










## Operational Risk Log (Sept. '16) Appendix 1






### SERVICE ENABLING, CUSTOMER GATEWAY & BUSINESS INTELLIGENCE

Description	Current Assessment & Direction of Travel (Aug / Sept 2016)	Mitigating Actions	Responsible Officer & Review Date
<p>FRCS1617 - 1 FRCS-Resourcing</p> <p>If resourcing (either financial or non-financial) is inadequate then increasing customer demand will not be met to a high standard and on time.</p>		<p>Succession planning; Training &amp; development for staff; Implementation of transformation programme to improve efficiency, maximise staff resources and manage demand; Fairer Funding campaign; Development of further income streams (e.g. EDC, property investment fund)</p>	<p>FRCS DMT</p> <p>January 2017</p>
<p>FRCS1617 - 2 FRCS-Value for Money</p> <p>If priorities are unclear and demand is excessive then value for money in the allocation and use of resources will be poor</p>		<p>Effective planning and decision making; Continual search for innovation and new ideas to enable limited resourcing to go further; Objective/well considered advice to Members and other decision makers; Develop relationships as part of new business model</p>	<p>FRCS DMT</p> <p>January 2017</p>
<p>FRCS1617 - 3 FRCS-Service Levels</p> <p>If demand increases (particularly for temporary accommodation) and/or resourcing is limited (for example for nursing care) and/or additional pressures such as the latest wave of housing benefit caps are experienced then service levels will not be met.</p>		<p>Effective management to ensure pressures are fully understood and acted on; Market facilitation exercise to encourage supply of nurses.</p>	<p>FRCS DMT</p> <p>December 2016</p>
<p>FRCS1617 - 4 FRCS-Staffing</p> <p>If the impact of various factors such as change and increased demand is experienced then recruitment, retention, skills mix and performance of staff will be adversely affected</p>		<p>Effective use of iLearn for all staff to ensure all learning and development opportunities are taken; Effective use of appraisal process, not just to remunerate staff, but also to develop and performance manage them; Review of corporate development training.</p>	<p>FRCS DMT</p> <p>January 2017</p>
<p>FRCS1617 - 5 FRCS-Controls &amp; Assurance</p> <p>If controls are eroded during this period of considerable change and/or workload and uncertainty amongst staff group increases then risks will not be effectively managed resulting in objectives not being met</p>		<p>Clarify roles of all staff and hubs via the inter-hub working activity currently in hand Sound business continuity and IT disaster recovery plans in place and regularly exercised to ensure Council has resilience against foreseen problems; Ongoing anti-fraud activity; Implementation of audit recommendations in line with agreed timescales</p>	<p>FRCS DMT</p> <p>January 2017</p>

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<p><i>CEX001 Adverse media relations</i></p> <p>If there is criticism of the Council in local and national press, broadcast media and social networks <b>then</b> there is the potential for the Council's reputation to be damaged. This might also impact on areas such as external funding</p>		<p>The Chief Executive's Unit will:</p> <ul style="list-style-type: none"> <li>-Maintain an integrated approach to council communications</li> <li>-Effectively manage media relationships and relationships with partners</li> <li>-Maintain a robust forward plan</li> <li>-Maintain effective monitoring and management systems</li> <li>-Maintain reporting mechanisms between departments and the press office</li> <li>-Maintain closer working relationships with strategic partners e.g. GLA, LGA, TfL, police and London Councils</li> <li>-Increase the number of positive media events</li> <li>-Use Experian data to target communications at particular groups of residents</li> </ul>	<p>Chief Executive's DMT</p> <p>01 Jan 2017</p>
<p><i>CEX002 HR systems for staff recruitment</i></p> <p>If the HR recruitment service have robust systems, which ensure that identification, qualifications, past employment and, for some posts, criminal records for both permanent and temporary staff are verified, <b>then</b> the potential for applicants to provide false or misleading information, particularly relating to their right to work in the UK is minimised.</p>		<p>HR systems ensure that:</p> <ul style="list-style-type: none"> <li>-Statutory requirements, proof of identity and proof of the right to work in the UK, are reviewed and copies kept on file</li> <li>-Only original documents are accepted</li> <li>-References are taken up for all posts and reviewed by the hiring manager</li> <li>-Recruitment of casual staff is subject to the same controls as permanent staff</li> <li>-Telephone references are permitted for internal appointments. Managers are required to retain a written record of the conversation</li> </ul>	<p>Chief Executive's DMT</p> <p>01 Jan 2017</p>
<p><i>CEX003 Strain on resources</i></p> <p>If the relatively low number of staff in the Chief Executive's Unit is maintained <b>then</b> operational difficulties caused by a heavy workload, conflicting priorities and the lack of a designated AD Resources can make it difficult to implement central initiatives</p>		<p>CEMT meets regularly to ensure that the CEX Unit work programme is delivered and that organisational responsibilities are met.</p>	<p>Chief Executive's DMT</p> <p>01 Jan 2017</p>
<p><i>CEX004 Workforce and Succession Planning</i></p> <p>If the relatively small size of the Chief Executive's Unit is maintained <b>then</b> there is the potential for succession planning issues to include redeployment policies, agency workforce, recruitment and retention, staff competencies, reduced numbers of staff and an ageing workforce to</p>		<p>A range of initiatives including:</p> <ul style="list-style-type: none"> <li>-Shaping the Future programme to identify future leaders</li> <li>-Council talent management system to assist in succession planning</li> <li>-Secondments, job tasters and job swaps to encourage flexible working and broaden skills</li> </ul>	<p>Chief Executive's DMT</p> <p>01 Jan 2017</p>

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impact on the effective operation of the unit			
<p><i>CEX005 Schools opting out of Schools Personnel Service</i></p> <p><b>If</b> schools opt out of Schools Personnel Service due to adopting academy status or reductions in school budgets, <b>then</b> this could have an adverse effect on the viability of the service resulting in the loss of economies of scale and staff</p>		<p>New SLAs have been developed and deployed which are tailored to academies and individual schools' specific needs.</p> <p>Securing contracts with schools outside Enfield to replace any lost contracts</p> <p>Securing contracts with schools outside Enfield to replace any lost contracts.</p> <p>Schools Personnel Service to join Ensen trading company, which will give freedom to trade</p>	<p>Chief Executive's DMT</p> <p>01 Jan 2017</p>
<p><i>CEX006 Maximisation of resources</i></p> <p><b>If</b> we maximise available resources within the Chief Executive's Unit <b>then</b> there is the opportunity to provide services to partners and other councils and increase income generation</p>		<p>Explore the potential for shared services and increased income generation</p> <p>Design and Print services has increased income from work with schools and private jobs.</p>	<p>Chief Executive's DMT</p> <p>01 Jan 2017</p>
<p><i>CEX007 Additional SLAs with schools outside Enfield</i></p> <p><b>If</b> the Schools Personnel Service pursue the opportunity to establish additional SLAs with schools outside Enfield, <b>then</b> there is the potential to generate income that will increase the sustainability of the service</p>		<p>-Promote the good reputation of the Schools Personnel Service outside the Borough</p> <p>-Market the service through cold calling, personal contacts and attendance at conferences</p>	<p>Chief Executive's DMT</p> <p>01 Jan 2017</p>
<p><i>CEX008 Ongoing budget reductions in schools</i></p> <p><b>If</b> schools need to reduce staff as a result of budget reductions, <b>then</b> there is the opportunity for the Schools Personnel Service to assist with downsizing and provide advice and guidance on employment issues</p>		<p>-Trained Schools Personnel Staff are able to assist schools to downsize</p> <p>-Improved offer from Schools personnel service to provide advice and guidance on redundancy etc.</p>	<p>Chief Executive's DMT</p> <p>01 Jan 2017</p>
<p><i>CEX009 Use of Digital Solutions</i></p> <p><b>If</b> there is increased use of digital solutions, then the Performance Management Hub will streamline activity and provide current accessible information and data</p>		<p>Develop and promote the use of a range of IT systems to ensure that the Council has access to current accurate data and information to support decision-making and service delivery</p> <p>Promote manager self-service to streamline data and information requirements</p> <p>Provide ongoing training and support.</p> <p>Ongoing work with Enfield 2017.</p>	<p>Chief Executive's DMT</p> <p>01 Jan 2017</p>

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### SERVICE DELIVERY

Description	Current Assessment & Direction of Travel (Aug / Sept 2016)	Mitigating Actions	Responsible Officer & Review Date
<p><i>HHASC1617-1 Moving older people with Mental health needs</i></p> <p><b>If</b> the assessments and transition process is not managed correctly and jointly or the reprovision of OP mental health beds at Chase Farm Hospital (first tranche 23 beds, with a possible 21 more) is carried out <b>then</b> there is a potential risk to the Local Authority's successful transition, reputational damage and the Council's financial resources</p>		The CCG are now actively pursuing the move on of patients from the OP MH CHC beds with the appointment of a 6 month commissioning manager post. The risk of a financial pressure to the Council remains. Officers will continue to engage with the CCG to ensure that the Council's position on this matter is clear and understood by the CCG. The CCG have agreed to block purchase a number of beds from the Council in the new residential/nursing home that is currently under construction.	Niel Niehorster  January 2017
<p><i>HHASC1617-2 Ordinary residence inheritance</i></p> <p><b>If</b> Enfield continues to inherit service users placed by other local authorities in the community <b>then</b> there is an increased financial liability to the Council</p>		All ordinary residence disputes have now been resolved. However LBE only accepted financial responsibility from 1.4.15 and a number of LAs are pursuing backdating to the date of initial claim. This amounts to approx. £600k. LBE continue to challenge these claims but there remains a threat of other LAs referring to the Secretary of State for a determination on the backdating costs.	Niel Niehorster  January 2017
<p><i>HHASC1617-3 Deprivation of liberty safeguards: Legal challenge and financial losses</i></p> <p><b>If</b> DoLs and Court of Protection applications continue due to Supreme Court ruling widening and simplifying the DoLs remit without additional Burden funding from Government, <b>then</b> there will continue to be significant additional costs and reputational risk to the Council</p>		Council has used some new Burdens Grant to partially support additional activities, which enables prioritisation of urgent DOS requests	Sharon Burgess  January 2017
<p><i>HHASC1617-4 Delivery / savings / streamline processes</i></p> <p><b>If</b> there are inadequate project resources across all stakeholders (ASC, CIT, Enfield IT, OLM, QH, 2E2, CM2000) <b>then</b> the HHASC ICT work programme may not deliver to schedule – ASC may be unable to make savings / streamline working processes, e.g. NWW project for Customer Pathway &amp; Income Assessment</p>		Quarterly update to DMT on progress of key IT projects which will impact on the HHASC business. Ensure visibility of all CIT projects on Verto for Doug Wilson and Gemma Gumble. Ensure that Corporate IT have up-to-date documentation on Verto and can report on: - progress against plan + risks and issues - pre-implementation and work orders	Doug Wilson  January 2017
<p><i>HHASC1617-5 Risk of legal challenge by providers in application of safeguarding provider concerns process by the Council</i></p> <p><b>If</b> there are inadequate safeguarding arrangements by external provider</p>		Rolling programme of training in order to ensure all appropriate staff up to date with case law. Provider Concerns policy updated in line with the Care Act and the London-wide policies and procedures.	Sharon Burgess  January 2017






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organisation to include failure to follow due process in respect of safeguarding policies and procedures and lack of robust partnership working with key stakeholders <b>then</b> there may be avoidable fatality or significant harm to service users and reputational damage to the Council		There is a six weekly safeguarding information panel attended by CQC, CCG and Enfield partners, which evaluates risk for providers.	
<i>HHASC1617-6 Nursing care home capacity</i>  <b>If</b> pressures result in increased admissions to nursing care beds and providers notifying of closures <b>then</b> there will be an increase in price of beds, availability decreases and people block hospital beds		Reprovision 1 and 2 programmes in place but critical dependencies existing regarding timelines. Continued engagement with sector to look at all options	Lynn Fergusson; Doug Wilson  January 2017
<i>HHASC1617-7 Reprovision Contracts</i>  <b>If</b> the retendering process is not well managed <b>then</b> the reprovision contract may not be let.		Reprovision build external contract project managed. Strong governance arrangements and regular project meetings. Tender for service provider published with enough timescale built in that if unsuccessful first time there will be time to go back to the market.	Pauline Kettless  January 2017
<i>RE1617-01 Failure to recruit &amp; retain staff</i>  <b>If</b> there is limited supply of experienced and competent staff in the market place and limited scope to respond created by current pay structures, <b>then</b> this creates increase in market payments and therefore restricts access to required staff		Kornferry consultants are carrying out senior management restructure proposals (AD and HoS level) which will explore pay scale options and competitive benchmarking.	Regen & Environment DMT  January 2017
<i>RE1617-02 Ineffective IT &amp; corporate IT programme delivery</i>  <b>If</b> transformation (Enfield 2017) and corporate (Business As Usual) IT projects supporting Service efficiencies and improvement are not delivered, <b>then</b> Services will not operate efficiently; there will be significant resource pressures on Services where previous resource has been centralised, but IT is not ready to fill the gap and this could impact on service delivery & performance management; there is no mobile working solution for front line service operatives; customer service levels decrease given IT direct impact on service provision and access to information online; inability to track income from World Pay and delays starting processing of customer applications (planning, licencing etc.)		Review of how Transformation & Corporate IT work with Department is being carried out by Development Manager. Identifying solutions which will improve communication as well as maintaining an overview of current and future IT provisions for the Department	Regen & Environment DMT  January 2017






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<p><i>RE1617-03 Failure to work effectively with centralised Hubs</i></p> <p>If there is an erosion of knowledge &amp; expertise within the workforce due to centralisation &amp; reduction of departmental resources as part of the organisational transformation process, <b>then</b> we will be unable to maintain service standards; negative impact on Department's reputation resulting from significant delays to customer-facing service delivery; reduced resource available from Hubs to assist with service provision; reduced ability to achieve performance targets;</p>		Agree SLA or similar documents so that responsibilities & service provision is understood and adhered to. Improve communication including: circulating information on Hubs and Divisions as reference material; keeping Hubs updated on departmental changes such as de-structures and ensure public facing functions are kept up to date with service provisions, changes etc.; create Boards between Hubs & divisions to discuss issues, oversee strategic direction of resources etc. Create front line level Focus Groups to identify improvements engaging Hubs. Work with Hubs & IT to identify where existing IT systems can be used to free up Hub resource for reallocation elsewhere	<p>Regen &amp; Environment DMT</p> <p>January 2017</p>
<p><i>RE1617-04 Budget management</i></p> <p>If budget holders do not effectively manage their budgets &amp; pressures or escalate issues when they arise, <b>then</b> this could cause problems delivering planned savings, gaining income and managing existing budget pressures</p>		Workstreams on commercialising key trading lines, led by AD Public Realm. Introduce clear focus on cost - departmental restructure. Further work required on sickness absence. Integration of services	<p>Regen &amp; Environment DMT</p> <p>January 2017</p>
<p><i>RE1617-05 Failure to improve the quality of customer service across the Department</i></p> <p>If the quality of customer services does not improve, <b>then</b> income streams reduce as customers can get the same service elsewhere; customers are not served as effectively as possible and have issues accessing services; complaints increase and limited resources have to be redirected to address these</p>		Work with Gateway Hub to improve customer reception areas & information available and ensure training materials & scripts are correct. Review website content to ensure customers have access to correct service information & contact channels. Explore opportunities to improve customer service levels in the back office, e.g. call recording, generic inbox analysis, customer correspondence (letters), participate in pilot projects (Think Customer Campaign, Mystery Shopper) and implement actions accordingly	<p>Regen &amp; Environment DMT</p> <p>January 2017</p>
<p><i>RE1617-06 Contract Management Failure</i></p> <p>If contracts and contractor's performance are poorly managed <b>then</b> there could be an increase in infrastructure defects and customer complaints; increased budget pressures and failure to recover costs/monies owed</p>		Regular reviews of contract documentation and performance. Overview & Scrutiny Committee review of Council Housing's repair & maintenance contract	<p>Regen &amp; Environment DMT</p> <p>January 2017</p>
<p><i>RE1617-07 Failure to deliver housing numbers, of the required quality in timescales required by London Plan and Housing Zone agreements</i></p> <p>If numbers of houses to the required quality are not delivered within the timescales required by London Plan, <b>then</b> this could negatively impacts on</p>		Series of monitoring meetings underway strengthening relationships with contractors. Enhanced financial checks are being put in place	<p>Regen &amp; Environment DMT</p> <p>January 2017</p>

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Enfield's requirement to ensure local plans generally conform with The London Plan			
<p><i>RE1617-08 Performance Management &amp; Information</i></p> <p>If there is a reduction in data quality and lack of effective performance management, <b>then</b> there could be information management &amp; data quality issues, increased reputational risks, failure to meet FOI &amp; MEQ deadlines etc.</p>		Complaints & Access to Information team to circulate weekly performance reports and issues to be reviewed with DMT. Department working with Power BI programme to ensure easy access to data and address quality issues	<p>Regen &amp; Environment DMT</p> <p>January 2017</p>
<p><i>RE1617-09 Network Rail GRIP Delivery Programme</i></p> <p>If there are programme delivery issues, <b>then</b> there could be a failure to deliver key infrastructure to support borough growth including Angel Road Station</p>		Continue to negotiate with Network Rail. NR targeting October 2016. Enfield's 2050 Plan being produced	<p>Regen &amp; Environment DMT</p> <p>January 2017</p>
<p><i>RE1617-10 Effects of the Government's Housing &amp; Planning Bill</i></p> <p>If the 2 policies proposed in the Bill which have a huge financial impact on the HRA 30 Year Business Plan - "Sale of High Value Assets" and "Pay to Stay" are implemented, <b>then</b> the Business Plan will become unviable if the Council does not respond with mitigating action</p>		<p>Respond to any Government consultation. Check that data submitted by Enfield is correct. Assess the impact of any legislation coming forward. Report to Cabinet setting out possible mitigating actions as soon as the Government's deadlines and timescales are known</p> <p>- A working group is now in place to respond to the new Government requirements. A Cabinet report will be submitted in the autumn. The Government has released more detail on the "Pay to Stay" scheme</p>	<p>Regen &amp; Environment DMT</p> <p>January 2017</p>
<p><i>RE1617-11 Business Continuity</i></p> <p>If there is an increased risk of serious incident, <b>then</b> this will negatively impact on the Council and delivery of services</p>		<p>Heightened security levels due to terrorist threat: continue to develop and review our existing plans to ensure they provide necessary safeguards. Business Continuity provision running well and can now ensure plans for continuity of priority services. We are a Prevent Borough with funding for post and some activity, with a Police Faith Officer in post. CMB receive regular reports from the Business Continuity Management Board.</p>	<p>Andrea Clemons; Helen Martin; Bernard Smith; Ben Stonehill</p> <p>January 2017</p>
<p><i>RE1617-12 Comprehensive Masterplan delivery</i></p> <p>If there is challenge by existing landowners to the Council's planning and land assembly approach, <b>then</b> there could be delays to delivery</p>		<p>Review Local Plan; adopt CLAAP; review masterplan and appoint Design Advisor. JLL have been appointed as Property Consultancy to support procurement of master developer. Purchase sites and continue negotiations. Delivery partner is now in place.</p>	<p>Peter George</p> <p>January 2017</p>

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<p><i>RE1617-13 Implications Post Brexit</i></p> <p>If there are negative impacts on housing growth, land values, major contract clauses, project financing; changes in immigration rules; and new regulations brought in to replace current EU requirements on environmental matters, <b>then</b> regeneration programmes could be placed at risk; housing supply may come under further pressure and environmental service arrangements will need to be reviewed</p>		<p>Use existing local government networks to understand implications for regeneration &amp; environment sectors and lobby central government to ensure maximum protection around these service areas. Monitor Brexit implications on immigration.</p> <p>Seek confirmation on how existing EU funding will be maintained despite exit arrangements</p>	<p>Regen &amp; Environment DMT</p> <p>January 2017</p>
<p><i>CS 001 Failure to Protect Children</i></p> <p>If Safeguarding and Child Protection arrangements are not sufficiently robust to ensure safety and wellbeing of vulnerable children <b>then</b> there is the potential for child fatality; failure to meet duty of care leaving the Council at risk of inquiry/legal challenge; and increased costs due to the need for corrective action</p>		<p>Whilst there is a significant increase in demand for child protection services a range of Quality Assurance measures are in place to ensure that the protection of children remains paramount for the department.</p>	<p>CS DMT</p> <p>January 2017</p>
<p><i>Links to CS003</i></p> <p><i>CS 002 Missing Children</i></p> <p>If children who are vulnerable, transient or highly mobile, educated at home, truanting from school, withdrawn by parents/carers do not access appropriate provision <b>then</b> there will be adverse long term educational and employment effects on cohort and failure to meet statutory safeguarding requirements</p>		<p>Following the Ofsted inspection processes have been reviewed and new procedures put in place to improve communication, greater management oversight and multi-agency working.</p>	<p>CS DMT</p> <p>January 2017</p>
<p><i>CS 003 Increased Service demand</i></p> <p>If welfare reforms, child population and mobility in the Borough increase <b>then</b> there will be more vulnerable people and children living in the Borough requiring services to support their needs</p>		<p>The department is developing a strategic plan in July to help manage demand. Central government has been lobbied and we have negotiated regional arrangements for unaccompanied asylum seekers with children. We have submitted bids for DfE funding to help manage growing demand.</p>	<p>CS DMT</p> <p>January 2017</p>
<p><i>CS 004 The ability to respond to the government's changes in policy and associated legislation</i></p> <p>If there are changes to government policies and Legislation, especially at a swift pace, <b>then</b> there will be pressure on the LA and the current funding position limits the agility of the department to respond to the impact of change/transformation including</p>		<p>Looking at different models of service delivery. Strengthening partnerships and collaborations. Responding to Central government consultations to influence decisions. We are seeking opportunities, despite the uncertainty, to ensure services that respond to the needs of children and young people are cost effective.</p>	<p>CS DMT</p> <p>January 2017</p>



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relationships with schools, school planning & admissions, SEN, personalisation of care budget, early years, health related activities, inability to set long term plans and overall reduction in staffing and other resources			
<p><i>CS 005 Failure in the new OFSTED inspections</i></p> <p><b>If</b> there is a failure in the new OFSTED inspections due to common and more challenging inspection framework in safeguarding, child protection, looked after children, children's centres and school improvement <b>then</b> there could be government intervention resulting in loss of LA duties and powers in relation to vulnerable children; reputational damage and a drop in staff morale leading to a high staff turnover</p>		The Local Safeguarding Children's Board has signed off the Ofsted action plan as "complete". We have reduced the risk of a school improvement service inspection due to good performance (96% of schools are judged to be good or outstanding). In June/July 2016 we underwent an Ofsted/CQC inspection for SEND Services and no formal recommendations for improvement were made.	CS DMT  January 2017
<p><i>CS 009 Violence and abuse against staff in the course of their duties</i></p> <p><b>If</b> there's a failure to put in place adequate workforce policies including lone and mobile working <b>then</b> groups of staff especially social workers, teachers and lone workers are at risk of experiencing violence and abuse in the course of their duties. There is also the risk of stress sickness, reduced staff motivation, high staff turnover and serious personal injury</p>		Established procedures are in place and staff receive training. However, the volatility of many service users presents a residual risk to the safety to staff.	CS DMT  January 2017