














## CORPORATE RISK REGISTER






*Key Source: Departmental Risk Registers*

Objective	Risk Code & Title	Description	Assessment (Oct / Nov 2015)	Mitigating Actions	Responsible Officer(s)	Current Assessment & Direction of Travel (Feb / March 2016)
Corporate Risk	CRR1 Business Continuity - Telephony, Main Customer Serv. Centre, Community Alarm & Out of Hrs service	Major failure of the telephony infrastructure for the Council and its Out of Hours telephony provider could lead to high risk calls (emergency, telecare alarm monitoring, repairs etc) not answered. The exchange that 02083791000 or Community Alarm or Out of Hours Service are on goes down, number unavailable or poor advice given in emergency situations		Ongoing testing of the business and review of business continuity plans. Replacement of the Council's current MITEL telephony platform.	Chief Executive's DMT; FRCS DMT; HHASC DMT; Regen & Environment DMT; Andrea Clemons; SCS DMT; Kate Robertson	Testing of the BC and disaster recovery plans continues. Contract signed for replacement telephony – due to be implemented by September 2016. Enfield 2017 now shifting focus from telephone system to online.  
Corporate risk	CRR2 FRCS 15 28 Information Governance	See detailed Information Governance (IG) risk register. Failure to comply with government and national standards on security and legislation with regards to Data Protection Act and Freedom of Information Act leading to loss of reputation and goodwill, financial penalties and other adverse impacts.		Ongoing monitoring of IG risks at IGB, escalated to the SIRO and Audit Committee as appropriate Over 90% compliance with new training programme by March 2016 Embedding new functions, systems and policies	Chief Executive's DMT; FRCS DMT; HHASC DMT; Regen & Environment DMT; SCS DMT; Kate Robertson	IGB reconstituted following structural changes. Training ongoing. Detailed risk register being monitored by the Information Governance Board  
Corporate risk	CRR3 Inadequate Contract Management	Cause: Lack of appropriate contract management of third party suppliers. Effect: Risk of supplier failure; poor performance; inaccurate billing; service disruption		Regular contract reviews by appropriately skilled staff; financial due diligence carried out annually on suppliers by contract managers/finance; business continuity plans to reflect reliance on 3rd parties and ensure contracts take this into account	Chief Executive's DMT; FRCS DMT; HHASC DMT; Regen & Environment DMT; SCS DMT; David Levy	Interim co-sourcing with EY has now gone live  


 (High)
 
 (Medium)
 
 (Low)
  (To Be Removed)




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Ensuring we have an effective, suitably qualified and well managed children's services workforce	CRR4 SCS 009' Violence and abuse against staff in the course of their duties - Taken from SCS register	Cause: Groups of staff at risk of experiencing violence and abuse in the course of their duties in particular social workers, teachers and lone workers. Failure to put in place adequate workforce policies including Lone Working and mobile working. Effect: Serious Injury to staff, high staff turnover, stress sickness, reduced staff motivation, compensation claims		Managers to regularly review risk for staff, particularly in light of changing working practices associated with New Ways of Working.	S1 DMT SCS; SCS DMT	Ongoing action  
Produce 4 year MTFP and Balance the 2016/17 budget	FRCS15 001 Balanced Budget for 2015/16 *DMT* - Taken from FRCS register 2015-16	Cause: Central Govt. funding reductions; Loss of key grants; Planned savings not achieved; Budgets ineffectively managed; Issues such as unexpected expenditure unfunded Effect: MTFP and budget not balanced		Lobbying for more funding and exploring other funding streams; Early agreement of initial savings through Cabinet. Savings monitored and reported monthly to Cabinet ; Political change in the setting of Council Tax - increased income; Implementing Enfield 2017 transformation plan and realising programme savings; Development of plans and mitigating actions to reduce impact of loss of grants; Looking at alternatives for unachievable savings	Isabel Brittain	Ongoing action  
KD1 Safeguarding Vulnerable Adults – Maintaining	DoLS_MCA01 Deprivation of liberty safeguards: Legal challenge and financial losses -	Merge of 2 risks from previous reporting: Deprivation of liberty safeguards and Legal challenge and financial losses.		October 2015 - Additional resource will need to be secured in order to sustain ongoing increase in DOLS applications. Rolling programme	Sharon Burgess	Continues to be an increase in DOL assessments and renewals. Processing urgent DOL (ongoing). Risk assessing short DOL assessments as this






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dignity and respect and keeping vulnerable people safe	Taken from HHASC register	Cause: Supreme Court ruling has widened and simplified the DoLS remit. High Court judgement resulting in significant increase in applications for DOLS Effect: Very significant increase in DoLS and Court of Protection applications. This risk is not limited to LBE, as it is a national risk including CCGs. Ten-fold increase in DOLS applications, resulting in significant additional cost and reputational risk for the council if we get it wrong		of training in order to ensure all appropriate staff up to date with case law.  04/03/2015 - Using external agency from December 14 to address bulk applications to reduce ongoing pressures within DoLS in order to clear the backlog. Training 8 new BIA's on the 9th March from internal complement.		may be an indication of the need to review care plans (ongoing).  
KD8 Delivering more and better quality homes - Working with people to build more homes and improve the standard of existing ones	RE1516-37 Right to Buy - Council Homes - Taken from RE register	The Right to Buy uptake increases as a result of govt. initiatives. This has a negative impact on the business plan (loss of rent) and the number of affordable units available to the authority. Cause: The increase in Right to Buy uptake in Enfield and the restrictions around the government's Right to Buy one for one replacement scheme compromise our ability to comply with the scheme. Effect: The authority is unable to comply with the scheme and therefore has to return Right to Buy receipts to central govt.		Actions described in March 2015 RTB report to be implemented and monitored through the HRA & Estate Renewal governance board. March 2015 small sites report actions to be implemented and monitored Report to November Cabinet actions to be implemented and monitored.	Paul Davey	Actions described in 2015 RTB report being implemented and monitored through the HRA & Estate Renewal governance board. 2015 small sites report actions being implemented and monitored Report to November 2015 Cabinet actions to be implemented and monitored.  




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Delivery Of Services	SCS 003 Increased Service demand - Taken from SCS register	Cause: Welfare Reforms, child population and child mobility increasing in the Borough. This results in more vulnerable people requiring services to support the needs of their children, coupled with the requirement to deliver savings will be a considerable risk to a high number of vulnerable children living in the Borough. Links to SCS010		Autism Strategy addressing growing need. SEND Education Strategy Data group reviewing changes in need. Provide Customers with better access to support services - Channel Shift to allow customers to help themselves childrens Centres restructure is being embedded to focus on the most vulnerable in the Borough. Considering opportunities of sharing services with other Local Authorities. Focussing on reshaping early intervention support teams. The Council's transformation team is helping the department to keep frontline services operational by making back-office efficiencies.	SCS DMT	The Children's Centres restructure is now in place. A working group has now been identified and a project plan is being established for the focussing on reshaping early intervention support teams. The introductory workshop has been delivered.  
<b>RISK TO BE REMOVED FROM THE CORPORATE RISK REGISTER</b>						
KD8 Delivering more and better quality homes - Working with people to build more homes and improve the standard of existing ones	FRCS15 014 Homelessness budget cannot be contained within existing provision *DMT* taken from FRCS register	Cause: Lack of affordable private rented sector accommodation and longer term leased properties; Demand for services / accommodation outstrip supply due to factors outside the control of the Council e.g. reduction in benefit caps; Relatively cheaper private sector rents in Enfield compared to other parts of London. Effect: Increase in the use of temporary and nightly paid		Referrals to the WASH for welfare benefit advice; Investigating the use of Licensing to raise the standard of cheaper private rented homes; Communications around lack of affordable housing (managing expectations for those who may want to come to live in the borough); Business intelligence to keep homelessness demand under review; Homelessness	David Levy; Sally McTernan	<i>Following effectiveness of the mitigating actions, risk was reassessed and RAG reduced from Red to Amber.</i>  <i>Risk now de-escalated from the Corporate Risk Register to the relevant Departmental Risk Register for monitoring.</i>   


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		accommodation for homeless households; Inability to source adequate supplies/services resulting in increased costs due to limited competition; Inability to provide statutory services e.g. temporary accommodation; Increased demand on PRS accommodation; Increase in number of housing benefit claims in the borough; Competing demands on Enfield accommodation from other Councils.		prevention activities; Ernst and Young work streams (working with other boroughs to manage demand for TA in Enfield and price); Using empty properties brought back into use as TA; Produce new Acquisition policy for temp accommodation; Use of Dynamic Purchasing System to secure properties further afield; Seeking alternative types of investment, Using HGL		
<b>ADDITIONAL RISKS ESCALATED TO THE CORPORATE RISK REGISTER (POST OCT/NOV 2015)</b>						
	RE1516-34 Network Rail GRIP Delivery Programme  <i>(previously RE1516-31 and 28)</i>	The Department for Transport do not deliver the STAR (Stratford, Tottenham, and Angel Road) Programme of 4 trains an hour		North East Enfield AAP; Central Leaside AAP; Edmonton Green AAP; Enfield Town AAP; Core Strategy Review; London Plan Further Alterations; Transport SPD. Work progressing  Understand the impact of the proposed change to the 4 trains per hour in relation to design, other infrastructure, PTAL etc. Executive level and political interventions, which include recourse to legal options.	Regen & Environment DMT	<i>Following reassessment of risk by Departmental Management Team, RAG increased from Amber to Red.</i>  
Ensuring we have an effective, suitably qualified	SCS 005 Failure in the new OFSTED inspections	Causes: Common and more challenging inspection framework in Safeguarding, Child protection, Looked after children, Children's		Continue effective rigorous self-review mechanisms to ensure continued improvement. Engage effectively with the PDP	SCS DMT	<i>The self-review mechanisms continue and are ongoing. A schedule has been developed for DMT to ensure effective</i>



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and well managed children's services workforce		Centres, School Improvement Effect: LA is deemed to fail, Government intervention could result in loss of LA duties and powers in relation to vulnerable children. Reputational damage and drop in staff morale leading to staff turnover.		Hub to ensure timely supply of relevant data to Service Managers and DMT to ensure effective monitoring and challenge can take place and necessary action can be taken in a timely manner. Comprehensive quality assurance policy in place including external assessments and engagement in regional peer reviews. Self-assessments and audits are conducted and quality controls in place. Implement and monitor Improvement plans following inspection Ensure the additional vulnerability of disabled children is at the forefront of our thinking and planning.		<p><i>monitoring and challenge can take place in a timely manner. Quality assurance policy is in place including external assessments and engagement, and this is ongoing. Self-assessments and audits are now ongoing and this has been embedded as usual practice. Improvement plans are ongoing. The delivery of our SEND core offer ensures the additional vulnerability of disabled children is at the forefront of our thinking and planning.</i></p> <p><i>The risk score has been increased due to an increase in number of children within finite resources.</i></p> 
KD6 Managing Risk and Opportunity – Ensuring risks and opportunities are effectively monitored and actions managed in line with the Council's	HHASCILDS2 Ordinary residence inheritance	Cause: Enfield inheriting service users that are living in the community in Enfield but placed by another local authority Effect: increased financial liability		2015: As Enfield has a large number of supported tenancies other boroughs are moving them to these and applying for ordinary residence in Enfield. As clarification from Care Act not yet confirmed or in place, these remain a high risk to having to accept the financial liability with guidance from legal services.	Niel Niehorster	<p><i>The introduction of the Care Act means that it is less likely that future OR financial responsibility will transfer to the LBE. However, there remains approximately £871k of expenditure projected against</i></p> <p><i>Risk that is likely to become an actual cost pressure in 2015/16.</i></p> 

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procedures and guidelines.						
KD1 Safeguarding Vulnerable Adults – Maintaining dignity and respect and keeping vulnerable people safe	HHASC RC 2 Reardon Court	Cause: Legionella in water supply. Effect: Potential Health and Safety hazard for vulnerable client group.		Information to be gathered on ongoing viability and safety of RC With potential to decommission.  Action plan: an alternative provision for current residents and users.	Marc Gadsby	Following reassessment of risk by Departmental Management Team, RAG increased from Amber to Red.  
<b>NEW RISK ADDED TO THE CORPORATE RISK REGISTER (POST OCT/NOV 2015)</b>						
KD5 Delivering Value for money and high quality, sustainable services	RE1516-38 Risk associated with IT projects and those supporting business efficiency and improvement	Cause: IT projects listed in the Delivery Plan and those supporting business efficiency and improvement are not delivered. Effect: The business will not operate as efficiently as possible	N/A	Review level of CIT resources. Secondment of CIT resource to support R&M November 2015: need to review priorities for system updates with CIT now that HIT team has been centralised	Regen & Environment DMT	