

MUNICIPAL YEAR 2017/2018 REPORT NO. **130**

**MEETING TITLE AND DATE:**

Audit & Risk Management Committee  
11 January 2018

**REPORT OF:**

Executive Director of Finance,  
Resources and Customer Services

<b>Agenda - Part:</b>	<b>Item: 7</b>
<b>Subject:</b> Service Delivery Risk Register	
<b>Wards:</b>	
<b>Cabinet Member consulted:</b>	

Contact officer and telephone number:

Vivian Uzoechi (Insurance & Audit Manager) - 020 8379 4615

Email: [vivian.uzoechi@enfield.gov.uk](mailto:vivian.uzoechi@enfield.gov.uk)

Christine Webster (Head of Audit & Risk Management) -

020 8379 5837 Email: [christine.webster@enfield.gov.uk](mailto:christine.webster@enfield.gov.uk)

**1. EXECUTIVE SUMMARY**

- 1.1. This report presents registers for the Service Delivery operating areas (covering Health, Housing & Adult Social Care; Children's Services, Council Housing and Regeneration & Environment Departments).

**2. RECOMMENDATIONS**

- 2.1 To note the risks recorded in the Service Delivery register.

**3. BACKGROUND**

3.1 The Council's Risk Management Strategy allows for the regular review of the operational and strategic risk registers.

3.2 The Audit & Risk Management Committee work programme requires for an update on operational and strategic risk registers to be provided to the Committee on 11 January 2018. The Service Delivery register will be presented, encompassing risks identified for Health, Housing & Adult Social Care (HHASC), Council Housing (CH), Children's Services (CS) and Regeneration & Environment (R&E) departments, with the following representatives from relevant service areas in attendance to address questions about their register:

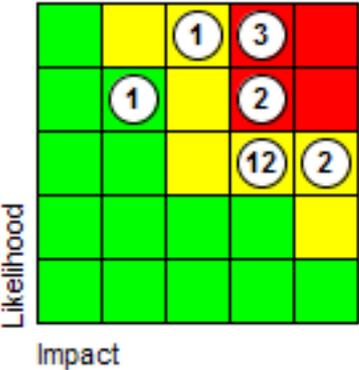
- HHASC – Bindi Nagra / Doug Wilson
- CH – Madeleine Forster
- CS – Tony Theodoulou (or AD to be confirmed)
- R&E – Gary Barnes / Peter George

3.3 In accordance with the Risk Management Strategy, Departmental Management Teams (DMTs) are responsible for ensuring that there is a dynamic management of risk across their departments and that risk management is integrated into their departmental planning process with threats and opportunities reviewed quarterly or more regularly as necessary.

3.4 The risks, assessments, controls and mitigating actions in the registers presented in this report have been reviewed and agreed by DMTs and/or relevant Director or ADs for the departments.

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

3.6 The Service Delivery risk register consists of 21 risks as detailed in the table and heat map below. 1 (5%) of the risks in the register is assessed as low (Green), 15 (71%) as medium (Amber) and 5 (24%) as high (Red) risks.



Risk Title	Current RAG	Direction of Travel
CS 001 Failure to Protect Children		
CS 002 Missing Children		
CS 003 Increased Service demand		
CS 004 The ability to respond to the government's changes in policy and associated legislation		
CS 005 Negative Inspection outcomes		
CS 009 Violence and abuse against staff in the course of their duties		
HHASC 1718-01 Financial pressures (From HHASC 1718-9)		
HHASC 1718-02 Workforce (From HHASC1617-11, HHASC 1617-8)		
HHASC 1718-03 Vulnerable Residents (From HHASC1617-9)		
HHASC 1718-04 Market Stability and Sustainability (From HHASC1617-6, HHASC1617-10, HHASC1718-7, HHASC1718-8)		
HRA 004 DMT* Right to Buy		N/A
HRA 005 DMT* Estate Renewal scheme costs higher than anticipated/income received lower than anticipated		N/A
HRA 049 Effect of Universal Credit and collection of rent on the HRA Business Plan		N/A
RE1617-01 Failure to recruit & retain staff		
RE1617-02 Ineffective IT & corporate IT programme delivery		Not an Issue
RE1617-03 Failure to work effectively with centralised Hubs		
RE1617-04 Budget management		
RE1617-05 Failure to improve the quality of customer service across the Department		
RE1617-06 Contract Management Failure		
RE1617-07 Failure to deliver housing numbers, of the required quality in timescales required by London Plan and Housing Zone agreements		
RE1617-08 Performance Management & Information		
RE1617-13 Implications Post Brexit		

3.7 The Service Delivery risk log is detailed in Appendix A.

3.8 Departmental Management Teams will continue the regular review of all risks presented in this report to ensure assessments remain reasonable and all mitigating actions identified are undertaken within a reasonable period of time.

#### 4. ALTERNATIVE OPTIONS CONSIDERED

There are no alternative options to consider. It is best practice to provide an update on the Council's Risk Registers.

#### 5. REASONS FOR RECOMMENDATIONS

The Council's Risk Management Strategy allows for the review of its Operational and Strategic risk registers.

## **6. COMMENTS OF THE DIRECTOR OF FINANCE, RESOURCES AND CUSTOMER SERVICES AND OTHER DEPARTMENTS**

### **6.1 Financial Implications**

There are no financial implications arising directly from a review of the Council's risk register.

### **6.2 Legal Implications**

The Accounts and Audit (England) Regulations 2011 Section 4(1) requires the Council to have a sound system of internal control which facilitates the effective exercise of the Council's functions and which includes arrangements for the management of risk.

This report has been completed as part of the Council's corporate risk management process.

### **6.3 Property Implications**

There are no property implications arising directly from a review of the Council's risk registers.

## **7. KEY RISKS**

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.

This report forms a part of the Council's risk management process.

## **8. IMPACT ON COUNCIL PRIORITIES**

### **8.1 Fairness for All**

An effective risk management process ensures full account is taken of any risks to services and other Council activities that might adversely affect the delivery of high quality, affordable, and accessible services to all residents.

### **8.2 Growth and Sustainability**

An effective risk management process will help the Council achieve its objectives in the area of growth and sustainability.

### **8.3 Strong Communities**

An effective risk management process will help the Council achieve its objectives in the area of strong communities.

**9. EQUALITIES IMPACT IMPLICATIONS**

It is not relevant or proportionate to carry out an equalities impact assessment / analysis for the review of the Council's risk registers.

**10. PERFORMANCE MANAGEMENT IMPLICATIONS**

An effective risk management process is an essential part of the performance management of the Council's services and activities.

**11. HEALTH AND SAFETY IMPLICATIONS**

There are no Health and Safety implications arising directly from a review of the Council's risk registers.

**12. HR IMPLICATIONS**

There are no Human Resources implications arising directly from a review of the Council's risk registers.

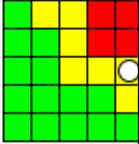
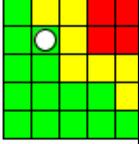
**13. PUBLIC HEALTH IMPLICATIONS**

There are no Public Health implications arising directly from a review of the Council's risk registers.

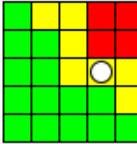
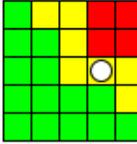
**Background Papers**

None

## Appendix A: Service Delivery Risk Register, December 2017

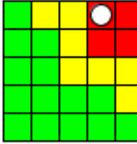
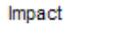
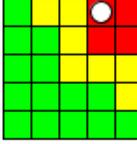
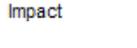
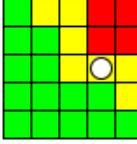
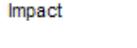
Risk Code, Title & Description	Original Assessment	Internal Controls	Current Assessment	Mitigating Actions	Responsible Officer(s) & Next Review
<p>CS 1718-01  <b>Failure to Protect Children</b>                      If Safeguarding and Child Protection arrangements are not sufficiently robust to ensure safety and wellbeing of vulnerable children then 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>Dissemination of learning and serious case reviews. Well established systems, processes and practices. Activity overseen by Enfield Safeguarding Children Board. Range of quality assurance systems in place e.g. case file audits and caseload management. Comprehensive training and development programme for staff. The risk management panel to oversee high risk cases. Improved advocacy arrangements for children at risk of suffering harm. External audits of local practice commissioned. All staff are required to have enhanced DBS checks. Child Protection concerns are triaged through the SPOE. Joined up risk assessments and decision making and assessments focussed on outcomes. Up to date policy in relation to the additional vulnerability of Children With Disabilities, supported by a comprehensive training programme and continuous professional development. Children in Care Council ensures young people have an opportunity to express their views and concerns about the delivery of services.</p>	<p>Likelihood</p>  <p>Impact</p>	<p>Whilst there is a significant increase in demand for child protection services a range of Quality Assurance measures (including Continuous Self Evaluation Framework) are in place to ensure that the protection of children remains paramount for the department.</p>	<p>CS DMT 01-Apr-2018</p>
<p>CS 1718-02  <b>Missing Children</b>                      If children who are vulnerable, transient, 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>Children Missing Education procedure has been updated and children are monitored and tracked until they have been allocated a school or reach a destination in another local authority.</p> <p>Effectiveness is overseen by the Local Children's Safeguarding Board.</p> <p>A register of children educated at home is maintained and the suitability of these arrangements are reviewed on a regular</p>	<p>Likelihood</p>  <p>Impact</p>	<p>Improved management oversight and multi-agency working have contributed to reducing the risks.</p>	<p>CS DMT 01-Apr-2018</p>

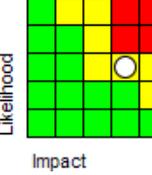
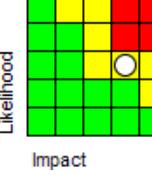
Risk Code, Title & Description	Original Assessment	Internal Controls	Current Assessment	Mitigating Actions	Responsible Officer(s) & Next Review																									
		<p>basis</p> <p>Processes have been strengthened and new procedures put in place to improve communication and information sharing.</p>																												
<p>CS 1718-03</p> <p><b>Increased Service demand</b></p> <p>Increasing need for services to vulnerable children due to population growth and demographic changes present risks to managing demand within current resources.</p>		<p>The SPOE ensures a proportionate response to managing need to deal with vulnerable children to ensure that diminishing resources are appropriately targeted. Eligibility criteria have been reviewed in service areas.</p> <p>Service reconfiguration to ensure statutory duties are met in areas of high demand</p> <p>An effective pupil places strategy is providing places for the increasing population. Provision for identified Special Education Need (SEND) is planned reflecting both change and increased level of need.</p> <p>Panel processes are in place to ensure consistent decision making, risk management and the judicious use of resources.</p>	<p>Likelihood</p> <table border="1" data-bbox="1285 448 1424 592"> <tr><td>Green</td><td>Yellow</td><td>Yellow</td><td>Red</td><td>Red</td></tr> <tr><td>Green</td><td>Green</td><td>Yellow</td><td>White</td><td>Red</td></tr> <tr><td>Green</td><td>Green</td><td>Green</td><td>Yellow</td><td>Yellow</td></tr> <tr><td>Green</td><td>Green</td><td>Green</td><td>Green</td><td>Green</td></tr> <tr><td>Green</td><td>Green</td><td>Green</td><td>Green</td><td>Green</td></tr> </table> <p>Impact</p>	Green	Yellow	Yellow	Red	Red	Green	Green	Yellow	White	Red	Green	Green	Green	Yellow	Yellow	Green	<ul style="list-style-type: none"> <li>- A resilience strategy has been produced with an agreed action plan setting out how all agencies can contribute to supporting vulnerable children and families.</li> <li>- Regional and national arrangements for supporting the growing number of unaccompanied asylum seeking children have been negotiated.</li> <li>- An external provider has been commissioned to review and identify trends in increasing demand to help future service design.</li> <li>- Applications for DCLG/Home Office grants have been made to support vulnerable children and families living in Enfield.</li> <li>- Quality assurance systems, rigorous management oversight and Member led governance arrangements ensure that the Council fulfils its statutory duties to vulnerable children, young people and families.</li> <li>- Developing a parenting strategy with partners.</li> <li>- Developing Family Support Hubs.</li> <li>- Increase capacity of SEND provision in Enfield to ensure that the LA is not reliant on educational provision in out of borough schools.</li> <li>- Revision of the SEND Strategy.</li> </ul>	<p>CS DMT 01-Apr-2018</p>									
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<p>CS 1718-04</p> <p><b>Changes in policy and associated legislation</b></p> <p>If there are sudden changes to government policies and legislation, then the council is obliged to take swift action. The current funding position limits</p>		<p>Services to vulnerable children are a key priority for the Council and the organisational infrastructure has flexibility to respond to priority areas. Managers are experienced in managing change and this has been supplemented by resilience training ensuring compliance with current and new legislation.</p>	<p>Likelihood</p> <table border="1" data-bbox="1285 1182 1424 1326"> <tr><td>Green</td><td>Yellow</td><td>Yellow</td><td>Red</td><td>Red</td></tr> <tr><td>Green</td><td>Green</td><td>Yellow</td><td>White</td><td>Red</td></tr> <tr><td>Green</td><td>Green</td><td>Green</td><td>Yellow</td><td>Yellow</td></tr> <tr><td>Green</td><td>Green</td><td>Green</td><td>Green</td><td>Green</td></tr> <tr><td>Green</td><td>Green</td><td>Green</td><td>Green</td><td>Green</td></tr> </table> <p>Impact</p>	Green	Yellow	Yellow	Red	Red	Green	Green	Yellow	White	Red	Green	Green	Green	Yellow	Yellow	Green	<p>A comprehensive review of internal processes has helped to reduce bureaucracy and enabled resources to be focussed on areas of greatest need.</p> <p>Strengthening partnerships and collaborations.</p>	<p>CS DMT 01-Apr-2018</p>									
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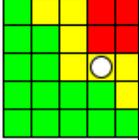
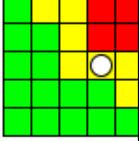
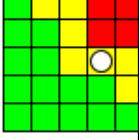
Risk Code, Title & Description	Original Assessment	Internal Controls	Current Assessment	Mitigating Actions	Responsible Officer(s) & Next Review
the agility of the department to respond to the impact of change/transformation.				<p>Responding to central government consultations to influence decisions.</p> <p>Close liaison with the training team to ensure all staff get updated on legislative and policy changes.</p>	
<p>CS 1718-05</p> <p><b>Negative Inspection outcomes</b></p> <p>If regulatory inspections highlight significant deficiencies in practice, management, leadership or governance <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>		<p>Rigorous pre and post inspection planning and preparation Collaborative service working Departmental strategies to ensure good practice is embedded and poor performance identified and improved.</p> <p>Comprehensive governance arrangements via Multi Agency Boards.</p> <p>Regular inspections by external bodies</p> <p>Continued investment in high quality training and development for the workforce.</p>	<p>Likelihood</p>  <p>Impact</p>	<p>The Local Safeguarding Children's Board oversees the quality of multi-agency work in relation to vulnerable children.</p> <p>The department participated in a pilot inspection which resulted in a positive outcome.</p> <p>The department is undertaking a mock inspection in June/July 2018 focussing on help and protection.</p>	<p>CS DMT 01-Apr-2018</p>
<p>CS 1718-06</p> <p><b>Violence and abuse against staff</b></p> <p>If there's a failure to put in place adequate workforce policies including lone and mobile working then 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>		<p>Relevant policies in place e.g. Lone Worker and Health and Safety.</p> <p>Managers ensure protocols and robust management support is in place.</p> <p>Ensure all lone working arrangements and health and safety measures are in place, all staff receive adequate training and support and managers enforce safe working practices.</p> <p>Risk Assessments are completed and risks minimised Compliance with council's Health and Safety policies.</p> <p>Established procedures are in place and staff receive training.</p>	<p>Likelihood</p>  <p>Impact</p>	<p>Ongoing vigilance and decisive action when necessary as the volatility of many service users presents a residual risk to the safety of staff.</p>	<p>CS DMT 01-Apr-2018</p>

Risk Code, Title & Description	Original Assessment	Internal Controls	Current Assessment	Mitigating Actions	Responsible Officer(s) & Next Review
<b>HHASC 1718-01</b> <b>Financial pressures</b> Cause: Increased demand and rising cost of services Effect: overspend on care purchasing budgets & reduced likelihood of delivering financial balance (From HHASC 1718-9)		<ul style="list-style-type: none"> <li>- Efficiency programme assurance meetings</li> <li>- Budget monitor p.m</li> <li>- Performance monitor p.m</li> <li>- System wide meetings weekly and monthly</li> <li>Joint commissioning board</li> <li>- Regular oversight of finance and activity across the system</li> </ul>		<ul style="list-style-type: none"> <li>- Use of 3 year iBCF funding</li> <li>- ASC precept funding</li> <li>- External review of use of resources</li> <li>- Budget recovery plans regularly reviewed</li> </ul>	Bindi Nagra 01-Dec-2017
<b>HHASC 1718-02</b> <b>Workforce</b> Cause: Organisational changes or policy changes (Brexit) Effect: Inability to recruit and retain appropriately qualified and skilled staff (From HHASC1617-11, HHASC 1617-8)		<ul style="list-style-type: none"> <li>- Focus on permanent recruitment vs temp</li> <li>- Partnership with Health/BEH trust to recruit across sectors for key staff</li> </ul>		<ul style="list-style-type: none"> <li>- Requirement for a regular workforce development oversight group; overview of recruitment issues within health and social care including the wider market and impact on providers</li> <li>- Development &amp; implementation of new provider forum format based on Hertfordshire model</li> </ul>	Jane Senior; Doug Wilson 01-Dec-2017
<b>HHASC 1718-03</b> <b>Vulnerable Residents</b> Cause: Failure to meet statutory duties or appropriately apply safeguarding policies, procedures and practice Effect: Potential death/injury to vulnerable resident or legal challenge (From HHASC1617-9)		<ul style="list-style-type: none"> <li>- Robust framework and policy in place for application of provider concerns process;</li> <li>- Regular engagement with the provider market through provider forums - Regular review of contract monitoring arrangements</li> </ul>		<ul style="list-style-type: none"> <li>- Development of new provider forum format to better support providers around provision of safeguarding training and practice</li> <li>- Needs mapping exercise to deliver cross sector training across the NCL sub region to share resources, learning and deliver consistent messages to the market</li> </ul>	Sharon Burgess; Jane Senior 01-Dec-2017
<b>HHASC 1718-04</b> <b>Market Stability and Sustainability</b> Cause: All age increase in the number of people living with illness and disability and funding reductions. Effect: Insufficient supply of specialist provision to meet complex needs (From HHASC1617-6, HHASC1617-10, HHASC1718-7, HHASC1718-8)		<ul style="list-style-type: none"> <li>- Oversight of BCF projects by steering group and associated priority areas</li> <li>- Joint commissioning board oversight of CCG/Council priorities, performance and service development priorities</li> <li>- Commissioning work on demand management projects and prevention &amp; early intervention work</li> <li>- Regular review of rates and how they are broken down</li> <li>- Additional funding in 16/17 and 17/18 for uplifts to p.h rates</li> <li>- Analysis of break-even/profit margins vs volumes for dom care providers</li> </ul>		<ul style="list-style-type: none"> <li>- Reinstate provider forums to address key issues for council and providers with some sub-regional partnerships to deliver consistent messages</li> <li>- Development of Personal Assistant Market to provide viable alternative to traditional dom care for DP users</li> <li>- Development of disposal sites (Honeysuckle &amp; Bridge House) for use as nursing care provision</li> <li>- Introduction of new Dynamic Purchasing System for procurement of Council &amp; CHC beds to deliver more competitive rates</li> <li>- Review of placements to understand whether</li> </ul>	Bindi Nagra; Doug Wilson 01-Dec-2017

Risk Code, Title & Description	Original Assessment	Internal Controls	Current Assessment	Mitigating Actions	Responsible Officer(s) & Next Review																																
		<ul style="list-style-type: none"> <li>- Robust provider concerns process</li> <li>- Bridgewood House building complete and mobilisation underway with availability planned for August 17 ( chc &amp; nursing) and May 17 for residential beds</li> <li>- Brokerage capacity located in NMDDX to facilitate timely discharge</li> <li>- Partnership system resilience meetings on a weekly basis attended by AD &amp; HoS</li> <li>- New discharge home to assess pathway in place and working well</li> <li>- Walk-in centres &amp; urgent care centres in place to divert people appropriately from A&amp;E to avoid hospital admission</li> <li>- Block nursing capacity (3 beds) still in place to facilitate more complex case discharges</li> </ul>		<p>practice or availability of alternatives would reduce numbers of placements</p> <ul style="list-style-type: none"> <li>- MH commissioner to review mh dtocs and produce an action plan to reduce mh bed delays</li> <li>- New block contract dom care arrangements (time limited) to facilitate discharge especially for more complex double handed packages of care</li> </ul>																																	
<p><i>HRA 1718-01</i>  <b>DMT* Right to Buy</b>  <b>Cause:</b> The Right to Buy uptake increases as a result of government initiatives.  <b>Effect:</b> This has a negative impact on the business plan (loss of rent) and the number of affordable units available to the authority.    <b>Cause:</b> 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.  <b>Effect:</b> The authority is unable to comply with the scheme and therefore has to return Right to Buy receipts to central government</p>		<p>Right to Buy uptake (numbers) is regularly monitored. Right to Buy 1-1 expenditure is monitored monthly at HRA and Estate Renewal Governance Board. Business Plan has been updated to show latest position. The Council is setting up a Registered Provider minority interest company. Grants to Housing Associations scheme is in place and grants are being given. Purchase and Repair acquisition scheme in place to spend 17/18 grant</p>	<div style="display: flex; align-items: center;"> <div style="writing-mode: vertical-rl; transform: rotate(180deg); font-size: small; margin-right: 5px;">Likelihood</div> <table border="1" style="border-collapse: collapse; text-align: center;"> <tr> <td style="width: 15px; height: 15px; background-color: green;"></td> <td style="width: 15px; height: 15px; background-color: yellow;"></td> <td style="width: 15px; height: 15px; background-color: orange;"></td> <td style="width: 15px; height: 15px; background-color: red;"></td> </tr> <tr> <td style="width: 15px; height: 15px; background-color: green;"></td> <td style="width: 15px; height: 15px; background-color: yellow;"></td> <td style="width: 15px; height: 15px; background-color: orange;"></td> <td style="width: 15px; height: 15px; background-color: red;"></td> </tr> <tr> <td style="width: 15px; height: 15px; background-color: green;"></td> <td style="width: 15px; height: 15px; background-color: yellow;"></td> <td style="width: 15px; height: 15px; background-color: orange;"></td> <td style="width: 15px; height: 15px; background-color: red;"></td> </tr> <tr> <td style="width: 15px; height: 15px; background-color: green;"></td> <td style="width: 15px; height: 15px; background-color: yellow;"></td> <td style="width: 15px; height: 15px; background-color: orange;"></td> <td style="width: 15px; height: 15px; background-color: red;"></td> </tr> </table> </div> <div style="display: flex; align-items: center; margin-top: 5px;"> <div style="writing-mode: vertical-rl; transform: rotate(180deg); font-size: small; margin-right: 5px;">Impact</div> <table border="1" style="border-collapse: collapse; text-align: center;"> <tr> <td style="width: 15px; height: 15px; background-color: green;"></td> <td style="width: 15px; height: 15px; background-color: yellow;"></td> <td style="width: 15px; height: 15px; background-color: orange;"></td> <td style="width: 15px; height: 15px; background-color: red;"></td> </tr> <tr> <td style="width: 15px; height: 15px; background-color: green;"></td> <td style="width: 15px; height: 15px; background-color: yellow;"></td> <td style="width: 15px; height: 15px; background-color: orange;"></td> <td style="width: 15px; height: 15px; background-color: red;"></td> </tr> <tr> <td style="width: 15px; height: 15px; background-color: green;"></td> <td style="width: 15px; height: 15px; background-color: yellow;"></td> <td style="width: 15px; height: 15px; background-color: orange;"></td> <td style="width: 15px; height: 15px; background-color: red;"></td> </tr> <tr> <td style="width: 15px; height: 15px; background-color: green;"></td> <td style="width: 15px; height: 15px; background-color: yellow;"></td> <td style="width: 15px; height: 15px; background-color: orange;"></td> <td style="width: 15px; height: 15px; background-color: red;"></td> </tr> </table> </div>																																	<p>Registered Provider Company in place. Other schemes maximise use of Right to Buy One for One Scheme including an acquisition scheme to ensure expenditure in the short term is achieved. Long term solutions being identified.</p>	<p>Madeleine Forster; Peter George</p>

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<p><i>HRA 1718-02</i>  <b>DMT* Estate Renewal scheme</b>  <b>Cause:</b> The costing of an Estate Renewal scheme is complex and estimates could be subject to change as the schemes unfold and the housing market changes, therefore house prices &amp; building costs increase  <b>Effect:</b> Individual schemes and/or the HRA business plan become unviable</p>		<p>Estate Renewal schemes are reported on individual cost centres in the Council's accounting system. Budgeted against actual costs should be clear from this process. HRA and Estate Renewal Governance Board receives monthly budget monitoring reports on each scheme. If problems arise, these will be reported through to this Board with proposals for mitigating action. Improved monitoring of estate renewal expenditure is being introduced.</p>	<p>Likelihood    Impact  </p>	<p>HRA &amp; Estate Renewal Governance Board will identify a contingency sum to cover unforeseen fluctuations. The process for monthly budget monitoring requires improvement now that expenditure on estate renewal schemes is increasing and becoming more complex. Any variation needs to be reported to HRA and Estate Renewal Governance Board and alternative courses of action agreed. Increases in the Housing market will eventually lead to the Council receiving more income from the properties sold (overage), however, the timing of this is an issue as the business plan is more constrained in the early years.</p>	<p>Madeleine Forster; Peter George</p>
<p><i>HRA 1718-03</i>  <b>Universal Credit</b>  <b>Cause –</b> Introduction of Universal Credit affecting rent collection from affected tenants  <b>Effect –</b> This will have a negative impact on the HRA Business Plan and potential to increase homelessness as tenants may be unable to pay rent</p>		<p>Project team in place to monitor impact and the number of tenants affected by the changes.</p>	<p>Likelihood    Impact  </p>		<p>Catherine Charlton</p>
<p><i>RE1718-01</i>  <b>Failure to recruit &amp; retain staff</b>  <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.</p>		<p>Recruitment is ongoing at Divisional level. Department contributes to promoting Enfield by raising the Borough's profile at local and national events, conferences, using network channels etc.</p> <p>Kornferry consultants have completed work on senior management restructure, incorporating payscale options. AD restructure is now complete and a new Director post has been created at AD3 level.</p>	<p>Likelihood    Impact  </p>	<p>Work with HR to develop internal recruitment model that will attract a wider range of applicants with relevant skills; refer to recruitment practices elsewhere</p> <p>Put forward proposal to CMB to reintroduce the use of Salary Supplements to allow services to attract appropriately qualified staff to hard to fill roles</p> <p>Review apprentice scheme levy 30/70 at present – to grow our own</p> <p>HR to review recruitment processes to ensure they attract a wider range of applicants</p>	<p>Regen &amp; Environment DMT 01-Apr-2018</p>

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<p>RE1718-03  <b>Failure to work effectively with centralised Hubs</b>            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>		<p>Divisional communication &amp; meeting arrangements with relevant Hub counterparts. Hubs &amp; Divisions have a single point of contact within the Department to escalate issues for resolution. Communication has been improved by frequent circulation of updated documents (Departmental Overview &amp; Hub Factsheets). Hubs received updates during recent senior management restructure. Boards between Hubs &amp; services have been created to discuss issues, oversee strategic direction of resources etc. Front line level Hub Focus Groups continue to meet on a quarterly basis and issues are escalated to DMT accordingly. Systems Thinking - Planning work continues with Transformation Team, reviewing the end to end process and how OSH and Service can improve service delivery to customers.</p>		<p>Clarify service standards and timescale with OSH and Gateway</p> <p>Progress digitalisation agenda where appropriate</p> <p>Work with the Transformation Team to implement the recommendations from the Hubs review</p> <p>Work with the Systems Thinking Team to review back office processes to maximise digital capacity and improve service delivery;</p> <p>Work with the Transformation Team to implement the recommendations from the Hubs review</p>	<p>Regen &amp; Environment DMT 01-Apr-2018</p>
<p>RE1718-04  <b>Budget management</b>            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>		<p>Key budget risk areas identified: regeneration funding arrangements, capital exposure, NLWA contract, significant savings required for 17/18 &amp; 18/19</p> <p>Raise risks regarding corporate succession planning for non general fund revenue budgets</p> <p>Monthly revenue &amp; key income budget monitoring sessions</p> <p>Clear communications on budget management repeated to staff &amp; managers on regular basis.</p>		<p>Workstreams on commercialising key trading lines, led by AD Commercial.</p> <p>Continued clear focus on cost and driving down sickness absence</p> <p>Series of future restructures to meet required management savings</p> <p>Improve management horizon scanning for future income opportunities and threats</p> <p>Work with Corporate Finance to improve the services &amp; expertise they provide us.</p>	<p>Regen &amp; Environment DMT 01-Apr-2018</p>

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<p>RE1718-05  <b>Failure to improve the quality of customer service</b>            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>		<p>Working with customer facing Hubs to improve how customers access the Department's services and improve information available to frontline staff so that they can answer most enquiries at initial point of contact. Lagan Telephone Directory update complete.</p> <p>Improving customer service levels through performance target settings.</p> <p>Reviewing the disaggregation of admin processes to support income streams in Planning (Systems Thinking).</p>	<p>Likelihood</p>  <p>Impact</p>	<p>Improve departmental information available to gateway staff, ensure training materials &amp; scripts are correct.</p> <p>Review website content to improve the quality of information available</p> <p>Work with the Customer Services Board to contribute to corporate improvement projects</p> <p>Organisational learning from Complaints and MEQs to inform service improvement plans and improved communications to customers to manage expectations</p>	<p>Regen &amp; Environment DMT 01-Apr-2018</p>
<p>RE1718-06  <b>Contract Management Failure</b>            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>		<p>Regular reviews of contract documentation and performance.</p>	<p>Likelihood</p>  <p>Impact</p>	<p>Ensure there is a robust approach to contract management including confidence to end a contract and re-procure if necessary.</p>	<p>Regen &amp; Environment DMT 01-Apr-2018</p>
<p>RE1718-07  <b>Failure to deliver housing numbers</b>            If numbers of houses to the required quality are not delivered within the timescales required by London Plan, <b>then</b> this could negatively impact on Enfield's requirement to ensure local plans generally conform with The London Plan</p>		<p>Housing zone status - Housing Zone 2 approved. AD for Regeneration appointed. Housing Renewal &amp; Development Team moved over to Regeneration Division. Executive Director chairs Housing Board</p>	<p>Likelihood</p>  <p>Impact</p>	<p>Series of monitoring meetings underway strengthening relationships with contractors</p> <p>Enhanced financial checks are being put in place</p> <p>Developing stronger delivery relationships with private sector, improving how Developers come into the Borough and work with us to meet delivery targets</p> <p>Housing delivery is reliant on improvements to public transport infrastructure and the speed of Developers. Key stakeholder groups are being set up to address this.</p> <p>Targets to increase (GLA figs)</p>	<p>Regen &amp; Environment DMT 01-Apr-2018</p>

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<p>RE1718-08 <b>Performance Management &amp; Information</b> 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>		<p>Escalation of MEQ &amp; FOI response timelines ongoing</p> <p>Divisional performance management targets set and monitored on quarterly basis</p> <p>Complaints &amp; Access to Information team are circulating weekly MEQ, COM &amp; FOI performance reports for review by DMT and there is close liaison between the Department and CAATI to monitor progress.</p>	<p>Likelihood</p> <table border="1" data-bbox="1285 300 1424 443"> <tr><td>Green</td><td>Yellow</td><td>Yellow</td><td>Red</td><td>Red</td></tr> <tr><td>Green</td><td>Green</td><td>Yellow</td><td>Red</td><td>Red</td></tr> <tr><td>Green</td><td>Green</td><td>Green</td><td>Yellow</td><td>Yellow</td></tr> <tr><td>Green</td><td>Green</td><td>Green</td><td>Green</td><td>Green</td></tr> <tr><td>Green</td><td>Green</td><td>Green</td><td>Green</td><td>Green</td></tr> </table> <p>Impact</p>	Green	Yellow	Yellow	Red	Red	Green	Green	Yellow	Red	Red	Green	Green	Green	Yellow	Yellow	Green	<p>Department will be included on final phase of corporate Power BI project. This should ensure easy access to data and address quality issues.</p> <p>Explore scope for Power BI to enhance performance management across all PIs</p>	<p>Regen &amp; Environment DMT 01-Apr-2018</p>									
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<p>RE1718-13 <b>Implications Post Brexit</b> If there are negative impacts on housing growth, land values, major contract clauses, project financing; changes in immigration rules; business growth, 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; business rate income could fall and environmental service arrangements will need to be reviewed Brexit may have a negative Impact on construction industry, which is reliant on EU nationals.</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</p> <p>Monitor Brexit implications on immigration</p> <p>Seek confirmation on how existing EU funding will be maintained despite exit arrangements</p>	<p>Likelihood</p> <table border="1" data-bbox="1285 619 1424 762"> <tr><td>Green</td><td>Yellow</td><td>Yellow</td><td>Red</td><td>Red</td></tr> <tr><td>Green</td><td>Green</td><td>Yellow</td><td>Red</td><td>Red</td></tr> <tr><td>Green</td><td>Green</td><td>Green</td><td>Yellow</td><td>Yellow</td></tr> <tr><td>Green</td><td>Green</td><td>Green</td><td>Green</td><td>Green</td></tr> <tr><td>Green</td><td>Green</td><td>Green</td><td>Green</td><td>Green</td></tr> </table> <p>Impact</p>	Green	Yellow	Yellow	Red	Red	Green	Green	Yellow	Red	Red	Green	Green	Green	Yellow	Yellow	Green	<p>Carry out further work on population growth under Strategic Planning.</p> <p>Undertake regular market soundings to determine trends</p> <p>Regeneration to create more local employment opportunities</p>	<p>Regen &amp; Environment DMT 01-Apr-2018</p>									
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