Primavera Domiciliary Care Services Limited	Primavera Domiciliary Care Services Limited	Support at Home	2	£14.50	£29
Verity Healthcare	Verity Healthcare (Haringey)	Support at Home	1	£14.50	£15
First Choice Medical Solutions Ltd	First Choice Medical Solutions Ltd	Support at Home	1	£14.50	£15
Kansas Home Care Ltd	Kansas Home Care Ltd	Support at Home	1	£14.50	£15
			86	£14.50	£1,247

Brokerage - Awarded Services March 2020

Organisation Name	Service Name	Service Type	Number of Packages Awarded	Average Unit Price per Package	Total Spend per Unit
Elmich Care	Elmich Care Support at Home	Support at Home	9	£14.50	£131
First Choice Medical Solutions Ltd	First Choice Medical Solutions Ltd	Support at Home	7	£14.50	£102
Sinan Care Ltd	Sinan Care	Support at Home	6	£14.50	£87
Foremost Care UK Limited	Foremost Care UK Limited	Support at Home	6	£14.50	£87
North London Asian Care	North London Asian Care	Support at Home	5	£14.50	£73
BMF Social Care Limited	BMF Social Care Limited	Support at Home	5	£14.50	£73
Cyprian Care	Cyprian Care	Support at Home	4	£14.50	£58
Loyal Care Consortium Ltd	Loyal Care Consortium Ltd	Support at Home	4	£14.50	£58
Bluebird Care (Enfield)	Bluebird Care (Enfield)	Support at Home	3	£14.83	£45
Kangaroo Healthcare	Kangaroo Healthcare	Support at Home	3	£14.50	£44

Primavera Domiciliary Care Services Limited	Primavera Domiciliary Care Services Limited	Support at Home	3	£14.50	£44
Angels Caring Care Ltd	Angels Caring Care Ltd	Support at Home	3	£14.50	£44
Blowing Point Care	Blowing Point Care	Support at Home	3	£14.50	£44
Kansas Home Care Ltd	Kansas Home Care Ltd	Support at Home	3	£14.50	£44
Westminster Homecare Limited	Westminster Homecare (Enfiled/WF)	Support at Home	2	£14.50	£29
Mears Care Limited	Mears Care - Laindon	Support at Home	2	£16.75	£34
Jays Homecare Limited	Jays Homecare Limited	Support at Home	1	£14.50	£15
Surecare Enfield	Surecare Enfield	Support at Home	1	£14.50	£15
Global North London Business School	Global North London Business School	Support at Home	1	£14.50	£15
Orchid Care	Orchid Care	Support at Home	1	£14.50	£15
-			72	£14.58	£1,050

Brokerage - Awarded Services April 2020

Organisation Name	Service Name	Service Type	Number of Packages Awarded	Average Unit Price per Package	Total Spend per Unit
Loyal Care Consortium Ltd	Loyal Care Consortium Ltd	Support at Home	26	£15.08	£392
Redyfine Recruitment and Staffing Limited	Redyfine	Support at Home	17	£15.10	£257
Blowing Point Care	Blowing Point Care	Support at Home	9	£15.10	£136
Westminster Homecare Limited	Westminster Homecare (Enfiled/WF)	Support at Home	4	£14.80	£59
Bluebird Care (Enfield)	Bluebird Care (Enfield)	Support at Home	4	£15.10	£60
Verity Healthcare	Verity Healthcare (Haringey)	Support at Home	3	£89.11	£267

Foremost Care UK Limited	Foremost Care UK Limited	Support at Home	3	£14.70	£44
Angels Caring Care Ltd	Angels Caring Care Ltd	Support at Home	3	£14.70	£44
Kansas Home Care Ltd	Kansas Home Care Ltd	Support at Home	3	£15.10	£45
Jacaranda Healthcare Limited	Jacaranda Healthcare	Support at Home	2	£15.10	£30
Cyprian Care	Cyprian Care	Support at Home	1	£14.50	£15
Elmich Care	Elmich Care Support at Home	Support at Home	1	£15.10	£15
Surecare Enfield	Surecare Enfield	Support at Home	1	£15.10	£15
-			77	£17.92	£1,380

Brokerage - Awarded Services May 2020

Organisation Name	Service Name	Service Type	Number of Packages Awarded	Average Unit Price per Package	Total Spend per Unit
Loyal Care Consortium Ltd	Loyal Care Consortium Ltd	Support at Home	16	£15.10	£242
Westminster Homecare Limited	Westminster Homecare (Enfiled/WF)	Support at Home	4	£15.10	£60
Core Outreach and Care Services UK Ltd	Core Outreach and Care Services	Support at Home	4	£15.10	£60
Kangaroo Healthcare	Kangaroo Healthcare	Support at Home	4	£15.10	£60
Sinan Care Ltd	Sinan Care	Support at Home	4	£15.11	£60
Blowing Point Care	Blowing Point Care	Support at Home	4	£15.10	£60
Redyfine Recruitment and Staffing Limited	Redyfine	Support at Home	3	£15.10	£45
Foremost Care UK Limited	Foremost Care UK Limited	Support at Home	3	£15.10	£45
Bluebird Care (Enfield)	Bluebird Care (Enfield)	Support at Home	2	£15.10	£30
Cyprian Care	Cyprian Care	Support at Home	2	£15.10	£30

Elmich Care	Elmich Care Support at Home	Support at Home	2	£15.10	£30
Angels Caring Care Ltd	Angels Caring Care Ltd	Support at Home	2	£15.10	£30
Orchid Care	Orchid Care	Support at Home	2	£15.10	£30
Kanssas Home Care Ltd	Kanssas Home Care Ltd	Support at Home	2	£15.10	£30
North London Asian Care	North London Asian Care	Support at Home	1	£14.50	£15
Jacaranda Healthcare Limited	Jacaranda Healthcare	Support at Home	1	£15.10	£15
BMF Social Care Limited	BMF Social Care Limited	Support at Home	1	£15.10	£15
Mears Care Limited	Mears Care - Laindon	Support at Home	1	£16.75	£17
Surecare Enfield	Surecare Enfield	Support at Home	1	£15.10	£15
Primavera Domiciliary Care Services Limited	Primavera Domiciliary Care Services Limited	Support at Home	1	£14.50	£15
First Choice Medical Solutions Ltd	First Choice Medical Solutions Ltd	Support at Home	1	£14.50	£15
-			61	£15.10	£921

Brokerage - Awarded Services June 2020

Organisation Name	Service Name	Service Type	Number of Packages Awarded	Average Unit Price per Package	Total Spend per Unit
Loyal Care Consortium Ltd	Loyal Care Consortium Ltd	Support at Home	10	£15.10	£151
Core Outreach and Care Services UK Ltd	Core Outreach and Care Services	Support at Home	7	£15.10	£106
Redyfyne Recruitment and Staffing Limited	Redyfyne	Support at Home	6	£15.10	£91

Foremost Care UK Limited	Foremost Care UK Limited	Support at Home	5	£15.10	£76
Elmich Care	Elmich Care Support at Home	Support at Home	4	£15.10	£60
Angels Caring Care Ltd	Angels Caring Care Ltd	Support at Home	4	£15.10	£60
Bluebird Care (Enfield)	Bluebird Care (Enfield)	Support at Home	3	£15.10	£45
Sinan Care Ltd	Sinan Care	Support at Home	3	£15.08	£45
Global North London Business School	Global North London Business School	Support at Home	3	£15.10	£45
Orchid Care	Orchid Care	Support at Home	3	£15.10	£45
Blowing Point Care	Blowing Point Care	Support at Home	3	£15.10	£45
North London Asian Care	North London Asian Care	Support at Home	2	£15.10	£30
Alpha Care Specialists	Alpha Care Specialists (Edmonton)	Support at Home	2	£16.25	£33
Cyprian Care	Cyprian Care	Support at Home	2	£15.10	£30
Kangaroo Healthcare	Kangaroo Healthcare	Support at Home	2	£15.10	£30
Mears Care Limited	Mears Care - Laindon	Support at Home	2	£16.75	£34
Primavera Domiciliary Care Services Limited	Primavera Domiciliary Care Services Limited	Support at Home	2	£15.10	£30
Unique Care UK	Unique Care UK	Support at Home	2	£15.10	£30
Kanssas Home Care Ltd	Kanssas Home Care Ltd	Support at Home	2	£15.10	£30
Westminster Homecare Limited	Westminster Homecare (Enfield/WF)	Support at Home	1	£15.10	£15
North London Home Care & Support Limited	North London Homecare & Support Ltd	Support at Home	1	£18.60	£19
Surecare Enfield	Surecare Enfield	Support at Home	1	£15.10	£15
Verity Healthcare	Verity Healthcare (Haringey)	Support at Home	1	£14.50	£15
-	-	-	71	£15.22	£1,081

Brokerage - Awarded Services July 2020

Organisation Name	Service Name	Service Type	Number of Packages Awarded	Average Unit Price per Package	Total Spend per Unit
Bluebird Care (Enfield)	Bluebird Care (Enfield)	Support at Home	8	£15.10	£121
Core Outreach and Care Services UK Ltd	Core Outreach and Care Services	Support at Home	7	£15.10	£106
Loyal Care Consortium Ltd	Loyal Care Consortium Ltd	Support at Home	7	£15.10	£106
Surecare Enfield	Surecare Enfield	Support at Home	6	£15.10	£91
Angels Caring Care Ltd	Angels Caring Care Ltd	Support at Home	6	£15.10	£91
Sinan Care Ltd	Sinan Care	Support at Home	5	£15.10	£76
Blowing Point Care	Blowing Point Care	Support at Home	5	£15.10	£76
Foremost Care UK Limited	Foremost Care UK Limited	Support at Home	4	£15.10	£60
Orchid Care	Orchid Care	Support at Home	4	£15.10	£60
Westminster Homecare Limited	Westminster Homecare (Enfield/WF)	Support at Home	3	£15.10	£45
Cyprian Care	Cyprian Care	Support at Home	3	£15.10	£45
Elmich Care	Elmich Care Support at Home	Support at Home	3	£15.10	£45
Kangaroo Healthcare	Kangaroo Healthcare	Support at Home	3	£15.10	£45
BMF Social Care Limited	BMF Social Care Limited	Support at Home	2	£15.10	£30
North London Home Care & Support Limited	North London Homecare & Support Ltd	Support at Home	2	£18.60	£37
Global North London Business School	Global North London Business School	Support at Home	2	£15.10	£30
Kansas Home Care Ltd	Kansas Home Care Ltd	Support at Home	2	£15.10	£30
Jacaranda Healthcare Limited	Jacaranda Healthcare	Support at Home	1	£15.10	£15
Redyfne Recruitment and Staffing Limited	Redyfne	Support at Home	1	£15.10	£15
Turkish Cypriot Community Association	Turkish Cypriot Community Association	Support at Home	1	£528.50	£529
Unique Care UK	Unique Care UK	Support at Home	1	£15.10	£15
-	-		76	£21.95	£1,668

Brokerage – Awarded Services August 2020

Organisation Name	Service Name	Service Type	Number of Packages Awarded	Average Unit Price per Package	Total Spend per Unit
Loyal Care Consortium Ltd	Loyal Care Consortium Ltd	Support at Home	12	£15.10	£181
Redyfn Recruitment and Staffing Limited	Redyfn	Support at Home	10	£15.10	£151
Angels Caring Care Ltd	Angels Caring Care Ltd	Support at Home	6	£15.10	£91
Core Outreach and Care Services UK Ltd	Core Outreach and Care Services	Support at Home	5	£15.10	£76
Cyprian Care	Cyprian Care	Support at Home	5	£15.10	£76
Elmich Care	Elmich Care Support at Home	Support at Home	5	£15.10	£76
Foremost Care UK Limited	Foremost Care UK Limited	Support at Home	4	£15.10	£60
Orchid Care	Orchid Care	Support at Home	4	£15.10	£60
Blowing Point Care	Blowing Point Care	Support at Home	4	£15.10	£60
Westminster Homecare Limited	Westminster Homecare (Enfield/WF)	Support at Home	3	£15.10	£45
Global North London Business School	Global North London Business School	Support at Home	3	£15.10	£45
Jacaranda Healthcare Limited	Jacaranda Healthcare	Support at Home	2	£15.10	£30
Bluebird Care (Enfield)	Bluebird Care (Enfield)	Support at Home	2	£15.10	£30
BMF Social Care Limited	BMF Social Care Limited	Support at Home	2	£15.10	£30
Surecare Enfield	Surecare Enfield	Support at Home	2	£15.10	£30
Primavera Domiciliary Care Services Limited	Primavera Domiciliary Care Services Limited	Support at Home	2	£15.10	£30
Kangaroo Healthcare	Kangaroo Healthcare	Support at Home	1	£15.10	£15
First Choice Medical Solutions Ltd	First Choice Medical Solutions Ltd	Support at Home	1	£15.10	£15
Unique Care UK	Unique Care UK	Support at Home	1	£15.10	£15

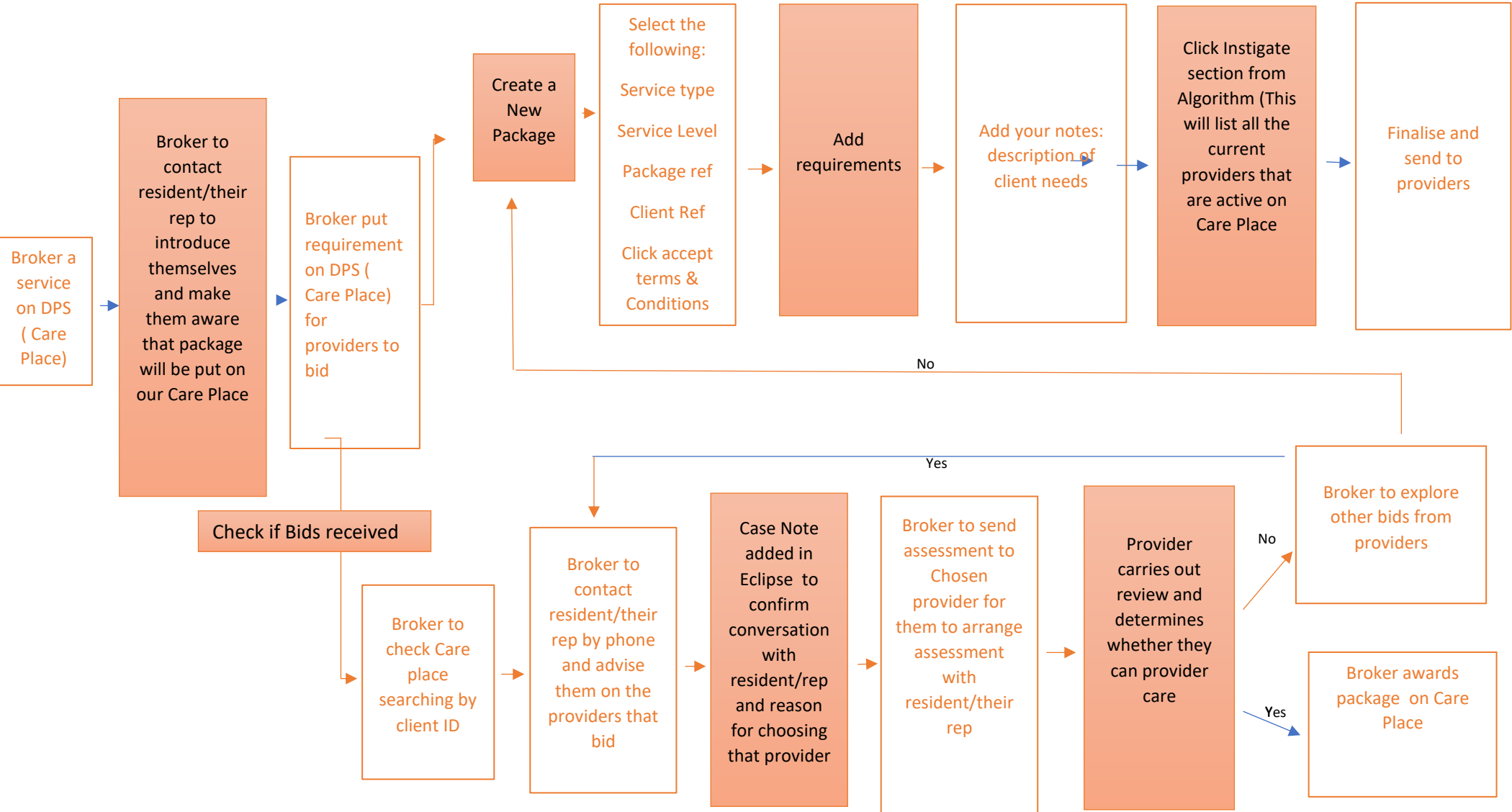
Kanssas Home Care Ltd	Kanssas Home Care Ltd	Support at Home	1	£15.10	£15
	-		75	£15.10	£1,133

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CLIENT ID	CHOSEN PROVIDER	DATE AWARDED TO PROVIDER	REASON PROVIDER WAS CHOSEN
PER78172	Bluebird	12/06/20	2 choices cqc good & su asked me to select either of 2 went with bluebird as responded 1st to my email re assessment and start
PER15401	Bluebird	12/06/20	as above but su family wanted same providers
PER46846	Core Outreach	15/06/20	Good CQC rating
PER78720	Unique Care UK	15/06/20	fair distribution of new packages
PER52013	Angels Caring Care	16/06/20	fair distribution of new packages, Good CQC rating
PER51362	Global North London Business School	18/06/20	Fair distribution and good CQC
PER81680	Sinan Care	19/06/20	fair distribution / not recently awarded by broker
PER83677	Redyfn	19/06/20	Good CQC rating
PER67925	Sinan Care	19/06/20	Fair distribution
PER4124	Kansas Homecare	23/06/19	Fair distribution and good CQC
PER1371	Orchid Care	23/06/19	Fair distribution and good CQC
PER69556	blowing point	24.06.20	Fair distribution and good CQC
PER51893	Angels Caring Care	25/06/20	Fair distribution and good CQC
PER14096	Elmich Care	26/06/20	Good CQC rating, and fair distribution of new packages
PER74998	Primavera Domiciliary Care Services Ltd	29/06/20	Good CQC rating, and fair distribution of new packages
PER6093	Loyal Care Consortium	29/06/20	Good CQC rating (other provider requires improvement)
PER35252	Elmich Care	06/07/20	Fair distribution - awarded to the other providers more recently
PER83837	Cyprian Care	06/07/20	Fair distribution and location
PER72237	Bluebird Care	06/07/20	Good CQC rating, and fair distribution of new packages
PER78497	Redyfn	07/07/20	Good CQC rating, and location
PER73144	Surecare	08/07/20	Fair distribution and good CQC
PER83543	Westminster Homecare	08/07/20	Fair distribution of new packages
PER39929	Sinan Care	09/07/20	Only provider to accept at Enfield's rate
PER84043	Foremost Care UK	10/07/20	Fair distribution who can meet Enfield's rate
PER83992	Core Outreach	13/07/20	Fair distribution of new packages
PER30837	Blowing Point Care	13/07/20	Only provider to accept
PER64635	Angels Caring Care	13/07/20	Only provider who could meet language request (can't use NLAC due to provider concerns)
PER82485	Westminster Homecare	13/07/20	Only provider who could meet language request (can't use NLAC due to provider concerns)
PER81001	Kangaroo Healthcare	14/07/20	Fair distribution of new packages, not recently been awarded by any other Broker
PER55357	Elmich Care	15/07/20	Location to where s/user lives
PER39929	Kangaroo Healthcare	15/07/20	Only provider to accept
PER65773	Orchid Care	15/07/20	Fair distribution of new packages
PER6685	Loyal Care Consortium	14/07/20	Continuit of care across boroughs, No NOK
PER17667	Sure Care Enfield	15/07/20	Fair distribution of new packages
PER20197	Blowing Point Care	17/07/20	The only provider to accept via CarePlace
PER82975	Bluebird Care	20/07/20	Selected due to fair distribution
PER45788	BMF Social Care	20/07/20	Fair distribution of new packages, not recently been awarded by any other Broker
PER83145	Jacaranda Healthcare	22/07/20	Fair distribution of new packages, not recently been awarded by any other Broker
PER16534	Unique Care UK	22/07/20	Fair distribution of new packages
PER83756	Loyal Care Consortium	23/07/20	Good CQC and location to s/user
PER63302	Foremost Care UK	23/07/20	Good CQC and location to s/user
PER83645	Cyprian Care	27/07/20	only provider other than Golden 4 and son was happy
PER46499	Angels Caring Care	28/07/20	Location to where s/user lives
PER15043	Primavera Domiciliary Care Services Ltd	03/08/20	su wanted me to select so selected within our budget and fair selection not used recently
PER84350	Kansas Homecare	04/08/20	Selected due to fair distribution (husband and wife case)
PER74667	Kansas Homecare	04/08/20	Selected due to fair distribution (husband and wife case)

PER11583	Angels Caring Care	06/08/20	Selected for fair distribution with SW
PER78314	Westminster Homecare	12/08/20	Location to where s/iuser lives
PER38776	Angels Caring Care	13/08/20	selected as broker have not awarded to agency recently. Agency has good CQC as well and broker has not heard of any complaints regarding agency.
PER15128	Core Outreach	14/08/20	The only provider to accept via CarePlace
PER59218	Kangaroo Healthcare	17/08/20	2 providers accepted but fair allocation distribution
PER53208	Orchid Care	19/08/20	Fair distribution of new packages
PER34311	Elmich Care	27/08/20	Fair distribution and good CQC
PER14011	Sure Care Enfield	27/08/20	Fair distribuiton of new packages
PER16704	Loyal Care Consortium	27/08/20	Fair distribution and location to where the s/user lives
PER42993	Blowing Point Care	26/08/20	fair distribution - as many SUs / agents decline their name
PER32116	Blowing Point Care	26/08/20	fair distribution - as many SUs / agents decline their name
PER83421	Global North London Business School	27/08/20	Fair distribution and good CQC
PER18005	Core Outreach	27/08/20	Fair distribution and good CQC
PER81316	Redyfn	28/08/20	Fair distribution
PER84656	Loyal Care Consortium	28/08/20	Due to urgency and fair distribution
PER84678	Primavera Domicilliary Care Services Ltd	03/09/20	Fair distribution and good CQC
PER22576	BMF Social Care	04/09/20	Fair distribution of new packages
PER13009	Surecare	04/09/20	Fair distribution and good CQC
PER14011	Redyfn	04/09/20	S/user has had 11 agencies so far, broker had to select an agency that he hasn't had before
PER47627	Core Outreach	09/09/20	Fair distribution of new packages
PER31980	Sinan Care	10/09/20	Fair distribution and good CQC
PER14447	Angels Caring Care	11/09/20	Fair distribution of new packages
PER4028	Redyfn	15/09/20	Only provider to accept
PER29637	Westminster Homecare	16/09/20	fair distribution and good CQC
PER83131	Core Outreach	16/09/20	Fair distribution
PER33460	Westminster Homecare	17/09/20	Fair distribution
PER83965	Kangaroo Healthcare	18/09/20	Fair distribution
PER8461	Loyal Care Consortium	21/09/20	Location to where s/iuser lives
PER84583	Kangaroo Healthcare	23/09/20	Only provider who could meet language request
PER79667	Verity Healthcare	23/09/20	Fair distribution of new packages and GOOD cqc rating
PER63137	Core Outreach	25/09/20	Only provider to accept
PER5568	Westminster Homecare	25/09/20	Fair distribution as I've already awarded to the other provider today
PER75249	Orchid Care	28/09/20	only 2 takers and the other was above our budget
PER78391	Elmich Care	29/09/20	Fair distribution and good CQC
PER40797	Primavera	29/09/20	Only provider who could meet language request
PER85144	Sinan Care	01/10/20	Only provider who could meet language request
PER80494	Kangaroo Healthcare	02/10/20	Only provider who could meet language request
PER20367	Verity Healthcare	02/10/20	Only provider who could meet language request

Brokerage Flow Chart (Care Place) DOM Care



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London Borough of Enfield**General Purposes Committee****15 October 2020**

Subject: Corporate, Brexit and COVID-19 Risk Register Updates**Cabinet Member: N/A****Executive Director: Ian Davis, Chief Executive****Key Decision: N/A**

Purpose of Report

- 1.1. This report presents the revised Corporate Risk Register, COVID-19 Risk Register and Brexit Risk Register.
- 1.2. The Corporate Risk Register (CRR) has been circulated for review by DMTs and has been updated accordingly (Appendix A). Two new risks have been added:
 - CR18 - Civil Unrest
 - CR19 - Climate Change
- 1.3. The combined COVID-19 Risk Register has been developed with the Council's COVID-19 Recovery Group and Silver and has been circulated to both groups for review and update (Appendix B).
- 1.4. Following the last General Purposes Committee meeting, two additional risks have been added to the COVID-19 Risk Register. These are:
 - CO31 - Local Lockdown
 - CO32 - Second wave
- 1.5. The Brexit Risk Register is regularly reviewed by the Brexit Panel and the latest version is presented here (Appendix C).

Proposal

2. The General Purposes Committee is requested to note and provide comment on the risks recorded in the:
 - Corporate Risk Register
 - COVID-19 Risk Register

- Brexit Risk Register

Reason for Proposal

3. The Council's Risk Management Strategy allows for the regular review of the Council's risk registers. In accordance with the Strategy, the General Purposes Committee is responsible for monitoring the effective development and operation of risk management in the Council. Therefore, the Corporate Risk Register, COVID-19 Risk Register and the Brexit Risk Register are presented to the Committee for review and comment.

Relevance to the Council's Corporate Plan

4.1 Good Homes in Well-Connected Neighbourhoods

An effective Audit and Risk Management Service helps to provide assurance over any risks that might adversely affect the delivery of good homes in well-connected neighbourhoods.

4.2 Safe, Healthy and Confident Communities

An effective Audit and Risk Management Service is an essential management tool which will help the Council achieve its objectives to sustain safe, healthy and confident communities.

4.3 An Economy that Works for Everyone

An effective Audit and Risk Management Service will help the Council achieve its objectives in building a local economy that works for everyone.

Background

5.1 The Council's Risk Management Strategy allows for the regular review of the risks the Council faces.

5.2 In accordance with the Strategy, the General Purposes Committee is responsible for monitoring the effective development and operation of risk management in the Council.

5.3 Therefore, the Corporate Risk Register (Appendix A,) the COVID-19 Risk Register (Appendix B) and the Brexit Risk Register (Appendix C) are presented to the Committee for review and comment.

5.4 The nature of the risks on the Corporate Risk Register means responsibility and ownership overlap with various departments within the Council. For simplicity, each risk has been allocated a lead department, however this does not absolve other Departments from responsibility.

5.5 The Corporate Risk Register has been reviewed and agreed by Departmental Management Teams (DMTs) and the Executive Management Team (EMT)

5.6 Since the last time the Corporate Risk Register was presented to General Purposes Committee, two new risks have been added. These are:

- CR18 - Civil Unrest
- CR19 - Climate Change

5.7 Updates to individual risks are recorded in the final column in Appendix A.

5.8 The combined COVID-19 Risk Register has been developed with the Council's COVID-19 Recovery Group and Silver and has been circulated to both groups for review and update (Appendix B).

5.9 Following the last General Purposes Committee meeting, two additional risks have been added to the COVID-19 Risk Register. These are:

- CO31 - Local Lockdown
- CO32 - Second Wave

5.10 The Brexit Risk Register is regularly reviewed by the Brexit Panel and the latest version is presented here (Appendix C.)

5.11 The Risk Management Team continues to provide oversight, challenge and advice to departments regarding effective risk mitigation and governance

Main Considerations for the Council

6.1 Any large complex organisation needs to have a well-established and systematic risk management framework in place to identify and mitigate risks it may face.

6.2 The Audit and Risk Management Service supports management in the identification and mitigation of risks as part of its work.

Safeguarding Implications

7. There are no safeguarding implications arising directly from this update from the Audit and Risk Management Service.

Public Health Implications

8. There are no Public Health implications arising directly from this update from the Audit and Risk Management Service.

Equalities Impact of the Proposal

9. Corporate advice has been sought regarding equalities and an agreement has been reached that it is not relevant or proportionate to carry out an equalities impact assessment/analysis for this report.

Environmental and Climate Change Considerations

10. One of the additional corporate risks (CR19) which is now being recognised is in relation to Climate Change, specifically that climate change and severe weather events may result in a disruption to delivery of services across the Council. It is recognised that a key mitigation will be delivery of the Council's recently adopted Climate Action Plan, which includes a range of actions as well as targets for monitoring progress.

Risks that may arise if the proposed decision and related work is not taken

11.1 Any large complex organisation needs to have a well-established and systematic risk management framework in place to identify and mitigate risks it may face.

11.2 The Audit and Risk Management Service supports management in the identification and mitigation of risks as part of its work and therefore, if this work is not carried out, reviewed and followed up, the Council faces the risk of legal, financial and reputational loss.

Risks that may arise if the proposed decision is taken and actions that will be taken to manage these risks

12. N/A

Financial Implications

13. There are no specific financial implications related to this report.

Legal Implications

14. There are no specific legal implications related to this report.

Workforce Implications

15. There are no specific workforce implications related to this report.

Property Implications

16. There are no property implications that arise as a result of including additional risks on the risk registers, however, should the new risks actually transpire, there is some likelihood of some property implications, but these would be addressed at the time when the incident happens.

Other Implications

17. N/A

Options Considered

18. It is generally accepted best practice that a Council's key risks are regularly reviewed by senior stakeholders, therefore no alternative options have been considered

Conclusions

19. The General Purposes Committee is requested to note and provide comment on the risks recorded in the Corporate Risk Register, the COVID-19 Risk Register and the Brexit Risk Register.

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Date of report 29 September 2020

Appendices

Appendix A: Corporate Risk Register
Appendix B: COVID-19 Risk Register
Appendix C: Brexit Risk Register

Background Papers

N/A

Appendix A: Corporate Risk Register 2020/21

Risk Title & Description	Original Risk	Existing Risk Mitigations	Current Risk	Further planned actions	Lead Department	Update 1 st September 2020
<p>CR01 - Budget Management</p> <p>If the Council's financial position is adversely affected by external factors (including; Brexit, economic downturn, political change, and change to the funding framework etc) then this could affect service delivery.</p>	High	<ul style="list-style-type: none"> - Monthly reporting and forecasts reviewed by senior management - Budget Pressures board set up - Regular reporting to EMT & Cabinet - Monitoring of the Council Tax and Business Rates tax base - Contingencies/reserves reviewed annually - Forward planning - Brexit Panel in operation - 5-year MTFP, 10-year capital programme and treasury strategy 	High	<ul style="list-style-type: none"> - Ongoing review of adequacy reserves - Fair Funding Review – keeping up-to-date 	Resources	<p>This risk continues to remain high and we estimate that our comprehensive response to the COVID-19 crisis including ongoing support for our residents and businesses will cost the Council approximately £68m.</p> <p>This is an initial estimate and the total impact will not be known for some time to come. So far, we have received £17.9m from the Government to cover these costs, but we will continue to lobby to try and ensure we are recompensed for every penny we spend.</p> <p>Enfield Council's position is broadly equivalent to most other councils in London, we have neither incurred higher than expected costs or experienced excess loss of income. However, we must continue to monitor our situation to ensure our fiscal management at this time is robust and responsible.</p> <p>As part of this responsible approach to fiscal management we still aim to deliver the budget savings agreed in February for 2020/21 which will include some staff restructures planned before the pandemic and unrelated to the crisis.</p> <p>Details on the financial impact of Covid19 were provided to Cabinet in May 2020.</p>
<p>CR02 - Failure to maximise income</p> <p>If income (all included traded, council tax, grants) is not</p>	High	<ul style="list-style-type: none"> - Dedicated Commercial team focussed on supporting services on maximising income - Targets and KPIs regularly monitored 	High	<ul style="list-style-type: none"> - Delivering the Payment Programme to make paying easier, more accessible and efficient. - Delivering functionality to issue 	Resources	<p>This risk continues to remain medium although the following work has been undertaken:</p> <p>The Payments Programme introduced a new</p>

Risk Title & Description	Original Risk	Existing Risk Mitigations	Current Risk	Further planned actions	Lead Department	Update 1 st September 2020
<p>maximised, then this could lead to financial pressures and an inability to deliver services.</p> <p>Failure to collect invoiced income.</p>		<ul style="list-style-type: none"> - Benchmarking fees and charges with other LAs - Commercial pipeline 		<ul style="list-style-type: none"> electronic debt reminder notifications to recover ASH Sundry debt. - Implementation of commercial microsite and new CRM/CMS platform to facilitate payment upfront and booking capability for seamless delivery of services and better customer experience (Customer Experience Programme). - Improve understanding of traded services income and expenditure. - Development of a debt prevention and recovery strategy 		<p>face to face payment channel in April 2020 to make it easier and more convenient for customers, that are not using electronic payment channels, to pay their bills.</p> <p>A Traded Services Forum meeting took place to support upskilling of colleagues across the council.</p> <p>Work is continuing with the Commercial Team to look at opportunities to increase income.</p> <p>The Customer Experience programme has successfully procured a supplier for the implementation of CRM and is in the process of procuring the CMS supplier.</p>
<p>CR03 - Fraud/Corruption</p> <p>If there are ineffective internal controls and governance arrangements in place this could lead to the Council being subjected to an incident of organised or high value fraud, bribery and/or corruption, resulting in financial and reputational loss.</p>	<p>High</p>	<ul style="list-style-type: none"> - Fraud awareness training - Whistleblowing policy - Anti-Fraud strategy and action plan - Reporting to GPC/EMT - Pursue maximum sanctions in line with policy and regulations - Adequately resourced and qualified internal audit and anti-fraud service - Annual review of anti-fraud policies and procedures - Annual audit plan and implementation of recommendations - Ongoing rigour to ensure that audit actions are implemented in a timely way 	<p>High</p>	<ul style="list-style-type: none"> - Participation in anti-fraud exercises, including the National Fraud Initiative and a data matching pilot lead by Cifas. - Development of apprentices to enable succession planning within the team. - Improved Fraud Awareness eLearning module now available. - Participating in pilot exercise to share financial fraud intelligence with financial institutions. - Dedicated Counter Fraud support being provided to Housing Assessment & Advice Team. - Continue to carry out pre-award assurance checks for the Small Business Grant Fund scheme. - Promote proportionate use of 	<p>Chief Executive</p>	<p>We recognise that there is an inherently high risk and likelihood of fraud in emergency management situations, primarily due to the decrease in the levels of staffing, redeployment of staff to new areas and the difficulty that services may have in delivering services which will lead to temporary changes in the control environment.</p> <p>We have been mitigating this increased risk by issuing advice to Heads of Service concerning changes to controls processes, followed up by telephone contact.</p> <p>We will carry out targeted post-event assurance checks on the Small Business Grant Fund scheme to identify where fraud may have occurred and to take appropriate action.</p> <p>We will shortly be commencing a proactive exercise in conjunction with Exchequer</p>

Risk Title & Description	Original Risk	Existing Risk Mitigations	Current Risk	Further planned actions	Lead Department	Update 1 st September 2020
				internal controls, working with Heads of Service via our risk assurance framework.		<p>Services to review purchasing/ procurements during the COVID-19 period for potential anomalies.</p> <p>We are drafting a Corporate Fraud Risk Register, to be used by Heads of Service when considering key fraud risks faced by their services.</p>
<p>CR04 - Information Governance</p> <p>If there are inadequate security controls and/or staff training, then this could lead to a loss, corruption, disclosure or breach of data, resulting in reputational damage, legal action and/or fines due to non-compliance with Data Protection / GDPR / PCI legislation</p>	High	<ul style="list-style-type: none"> - Data Protection officer in place - Mandatory E-Learning for all staff - Acceptable use policy in place - FOI team in place with regular monitor of responses - IGB board in place - Regular reminders sent to staff - Cyclical audit of governance arrangement. - Implement recommendations from GDPR internal Audit which took place in 2018/2019. 	High	<ul style="list-style-type: none"> - Communication and implementation of clear desk policy, security measures and access control - Embedding of Information Governance culture and best practice - Communicating procedures for reporting breaches 	Chief Executive	<ul style="list-style-type: none"> - FOIA internal audit for 2019/2020 complete and draft report presented to HOLS and Manager of CAIT. Audit complete – Reasonable assurance given - Clarity of retention policies and communication with all staff will be picked up by DPO in workshops. HR are also now on IGB board and are picking up information governance training issues corporately. - Communication of the right of erasure (right to be forgotten) to all staff will be picked up by DPO. - More control of documentation is being taken forward by the Data quality project IGB have completed annual review of policies -IGB are reviewing terms of reference of board which will strengthen oversight. -New risks around disclosure of personal data due to Covid 19 measures are being managed by documenting legal basis for sharing, discussion at IGB and data sharing agreements, where appropriate. This is an area which needs to be kept under close review.
<p>CR05 – Duty of Care</p> <p>If the Council fails in its statutory duties to Adults & Children within the borough, this could</p>	High	<ul style="list-style-type: none"> - Safeguarding procedures - Policies - DBS checks for staff and volunteers - Performance monitoring of 	Medium	<ul style="list-style-type: none"> - Planned programme of audits covering children and adults safeguarding - External Inspections 	People	<p><i>Safeguarding - Adults:</i></p> <p>Internal Audits for 2020-21</p> <ul style="list-style-type: none"> - Mental Health Act 1983 –AMHP - Eclipse Access Controls

Risk Title & Description	Original Risk	Existing Risk Mitigations	Current Risk	Further planned actions	Lead Department	Update 1 st September 2020
<p>result in potential harm to individuals / families, potential legal challenges and reputational damage.</p>		<ul style="list-style-type: none"> contractors/partners - Multi-Agency Safeguarding Hubs - Adults & children's services combined under one directorate - Internal audit and quality assurance processes - Risk management panel - Complaints & compliments system - Assurance Board 		<p>(Internal controls help to manage and reduce risk but risk cannot be eliminated from this area of work)</p>		<p><i>Safeguarding – Children</i> Internal Audit for 2020-21</p> <ul style="list-style-type: none"> - Unregulated Providers - Disproportionality in Out of Court Disposals - Troubled Family Grants <p>Covid-19 will impact on the Council's ability to meet statutory regulations in Adults Social Care, Children's Social Care and Education SEN. Government has given Local Authorities guidance on easements for delivery of services. DMT is recording all non-compliance issues for statutory regulations and reporting to Gold.</p>
<p>CR06 - Customer Demand</p> <p>If demand changes (due to changes in population, changing demographics, Brexit, political etc.) then this could result in an inability to meet service delivery</p> <p>No Deal Brexit likely to have a significant impact on the construction sector and increase in homelessness and people with no recourse to public funds If there is a failure to deliver the homelessness prevention strategy, then this will result in increased levels of homelessness and user demand for council services and temporary accommodation</p>	<p>High</p>	<ul style="list-style-type: none"> - Brexit panel - Eligibility criteria for services - Making Every Contact Count (MECC) for staff - Services are focussed on early help and enablement to prevent escalation of need - MyLife Portal & Eclipse implementation complete Nov 20 (HASC Transformation Programme) - Development of the Children's Portal (Children's Transformation Programme) - Models of social work practice - Smoking cessation - Sexual health - Substance misuse services - There were 203 additional places opened in September 2019 in Special Schools and 57 additional places in mainstream schools run by special schools. 	<p>Medium</p>	<ul style="list-style-type: none"> - Predictive analytics - Increasing SEN Places in the borough - Monitor the housing market - Improve self-serve options for customers - Build capacity in customers to resolve issues - New homelessness prevention service model and Board - New Community Solutions Hub and Project (Customer Experience Programme) addressing demand failure and prevention. 	<p>People & Place</p>	<p>MECC training for 500 staff commenced in August 2019.</p> <p>The department continues to monitor closely SEND numbers and future plan for schools' places to meet need; and ensure that the planned projects are completed to time to meet pupil need.</p> <p>MyLife is available and continues to be developed</p> <p>The Children's Portal (Children's Transformation Programme) was launched during July 2019 and continues to assist professionals and the public to make the right referral for either family support or child protection. The information advice and guidance section will assist professionals to sign post and the public to self-serve.</p> <p>New homelessness service model in development</p> <p>The Community Hub Solutions model is a</p>

Risk Title & Description	Original Risk	Existing Risk Mitigations	Current Risk	Further planned actions	Lead Department	Update 1 st September 2020
						<p>project currently under development within the Customer Experience Programme to address demand failure and prevention.</p> <p>MyLife & Eclipse Projects (HASC Transformation Programme) - enabling clients to help themselves via the MyLife Portal and implementation of a new case management system that allows our specialist teams to focus and spend more time with the service users (Eclipse).</p> <p>In response to the national increase in domestic abuse referrals during the Covid 19 lockdown period, a Domestic Abuse multi-agency hub has been set up to enhance the service to support victims. The new Domestic Abuse Hub strengthens current arrangements and will help in responding to concerns quickly to reduce risks and ensure the safety of children and vulnerable adults.</p>
<p>CR07 - Loss of IT</p> <p>Failure of the Councils ICT and/or Digital systems (due to cyber-attack, hardware failure etc..) will lead to a severe disruption of service delivery.</p>	<p>High</p>	<ul style="list-style-type: none"> - Regular audits - Acceptable use policy and cyber security - Mandatory staff E-learning on acceptable use policy and cyber security policy - Business continuity plan in place and to be reviewed regularly. - Resilient infrastructure e.g. backup, data servers - Data recovery service in place 	<p>High</p>	<ul style="list-style-type: none"> - Ongoing improvement of the infrastructure Resilience through the delivery of the infrastructure programme. - Complete the new device rollout programme and ongoing hardware refresh - Complete the IT restructure and recruitment, building a procurement and contract management capability to manage supplier relationships effectively. 	<p>Resources</p>	<p>This risk continues to remain medium although the following work has been undertaken:</p> <p>Actions continue to be progressed on the infrastructure programme. In Q3 we will be complete replacing end-of-life equipment in our on-site server room. Our network will be upgraded by March 2020.</p> <p>We have conducted Inter and External penetration tests and the result highlighted a high number of vulnerabilities in the Inter test and low number in the External test.</p> <ul style="list-style-type: none"> - Remediation Programme has been

Risk Title & Description	Original Risk	Existing Risk Mitigations	Current Risk	Further planned actions	Lead Department	Update 1 st September 2020
						<p>developed and we are in procurement process for remedial work to resolve all outstanding security risks</p> <ul style="list-style-type: none"> - Cyber security training which is mandatory – need for staff to be more aware, IGB to raise awareness; Senior Leadership Network update for all Heads of Service was delivered on 12/09/19. <p>Customer Experience Programme has a project in delivery and on track to support the existing CRM platform should this be required as a contingency (Microsoft Global Upgrade)</p>
<p>CR08 – Business Continuity</p> <p>If the Council is subject to a significant event that causes business interruption and fails to respond adequately, then this could lead to significant financial loss and disruption of services.</p>	High	<ul style="list-style-type: none"> - Business Continuity Management Board - Training - Adequate Insurance in place - Corporate business continuity plan in place - Departmental business continuity plans in place 	Medium	<ul style="list-style-type: none"> - Department & Service BC Plans are constantly being updated and reviewed during Covid-19 - Corporately Services and Department will be encouraged to review existing plans once lessons learnt during Covid -19 are available. 	Chief Executive	<ul style="list-style-type: none"> - The EP Team are supporting departments as needed - Ensuring critical teams are continuing to maintain appropriate services - Departments are required to complete daily SitReps which are shared with the Council's Silver and Gold Groups - Critical Service Leads are required to update the BC SitRep as and when needed
<p>CR09 – Emergency Incident</p> <p>If there is a failure to respond adequately following a major incident within the borough that adversely affects residents / businesses, then this may result in significant reputational damage.</p>	High	<ul style="list-style-type: none"> - Staff are adequately trained to respond - Staff volunteers to assist in responding - Out of hours response team - Incident management policies - Additional officers has led to an increase in resilience within the EP team 	Medium	<ul style="list-style-type: none"> - Strategic Training with the Emergency Planning College has been arranged for Council Golds - Tactical Training with The Emergency Planning College has been arranged for all Council Silvers and will take place later in the year 	Chief Executive	<ul style="list-style-type: none"> - London Standardisation Training has taken place, all teams are fully staffed. - The Emergency Response Management Teams consists of 9 teams and each team consist of 10 officers which includes the Council Gold - During the Covid-19 response the EMRT will continue as BAU, with a dynamic approach.
<p>CR09A – Coronavirus</p> <p>An outbreak could lead to a significant number of people</p>	High	<ul style="list-style-type: none"> - Flu plan tested in a multi-agency exercise last year - Business continuity plans in place and being reviewed by all 	Medium	<ul style="list-style-type: none"> - Continue to monitor and disseminate information from relevant agencies. - LRF meeting 11/2/20 	People	<p>The UK is extremely well prepared for any potential outbreak of an infectious disease – we are one of the first countries in the world to have developed a test for the new virus</p>

Risk Title & Description	Original Risk	Existing Risk Mitigations	Current Risk	Further planned actions	Lead Department	Update 1 st September 2020
<p>being infected within a short period of time. This could lead to severe consequences including;</p> <ul style="list-style-type: none"> - Deaths to vulnerable people -Overload on Adult Social care service - Severe disruptions to services - Staff shortages 		<p>departments</p>				<p>and a team of public health experts has been established in Heathrow Airport to support anyone travelling in from China who feels unwell.</p> <p>The Council has prepared for an increase in cases and just last year the Council's pandemic flu plan was tested in a multi-agency exercise.</p> <p>As part of the Customer Experience programme, Face to Face customer access is being moved to flagship libraries enabling our most vulnerable customers to receive assistance nearer their homes. This will be conducted observing the social distancing measures,</p> <p>Enfield's Local Outbreak Plan has been approved and is maintained and updated by members of the Local Authority Outbreak Control Team (OCT).</p> <p>The Council has set up a weekly Public Health Strategic Management Group to review coronavirus data. This ensures the Council maintains a strategic overview of the situation and can agree action as and when necessary</p>
<p>CR10 – Health & Safety</p> <p>If there is an avoidable incident affecting staff / public / tenants (residential & commercial) then this could lead to injury/death, legal challenge and reputational damage.</p> <p>If we do not comply with H&S requirements for buildings, then</p>	<p>High</p>	<ul style="list-style-type: none"> - H&S Procedures - Training / E-learning - Occupational Health provider - Corporate Landlord responsibilities - Housing – Cladding / Smoke alarms Electric / Gas safety - Highway maintenance - Winter Maintenance plan - Grounds Maintenance 	<p>High</p>	<ul style="list-style-type: none"> - Regular reports to Corporate H&S Committee and Assurance Board - Ensuring works comply with legislation, codes of practice and contracts are performance managed - H&S to be included in decision making when setting budgets for 20/21 	<p>Place</p>	<p>Corporate policies and processes in place to effectively manage the council's operations</p> <p>Robust risk management systems are in place to control operational risks</p> <p>Corporate training programmes are in place to ensure staff have the skills and knowledge required to operate safely and mitigate risk to relevant persons</p>

Risk Title & Description	Original Risk	Existing Risk Mitigations	Current Risk	Further planned actions	Lead Department	Update 1 st September 2020
this could lead to injury/death, regulatory enforcement action and reputational damage.		<ul style="list-style-type: none"> - Waste Collection - Asbestos awareness - Security/access to buildings and schools 				<p>Adequate systems are in place to manage statutory compliance across the residential and corporate Landlord portfolios with planned improvements to provide robust management</p> <p>Appropriate performance monitoring and reporting to provide assurance via the Corporate Health and Safety Management Plan, the Departmental and Corporate Performance reports, the Departmental and Corporate Health and Safety Committees and the Council's Corporate Assurance Board</p> <p>Reports to Assurance Board every other month and corporate H&S committee every quarter</p>
<p>CR11 - Housing</p> <p>If there is a failure to deliver the housing strategy, then this will result in an inadequate supply of social and private sector properties within the borough.</p>	High	<ul style="list-style-type: none"> - Housing strategy in place, with teams and resources in place to deliver - Continually review policies to keep abreast of current climate and good practice 	High	<ul style="list-style-type: none"> - Monitor housing delivery through the Housing Delivery Board - Regular meetings to monitor service delivery capacity among management and HR - We will continue to scan the horizon in order to prepare for major changes in the housing sector including: the introduction of a new Regulator for Social Housing Standards; and changes to the powers of the Housing Ombudsman such as enforcement action and a new compensation regime. 	Place	<p>Housing Strategy published.</p> <p>3,500 council owned homes programme agreed.</p> <p>Low Yield programme lead in place.</p> <p>Proposals to intensify existing estate regen schemes in progress.</p> <p>Meridian Water Phase 2 100% affordable housing out to procurement</p> <p>Preparing to address the requirements to meet the regulatory standards. Reviewing complaints handling within the service – looking at organisational learning to make long term service improvements</p>
CR12 – Major Capital Projects	High	- Close attention to recruitment and skills of council.	Medium	- Build in-house capacity to deliver GLA capacity funding	Place	Unchanged. There is a detailed risk register for Meridian Water that manages all risks

Risk Title & Description	Original Risk	Existing Risk Mitigations	Current Risk	Further planned actions	Lead Department	Update 1 st September 2020
If there is a failure of key schemes (Meridian Water, Electric Quarter, Joyce Avenue and Snells Park Estates, etc.) to regenerate the borough this will lead to a reputational damage and financial loss.		<ul style="list-style-type: none"> - Using independent specialist advisors - Capital Board reporting - Ensure executive oversight of major schemes - Monthly risk reviews of all major projects 		<ul style="list-style-type: none"> - Ensure robust procurement controls and contact management by in house staff - - Improve risk registers in housing development 		and we are satisfied that the risk is still medium
<p>CR13 – Supply Chain/Contract management</p> <p>The Council fails to effectively commission, procure and/or contract manage its key contractors or partners, leading to the Council being unable to deliver key services or demonstrate value for money.</p>	High	<ul style="list-style-type: none"> - Contract Procedure Rules - P&C Board - Commercial board - Training - London Tender Portal - Single Contract registers for the council - Reporting non-compliance to audit committee - Performance monitoring 	Medium	<ul style="list-style-type: none"> - Review of Contract procedure rules - Review Training - Improvement plan to ensure consistent good practice across organisation - Ongoing review and improvement to the quality of the information held on contract register 	Resources	<p>This risk continues to remain medium although the following work has been undertaken:</p> <p>New CPR's implemented in July 2020 with supporting manual. Training carried out to support understanding of new CPR's.</p> <p>Updated contract management guide has been put on the intranet. Training strategy to support the upskilling of staff in contract management drafted.</p> <p>Audit completed; implementation of actions ongoing.</p> <p>Departmental contract boards – now up and running. Supplier Resilience programme started in Place to review impact of Covid 19 on supply chain.</p>
<p>CR14 - Trading companies</p> <p>If the Council's trading companies fail or perform poorly then this will result in significant reputational damage and financial loss.</p>	High	<ul style="list-style-type: none"> - Line of delegation and reserve matters for LBE shareholder decisions - Quarterly reporting of company performance against business plan targets - Annual submission of company business plans - Governance review and action plan in place - Council member and officer 	Medium	<ul style="list-style-type: none"> - Review training for council officers and board members - Further review of tax position Review of SLA efficiency and effectiveness - State Aid compliance review 	Resources	<p>This risk continues to remain medium. Coronavirus risks have been managed by companies and have not to date impacted performance for most.</p> <p>Separate risk registers for the companies have been developed which will support risk monitoring. This is shared with Assurance Board on a regular basis.</p> <p>Audit of resourcing and management has</p>

Risk Title & Description	Original Risk	Existing Risk Mitigations	Current Risk	Further planned actions	Lead Department	Update 1 st September 2020
		presence on all company Boards				taken place providing Reasonable Assurance with actions to be implemented over coming months
<p>CR15 - Staffing</p> <p>If the council is unable to recruit/retain highly skilled staff and/or those in high demand, then this will result in poor staff morale, reduced levels of service delivery, increased costs due to agency/interim staff and will impact statutory responsibilities.</p>	High	<ul style="list-style-type: none"> - Recruitment & selection policies reviewed - Flexible working - Mentoring schemes - Regular review of the use of agency staff - Regular review of staff absence - Benefits package - Alternate rewards - Training and development - Recruitment & Selection training for managers is live. - Departmental CPD budgets established and sit within each department 	Medium	<ul style="list-style-type: none"> - Reduce agency workers - Customer experience programme - Culture change project and forum - Social Work Apprenticeship - Staff Seminars - Technology to support flexible engaging recruitment practises. 	Chief Executive	<p>A proposal has been submitted with recommendations for the approval of Talent Link – an upgrade to the current recruitment IT tool. This upgrade will radically transform the process for managers and candidates to provide far more flexibility and fully utilise social media tools. Corporate decision to place this on hold due to the wider integrated IT system review and council wide implications. This will be progressed as part of the wider Council Project on ICT Integrated System</p> <p>A greater emphasis has been placed on supporting flexible working – which will also form part of 'Build the Change'. A draft 'Smart Working Policy' has been developed to support the new ways of working – giving greater flexible to working arrangements across the council. This would potentially attract more talent to the council.</p> <p>The agency reduction strategy has been developed; and is now being implemented. Regular update and review meetings are taking place with senior officers and the Cabinet Lead for Finance to ensure compliance.</p> <p>First cohort of Social work apprenticeships will be starting in September due to Covid-19</p> <p>In addition, bespoke recruitment campaigns are ongoing to support known hard to recruit posts.</p> <p>Staff network groups now fully established</p>

Risk Title & Description	Original Risk	Existing Risk Mitigations	Current Risk	Further planned actions	Lead Department	Update 1 st September 2020
						with good terms of references in place. This includes six weekly meetings with network leads and the Director of HR &OD.
<p>CR16 - Financial Management</p> <p>If the Council fails to maintain its financial controls and or has its Statement of Accounts (SOA) qualified, then it could suffer significant reputational damage with its partners (customers, residents, suppliers and public bodies). This is because the Statement of Accounts reflects that the Council is a 'going concern'</p>	High	<ul style="list-style-type: none"> - General Purposes Committee and Assurance Board review of audit actions - Director of Finance has oversight SOA - Plan of improvement reviewed and updated to Audit & Risk Committee. - SOA - Bi-weekly meetings by 3 most senior finance officers 	High	<ul style="list-style-type: none"> - Restructure in Corporate Finance to review opportunities to strengthen team 	Resources	<ul style="list-style-type: none"> - General Purposes Committee to be updated monthly - Lead Member updated weekly - - Schools have been updated with changes. - External audit underway
<p>CR17 – Tax</p> <p>As the Council has become more complicated in its commercial arrangements, the complexity of VAT, Corporation Tax and SDLT (Stamp Duty Land Tax) has grown.</p> <p>The risk to the council from getting the partial tax exemption wrong in any year is at least a £2m hit to revenue.</p>	Medium	<ul style="list-style-type: none"> - A new monthly tax meeting takes place. - A plan of improvement is being developed to ensure that VAT in particular is being robustly monitored and so that risks are flagged early. - Finance is now involved in most SDLT decision-making conversations. - A new mailbox has been created. 	Medium	<ul style="list-style-type: none"> - The Council plans to send out a formal email to all key officers, particularly project managers about the need to seek tax advice and to ensure that all projects are opted to tax. - SharePoint will be set up with all records in one spot for all of the Council so there is one version of the truth. 	Resources	The Tax Officer is reviewing and projecting future tax liabilities to assess the options to manage the partial VAT exemption under the 5% threshold.
<p>CR18 - Civil unrest</p> <p>A confluence of significant events could cause tensions in the community that may result in violence causing injury, death,</p>	High	<ul style="list-style-type: none"> - A number of partnership meetings with the police enable a good flow of information sharing to highlight specific risks and provide an opportunity for the Council to contribute as part 	Medium	<ul style="list-style-type: none"> - Development of pan London protocols to deal with unlicensed events. Targeted outreach, information sharing and a number of strategies including Community Safety Partnership 	People	<p>NEW RISK ADDED</p> <p>There have been several unlicensed music events across London during the summer. London boroughs and the Metropolitan Police have agreed a protocol to respond to</p>

Risk Title & Description	Original Risk	Existing Risk Mitigations	Current Risk	Further planned actions	Lead Department	Update 1 st September 2020
financial loss and property damage		of wider local partnership- e.g. CCTV -heightened awareness, targeted projects		Plan.		these. Public demonstrations in support of the Black Lives movement have taken place without incident.
CR19 - Climate change Climate change and severe weather events may result in a disruption to delivery of services across the Council, with financial, operational, reputational and legal Consequences	High	-The council has invested heavily in the delivery of a number of flood mitigation schemes in recent years. -Declaration of climate emergency - Climate action plan	Medium	Implementation of action plan	Place	NEW RISK ADDED Action plan agreed and launched.

Appendix B: Combined Covid-19 Risk Register - September 2020

(Key: Recovery Group / Silver)

Risk Ref - Title Description	Initial Risk	Existing Risk Mitigations	Current Risk	Further Planned Actions	Lead Dept.
<p>CO1 – Staff Safety</p> <p>If there is a virus outbreak within staff offices, then this may cause large numbers of staff to become unwell and may endanger life</p>	HIGH	<ul style="list-style-type: none"> - Staff advised to work from home where compatible with their role to minimise number of staff on-site. - Managers reporting any cases or suspected cases among staff to the Public Health team. - Introduction of physical distancing for staff and visitors while in the Council buildings. - Risk Assessments carried out for all Corporate buildings. - Regular updates provided to staff - PPE available. 	HIGH	<ul style="list-style-type: none"> - Continued monitoring of Government advice - Additional safety and distancing measures being introduced in buildings including such as one-way systems - Guidance for individual areas on PPE provided and being updated - Cleaning of offices etc to be part of recovery workstream. 	Chief Executive's
<p>CO2 – Mental Health and Wellbeing of staff</p> <p>There may be an increase in employee related mental health and wellbeing issues which impacts on the Council's ability to deliver services during the crisis and recover post crisis.</p>	HIGH	<ul style="list-style-type: none"> - Regular communication to promote health & wellbeing and support services - Virtual Team meetings to ensure colleagues are staying connected - Employee Advice and Counselling Service for specialist confidential support for staff and household members - Crisis communications strategy agreed by Gold and implemented. - Dedicated crisis advice helpline for staff now open Monday to Friday 10am - 4pm - Staff FAQs in place & updated on weekly 	MEDIUM	<ul style="list-style-type: none"> - Carry out resourcing assessment of the organisation to identify areas where additional skills may be required. - Develop plans to enable services to operate on skeleton staff if necessary. - Series of events organised by the Mental Health and Wellbeing Network - Continue to communicate regularly with residents and staff on all 	Chief Executive's

Risk Ref - Title Description	Initial Risk	Existing Risk Mitigations	Current Risk	Further Planned Actions	Lead Dept.
		<p>basis. Communications to staff also managed at Bronze levels</p> <ul style="list-style-type: none"> - Via Silver, ensuring managers are checking in with their staff on a regular basis and prioritising welfare discussions due to high numbers working from home, self-isolating and/or acting as shield for vulnerable family member 		<p>matters relating to COVID-19 including latest health and safety advice.</p> <ul style="list-style-type: none"> - Latest COVID-19 comms strand being push externally and internally is promoting Test and Trace. - Staff also being regularly updated on related Build the Change activity and community response initiatives through Culture Matters comms channels. 	
<p>CO3 - Loss of staff</p> <p>If there is a significant loss of staff (25%-50%) due to the virus, then the delivery of critical services could suffer</p>	HIGH	<ul style="list-style-type: none"> - Existing Staff Redeployment Process: James Smith is leading on corporate priority service planning to identify where existing staff can be redeployed from non-critical to critical service areas when/if required. Plan identifies transferrable skills, existing security checks (e.g. DBS) to ensure redeployment to appropriate roles when necessary. This has been approved by Gold and is now in effect - External Temporary Employment: Sam Buckley is leading on external recruitment via Matrix for redundant/unemployed Enfield residents to carry out specific roles/duties for specified periods of time. - Services are making Sam & James aware when there are staff shortfalls so 	MEDIUM	<ul style="list-style-type: none"> - Process in place and if further shortages apply these can be advertised on the council website in partnership with Matrix 	Resources

Risk Ref - Title Description	Initial Risk	Existing Risk Mitigations	Current Risk	Further Planned Actions	Lead Dept.
		<p>they can either re-deploy staff or look to work in partnership with Matrix through external advert. This is a live situation and so linked in to updates at Silver. Also linked they are running daily stats on HR sickness to look at any significant trends in staff absence which could impact on critical services</p> <ul style="list-style-type: none"> - Public Health: Managers reporting any cases or suspected cases among staff to the Public Health team. SIT reporting mechanisms in place. MI portal adapted so that HR are receiving reports of both Covid and non-Covid related sickness. 			
<p>CO4 – Staff Visits</p> <p>There is an increased risk of staff being exposed to infection whilst attending care visits and appointments</p>	HIGH	<ul style="list-style-type: none"> - PPE available for staff via FM 	MEDIUM	<ul style="list-style-type: none"> - Corporate Health and Safety Team are co-ordinating reviews of risk assessments. 	Place
<p>CO5 – Financial Impact on Income</p> <p>The pandemic may bring about an economic downturn, which could lead to a reduction in income as businesses and individuals become unable to meet their liabilities to the Council.</p>	HIGH	<ul style="list-style-type: none"> - Monitoring of income and continuing to follow robust yet sympathetic debt collection processes. 	HIGH	<ul style="list-style-type: none"> - We are in negotiations with central government to see how the impact of the suspension of business rates is to be mitigated. 	Resources

Risk Ref - Title Description	Initial Risk	Existing Risk Mitigations	Current Risk	Further Planned Actions	Lead Dept.
<p>CO6 – Financial Impact of Additional Expenditure</p> <p>If the Covid-19 expenditure exceeds the organisation's financial reserves, then we will not have sufficient funds to support activities in the medium to longer term. There is also a risk that some/all financial savings for FY19/20 and FY20/21 may not be realised</p>	HIGH	<ul style="list-style-type: none"> - Process drawn up for tracking Covid-19 expenditure across the whole organisation (Finance). Latest budget position update should be available end of March - Authority report submitted to Director of Law & Governance to release £3m of reserves to cover current expenditure - Regular meetings taking place with North Central London group to support forecasting. 	MEDIUM	<ul style="list-style-type: none"> - North Central London Finance undertaking focussed work on Council Tax and Business Rates. - Undertaking scenario planning in the event that there's a shortfall in Government funding. - Government funding continuing to be drip fed through. Currently £35.7m of support against £61.4m of cost/lost income. Lobbying and in discussion with MHCLG. 	Resources
<p>CO7 – Fraud</p> <p>During times of crisis and economic downturn, the level of staffing may decrease (potentially rendering the system of internal control less effective) whilst fraud attempts increase.</p>	HIGH	<ul style="list-style-type: none"> - Services aware of the importance of internal controls. - Corporate Anti-Fraud Team active and available. 	MEDIUM	<ul style="list-style-type: none"> - Corporate Anti-Fraud Team to communicate with key services to monitor fraud attempts and to obtain assurance that controls are operating effectively. 	Chief Executive's
<p>CO8 – Loss of ICT</p> <p>If ICT team / services / capabilities go down or remote working is not available to priority services and the wider staff group, then the organisation will be significantly restricted with immediate effect in its ability to deliver critical services.</p>	HIGH	<ul style="list-style-type: none"> - ICT Covid-19 action plan for Bronze/Silver/Gold in place & monitored daily to address identified weaknesses in technical capabilities, service provision & monitor progress to resolve identified issues. - Remote working test carried out on 17/03/20 - issues identified & now resolved. All users now transferred to VPN for improved remote access. 	LOW	<ul style="list-style-type: none"> - Teams rollout and removal of Skype by Dept on going. - Guidance/Training. On-going review of Network capability with Supplier. - First wave of critical applications identified which can't be used remotely (Atrium, Synergy, Liquid Logic, Northgate, Hope & Carefirst). These have now been resolved. Prioritisation of next set of critical 	Resources

Risk Ref - Title Description	Initial Risk	Existing Risk Mitigations	Current Risk	Further Planned Actions	Lead Dept.
		<ul style="list-style-type: none"> - ICT has scaled up its ability to support more than 3000 users working from home remotely and accessing key/priority applications as well as the ability to hold conference and video calls. - Issued guidance to staff on working from home and how to maximise bandwidth etc. Guidance continues to be issued via ICT intranet page with daily Tips of the Day emails to all Council staff. - ICT Business Continuity Plan has been reviewed & is up to date - Weekend ICT service desk support terminated w/e 18/04/20 - Calls to the ICT Service Desk has stabilised. 		<p>applications follows Silver & Gold authorisation process.</p> <ul style="list-style-type: none"> - Awaiting review of Network Capability commenced 7/9/20 and completion of Infrastructure Programme during Q3/Q4 to ensure Teams rollout is complete, and network robust. 	
<p>CO9 – Failure of suppliers</p> <p>If LBE's external contractors who provide services on behalf of the organisation cease operating, then critical services could cease as a result, falling back to LBE to deliver under duty of care legal requirement</p>	HIGH	<ul style="list-style-type: none"> - Regular review & monitoring of existing contracts - Services in this position have been asked to identify & prepare contingencies, such as alternative suppliers on SAP, shared services with other local authorities and existing supplier contingency plans - All external contractors identified on BIAs have been contacted. Service Leads are satisfied that key suppliers have adequate contingencies in place. Emergency Planning have listed all 	MEDIUM	<ul style="list-style-type: none"> - Continued monitoring of contracts where suppliers are most at risks. - BCP Service Leads have been requested to continually keep in contact with external contractors ensuring that they are able to supply the service 	Chief Executive's

Risk Ref - Title Description	Initial Risk	Existing Risk Mitigations	Current Risk	Further Planned Actions	Lead Dept.
		information.			
<p>CO10 - Reduction in Service delivery</p> <p>Service delivery may be affected if a significant amount of staff are unwell leading to delays in processing and responding to service requests.</p>	HIGH	<ul style="list-style-type: none"> - All employees able to work from home - Maintain register of employees that can be redeployed to other areas based on need and skills required - Regular information sharing with employees via email - Monitoring of absences and management of return to work within government guidelines - Business Continuity Plans and staff cover rotas ensure cover in the office is maintained 	MEDIUM	<ul style="list-style-type: none"> - Develop a contingency plan for a potential second wave of outbreak - Train employees to cover vacant roles as required. - Develop plans to enable services to operate on skeleton staff. 	Chief Executive's
<p>CO11 - Supply Shortages</p> <p>If essential supplies run low within Council offices, then this could cause health & safety issues, reducing/preventing our ability and that of our partners to deliver services to our residents & vulnerable service users</p>	HIGH	<ul style="list-style-type: none"> - ICT: carrying out daily hardware stock checks to understand gaps in mobile device & accessories and identify critical users to prioritise redeployment of hardware for remote working when required via Gold authorisation process. - Procurement: (Peter Alekkou & Claire Reilly) are identifying key suppliers against critical services list to ensure suppliers have emergency plans in place regarding supply chain, and work with services to identify 2nd & 3rd tier supply 	MEDIUM	<ul style="list-style-type: none"> - Procurement supplier findings & proposals to go to Matt Bowmer & Fay Hammond for review. Matt to review & share with Silver and Gold the corporate guidance for supplier relief. - Stock Monitoring still place and suppliers still able to provide stock with slightly longer lead in times - Supplier at Risk programme put in place with initial support from EY and being run through Departmental 	Resources

Risk Ref - Title Description	Initial Risk	Existing Risk Mitigations	Current Risk	Further Planned Actions	Lead Dept.
		<p>chain suppliers in case of 1st tier failure. Corporate guidance drafted based on Cabinet Office guidance note for supplier relief - with Matt Bowmer for review.</p>		<p>Procurement Boards</p> <ul style="list-style-type: none"> - No further planned action 	
<p>CO12 - Increased demand for Social Care services</p> <p>If the NHS is unable to cope with additional demands, this may place extra burden on the Council along with a general rise in demand for services due to Covid-19</p>	HIGH	<ul style="list-style-type: none"> - Single point of contact created for each hospital on the Enfield patch with Enfield leading for NMDDX to co-ordinate health and social care response to the pandemic - Daily sitrep meetings with health and council partners - Daily sitreps received via Public Health on infection and death rates in Enfield - Daily sitreps received via our social care providers on infection/death rates and ability to accept new referrals - Service response stepped up to seven days per week to facilitate timely discharges from hospital - Additional capacity created both for Covid 19 positive cases step down and non-positive cases - Opened two units at BW house to provide a further 20 residential/nursing beds for hospital discharges from NMDDX 	MEDIUM	<ul style="list-style-type: none"> - Paid carers may have to perform tasks for which they are not trained and will require additional training - Recovery Group will develop workstreams to cover humanitarian and hardship issues arising following the initial emergency response - Reviewing current embargos on care homes to assess suitability of lifting these to release further residential capacity (already begun but ongoing) 	People
<p>CO13 - Sustainability of interventions</p> <p>If the current level of interventions</p>	HIGH	<ul style="list-style-type: none"> - BCP will need to be reviewed for long term impact. 	HIGH	<ul style="list-style-type: none"> - Business Unit operating models will need to be reviewed and amended to accommodate new ways of working both in terms of staff 	Strategic Management Group (Gold)

Risk Ref - Title Description	Initial Risk	Existing Risk Mitigations	Current Risk	Further Planned Actions	Lead Dept.
<p>are required for a medium to long timeframe with intermittent removal & implementation to re-flatten the infection curve, then this would be hard to sustain from both a service and financial view point as the draw on resources would be significant and intensive for short periods of time and repeated frequently</p>				<p>numbers, physical resources and budgets this is likely to be driven by demand on services and finances available. Closely linked to CO14</p>	
<p>CO14 - Sustainability of Social Care provider markets</p> <p>If provider market is affected, then potential quarantine of homes or reduced community service with reduced availability of critical support services</p>	<p>HIGH</p>	<ul style="list-style-type: none"> - Council continues to follow PHE/government advice & distribute information regularly through comms plan to providers; - Daily ring arounds to all providers to assess staff availability, infection/death rates, PPE supplies and food supplies; BCPs requested from all providers; - IWE continue to act as Council PLR; - Single point of contact for provider queries through brokerage; - Review of current embargos on providers; - 8 additional beds opened at BW house for OP/LD clients for permanent and respite support. Two additional units opened at BW house to provide 20 residential/nursing beds; continue to escalate calls for PPE and co-ordinate for providers any deliveries issued through hospital sites; 	<p>MEDIUM</p>	<ul style="list-style-type: none"> - Lifting any embargos on providers to create additional capacity if it is safe to do so; - provision of temporary grant funding for residential providers and continued payment against commissioned services for community plus passporting of additional government infection control funding to community and residential providers to ensure staff wages and other infection control costs are covered - Support additional recruitment campaigns across NCL and locally for care staff and nursing staff including through mutual aid programme 	<p>People</p>

Risk Ref - Title Description	Initial Risk	Existing Risk Mitigations	Current Risk	Further Planned Actions	Lead Dept.
		-			
<p>CO15 - Supply of PPE</p> <p>If the supply of PPE is not managed effectively, then stock availability will reduce quickly for both LBE staff and care providers in the Borough reliant on Council provision.</p>	HIGH	<ul style="list-style-type: none"> - Ensuring sourcing of PPE is based on volumes, lead in times, consideration regarding certification of products, and provider track record; - Sending requests to the NHS to consider incorporating into the wider NHS supply chain; - Multiple supply sources (local & regional) are in place (current levels are adequate); - Carrying out due diligence on Pan London Memorandum of Agreement adding to supply providers (short term arrangement); - Investigating CLIPPER supply options (medium term option); - Providing breakdown of PPE stock levels to Gold 3x per week; - Calling residential care providers every day to understand stock requirements. 	LOW	<ul style="list-style-type: none"> - Pending due diligence outcome, sign up to Pan London Memorandum of Agreement and CLIPPER. 	People
<p>CO16 – Activation of BC Plans</p> <p>If BCPs have not been reviewed recently or are in place, and circumstances dictate that they must be enacted at short notice, then this could severely impact the organisation's ability to plan and address the crisis, restricting its ability to fulfil duty of care to</p>	HIGH	<ul style="list-style-type: none"> - Emergency Planning conducted update of all BPCs and presented findings to Doug Wilkinson (Silver Chair) - Gold, Silver & Bronze groups are now in place and active - Covid-19 risk register created & monitoring with Doug Wilkinson's oversight, escalations to Gold group as required 	MEDIUM	<ul style="list-style-type: none"> - Lead officers to continue to monitor and disseminate information from relevant agencies. - Weekly SitReps are being sent to London Local Authority Coordination Centre. - Weekly internal SitReps are being completed and circulated to Silver and Gold 	Chief Executive's

Risk Ref - Title Description	Initial Risk	Existing Risk Mitigations	Current Risk	Further Planned Actions	Lead Dept.
residents.		<ul style="list-style-type: none"> - Emergency planning exercises have been carried out recently for critical services and those who have requested these. 			
<p>CO17 – Fuel shortage</p> <p>If there are fuel shortages caused by panic buying and/or delays to supply, then this will cause disruption to delivery of LBE key services as well as contributing towards civil unrest (see C011)</p>	HIGH	<ul style="list-style-type: none"> - Fuel reserves held with regular deliveries to keep fuel tanks topped up. - Operational contingency plans in place with Fleet Services National and local fuel plans in place. - Enfield identified designated fuel station is at Tesco (Ponders End) plans in place and was exercised last year - Local fuel plan in place to prioritise operations/ essential services. 	MEDIUM	<ul style="list-style-type: none"> - Continue to monitor situation locally on a weekly basis and through London Resilience Team 	People
<p>CO18 – Civil Unrest</p> <p>If uncertainty and tensions rise across the community, then this could lead to further panic buying, riots and disturbance</p>	HIGH	<ul style="list-style-type: none"> - Existing Civil Emergency Management plan in place. - Emergency Management Response Team in place with on call officers including Council Gold and Silver - Lead officers continue to monitor and disseminate information from relevant agencies. - Head of Community Safety regularly liaise with the Enfield Police Service. - 	MEDIUM	<ul style="list-style-type: none"> - Liaising and sharing information with partners including emergency services via the Enfield Borough Resilience Forum. Fortnightly updates requested from Partners including the Emergency Services on the Enfield Borough Resilience Forum and shared with TMG (Silver) and SMG (Gold) - Head of Community Safety reports back to the TMG (Silver) on any issues within the borough these currently include protests and UMEs- signed UME protocol. Covid car from MPS for Enfield but limited resource for new restrictions is likely 	Chief Executive's

Risk Ref - Title Description	Initial Risk	Existing Risk Mitigations	Current Risk	Further Planned Actions	Lead Dept.
				due to conflicting demands with XR etc. Not clear whether there will be compliance within community during this phase of Covid management, or whether there will be resource for LAs in terms of “Marshalling”.	
<p>CO19 – Health and Wellbeing of community</p> <p>There may be a significant impact on the health and wellbeing of the community leading to an increase in demand for welfare and care services.</p>	HIGH	<ul style="list-style-type: none"> - Regular calls to vulnerable residents - Community Hub in place to support our most vulnerable residents with food and medical supplies. - Temporary housing supported accommodation. - Crisis communication plan in place - Webpage updated 	MEDIUM	<ul style="list-style-type: none"> - Work with Local Strategic Partnership to identify local emerging needs - Review of grants to further support the needs of the community - Deliver agreed communications plan and update/amend as needed 	Resources
<p>CO20 – Local Businesses</p> <p>The pandemic may bring about an economic downturn, resulting in business no longer being able to operate in Enfield.</p>	HIGH	<ul style="list-style-type: none"> - Grants / Business rates relief - Learn from and build upon the Business Portal, set up during Covid-19 to become a go to space for Enfield businesses - Gather data and insight to support businesses now and in the future - Create a space for small businesses to possibly highlight council support and share a forum for business interaction 	MEDIUM	<ul style="list-style-type: none"> - Liaison with Heads of Service for Economic Development, Customer Experience and Commercial to build upon existing Business Portal. - Engage with businesses to ask what they need now and in the future for Information, Advice and Guidance, including grant and bid opportunities. 	Resources
<p>CO21 – Unaffordable and inaccessible space to trade and work from</p> <p>Bedroom and small businesses may find it difficult and expensive to find fledgling accommodation</p>	HIGH	<ul style="list-style-type: none"> - Good growth fund at Fore Street Library an example of future design - Seize opportunities to create infrastructure including access to strong wi-fi from wherever, whereby Enfield and neighbouring residents alongside LBE 	MEDIUM	<ul style="list-style-type: none"> - Use Fore Street Library and other builds as prototype modelling and design in keeping council properties purposeful, flexible and relevant to Enfield business - Growth in Enfield economy and 	Place

Risk Ref - Title Description	Initial Risk	Existing Risk Mitigations	Current Risk	Further Planned Actions	Lead Dept.
and employees may want to work elsewhere, adopting the remote working culture further - and leading to vacant spaces and buildings		employees can work elsewhere and stay local. Thus, benefitting the local economy from disposable income spend and facilitate collaborative working.		<p>prosperity, building upon its industrial and electrical manufacturing history to a modern, flexible and affordable place of working for ICT and media businesses</p> <ul style="list-style-type: none"> - Support empty shop and spaces for fledgling businesses make their way into the high street gradually, tend to be pop up and different variety to high street retailers offering diversity and interest into the high street 	
<p>CO22 – Rise in unemployment</p> <p>DWP has reported that 950,000 new claims for universal credit were made between 16 and 31 March, suggesting that a sharp rise in unemployment has already taken place (although some of these claims will also relate to people experiencing a temporary drop in income without having lost their job or closed their business).</p>	HIGH	<ul style="list-style-type: none"> - Support employers with finding the right workforce, trained and ready and plug gaps in specialised industries - Libraries already work with partners such as Maximus, DWP, JC+, THFC etc to run job fairs, training of NEETS, CV writing and a variety of job clubs - Council can increase apprentices and work placements especially keeping workforce diverse such as finding employment for adults with learning disabilities, can advise businesses on job carving etc - Increase training and coaching for young people such as STEM, robotics and Logistics learning - Support residents and businesses to diversify and review transferable 	MEDIUM	<ul style="list-style-type: none"> - Build upon successes and make Enfield Council a hub for supporting Enfield workforce not only for the council but for surrounding businesses - Learn from Covid-19 agile employment procedures for residents at risk or who have lost employment through Covid-19 gaining access to Enfield Council roles - Only high as access to physical spaces to conduct support are closed. However, solution over a medium term could be virtual interviews, webinars etc 	Resources

Risk Ref - Title Description	Initial Risk	Existing Risk Mitigations	Current Risk	Further Planned Actions	Lead Dept.
		skillsets - Learn from Covid-19 agile employment procedures for residents at risk or who have lost employment through Covid-19 gaining access to Enfield Council roles			
CO23 - Closure of LBE buildings If LBE buildings are forced to close, then some priority services may not be able to fulfil their legal obligations impacting on service delivery to residents & vulnerable service users and there will be no ability to provide face to face customer service in buildings such as Civic Centre, libraries, homelessness & social care service buildings	HIGH	<ul style="list-style-type: none"> - Overall services have adapted well to moving face to face services to online/via telephone etc. - ICT: ICT testing & recent increase in remote working has demonstrated that the majority of staff can work remotely and access the systems they require. See CO1&4 for further details. Registrars Safe & Connected and Refuse & Fleet services can now work remotely (software & hardware compatible). - Libraries: Libraries have shut, moving as many services online as possible - Emergency Planning: All BCPs have been reviewed and at present all up to date. - Community Hub: Hub set up with dedicated telephone support line & CRM system, online presence with online form, call centre team, food distribution logistics & prescription delivery support to most vulnerable & shielded residents. 	MEDIUM	<ul style="list-style-type: none"> - Emergency Planning: Tariq to contact officers when BCPs are nearing review dates. - ICT - Impact has been reduced as ICT provision is such that loss of ICT at this juncture given the mitigating actions now in place would have a reduced impact on the overall risk. Stable support in place for remote working. (MS) Any issues being reviewed as part of day to day support, treating remote working as normal. - Libraries - Two Libraries are now open with restricted services but also includes face to face customer support, as per Delegated Report, phased approach, risk assessments undertaken (update 1 August). - Community Hub - food deliveries ceased 31 July, however, transitional plans implemented already and support for Track, Test and Trace in place. 	Resources/Chief Executive's

Risk Ref - Title Description	Initial Risk	Existing Risk Mitigations	Current Risk	Further Planned Actions	Lead Dept.
		Needs are being met. Costs are being incorporated into MHCLG reporting (Shielded and Non-Shielded Vulnerable)			
<p>CO24 - Regeneration and housing programmes</p> <p>The pandemic is bringing about an economic downturn, which could lead to an inability to deliver the Council's ambitious regeneration and housing programmes.</p>	HIGH	<ul style="list-style-type: none"> - Ongoing review and monitoring by project managers. - Place procurement board monitoring major development/regen suppliers and partners 	HIGH		Place
<p>CO25 - Emergency repairs and health and safety compliance in council housing</p> <p>If there are infrastructure failures like power during the crisis and suppliers are not in a position to carry out repairs, then Council Housing tenants and vulnerable residents could be left without lighting, heating, means of access etc. which could lead to further burden on emergency services and other Council services in the short term</p>	HIGH	<ul style="list-style-type: none"> - In house workforce provides resilience, government guidance in place providing clarity over means of safe access to homes. 	HIGH	<ul style="list-style-type: none"> - Preparations underway to prepare for winter in the event of a second spike and responding to the higher impact of power and component failures. Lift replacement and planned programme underway. 	Place
<p>CO26 - Excess death</p> <p>If death rates increase dramatically, then there will not be enough storage space in the</p>	HIGH	<ul style="list-style-type: none"> - Identified storage containment & location in partnership with Coronial Group (Brent, Harringay, Harrow, Barnet & Enfield). 	MEDIUM	<ul style="list-style-type: none"> - Put forward storage containment & location option for corporate approval - in principle approved but this temporary body storage for 	Place

Risk Ref - Title Description	Initial Risk	Existing Risk Mitigations	Current Risk	Further Planned Actions	Lead Dept.
borough for the bodies prior to cremation/burial posing a health & safety risk to residents.		<ul style="list-style-type: none"> - Joined with LB Haringey for excess death plan which is reviewed and discussed weekly. LBE Subgroup chaired by Sue McDaid supporting corporate & partnership approach - Additional temporary body storage was operational in Haringey for Enfield and Haringey excess deaths (and for London if needed) at peak and decommissioned end of June 2020. However additional MHCLG portacabin storage placed at Haringey for Enfield and Haringey use for the foreseeable future. Capacity deemed sufficient based on expected demand, but the capacity can be increased further if needed - In addition, the London Resilience Group overseeing London's response to COVID-19 had set up large temporary body storage hubs for London which were operational and sufficient based on expected demand. These have now been stood down but can be recommissioned if the number of deaths rise again. - Burials capacity had increased in accordance with business continuity plan for pandemics and is sufficient to cope with current demand for increased burials. This capacity can also be increased further if needed 		<p>Enfield currently not required as there is sufficient capacity in Haringey and North Coronial District. If it is required, then this will be more fully reported to Gold for approval</p> <ul style="list-style-type: none"> - Increase burials capacity and temporary body storage capacity further if needed. 	

Risk Ref - Title Description	Initial Risk	Existing Risk Mitigations	Current Risk	Further Planned Actions	Lead Dept.
		<ul style="list-style-type: none"> - Communications have been sent to the faith and community leaders in Enfield about changes to the death registrations, burials and funerals in the COVID emergency - Registrars have increased capacity for death registration 			
<p>CO27 - High & fast infection rates</p> <p>If infection rates follow worst case scenario predictions, then the outbreak could lead to a significant number of people being infected within a short period of time. This could lead to severe consequences including: deaths to vulnerable people, overload on Adult Social Care service, severe disruptions to services and staff shortages (see CO2)</p>	HIGH	<ul style="list-style-type: none"> - Flu plan tested in a multi-agency exercise last year - Following & enacting central government advice to flatten infection curve as quickly as possible. - Covid-19 emergency planning now active, Bronze, Silver & Gold all live, business continuity plans being reviewed by all services - All service leads are required to complete a BCM Situation Report and monitor the service on a daily basis and amend SitRep where changes to service delivery occur. - All Directors to supply an update every day on to a SharePoint document and feedback on any issues at Silver Meetings to ensure any issues are captured and dealt with before they become any issue. 	MEDIUM	<ul style="list-style-type: none"> - All teams have undertaken 'look back' exercises which has been feedback to Gold. Local Outbreak Control Plan has been written and published on the Council website. - Online scenario planning held with schools - Seminar held with Headteachers - Letter sent to all Enfield households - Social media being used to communicate messages - Cllrs have produced videos in non-English languages - PH and Comms working to promote NHS app when launched - Continuing work with the Faith Forum 	Chief Executive's
<p>CO28 - Community Shielding Hub & volunteer support</p>	HIGH	<ul style="list-style-type: none"> - Recovery phase Gold meeting took place on 05/06/20 including Community Shielding Hub to discuss mitigating 	LOW	<ul style="list-style-type: none"> - This work has now been completed, isolation phone calls have been transferred to voluntary sector, all 	Risk Closed

Risk Ref - Title Description	Initial Risk	Existing Risk Mitigations	Current Risk	Further Planned Actions	Lead Dept.
If the number of volunteers reduce significantly as lockdown eases and volunteers return to their jobs, then delivery of services which are currently dependent on volunteers for Shielded and Non-Shielded Vulnerable residents will need to be revised/re-designed to accommodate the decrease in resources available to the Hub.		actions and plan for recovery phase.		shielded called and offered face mask, and offered supermarket slots etc. Transition successful. Hub has now transitioned to BAU service, volunteers no longer a risk currently.	
<p>CO29 - Lockdown / Quarantine</p> <p>If restrictions on movement increase within and outside of London resulting in lockdown or quarantines, then it will be difficult to deliver essential services and staff will not be able to move around the Borough/outside of London</p>	HIGH	<ul style="list-style-type: none"> - Library based services which suit online have been moved to digital accordingly. - Community Hub: Hub set up with dedicated telephone support line & CRM system, online presence, call centre team, food distribution logistics & prescription delivery support to most vulnerable & shielded residents - Critical services previously requiring face to face interactions have been moved to online/telephone with suitable work arounds to ensure continued service provision during crisis. - Transport remains in place and Council key workers have received letter authorising their continued circulation around the Borough along with ID card provision 	MEDIUM	<ul style="list-style-type: none"> - Work with Emergency Services partners to ensure Council services can still be delivered during lockdown/quarantine. This will be kept under review and monitored via Silver group 	TMG - Silver
<p>CO30 - Prolonged school closures</p>	HIGH	<ul style="list-style-type: none"> - Schools have reopened to look after children of parents who are key workers & parent/carers of vulnerable pupils. 	MEDIUM	<ul style="list-style-type: none"> - No further planned actions currently required 	People/HR

Risk Ref - Title Description	Initial Risk	Existing Risk Mitigations	Current Risk	Further Planned Actions	Lead Dept.
<p>If schools close for a number of months, then LBE staff with children may not be able to work due to lack of childcare which will impact on the organisation's staff capacity to deliver essential services.</p>		<p>They have stayed open during the Easter holidays. London Councils have clarified which local authority roles this applies to and this has been circulated to staff. LBE has provided letters of support to school/childcare providers as required</p> <ul style="list-style-type: none"> - For non-key workers, those who can work from home will now do so and ICT remediation works are complete to facilitate this, as well as those services who previously didn't have access. - Understood that parents will not always be available during business hours, will be working evenings & weekends, so any downtime to network etc. will be communicated in advance - All managers asked to ensure they accommodate parents who must work from home - Options for annual leave & unpaid leave also communicated to staff, although working from home where possible is preferable 			
<p>NEW CO31 - Local Lockdown</p> <p>If a local lockdown is enforced, there will be restrictions on movement within and outside of the Borough making it difficult to</p>	<p>High</p>		<p>Medium</p>	<ul style="list-style-type: none"> - Work with Emergency Services partners to ensure Council services can still be delivered if a local lockdown is enforced. - This will be kept under review and monitored via Silver group 	

Risk Ref - Title Description	Initial Risk	Existing Risk Mitigations	Current Risk	Further Planned Actions	Lead Dept.
deliver essential services.					
NEW CO32 - Second wave If there is a “second wave” of COVID 19, this will result in significant additional pressures on the Council’s resources.	High		Medium	- This will be kept under review and monitored via Silver group	

Appendix C: Short-Term Brexit Risk Register, Day 1-100 - September 2020

Risk Ref / Title / Detail / Description	Initial Risk	Controls – What we have in place	Current Risk	Actions – What we still need to do	Lead Department / Target Date	Update / Changes
BR0 – Preparedness Inadequate preparations made by the Council in the event of a “No Deal” Brexit will result in significant disruption to services.	HIGH	- Brexit Panel set up, Terms of Reference agreed - Panel membership includes Police, London Fire Brigade and North Middlesex Hospital. - Part of the London wide “Brexit” group -Budget of £210k available. Spend £8k in 2018-19 (devices); £70k commitment for CAB advice agreed.	MEDIUM	- Continue to liaise with regional/national partners to ensure readiness and feed relevant local information to Government as requested. - Ensure prompt circulation of new information to Panel members for action/information - Proposal pending for areas of potential future commitment (communication team and staffing resource)	CEX Ongoing	- Actions ongoing
BR1 – Fuel shortage Fuel shortage caused by panic buying and/or delays to supply, causes disruption to key services	HIGH	- Fuel reserves held with regular deliveries to keep fuel tanks topped up. - Operational contingency plans in place - National and local fuel plans in place	MEDIUM	- Plans to prioritise operations/ essential services in place. - Continue to monitor situation via Single Point of Contact network to regional/national guidance	PLACE Ongoing	- Actions ongoing

Risk Ref / Title / Detail / Description	Initial Risk	Controls – What we have in place	Current Risk	Actions – What we still need to do	Lead Department / Target Date	Update / Changes
BR2 – Medicine shortages Delay in access to medicines and/or shortage of supply may result in increased costs and disruption in service	HIGH	- NHS national co-ordination centre leading on this issue and will update when information becomes available. - Supply of all flu vaccinations are now in the country -Panel is attended by North Middlesex Hospital representative	MEDIUM	- Further updates to brought back to the meeting as information becomes available. - Chase Farm, Enfield CCG (Clinical Commissioning Group) & Barnet, Enfield and Haringey Mental Health invited to attend next Panel meeting.	PEOPLE Ongoing	- Actions ongoing
BR3 – Civil Unrest Uncertainty may cause panic buying, riots and disturbance	HIGH	- Existing emergency plan in place - Gold command in place	LOW	- Lead officers to continue to monitor and disseminate information from relevant agencies.	CEX Ongoing	- To be further discussed at the Panel meeting
BR4 – Staffing Uncertainty of the Brexit process may lead to staff disruption/absences.	MEDIUM	- Unlikely to see any issues until 2020 - No concerns raised by staff or management	LOW	- No further actions planned, Risk currently at an acceptable level	Not applicable	-No change
BR5 – Funding in first quarter post Brexit Temporary delay on EU direct funding/grants scheduled to be received in first quarter post Brexit.	MEDIUM	- Exposure currently at a very low level with no disruption expected	LOW	- No further actions planned, Risk currently at an acceptable level	Not applicable	-No change
BR6 – Anxiety and stress Increased levels of anxiety and stress amongst population and staff may lead to an increase in demand on services.	HIGH	- Crisis communication plan in place - Webpage updated	MEDIUM	- Deliver agreed communications plan and update/amend as needed	CEX Ongoing	- Actions ongoing

Risk Ref / Title / Detail / Description	Initial Risk	Controls – What we have in place	Current Risk	Actions – What we still need to do	Lead Department / Target Date	Update / Changes
BR7 – Community offer Inadequate provisions and/or communications by LBE regarding services offered to facilitate transition post Brexit for EU residents of the Borough	HIGH	-Council has agreed to provide some community support via its 4 flagship libraries -LBE & Citizens Advice Bureau to deliver joint community offer services to local people. -Funding for Citizens Advice Bureau agreed on 9 April 2019 to enhance services to local people.	MEDIUM	- Citizens Advice Bureau offer at our flagship libraries being promoted as part of our overall Brexit information campaign. -Enfield Town and Palmers Green are in a good position, additional work required with Edmonton Green and Ordnance Road libraries.	RESOURCES Ongoing	- Actions ongoing
BR8 – Supply chain Disruption to supply chain may cause adverse effects on delivery of services and/or increased costs.	HIGH	- Analysis of existing emergency suppliers identified no issues	LOW	Extensive exercise being carried out on critical suppliers to identify any potential issues	CEX Ongoing	- Action updated.
BR9 – Compliance of Data and Applications Data transfers between the UK and EU / US may not be legal or compliant and could be open to challenge.	MEDIUM	- Data Protection Officer in place - Regulatory framework will be unaffected - All data and applications held by existing suppliers is hosted in the UK or is under contracts relying on standard contractual clauses which will continue to be valid post-Brexit. - All new cloud-based data will be hosted on UK servers	MEDIUM	- Discussion ongoing to migrate existing cloud-based data to UK servers.	CEX / RESOURCES Ongoing	- Actions ongoing
BR11 – Housing checks and immigration right to rent. Impact of updated guidance.	LOW		LOW	- Housing representative to be invited to future meeting	PLACE Ongoing	- New risk, to be discussed

Risk Ref / Title / Detail / Description	Initial Risk	Controls – What we have in place	Current Risk	Actions – What we still need to do	Lead Department / Target Date	Update / Changes
BR12 - Welfare Increased costs and supply shortages may lead to a fall in the standard of welfare, including food insecurity & fuel poverty,	MEDIUM	- Regular donations made by the Council to the food banks - Monitor homelessness applications closely	LOW	- Additional funds will be made available to local food banks if necessary.		- New risk, to be discussed further.
BR13 - Additional care requirements There may be increased health care costs due to elderly British nationals returning to the UK who require more support.	MEDIUM		MEDIUM		PEOPLE Ongoing	- New risk, agreed at the last Panel meeting.

London Borough of Enfield

General Purposes Committee

15 October 2020

Subject: Audit and Risk Management Service Progress Update
Cabinet Member: N/A
Executive Director: Ian Davis, Chief Executive
Key Decision: N/A

Purpose of Report

- 1.1 The Audit and Risk Management Service Progress Update Report (Annex A) summarises:
- the results of the work that the Audit and Risk Management Service has undertaken during the period 1 April 2020 to 15 September 2020.
 - the continued work of the Head of Internal Audit and Risk Management in collaboration with the internal Assurance Board to target limited audit resources at the highest priority Corporate and Schools' services
- 1.2 Progress has been made in delivering the 2020/21 Internal Audit plan, with 58% of reviews having commenced. Of these, 8% have been finalised. This compares to 54% commencement and 16% completion in September 2019. Work on starting the 2020/21 audit plan was delayed due to the impacts of Covid-19.
- 1.3 Since the audit plan was agreed in July 2020, no further audits have been cancelled but one additional audit has been added to the plan.
- 1.4 Five audits have been completed since the start of the year. Four were grant certifications or management letters and therefore an assurance opinion was not given. The remaining audit was given a *Limited* assurance opinion.
- 1.5 Tracking of agreed actions arising from internal audit work has confirmed that managers have implemented 82% of high priority and 54% of medium priority actions which were due to be implemented by 31 August 2020. A summary of overdue high risk and medium risk audit actions at 31 August 2020 is also presented.
- 1.6 A summary of proactive, reactive and preventative fraud work that has been undertaken by the Counter Fraud Team is reported with particular emphasis on

Covid-19 pandemic related activities. Through the work of the team, grants totalling £1.4m have been withheld and recovered.

1.7 The Counter Fraud team is also achieving its KPIs with year to date identified savings of £1.9m achieved.

1.8 Following work undertaken by the Counter Fraud team, £28k has been recovered under a Proceeds of Crime Act Section 22 order and the theft of £20k from the Council is being prosecuted by the Crown Prosecution Service.

Proposal

2. The General Purposes Committee is requested to:

- note the work completed by the Audit and Risk Management Service during the period 1 April 2020 to 15 September 2020 and the key themes and outcomes arising from this work
- provide feedback on the contents of this report

Reason for Proposal

3. In line with the Council's Internal Audit Charter which is based on the requirements of the Public Sector Internal Audit Standards (PSIAS), the Head of Internal Audit and Risk Management has a responsibility to regularly update the General Purposes Committee on the work of the Audit and Risk Management Service through periodic and annual reports.

Relevance to the Council's Corporate Plan

4.1 Good Homes in Well-Connected Neighbourhoods

An effective Audit and Risk Management Service helps to provide assurance over any risks that might adversely affect the delivery of good homes in well-connected neighbourhoods.

4.2 Safe, Healthy and Confident Communities

An effective Audit and Risk Management Service is an essential management tool which will help the Council achieve its objectives to sustain safe, healthy and confident communities.

4.3 An Economy that Works for Everyone

An effective Audit and Risk Management Service will help the Council achieve its objectives in building a local economy that works for everyone.

Background

5.1 In line with the Council's Internal Audit Charter which is based on the requirements of the Public Sector Internal Audit Standards (PSIAS), the Head of Internal Audit and Risk Management has a responsibility to regularly update the General Purposes Committee on the work of the Audit and Risk Management Service through periodic and annual reports.

5.2 These reports should include details of audit activities with significant findings along with any relevant recommendation. Periodic information on the status of the annual audit plan should also be included.

5.3 The Internal Audit Plan for 2020/21 was submitted to and agreed by the General Purposes Committee on 23 July 2020.

5.4 This report summarises the work completed by the Audit and Risk Management Service between 1 April 2020 and 15 September 2020.

Main Considerations for the Council

6.1 Any large complex organisation needs to have a well-established and systematic risk management framework in place to identify and mitigate risks it may face.

6.2 The Audit and Risk Management Service supports management in the identification and mitigation of risks as part of its work.

Safeguarding Implications

7 There are no safeguarding implications arising directly from this update from the Audit and Risk Management Service.

Public Health Implications

8 There are no Public Health implications arising directly from this update from the Audit and Risk Management Service.

Equalities Impact of the Proposal

9 Corporate advice has been sought regarding equalities and an agreement has been reached that it is not relevant or proportionate to carry out an equalities impact assessment/analysis for this report.

Environmental and Climate Change Considerations

10 There are no environmental and Climate Change considerations arising directly from this update from the Audit and Risk Management Service. However, Climate

Change has been identified in the 2020/21 Audit Plan, which recognises the risk posed and the priority that climate action is now being given within the Council.

Risks that may arise if the proposed decision and related work is not taken

11.1 Any large complex organisation needs to have a well-established and systematic risk management framework in place to identify and mitigate risks it may face.

11.2 The Audit and Risk Management Service supports management in the identification and mitigation of risks as part of its work and therefore, if this work is not carried out, reviewed and followed up, the Council faces the risk of legal, financial and reputational loss.

Risks that may arise if the proposed decision is taken and actions that will be taken to manage these risks

12.N/A

Financial Implications

13.1 Section 151 of the Local Government Act 1972 requires that every local authority in England and Wales should “make arrangements for the proper administration of their financial affairs”. The Chief Finance Officer (Section 151 Officer) in a local authority must lead the promotion and delivery, by the whole authority, of good financial management so that public money is safeguarded at all times and used appropriately, economically, efficiently, and effectively. The role of the Section 151 includes ensuring that the systems and processes for financial administration, financial control and protection of the authority’s resources and assets are designed in conformity with appropriate ethical standards and monitor their continuing effectiveness in practice. The Accounts and Audit Regulations 2003 (England and Wales), requires that a ‘relevant body shall maintain an adequate and effective system of internal audit of its accounting records and its system of internal control’.

13.2 The role of audit supports this by undertaking a review of the controls in place, the Internal Audit plan sets out in partnership to achieve this by:

13.3 Ensuring that the authority puts in place effective internal financial controls covering codified guidance, budgetary systems, supervision, management review and monitoring, physical safeguards, segregation of duties, accounting procedures, information systems and authorisation and approval processes.

13.4 Ensuring that these controls are an integral part of the authority’s underlying framework of corporate governance and that they are reflected in its local code.

13.5 In this context, the Internal Audit plan is developed in partnership with the wider organisation, seeking to focus on areas of the greatest risk in order to ensure that the appropriate controls are in place and where controls are found to be inadequate plans to address these are implemented.

Legal Implications

14.1 The Council's chief finance officer (the 'Section 151 officer' – section 151 Local Government Act 1972) has statutory status and is responsible for financial administration. The chief finance officer is also under a statutory duty to issue a formal report if s/he believes that the Council is unable to set or maintain a balanced budget (the 'section 114 report' (section 114 Local Government Finance Act 1988).

14.2 The Accounts and Audit Regulations 2015 (the '2015 Regulations') places an obligation on local authorities to maintain a system of internal audit whereby it:

- (a) facilitates the effective exercise of its functions and the achievement of its aims and objectives;
- (b) ensures that the financial and operational management of the authority is effective; and
- (c) includes effective arrangements for the management of risk.

14.3 The internal audit service must be effective in order to evaluate the effectiveness of its risk management, control and governance processes, taking into account Public Sector Internal Auditing Standards or guidance.

14.4 Each financial year the council must conduct a review of the effectiveness of the system of internal control required by regulation and prepare an Annual Governance Statement.

14.5 This report addresses the statutory obligations for local audit processes in compliance with the 2015 Regulations.

Workforce Implications

15 There are no workforce implications arising directly from this update from the Audit and Risk Management Service.

Property Implications

16 There are no property implications arising directly from this update from the Audit and Risk Management Service

Other Implications

17 N/A

Options Considered

18 Given the requirements of the Public Sector Internal Audit Standards, no other options were considered.

Conclusions

19 The General Purposes Committee is requested to:

- note the work completed by the Audit and Risk Management Service during the period 1 April 2020 to 15 September 2020 and the key themes and outcomes arising from this work

- provide feedback on the contents of this report

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Date of report 29 September 2020

Appendices

Annex A: Audit and Risk Management Service Progress Update

Background Papers

N/A

Annex A



**Audit and Risk Management Service
Progress Update
September 2020**

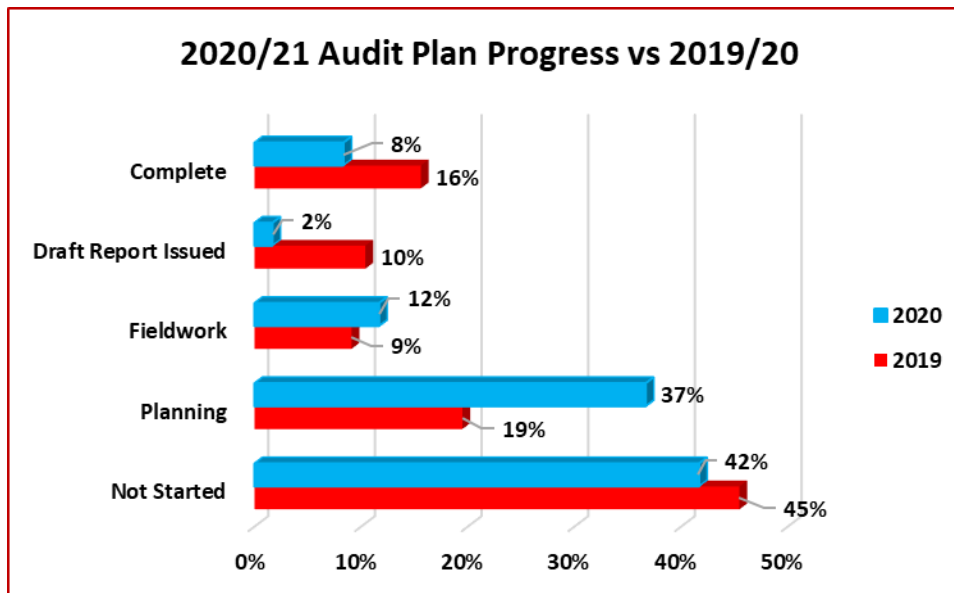
2020/21 Audit and Risk Management Service Progress Update September 2020

Internal Audit

During the period 1 April 2020 to 15 September 2020, the Internal Audit team has commenced 35 assignments (59% of the current plan) of which 5 (8%) have been completed. For the same period in 2019, 42 audits (54%) had commenced and 15 (16%) had been completed.

The following chart summarises the 2020/21 progress compared to 2019/20:

Chart 1: 2020/21 Internal Audit Progress vs 2019/20



Due to the impacts of Covid-19, the audit plan was started later this year than in 2019/20. The time was spent finalising 2019/20 audits, updating our schools' work programme and undertaking training and, when possible, planning 2020/21 audits.

Changes to the 2020/21 Internal Audit Plan

Since the 2020/21 Audit Plan was approved by the General Purposes Committee in July 2020, no audits have been cancelled and one further audit has been added.

The audit added to the plan is:

Table 1: Audit Added to the 2020/21 Plan

Department	Audit
Resources	Enfield Stands Together – JustGiving.

A revised version of the audit plan is attached at **Appendix A**.

Completed Audits

Five audits have been completed so far this year and these are summarised below:

Table 2: Completed Audits at 15 September 2020

Department	Title	Assurance Level
PEOPLE	Unregulated Placements	LIMITED
PLACE	BEGIN Grant	N/A- Grant Certification
PLACE	Bus Service Operators Grant	N/A- Grant Certification
RESOURCES	IT Software Procurement	N/A – Management Letter
PEOPLE	Troubled Families Grant - June	N/A – Grant Certification

The following summary from the Unregulated Placements audit report outlines the reasoning behind the *Limited Assurance* opinion issued.

“This review identified five *medium* risk and two *low* risk findings. Two advisory items for management attention were also identified.

The following *medium* risk findings were identified:

- There are no overarching integrated policies and procedures covering all the activities of the Access to Resources Integrated Service (ARIS)
- The process for the approval of different categories of placement (Planned, Emergency, Over 18's, Out of Borough) is not clearly indicated and approvals are not always logged appropriately.
- The contract framework agreement expired on 31 December 2019 and the retender for new providers is not expected to be completed until September 2020. We were unable to identify procedures for procurement of alternative providers if no framework providers are prepared to make an offer, nor did we identify guidance on the required intervals at which providers should be monitored. We found that provider references and monitoring were not always logged
- Where new providers must be found in an emergency, they may not immediately confirm that staff have undergone enhanced DBS checks

Our low risk findings were:

- There is no central record of Over 18s in unregulated placements
- The guidelines relating to timescales for completing annual quality check reports are unclear

As we were progressing our audit, the Service was proactive in putting new procedures in place. However, we are required to report on issues as we find them at the time of the audit.

Managers' progress with implementing internal audit actions

The Internal Audit and Risk Management team is responsible for tracking managers' progress with the implementation of internal audit actions.

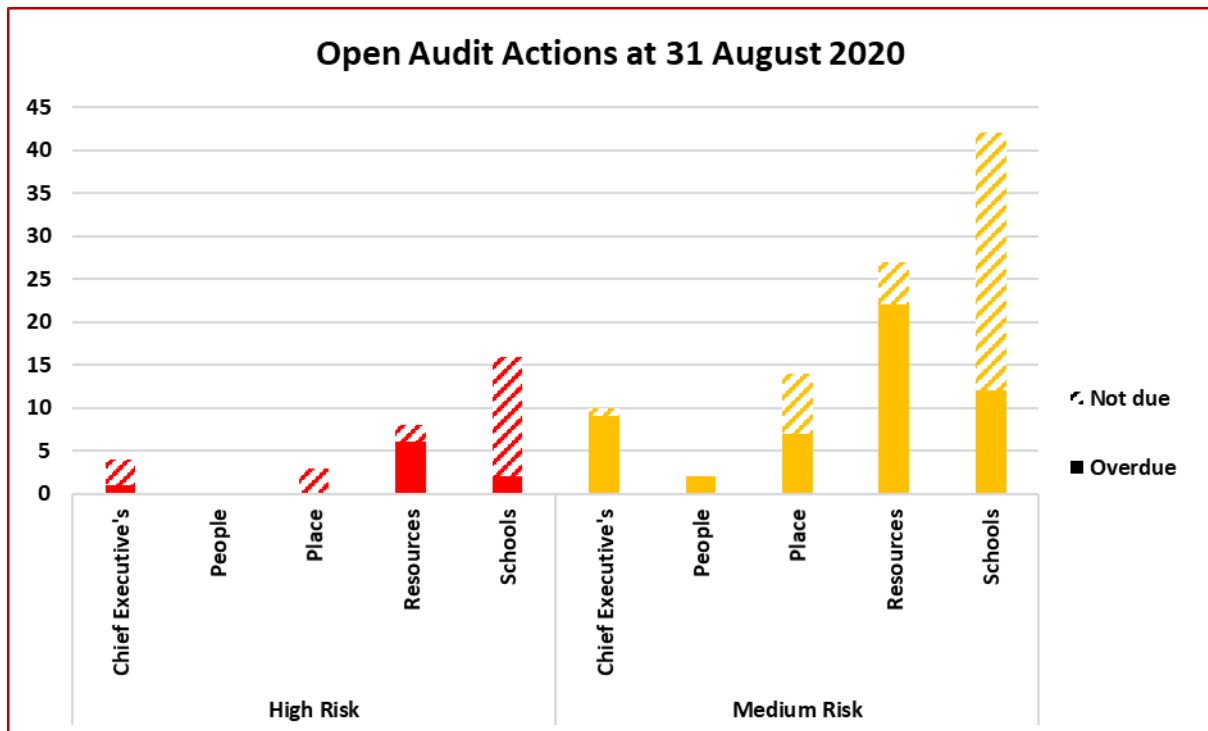
At 31 August 2020, 146 actions identified from the work of Internal Audit remained open. 18% of high risk and 54% of medium risk actions have not been fully implemented by their original due date and are classified as overdue (shown by the solid coloured part in the graph below).

Details of the high-risk actions in progress are provided in **Appendix B**.

Of the 50 medium risk outstanding actions, 10 have been overdue by more than one year and details of these are provided in **Appendix C**.

Progress within departments is shown in the following chart:

Chart 2: Managers' progress with implementation of agreed audit actions



Officers responsible for overdue *high-risk* actions have attended Assurance Board recently, and the Assurance Board continues to monitor overdue actions.

Internal Audit Quality Assessment

The performance of the Internal Audit service for 2020/21 to 31 August 2020 is shown in the following table:

Table 3: Internal Audit Quality Assurance Measures

KPI / Quality Metric	Target	Actual (Average)
Days from end of fieldwork to issue of draft report	15	6
Days from receipt of management comments to issue of final report	10	2
Level of satisfaction score with audit work	80%	No responses received to date
% of the audit plan delivered to draft report stage	95% (by 31 March)	10%

Counter Fraud

Savings Identified

So far this year, the Counter Fraud team has identified savings of £3.4m. £1.4m is related to Covid-19 Business Grants with the remaining £2m relating to our usual counter fraud activities. Further details of these savings and the work undertaken are given below.

Covid-19 Pandemic Related Activities

The Counter Fraud team is continuing to deliver several proactive activities in relation to the Council's response to the Covid-19 Pandemic. These include:

- **Small Business Grant Fund**

Counter Fraud are continuing to assist the Business Rates Team with the verification of grant applications that are available to qualifying small businesses and those operating in the retail, hospitality or leisure sectors (RHL) as well as discretionary business grants.

This gives the total for the exercise so far as **£1.4m** as detailed below

Grants Withheld

Our work has enabled the Council to withhold grants to 111 potential recipients, representing a total value of **£1.29m**. This is analysed below:

Table 4: Analysis of Grants Withheld

Referral Category	Small Business Grants (No.)	RHL Grants (No.)	Discretionary Grants (No.)	Value (£k)
Spotlight	9	5		215
CIFAS	4	1		65
Companies House	50	2		550
Pro-active checks	12	5	14	340
NNDR Team	6	3		120
Total	81	16	14	£1,290k

Grants Recovered

Through making direct contact with the businesses concerned, we have additionally recovered 13 grants with a total value of £160,000 that were paid incorrectly.

Table 5: Analysis of Grants Recovered

Referral Category	Small Business Grants (No.)	RHL Grants (No.)	Value (£k)
NNDR Team	3	1	55
Pro-active checks	8	1	105
Total	11	2	£160k

The referral sources used for this work are:

- Spotlight matches

This is a system that has been made available for Local Authorities to help verify grant applications; it essentially automates due diligence checks by matching our data with Companies House records of businesses that have been dissolved or are in liquidation.

- CIFAS (Credit Industry Fraud Avoidance Scheme) matches

We have bulk-matched our data against CIFAS records to check for individuals who have previously been refused a bank loan or insurance claim for fraud-related reasons, and these grant applications will be subject to increased scrutiny.

- Other pro-active checks

This includes open-source internet searches to identify business premises that may be empty; additional checks with Companies House; and referrals from the Business Rates Team.

- NNDR Team

These are referrals where the Business Rates Team have identified concerns.

Local Authority Discretionary Fund

The discretionary grant budget was limited to 5% of overall grants and was administered on a first-come, first-served basis. We undertook pre-payment verification checks and will now undertake post payment verification checks.

Counter Fraud have helped design the application form and have advised which supporting documentation should be provided in order to minimise the opportunity for fraudulent applications.

Post Payment Assurance Checks

We have helped the Business Rates Team draw up a programme of post payment assurance checks to meet Cabinet Office requirements.

Effects of Covid-19 on Counter Fraud Work

We resumed visiting activities towards the end of July, and to date have undertaken 36 visits in connection with Right to Buy applicants, business rate grants recipients, and applicants referred from the No Recourse to Public Funds Team.

The pandemic is continuing to have a negative impact on housing recoveries and the stay of evictions has been extended again, this time until 20th September. We anticipate that there will be delays in bringing cases to court, due to the backlog built up during the period of the stay.

Counter Fraud Caseload

The current caseload is summarised in the following charts:

Chart 3: Counter Fraud Caseload at 31 August 2020

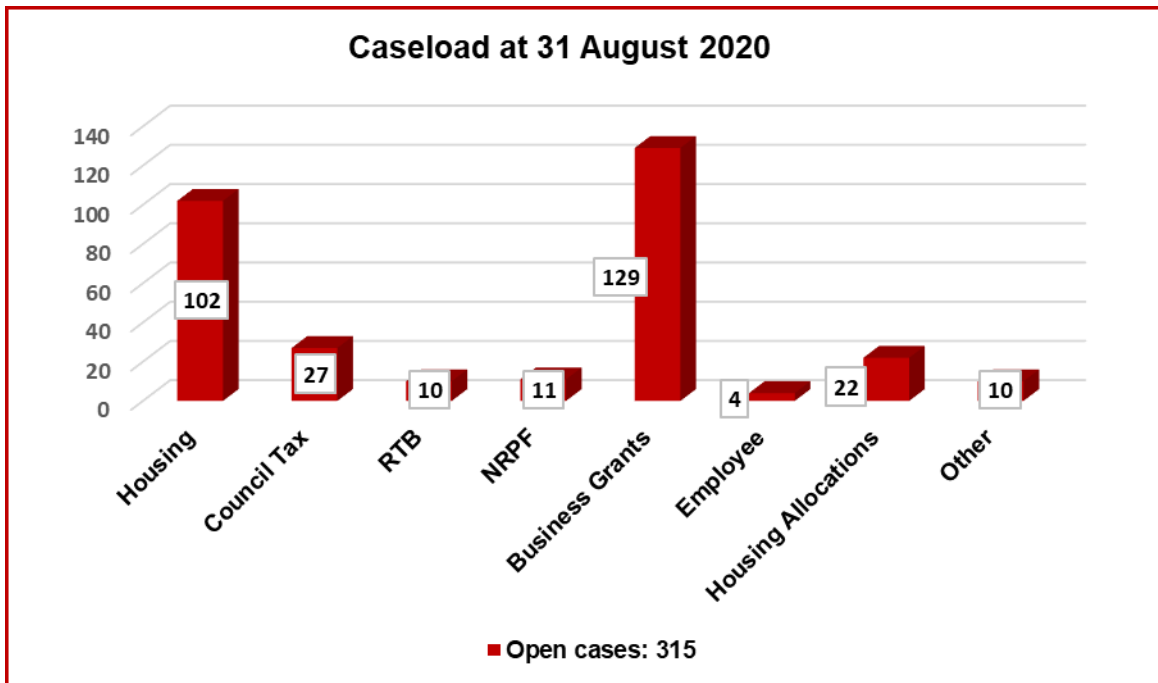
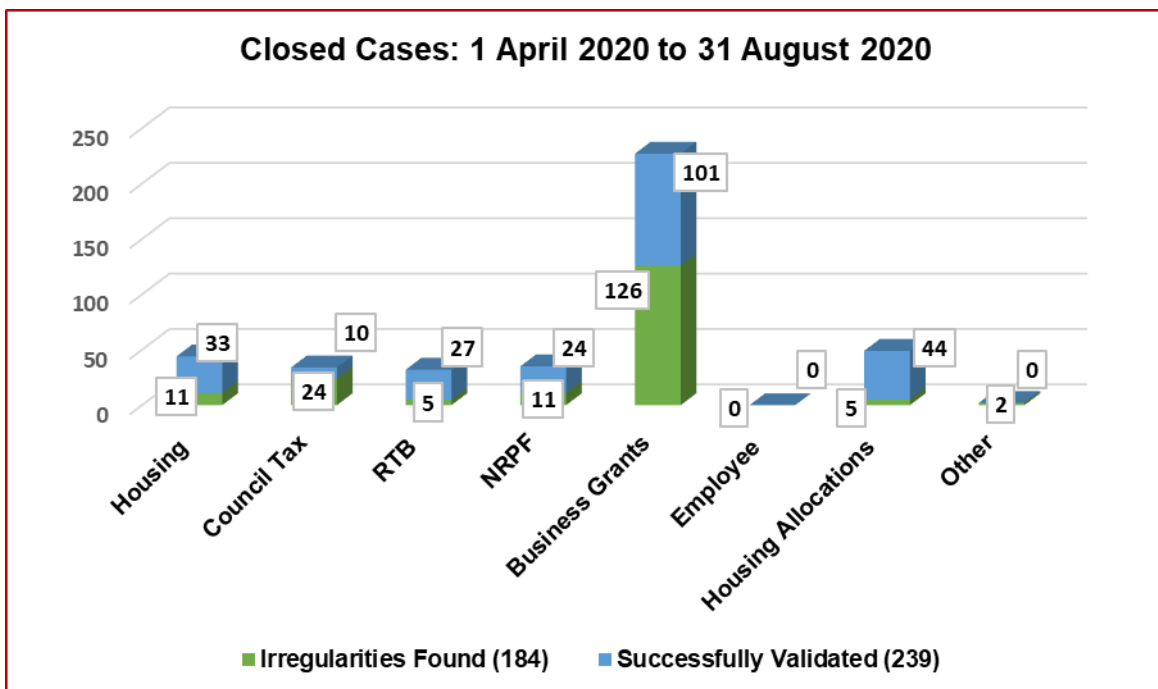


Chart 4: Counter Fraud Closed Cases at 31 August 2020



Definitions of irregularities are given in the following table:

Table 6: Irregularities Definitions

Area	Definition
Housing	Property recovered
Council Tax	Overpayment raised, or financial penalty imposed
Right to Buy	Application cancelled
NRPF	Application cancelled or level of support

	reduced
Direct Payments	Overpayment raised
Employee	Disciplinary action resulted
Housing Allocations	Removed from the list or reduced property size needs

The financial values attributed to these outcomes are shown in the tables below:

Table 7: Analysis of Counter Fraud Caseload Outcomes

Fraud Type	Annual Target	Cumulative Target August 2020	Actual August 2020	Variance
Council Properties Recovered	75	31	6	(25)
TA / HA Properties Recovered	25	10	5	(5)
Overall	100	41	11	(30)

The team has an annual target to identify savings from frauds investigated or prevented to the value of £2.75m (excluding savings identified from the Business Rate Grants work).

As at 31 August 2020 we have achieved savings of £1m as detailed below:

Table 8: Counter Fraud Caseload Outcomes Financial Analysis

	Fraud Detection		Fraud Prevention		Total (£)
	Saved for LBE (£)	Saved for gov.uk (£)	Saved for LBE (£)	Saved for gov.uk (£)	
Housing Benefit (DWP)	-	310,008	-	-	310,008
Council Tax: Reduction Scheme	41,890	-	-	-	41,890
Benefit Penalties	4,697	-	-	-	4,697
NRPF: value £17.2k per case cancelled	-	-	120,400	-	120,400
NRPF: value of support	-	-	4,089	-	4,089

reduced					
RTB: value of discounts refused	-	-	538,000	-	538,000
	46,587	310,008	662,489		1,019,084

Council properties recovered: 6 (rebuild value of £150k per property)	-	-	900,000	-	900,000
TA / PSL / HA properties recovered: 5 (annual average cost of £2.5k per property)	-	-	12,500	-	12,500

TOTAL	46,587	310,008	1,574,989	-	1,931,584
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GRAND TOTAL INCLUDING BUSINESS GRANTS	46,587	470,008	1,574,989	1,290,000	3,381,584
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Fraud Prevention Activities

We are undertaking an exercise during Q3 to examine expenditure on purchase, prepaid and e- cards during Covid-19. This is to identify any potential fraud where remote-working and competing priorities may have led to the relaxation of existing controls.

In September the Counter Fraud Team provided training for Council Tax staff on interpreting credit reports. This will help to highlight incorrect Single Person Discount claims.

The team are also planning a series of events to take place in the Council during International Fraud Awareness Week 15 – 21 November 2020.

Significant Actions

- Following the provision of evidence and witness statements by the Counter Fraud team, the Police have charged an individual in relation to the theft of £20,247 from the Council in August 2018.
- An individual, Mr Georgiou, was previously convicted by the Council for selling 'clocked' vehicles. In May 2008 a Confiscation Order was made in the value of £1.9m, and Mr Georgiou was ordered to pay over his entire financial worth which at that time amounted to £57,812.

In March 2020 the Police alerted us to the possibility that Mr Georgiou might now have further assets and following further investigations by us, Wood Green Crown Court imposed a Section 22 Order compelling Mr Georgiou to repay a further £27,589.66.

Appendix A

2020/21 Audit Plan Status

Department	Title	Audit Status
Chief Executives	Legal	Planning
Chief Executives	Mayors Accounts	Planning
Chief Executives	Members Ethics	Deferred to 2021/22
Chief Executives	Recruitment	Planning
Chief Executives	IR35 Follow Up	Planning
Chief Executives	Organisational Development	Not started
Chief Executives	Energetik	Not started
Cross Cutting	Schools Financial Monitoring Follow Up	Fieldwork
Cross Cutting	Adult Social Care/Financial Assessments - Follow Up	Fieldwork
Cross Cutting	Contract Management Follow Up	Not started
Cross Cutting	Remote Working – IT	Planning
People	Troubled Families Grant Claims – May	Cancelled
People	Troubled Families Grant Claims – June	Completed
People	Troubled Families Grant Claims – July	Fieldwork
People	Troubled Families Grant Claims - August	Not started
People	Troubled Families Grant Claims - September	Not started
People	Troubled Families Grant Claims - October	Not started
People	Troubled Families Grant Claims - November	Not started
People	Troubled Families Grant Claims - December	Not started
People	Troubled Families Grant Claims - January	Not started
People	Troubled Families Grant Claims - February	Not started
People	Troubled Families Grant Claims – March	Not started
People	Unregulated Placements	Completed
People	Disproportionality in Out of Court Disposals	Not started
People	Mental Health - AMHP Service	Fieldwork
People	Eclipse	Planning
People	West Grove Primary School	Not started
People	Oaktree School	Planning
People	Starks Field Primary School	Fieldwork
People	Broomfield Secondary School	Planning
People	George Spicer Primary School	Not started
People	St Paul's CE Primary School	Cancelled
People	Hazelwood Schools	Not started

Department	Title	Audit Status
People	St Ignatius College	Cancelled
People	Bush Hill Park Primary School	Not started
People	St Ignatius College and St Anne's Catholic High School for Girls - Joint Procurement	Not started
Place	BEGIN Grant	Completed
Place	Cleaning Contract	Not started
Place	Housing Repairs and Maintenance	Planning
Place	Community Infrastructure Levy (CIL) and Neighbourhood CIL	Planning
Place	Meridian Water – HIF	Planning
Place	Bus Service Operators Grant (BSOG)	Completed
Place	Local Transport Capital Funding Grant	Cancelled
Place	Capital Works and Building Control	Planning
Place	Housing Compliance - Safety Checks and Management of Lift Maintenance	Planning
Place	Meridian Water - Procurement Strategy	Planning
Place	Climate Change	Not started
Place	Meridian Water – Contract Management	Not started
Resources	General Ledger Follow Up	Not started
Resources	Direct Payments	Planning
Resources	Accounts Payable	Planning
Resources	Council Tax	Fieldwork
Resources	National Non-Domestic Rates (NNDR)	Planning
Resources	Treasury Management	Planning
Resources	Supplier Resilience	Planning
Resources	Web Content Accessibility Guidelines 2.1 (WAGC 2.1)	Not started
Resources	Cloud Management – IT	Planning
Resources	Cyber Security – IT	Planning
Resources	Digitalisation – IT	Planning
Resources	IT Software Procurement	Completed
Resources	Local Authority Test and Trace Service Support Grant	Not started
Resources	Enfield Stands Together – JustGiving	Draft report issued
Resources	Procurement Social Value	Not started
LATC	HGL - Lettings Agency	Not started
LATC	HGL - Property Services Purchasing	Fieldwork

Overdue High Risk Audit Actions at 31 August 2020

Chief Executive's Department

Audit Name	Finding Title	Agreed Action	Original Due Date	Update	Revised Target Date
Leavers	Process Governance	<p>a) The starter and leaver process will be reviewed under the ownership of the HR and IT Services.</p> <p>b) HR Ownership will cover the overall process governance and documentation across the organisation. IT Ownership will cover the implementation of a unified IT provision and system that supports this process, so it supports a single journey for the organisation including the ability to identify at individual level the user's status, network and systems access and ICT assets assigned to that user.</p> <p>c) This will also include ability to provide access for reporting either via a self-reporting tool or using the council's chosen reporting functionality Power BI</p> <p>d) While the implementation is defined and projects delivered, the existing reporting using SAP, Service Management Tools, Active Directory and Microsoft Office 365 console will be used to provide on-going information to facilitate reviews of compliance.</p> <p>e) The risk will be captured on the Risk Register and reviewed monthly until the implementation above is completed</p> <p>f) To support this review, we will also use the Customer Experience Programme to endorse the approach and monitor progress</p>	31-Mar-2020	<p>Update June 2020</p> <p>Following the audit, a review commenced of the Service Management Tool that the organisation used (Service Now) with a view to changing the product to one which was designed around process and was affordable and supportable in house.</p> <p>In line with the strategy to initially do it to ICT first, a proof of concept on the Service Tool commenced at the end of March 20 but has been delayed due to Covid.</p> <p>As a result of these delays and the urgency to review Leavers in light of the increased Remote Working, ICT are undertaking additional short and medium terms actions to mitigate the risks and the ICT Risk Register and ICT Work Programme. will be updated to reflect this,</p>	30-Sep-2020

Resources Department

Audit Name	Finding Title	Agreed Action	Original Due Date	Update	Revised Target Date
Financial Assessments Team	A Lack of Monitoring of Aged Debt Balances	We will formalise the process surrounding the investigation of aged debts, which will occur on a monthly basis. Evidence of investigation and commentary will be centralised. The Quarterly Exchequer Reports will be utilised more effectively by reviewing these and discussing the results at management meetings.	30-Jun-2020	<p>Update August 2020</p> <p>This also forms part of our overall debt improvement plan and strategy. It has been difficult to get the data needed out of ASH and for the identified data to be produced by the data team on a monthly basis like they provide information for other debts such as Council Tax and Rents etc. The reasons for this have been given as a lack of resource and knowledge of the system in this area together with difficulties with ASH.</p> <p>Work is still on going and I have now asked for an ASH supplier meeting to see what functionality is available to provide what we need and are working with the data team to build this into their service requirements</p> <p>Whilst this is being sorted, the team have started to breakdown the quarterly report to show the breakdown of Secured Debt, Unsecured debt</p>	30-Sep-2020
General Ledger (SAP)	Incomplete policies and procedures	<p>1.The Financial Regulations are currently being updated; we will also implement a routine review of all General Ledger related procedures to occur at least annually, immediately after the External Audit.</p> <p>2. We will create local policies and procedures to cover:</p> <ul style="list-style-type: none"> • Roles and responsibilities of all relevant officers and departments; 	30-Jun-2020	<p>Update, September 2020</p> <p>1. Financial Regulations Updated and General Ledger procedures will be reviewed post External Audit.</p> <p>2. Roles and responsibility for all officers and departments are in the financial regulations. Process flowcharts for key GL processes will be created post External Audit.</p>	31-Oct-2020

Audit Name	Finding Title	Agreed Action	Original Due Date	Update	Revised Target Date
		<ul style="list-style-type: none"> • Process flowcharts for key GL processes; • A suspense account procedure; • Month-end/Quarterly reporting timetables; • Reconciliations; • Chart of Accounts update 		Balance Sheet codes are reconciled quarterly. Work already underway to reduce suspense (holding codes), alongside internal recharges and gradually remove over next year.	
General Ledger (SAP)	Inadequate review of suspense and control accounts	<ol style="list-style-type: none"> 1. We will review SAP and ensure we have a complete listing of all suspense accounts. 2. We will review all suspense accounts in SAP and take steps to reduce these to ensure only the minimum necessary are retained. 3. We will implement a routine review of suspense accounts, with identified owners for this process. This will be documented in procedure notes (see Finding #1). 4. We will ensure that responsibility for reviewing and clearing control accounts is defined and this activity is performed and reviewed and signed off including regular senior overview of the process. This will be documented in procedure notes (see Finding #1). 	31-May-2020	<p>Update, September 2020</p> <ol style="list-style-type: none"> 1. Suspense Accounts should not exist except for unallocated cash, which will be cleared every 12 months on a rolling basis, as per item 1. 2 as above. 3. as above. 4. all balance sheet codes are reconciled quarterly plus major ones monthly - need list to be updated - update names of completers and approvers - need new form <p>All suspense accounts were brought up-to-date and cleared at year end, with clear owners for all suspense (holding codes). This needs to be brought up-to-date for end of June and September. A report will be produced and reviewed at Finance Manager's meeting. Procedure notes to be produced post External Audit.</p>	31-Oct-2020
General Ledger (SAP)	Inadequate reconciliations of feeder systems and balance sheet codes	<ol style="list-style-type: none"> 1. All system interfaces will be identified, understood and documented. 2. We will ensure system interfaces are reconciled monthly or quarterly and that these are reviewed by an appropriate Manager and supplied to Finance. This will be documented in procedure notes (see Finding #1). 3. We will ensure a process is put in place to reconcile balance sheet accounts on a 	31-May-2020	<p>Update, September 2020</p> <ol style="list-style-type: none"> 1. ICT need to update system interfaces. 2. All system interfaces need to have owner and approver 3. Quarterly balance sheet codes - next week go to Finance Management Meeting and get everyone to agree to their codes 	31-Oct-2020

Audit Name	Finding Title	Agreed Action	Original Due Date	Update	Revised Target Date
		quarterly basis. These reconciliations will be approved by named appropriate managers.			
General Ledger (SAP)	Inadequate segregation of duties and lack of supporting documentation	<p>1. A standardised approach of inputting journals will be clearly communicated by Finance to other teams in the Council who use SAP. Included in this approach will be a clear outline of what appropriate evidence needs to be attached to the journal and segregation of duty arrangements. A sample of journals across the Council will be reviewed by Head of Corporate Finance each quarter to ensure the approach is being followed. (See Finding #1).</p> <p>2. We will review system access to ensure segregation of duties is in place for all journals.</p> <p>3. New Journal Upload file to be created preventing automatic approvals.</p>	30-Jun-2020	<p>Update, September 2020</p> <p>1. Absoft to be instructed to produce new journal template.</p> <p>2. All June 30 and September 30 reconciliations to be produce by end for Sept 30 and Oct 31.</p> <p>3. Will be creating new responsibilities in SAP to split out the roles and delete existing responsibilities.</p>	31-Oct-2020
Purchase Cards	Compliance, Monitoring and Reporting	<p>Exchequer Services will conduct a full review of procurement card compliance, monitoring and reporting and will take on board the findings sent out in this audit report A detailed action plan, with timescales will be created and will address the points raised in this report and will focus on:</p> <ul style="list-style-type: none"> -Monitoring and management -Records and housekeeping -Non-compliance and actions 	31-Aug-2020	<p>Update, August 2020</p> <p>Exchequer have implemented a process whereby a general reminder will be sent to all cardholder approvers 5 working days before the period close down every month to remind them to approve transactions. In addition, a report will be issued monthly to all approvers with details of the transactions which have not been reviewed, escalations will be implemented if non-compliant. Finance DMT have been consulted in relation to a P Card review / policy & spend / reports / fraud & educational comms. Following clarity, Exchequer will create a project plan which will include consulting with DataMi Team to explore the use of Power Bi to create future bespoke reporting.</p>	31-Oct-2020

Schools

Audit Name	Finding Title	Agreed Action	Original Due Date	Update	Revised Target Date
Oakthorpe Primary School	Audit Report	This audit report will be presented and considered at the next Governing Body meeting. Any discussions and decisions made will be recorded in the minutes of the meeting. A copy of these minutes will be forwarded to Internal Audit as soon as available.	31-Jul-2020	Update not requested due to holidays and Covid-19.	TBC
Oakthorpe Primary School	Security of Assets – School Assets	The School will ensure that: a) A full asset check is undertaken, jointly by a named Governor and an independent member of staff, to determine that all assets can be accounted for. The asset check documentation will be signed and dated by the responsible officer/s. b) The inventory list is updated to include the date each item is disposed of and under whose authority. c) Annual asset checks will be undertaken, and evidence retained with the date and signatures of the individuals who undertook the check. d) Discrepancies identified during inventory checks will be reported to the Governing Body. Details of discrepancies will be recorded in the asset register, including the identification date and the date reported. e) A responsible officer will: – Locate the items that could not be found during testing to confirm they are in school – Ensure all asset locations are correctly recorded in the register. – Ensure a unique identifier is included in the register for all assets.	31-Aug-2020	Update not requested due to holidays and Covid-19.	TBC

Audit Name	Finding Title	Agreed Action	Original Due Date	Update	Revised Target Date
		<p>f) All items are marked visibly and permanently as School property.</p> <p>g) Loan of asset forms are completed and signed by each member of staff and appropriately authorised to confirm that:</p> <ul style="list-style-type: none"> - Staff are aware that the loan of asset is for work purposes only. - Appropriate insurance arrangements are in place prior to the asset being taken off site. - The School can keep track of its assets and further ensure they are returned either at the end of the loan period or on termination of employment. <p>h) In the event that inventory items are identified as missing appropriate actions should be taken.</p> <p>i) Security arrangements around portable assets are improved to reduce the risk of items going missing.</p>			

Medium Risk Actions Overdue > 1 Year

People

Audit Name	Finding Title	Agreed Action	Original Due Date	Update	Revised Target Date
Request for Funding – end to end process	Roles and responsibilities – Control Design	The full process will be documented, and processing guidance produced to effectively align the process to the new structure and ensure clarity in roles and responsibilities. This will then be effectively communicated to staff dealing with the RFF process.	01-Jan-2018	Update August 2020 This was not completed due to there being outstanding aspects of ContrOCC but the RFF is being modified again and further guidelines are being drafted.	31-Jul-2020
Request for Funding – end to end process	Performance monitoring and management information – Control design	a. In developing new systems to support the RFF process, information requirements will be defined to ensure that reports can be run that identify process issues and anomalies, such as long outstanding POs that relate to the RFF process. Requirements gathering for report definition will be undertaken and link to mapping of codes and other business requirements. b. Mitigating controls will be considered to support the process before systems are changed, such as creating a central log of all RFFs created.	01-Dec-2017	Update August 2020 a. Not competed due to it being a ContrOCC outstanding action b. Mitigating controls will be considered to support the process before systems are changed, such as creating a central log of all RFFs created.	31-Jul-2020

Place

Audit Name	Finding Title	Agreed Action	Original Due Date	Update	Revised Target Date
Broomfield House	Vision	The Partnership Board to finally agree the strategy for the house, including milestones for delivery. A report to Cabinet will be completed in order to gain agreement to the strategy.	01-Sep-2017	Update Assurance Board, 1 July 2020 Aiming for the Cabinet report in the Autumn (30 October) and comms strategy to close these actions off.	31-Oct-2020
Broomfield House	Covenant	The work on the covenant to be finalised and a Financial Implication Report prepared to indicate the Council's potential liability in the event that any development or restoration of the house goes ahead	01-Sep-2017	Update Assurance Board, 1 July 2020 Aiming for the Cabinet report in the Autumn (30 October) and comms strategy to close these actions off.	31-Oct-2020
Broomfield House	Communication Strategy	A communication strategy should be devised to ensure that all interested parties, including local residents and the general public, are informed about progress, risks, issues and next steps.	01-Apr-2017	Update Assurance Board, 1 July 2020 Aiming for the Cabinet report in the Autumn (30 October) and comms strategy to close these actions off.	31-Oct-2020
Broomfield House	Procurement Strategy	The project needs to be identified before its delivery can be procured. This will be resolved by Cabinet report. A procurement strategy will then be devised in conjunction with the overall strategy for the House, to ensure that works and services are acquired efficiently and effectively.	01-Sep-2017	Update Assurance Board, 1 July 2020 Aiming for the Cabinet report in the Autumn (30 October) and comms strategy to close these actions off.	31-Oct-2020

Resources

Audit Name	Finding Title	Agreed Action	Original Due Date	Update	Revised Target Date
Pensions Administration	Roles and responsibilities for pensions administration	1) A high level roles and responsibilities document will be developed for pension administration across all the departments involved, i.e. HR, Payroll, Pensions Administration and Investments to ensure that each teams roles and responsibilities are clearly understood 2) Roles and responsibilities should be reviewed on an annual basis to ensure they are fit-for-purpose. 3) Communications will be sent to our Scheme Employers, signposting them to their responsibilities within the Regulations.	01-Jan-2019	Update June 2020 SLA's will be put in place during 2020/21. While agreements will not be in place until March 2021 the LGPS regulations and pension policies already provide clarity over roles and responsibilities. Regular stakeholder meetings ensure that regulations and decision making is robust and compliant. The Pensions Regulator Code of Practice also provides a framework and regular scrutiny is provided by the Local Pensions Board.	30-Sep-2020
Purchase to Pay through Neptune	Budget monitoring	Finance to raise awareness of the SAP report ZIBD_BCS Subjectives to budget holders and approvers, to improve budget forecasting	01-Dec-2018	Update Assurance Board, 1 July 2020 Budget monitoring agreed to copy audit in email being sent.	31-May-2019

Schools

Audit Name	Finding Title	Agreed Action	Original Due Date	Update	Revised Target Date
Hadley Wood Primary School	Employees-Starters and Leavers	<p>a) The School will ensure that all pre-employment checks are completed prior to a member of staff commencing their employment with the School.</p> <p>b) The School will ensure that all leavers' documentation is signed and submitted promptly for processing.</p> <p>c) Where the Headteacher agrees to accept a member of staff prior to all pre-employment checks being received, this will be discussed with SPS, to ensure this is included on their records.</p>	01-Mar-2019	<p>a) Implemented before issue of final report</p> <p>b) Implemented before issue of final report</p> <p>c) Update not requested due to holidays and Covid-19.</p>	TBC
St Edmunds RC Primary School	Delegated Authority - Governance	<p>a) The Terms of Reference has been updated to include all financial responsibilities that cannot be delegated, and specifically the annual review and approval of the School's Scheme of Delegation and the School's the three-year working budget.</p> <p>b) The School's Scheme of Delegation has been updated to reflect the current working practices within the School, ensuring that there is adequate separation of duties, and specifically to include:</p> <ul style="list-style-type: none"> • That the final budget will be approved by the Governing Body. • A consistent delegation for the approval of expenditure above the Headteacher's delegated limit of £20,000. 	01-Jun-2019	<p>a) Implemented</p> <p>b) Implemented</p> <p>c) Update not requested due to holidays and Covid-19.</p>	TBC

Audit Name	Finding Title	Agreed Action	Original Due Date	Update	Revised Target Date
		<ul style="list-style-type: none"> • Delegated responsibility for: <ul style="list-style-type: none"> - Monthly bank reconciliations. - The use, monitoring, authorisation and reconciliation of Commercial and Trade UK card expenditure and the card limits. - Authorisation of staff additional hour timesheets. c) The updated Terms of Reference and Scheme of Delegation documents will be presented to the Governing Body for approval, which will be formally recorded in the corresponding minutes of the meeting. 			

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Audit & Risk Management Committee Annual Report 2019/20

Chair's Introduction

I am very pleased to present this Audit & Risk Management Committee Annual Report for 2019/20 to both the Committee and to full Council.

The report shows that the Audit & Risk Management Committee has undertaken its role effectively covering a wide range of topics and ensuring that appropriate governance and control arrangements are in place to protect the interests of the Council and the community in general.

I would like to thank all the members who served on the Committee during 2019/20. My thanks also go to BDO (external auditors) and to Council officers who have supported the work of the Committee and more specifically me in my role as Chair.

Councillor Mahym Bedekova
Chair

1. Introduction

This report details the activity of the Audit and Risk Committee from 1 April 2019 to 31 March 2020. Submission of this report to Council on an annual basis, is in line with the Chartered Institute of Public Finance & Accounting (CIPFA) guidance on best practice for audit committees, in order to effectively support the organisation and for the Council to understand the work of the Committee.

2. Proposal

Council is asked to note the report.

3. Terms of reference and membership

The purpose of the Audit and Risk Committee is to provide assurance to the Council on the adequacy of the risk management framework and the internal control environment. The committee receives the work plans and reports from the Head of internal audit, helping to ensure that efficient and effective assurance arrangements are in place, and on which the opinion on the level of governance, risk management and internal control can be derived.

The full terms of reference for the period that this report refers to are attached at appendix B.

During 2019/20, the membership of the Committee was as follows:

Councillors:

Mahym Bedekova (Chair)
Tim Leaver (Vice Chair)
Birsen Demirel
Claire Stewart
James Hockney
Charith Gunawardena
Dinah Barry
Yasemin Brett
Lee David-Sanders

Independent Member:

Peter Nwosu

2. Audit & Risk Committee

Work undertaken during 2019/20 supported the following key areas, the specific items considered at each committee meeting are shown at appendix A:

- Adequacy of the internal control environment of the Council Internal Audit Plan and Audit Charter;
- Governance Processes - Annual Governance Statement;
- Financial management - Annual statement of accounts;
- Risk Management - Corporate Risk Registers.

3. Internal Audit Service

Internal Audit Annual Report

At its meeting in June 2019 the committee received the 2018/19 Internal Audit Annual Report summarising the work of the Internal Audit section for the year and included the Head of Internal Audit and Risk Management's opinion on the system of internal control.

The following points were noted by the committee:

- The opinion of the Head of Internal Audit and Risk Management is that the arrangements for governance, risk management and internal control provided *Reasonable* assurance that material risks, which could impact upon the achievement of the Council's services or objectives, were identified and managed effectively. However, there were some areas of inadequacy or non-compliance that potentially put the achievement of objectives at risk. Some improvements were required in those areas to enhance the adequacy and effectiveness of the framework of governance, risk management and internal control.
- the team had covered 60 subject areas and the Head of Audit & Risk was satisfied that enough internal audit work had been undertaken to allow her to give an opinion of the adequacy and effectiveness of governance, risk management and internal control.
- The audit opinion for 2018/19 was that reasonable assurance could be placed on all these areas. Overall, a reasonable assurance is quite an achievement given the budgets and external factors.
- Progress with management actions were 73% of high-risk actions and 72% of medium risk actions had been implemented. A slight deterioration from last year. The actions that were not implemented were all in progress and none were marked as 'not implemented'.
- As at the end of March 2019, the team had delivered 100% of the internal audit plan against the target of 95%.
- Through the year, the Head Audit & Risk had attended the Assurance Board, EMT meetings and many departmental meetings to discuss the work of the team.
- Internal Audit activity was self-reviewed as conforming to the Public Sector Internal Audit Standards (PSIAS). There would be an independent review in 2019/20 which would be reported back to the committee once it had been carried out by CIPFA.

Draft Work Plan and Audit Charter

The Internal Audit Strategy, draft Plan and Internal Audit Charter 2019/20 were also considered at the meeting on 19 June 2019, and the 2020/21 draft plan and charter were discussed at the 5th March 2020 meeting.

The Audit Plan represents the key areas of interest for the Committee for each year, and covers the activities to ensure adequate controls, assurance and governance arrangements are in place within the Council.

The committee receives regular reports throughout the year to monitor the plan and specific areas of activity around the Council's control environment.

The Internal Audit Charter sets out the purpose, authority and responsibilities of Enfield Council's internal audit service.

The team uses Horizon Scanning which helps to look at any big changes, legislative changes on the horizon in the year or any changes for a particular service area. CAKE (cumulative auditor knowledge & experience) is also used by using officer experience and knowledge gained to provide answers to questions raised about the service over the previous year.

Some of the planned audits were as follows:

- Contract Management
- Risk Management
- Complaints Handling
- Commercialism
- Financial Resilience
- Early Years Payments
- Mental Health
- Meridian Water Project Governance
- SEN Transport
- Local Authorities Trading Companies Plan
- Schools'

4. External Auditors

The Council's external Auditors are currently BDO LLP. Representatives attend every meeting and contribute to governance processes within the Council and the development of committee members.

5. Statement of Accounts and Annual Governance Statement 2018/19

The draft Statement of Accounts were completed by the statutory deadline of 31st May 2019 and received by the Committee at the meeting in June 2019, along with the annual Governance statement.

The mandatory external audit of the Statement of Accounts due to be signed off by the 31st July was delayed and these were signed off in December 2019.

The delay in publishing the final statement of accounts was due in some part to delays within the processes for the closure of accounts. This led to a review of the process and an action plan put in place to ensure that the 2019/20 accounts were published on time.

6. Corporate Risk Registers

The committee receive updates at every meeting on the Councils corporate risk register. This is a new development for the committee to provide an overview of the immediate risks to the council, with the operational risks sitting underneath. Previously the risk registers had been undertaken through directorate-based risk registers, the new way of working was welcomed by the committee.

The Committee looked in detail at specific areas from the risk register these included Cyber and technology security, Brexit risks, and the Meridian Water risk register. The committee were able to bolster their understanding of the areas and were reassured that mitigation measures were in place to reduce the risks.

7. Training for members

The following training sessions were held during 2019/20:

- Introduction/induction for new committee members 19th June 2019.
- Statement of Accounts training session held on 1st July 2019.
- Treasury Management training session held on the 16th January 2020.

8. Work programme 2020/21

At the Annual Council meeting on the 1st July 2020 the Audit & Risk Committee was deleted, and the terms of reference of the Audit & Risk Committee now fall under the General Purposes Committee and the work programme for 2020/21 will be set at the first meeting.

9. Conclusion

As a result of the committees work throughout the year, members of the committee had fulfilled their terms of reference to provide independent assurance on the adequacy of the risk management framework, the internal control environment and the integrity of the financial reporting and annual governance processes.

Appendix A

**Summary of Audit & Risk Management Committee Work Programme
2019/20**

Date of Meeting	Reports Considered
19 June 2019.	<ul style="list-style-type: none"> • Audit & Risk Management Committee Protocol Report on the Draft Statement of Accounts. • Unaudited Statement of Accounts 2018/19 & Draft Annual Governance Statement. • BDO progress report 2018/19. • IGB Annual Performance Year End update 2018/19 & GDPR Implementation. • Draft Annual Schools Internal Audit Letter 2018/19. • Corporate Risk Register. • Counter Fraud Service Annual Report 2018/19. • Internal Audit Annual Report 2018/19. • 2019/20 Internal Audit Plan & Internal Audit Charter. • Audit & Risk management Committee Annual Report 2018/19. • Work Programme.
4 July 2019	<ul style="list-style-type: none"> • Unaudited Statement of Accounts 2018/19 • BDO – Unaudited Statement of Accounts 2018/19 – Verbal Update.
3 October 2019	<ul style="list-style-type: none"> • Final Internal Audit Report – Commissioning (Brokerage). • Statement of Accounts 2019/20: <ul style="list-style-type: none"> (A) Received from BDO (external auditors) the LBE Audit Completion Report 2018/19 – ISA260. (B) Received from BDO (external auditors) the Pension Fund Audit Completion Report 2018/19 – ISA260. (C) Statement of Accounts with ISA260 2018/19. • LBE – Action Plan – Closedown process of the Statement of Accounts. • Universal Credit Implementation Update • Brexit Risk for Local Authorities. • Work Programme.
17 October 2019	<ul style="list-style-type: none"> • Statement of Accounts – Action Plan Update. • Financial Resilience Update including Managing the Savings. • BDO – LBE Fee Letter 2019/20 & Pension Fund Fee Letter 2019/20. • Audit & Risk Management Service Progress Report. • Corporate Risk Register. • Audit & Risk Management Committee – Annual Report 2018/19. • Work Programme
16 January 20	<ul style="list-style-type: none"> • BDO – Audit Plan 2019/20 – Council. • BDO – Audit Plan 2019/20 – Pension Fund. • BDO – Annual Audit Letter 2018/19.

	<ul style="list-style-type: none"> • Statement of Accounts – Action Plan Update. • IGB Annual Performance Yearly Update 2019/20 & GDPR Implementation. • Treasury Management Strategy – Prudential Indicators, Capital Expenditure & Sensitivity of Interest Rates. • Illegal Encampments. • Corporate Risk Register. • Audit & Risk Management Service Progress Report. • Brexit Risk register Update. • Work Programme.
5 March 20	<ul style="list-style-type: none"> • Statement of Accounts – Closedown Update. • BDO – External Audit Progress Report. • Contract Procedure Rules – Waivers Report and Update on Procurement spend. • Housing Development Approach to Identifying Risk and Management. • Commissioning (Brokerage) Follow Up Audit Report 2019/20. • Anti-Money Laundering Policy & Guidance (Annual Review). • Whistle Blowing Policy (Annual Review). • Corporate Risk Register. • Draft Internal Audit Plan 20/21 & Internal Audit Charter. • Audit & Risk Management Service Progress Report. • Work Programme.

3. AUDIT AND RISK MANAGEMENT COMMITTEE
Appointed by: Council
Proportionality: Applies
<p>Membership:</p> <p>9 members of the Council and up to 2 Independent non voting members (members who are not a councillor).</p> <p>Membership to be drawn from the non-executive element of the Council and by law remain politically balanced</p>
The membership must be drawn from: Non Executive
Chair and Vice-Chair appointed by: Council
Public / Private meeting: Public
<p>Quorum:</p> <p>3 members.</p>
<p>Frequency:</p> <p>The Committee will generally meet at least 5 times per year, with dates included in the Council calendar. Further meetings can be arranged on an ad hoc basis as appropriate.</p> <p>The Committee will report annually directly to full Council</p>
<p>Terms of Reference:</p> <p>The Council has established an Audit and Risk Management Committee whose primary purpose is to ensure best practice in corporate governance and to enable the Council to discharge its fiduciary responsibilities in preventing fraud and corruption, and arranging proper stewardship of public funds.</p> <p>To consider:</p> <p>Internal Audit</p> <p>(i) The annual Internal Audit Report, including the Head of Internal Audit and Risk Management's Annual Opinion over the Council's assurance framework and internal control environment.</p> <p>(ii) The annual risk-based plan of internal audit work, from which the annual opinion on the level of governance, risk management and internal control can be derived. The plan will include the budget requirement and resource plan in terms of audit days needed to deliver the programme of</p>

work.

- (iii) The internal audit charter, defining the service's purpose, authority and responsibilities. The charter will cover arrangements for appropriate resourcing, define the role of internal audit in fraud-related work and set out arrangements for avoiding conflicts of interest.
- (iv) Regular updates from the Head of Internal Audit and Risk Management on audit and investigation activities. These will include progress on delivering the annual programme of work, emerging themes, risks and issues and management's responsiveness in implementing recommendations and responding to Internal Audit. In line with requirements of the Public Sector Internal Audit Standards, performance of the Internal Audit Service and the results of quality assurance and improvement activities will also be reported.
- (v) Specific internal audit reports agreed between the Chair and the Executive Director Resources or the Chief Executive.
- (vi) The Council's policies on 'Raising Concerns at Work' and the 'Anti fraud and corruption strategy'.
- (vii) The implementation of relevant legislation relating to fraud and corruption.

External Audit

- (i) The External Auditor's Annual Letter and relevant reports.
- (ii) Specific reports as agreed with the External Auditor.
- (iii) To comment on the scope and depth of external audit work and to ensure it gives value for money.
- (iv) The External Auditor's Report to those charged with governance from the audit of the accounts.

Risk Management

- (i) The strategy for effective development and operation of risk management and corporate governance in the Council to ensure compliance with best practice.
- (ii) Departmental and corporate risk registers.

Procurement and Contracts

- (i) An overview of the Council's Constitution in respect of contract procedure rules, financial regulations and relevant codes of conduct and protocols.
- (ii) Reports on waiving of contract procedure rules.

Other issues

- (i) The Council's annual Statement of Accounts.
- (ii) Any matters referred to it from the Monitoring Officer's meetings.
- (iii) Any issue referred to it by the Chief Executive or a Director, or any Council body for determination.
- (iv) An Annual Report, for submission to Council, summarising the work done by the Committee over the past year and outlining work to be done

in the year to come.

- (v) The Council's Annual Governance Statement and to formally agree it.
- (vi) Quarterly updates on the use of Regulation of Investigatory Powers Act 2000 (RIPA).
- (vii) Commissioned work from internal and external audit, the Executive Director Resources or other Council officers.

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GENERAL PURPOSES COMMITTEE – WORK PROGRAMME 2020/21

Item	23 July 20	15 Oct 20	26 Nov 20	14 Jan 21	4 March 21	22 April 21
Annual Statement of Accounts/Governance Statement	Unaudited Accounts & Draft AGS 2019/20	Final audited accounts & AGS ISA260 Update & Sign off of Pension Fund Accounts 2019/20	SOA – Action Plan - Verbal Update	SOA – Action Plan - Verbal Update	SOA – Action Plan - Report	SOA – Action Plan - Report
BDO report on Statement of Accounts		LBE Audit Completion Report 2019/20 & Pension Fund Audit Completion Report 2019/20				
BDO - Annual Audit & Fees Letter (including audit & inspection plan)				LBE Fee Letter 2019/20 & Pension Fund Fee Letter 2019/20	Audit Plan 20/21 – Council main Account & Pension Audit Plan 2020/21 Annual Audit Letter 2019/20 (LBE & Pension Fund).	
Treasury Management Strategy & Prudential Indicators			Council & Borrowing			
Capital Expenditure & Sensitivity of Interest Rates						
Contract Procedure Rules – Review & Waivers						Contract Procedure Rules Waivers Report & Update on procurement spend
Audit Committee Annual Report		19/20 Annual Report.				
Regulation of Investigatory Powers Act 2000 (RIPA) – incl legislative changes	(if applications to consider)			Update	Update	Update
Housing Dev Approach to Identifying Risk & Management						Joanne Drew report

Information Governance & Document Retention					IGB Annual Performance Yearly update – 2020/21 & GDPR Implementation	
Financial Resilience & Managing the Savings				Update on Financial Resilience/Managing the Savings - Finance		
Universal Credit Implementation						
Local Authority Trading Companies						Update
Debt Recovery Process						
Brexit Risk for Local Authorities						
Brokerage Report - Update		Report				
Cyber & Technology Security	Report		Update			
Meridian Water Update						
Polling District Review			Report			
Council's Counter Fraud Strategy – items to be confirmed and allocated <ul style="list-style-type: none"> Counter Fraud & Corruption Strategy Money Laundering Policy 	20/21 Counter Fraud Strategy & Operational Plan					Anti-money Laundering Policy & Guidance and Whistle Blowing Policy
Risk Management Reviews – items to be confirmed and allocated <ul style="list-style-type: none"> Risk Management Strategy Corporate risk register update Departmental risk registers Specific risk monitoring Promotion of risk awareness 	1. Corporate Risk Register 2. 20/21 Risk Strategy & Operational Plan 3. Covid 19 – Risk Register	Corporate Risk Register Covid 19 Risk Register	Corporate Risk Register	Corporate Risk Register	Corporate Risk Register	Corporate Risk Register
BDO specific reports – items to be confirmed and allocated <ul style="list-style-type: none"> Accounts Audit Approach Memorandum Use of Resources Audit Grants Certification Data Conversion Review Value For Money 	1. Progress Report				LBE Audit Plan 2020/21 & Pension Fund Audit Plan	Grants and Returns Certification Report 2019/20

<ul style="list-style-type: none"> Review of Financial Resilience 					2020/21	
<p>Internal Audit & Investigations – Progress Report</p> <ul style="list-style-type: none"> Update of audit plan progress Key risk findings Investigations undertaken Sanctions & prosecutions Results achieved Whistleblowing Policy Internal Audit Plan 	<ol style="list-style-type: none"> Internal Audit Annual Report 19/20 Counter Fraud Annual Report 2019/20 Internal audit plan 2020/21 2019/20 Annual Schools Audit Report 					<p>Draft Internal Audit Plan 2021/22</p> <p>& Internal Audit Progress Report 2020/21</p>
<p>External Audit (BDO) – Progress Report</p>						

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