

## London Borough of Enfield

### General Purposes Committee

23 July 2020

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**Subject:** Corporate Risk Register  
**Cabinet Member:** N/A  
**Key Decision:** N/A

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### Executive Summary

This report presents the revised Corporate Risk Register – refer to Appendix A – for information and comment.

Five risks have had their risks levels increased from medium to high, these are:

- CR02 Failure to maximise income  
Risk level increased due to changes in demand
- CR03 - Fraud/Corruption  
Risk level increased due to change in likelihood
- CR04 - Information Governance  
Risk level increased due to increased risks from remote working)
- CR07 - Loss of IT  
Risk level increased due to increased impact from greater reliance on IT through remote working
- CR10 - Health & Safety  
Risk level increased due to increased impact and likelihood of health risks from Covid-19 and from remote working

It should be noted that changes in risk level are not due to a breakdown or worsening of existing controls, but rather due to the changing external environment.

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

### Proposal

To note and provide comment on the risks recorded in the Corporate Risk Register

## **Reason for Proposal**

The Council's Risk Management Strategy allows for the regular review of the Corporate Risk Register.

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

Therefore, the Corporate Risk Register (Appendix A) is presented to the Committee for review and comment in line with the Committee's request to review the Corporate Risk Register at each meeting.

**Ian Davis**  
**Chief Executive**

## London Borough of Enfield

### General Purposes Committee

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**Subject:** Corporate Risk Register

**Cabinet Member:** N/A

**Key Decision:** N/A

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### Purpose of Report

1.1. This report presents the revised Corporate Risk Register – refer to Appendix A – for information and comment.

1.2. Five risks have had their risks levels increased from medium to high, these are:

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1.3. It should be noted that changes in risk level are not due to a breakdown or worsening of existing controls, but rather due to the changing external environment.

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

## **Relevance to the Council's Corporate Plan**

### **2.1 Good Homes in Well-Connected Neighbourhoods**

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

### **2.2 Safe, Healthy and Confident Communities**

An effective Risk Management Service will help the Council achieve its objectives to sustain safe, healthy and confident communities.

### **2.3 An Economy that Works for Everyone**

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

## **Background**

- 3.1 The Council's Risk Management Strategy allows for the regular review of the Corporate Risk Register.
- 3.2 In accordance with the Strategy, the General Purposes Committee is responsible for monitoring the effective development and operation of risk management in the Council to ensure compliance with the Strategy.
- 3.3 Therefore, the Corporate Risk Register (Appendix A) is presented to the Committee for review and comment in line with the Committee's request to review the Corporate Risk Register at each meeting.
- 3.4 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.
- 3.5 The risks and mitigations presented in this report have been reviewed and agreed by Departmental Management Teams (DMTs) and Executive Management Team (EMT)
- 3.6 Since the last time the Corporate Risk Register was presented to General Purposes Committee, many of existing risks have been affected by the impact of Covid-19.
- 3.7 Five risks have had their risks levels increased from medium to high, these are:
  - CR02 Failure to maximise income  
Risk level increased due to changes in demand
  - CR03 - Fraud/Corruption  
Risk level increased due to change in likelihood
  - CR04 - Information Governance

- Risk level increased due to increased risks from remote working)
- CR07 - Loss of IT
  - Risk level increased due to increased impact from greater reliance on IT through remote working
- CR10 - Health & Safety
  - Risk level increased due to increased impact and likelihood of health risks from Covid-19 and from remote working

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

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

### **Main Considerations for the Council**

4.1 All large, complex organisations need a well-established and systematic risk framework in place to identify and mitigate the many risks it may face. The Corporate Risk Register is a fundamental element to the Council's overall Risk Management Strategy.

4.2 The Council's Risk Management Strategy requires the review of strategic risks by the General Purposes Committee.

### **Safeguarding Implications**

5. There are no specific safeguarding implications related to this report.

### **Public Health Implications**

6. There are no specific public health implications related to this report.

### **Equalities Impact of the Proposal**

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

### **Environmental and Climate Change Considerations**

8. There are no specific environmental and climate change implications related to this report.

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

9. If the Corporate Risk Register is not adequately reviewed and scrutinised, risks and their mitigations may not be appropriately addressed leading to reputational, financial and legal damages including risks to life and safety of employees and residents.

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

10. N/A

### **Financial Implications**

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

### **Legal Implications**

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

### **Workforce Implications**

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

### **Property Implications**

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

### **Other Implications**

15. N/A

### **Options Considered**

16. It is generally accepted best practice that a Corporate Risk Register is in place and is regularly reviewed by senior stakeholders, therefore no alternative options have been considered.

### **Conclusions**

17. The General Purposes Committee is requested to note and provide comment on the risks recorded in the Corporate Risk Register.

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Date of report 14 July 2020

## **Appendices**

Appendix A: Corporate 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 <sup>st</sup> June 2020
<p><b>CR01 - Budget Management</b></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>	<b>High</b>	<ul style="list-style-type: none"> <li>- Monthly reporting and forecasts reviewed by senior management</li> <li>- Budget Pressures board set up</li> <li>- Regular reporting to EMT &amp; Cabinet</li> <li>- Monitoring of the Council Tax and Business Rates tax base</li> <li>- Contingencies/reserves reviewed annually</li> <li>- Forward planning</li> <li>- Brexit Panel in operation</li> <li>- 5-year MTFP, 10-year capital programme and treasury strategy</li> </ul>	<b>High</b>	<ul style="list-style-type: none"> <li>- Ongoing review of adequacy reserves</li> <li>- Fair Funding Review – keeping up-to-date</li> </ul>	<b>Resources</b>	<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><b>CR02 - Failure to maximise income</b></p> <p>If income (all included traded, council tax, grants) is not</p>	<b>High</b>	<ul style="list-style-type: none"> <li>- Dedicated Commercial team focussed on supporting services on maximising income</li> <li>- Targets and KPIs regularly monitored</li> </ul>	<b>High</b>	<ul style="list-style-type: none"> <li>- Delivering the Payment Programme to make paying easier, more accessible and efficient.</li> <li>- Delivering functionality to issue</li> </ul>	<b>Resources</b>	<p>This risk continues to remain medium although the following work has been undertaken:</p> <p>The Payments Programme introduced a new</p>

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<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"> <li>- Benchmarking fees and charges with other LAs</li> <li>- Commercial pipeline</li> </ul>		<ul style="list-style-type: none"> <li>electronic debt reminder notifications to recover ASH Sundry debt.</li> <li>- 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).</li> <li>- Improve understanding of traded services income and expenditure.</li> <li>- Development of a debt prevention and recovery strategy</li> </ul>		<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><b>CR03 - Fraud/Corruption</b></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><b>High</b></p>	<ul style="list-style-type: none"> <li>- Fraud awareness training</li> <li>- Whistleblowing policy</li> <li>- Anti-Fraud strategy and action plan</li> <li>- Reporting to GPC/EMT</li> <li>- Pursue maximum sanctions in line with policy and regulations</li> <li>- Adequately resourced and qualified internal audit and anti-fraud service</li> <li>- Annual review of anti-fraud policies and procedures</li> <li>- Annual audit plan and implementation of recommendations</li> <li>- Ongoing rigour to ensure that audit actions are implemented in a timely way</li> </ul>	<p><b>High</b></p>	<ul style="list-style-type: none"> <li>- Participation in anti-fraud exercises, including the National Fraud Initiative and a data matching pilot lead by Cifas.</li> <li>- Development of apprentices to enable succession planning within the team.</li> <li>- Improved Fraud Awareness eLearning module now available.</li> <li>- Participating in pilot exercise to share financial fraud intelligence with financial institutions.</li> <li>- Dedicated Counter Fraud support being provided to Housing Assessment &amp; Advice Team.</li> <li>- Continue to carry out pre-award assurance checks for the Small Business Grant Fund scheme.</li> <li>- Promote proportionate use of internal controls, working with Heads of Service via our risk</li> </ul>	<p><b>Chief Executive</b></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>

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				assurance framework.		
<p><b>CR04 - Information Governance</b></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>	<b>High</b>	<ul style="list-style-type: none"> <li>- Data Protection officer in place</li> <li>- Mandatory E-Learning for all staff</li> <li>- Acceptable use policy in place</li> <li>- FOI team in place with regular monitor of responses</li> <li>- IGB board in place</li> <li>- Regular reminders sent to staff</li> <li>- Cyclical audit of governance arrangement.</li> <li>- Implement recommendations from GDPR internal Audit which took place in 2018/2019.</li> </ul>	<b>High</b>	<ul style="list-style-type: none"> <li>- Communication and implementation of clear desk policy, security measures and access control</li> <li>- Embedding of Information Governance culture and best practice</li> <li>- Communicating procedures for reporting breaches</li> </ul>	<b>Chief Executive</b>	<ul style="list-style-type: none"> <li>- FOIA internal audit for 2019/2020 complete and draft report presented to HOLS and Manager of CAIT. Audit complete – Reasonable assurance given</li> <li>- 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.</li> <li>- Communication of the right of erasure (right to be forgotten) to all staff will be picked up by DPO.</li> <li>- More control of documentation is being taken forward by the Data quality project</li> <li>- IGB have completed annual review of policies</li> <li>- IGB are reviewing terms of reference of board which will strengthen oversight.</li> <li>- 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.</li> </ul>
<p><b>CR05 – Duty of Care</b></p> <p>If the Council fails in its statutory duties to Adults &amp; Children within the borough, this could result in potential harm to individuals / families, potential legal challenges and reputational damage.</p>	<b>High</b>	<ul style="list-style-type: none"> <li>- Safeguarding procedures</li> <li>- Policies</li> <li>- DBS checks for staff and volunteers</li> <li>- Performance monitoring of contractors/partners</li> <li>- Multi-Agency Safeguarding Hubs</li> <li>- Adults &amp; children's services combined under one directorate</li> <li>- Internal audit and quality assurance processes</li> <li>- Risk management panel</li> <li>- Complaints &amp; compliments system</li> </ul>	<b>Medium</b>	<ul style="list-style-type: none"> <li>- Planned programme of audits covering children and adults safeguarding</li> <li>- External Inspections</li> </ul> <p>(Internal controls help to manage and reduce risk but risk cannot be eliminated from this area of work)</p>	<b>People</b>	<p><i>Safeguarding - Adults:</i></p> <p>Internal Audits for 2020-21</p> <ul style="list-style-type: none"> <li>- Mental Health Act 1983 –AMHP</li> <li>- Eclipse Access Controls</li> </ul> <p><i>Safeguarding – Children</i></p> <p>Internal Audit for 2020-21</p> <ul style="list-style-type: none"> <li>- Unregulated Providers</li> <li>- Disproportionality in Out of Court Disposals</li> <li>- Troubled Family Grants</li> </ul> <p>Covid-19 will impact on the Council's ability to meet statutory regulations in Adults Social Care, Children's Social Care and Education</p>

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		<ul style="list-style-type: none"> <li>- Assurance Board</li> </ul>				<p>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><b>CR06 - Customer Demand</b></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><b>High</b></p>	<ul style="list-style-type: none"> <li>- Brexit panel</li> <li>- Eligibility criteria for services</li> <li>- Making Every Contact Count (MECC) for staff</li> <li>- Services are focussed on early help and enablement to prevent escalation of need</li> <li>- MyLife Portal &amp; Eclipse implementation complete Nov 20 (HASC Transformation Programme)</li> <li>- Development of the Children's Portal (Children's Transformation Programme)</li> <li>- Models of social work practice</li> <li>- Smoking cessation</li> <li>- Sexual health</li> <li>- Substance misuse services</li> <li>- There were 203 additional places opened in September 2019 in Special Schools and 57 additional places in mainstream schools run by special schools.</li> </ul>	<p><b>Medium</b></p>	<ul style="list-style-type: none"> <li>- Predictive analytics</li> <li>- Increasing SEN Places in the borough</li> <li>- Monitor the housing market</li> <li>- Improve self-serve options for customers</li> <li>- Build capacity in customers to resolve issues</li> <li>- New homelessness prevention service model and Board</li> <li>- New Community Solutions Hub and Project (Customer Experience Programme) addressing demand failure and prevention.</li> </ul>	<p><b>People &amp; Place</b></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 project currently under development within the Customer Experience Programme to address demand failure and prevention.</p> <p>MyLife &amp; 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>

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						<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><b>CR07 - Loss of IT</b></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><b>High</b></p>	<ul style="list-style-type: none"> <li>- Regular audits</li> <li>- Acceptable use policy and cyber security</li> <li>- Mandatory staff E-learning on acceptable use policy and cyber security policy</li> <li>- Business continuity plan in place and to be reviewed regularly.</li> <li>- Resilient infrastructure e.g. backup, data servers</li> <li>- Data recovery service in place</li> </ul>	<p><b>High</b></p>	<ul style="list-style-type: none"> <li>- Ongoing improvement of the infrastructure Resilience through the delivery of the infrastructure programme.</li> <li>- Complete the new device rollout programme and ongoing hardware refresh</li> <li>- Complete the IT restructure and recruitment, building a procurement and contract management capability to manage supplier relationships effectively.</li> </ul>	<p><b>Resources</b></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"> <li>- Remediation Programme has been developed and we are in procurement process for remedial work to resolve all outstanding security risks</li> <li>- 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.</li> </ul> <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>

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<p><b>CR08 – Business Continuity</b></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>	<b>High</b>	<ul style="list-style-type: none"> <li>- Business Continuity Management Board</li> <li>- Training</li> <li>- Adequate Insurance in place</li> <li>- Corporate business continuity plan in place</li> <li>- Departmental business continuity plans in place</li> </ul>	<b>Medium</b>	<ul style="list-style-type: none"> <li>- Department &amp; Service BC Plans are constantly being updated and reviewed during Covid-19</li> <li>- Corporately Services and Department will be encouraged to review existing plans once lessons learnt during Covid -19 are available.</li> </ul>	<b>Chief Executive</b>	<ul style="list-style-type: none"> <li>- The EP Team are supporting departments as needed</li> <li>- Ensuring critical teams are continuing to maintain appropriate services</li> <li>- Departments are required to complete daily SitReps which are shared with the Council's Silver and Gold Groups</li> <li>- Critical Service Leads are required to update the BC SitRep as and when needed</li> </ul>
<p><b>CR09 – Emergency Incident</b></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>	<b>High</b>	<ul style="list-style-type: none"> <li>- Staff are adequately trained to respond</li> <li>- Staff volunteers to assist in responding</li> <li>- Out of hours response team</li> <li>- Incident management policies</li> <li>- Additional officers has led to an increase in resilience within the EP team</li> </ul>	<b>Medium</b>	<ul style="list-style-type: none"> <li>- Strategic Training with the Emergency Planning College has been arranged for Council Golds</li> <li>- Tactical Training with The Emergency Planning College has been arranged for all Council Silvers and will take place later in the year</li> </ul>	<b>Chief Executive</b>	<ul style="list-style-type: none"> <li>- London Standardisation Training has taken place, all teams are fully staffed.</li> <li>- The Emergency Response Management Teams consists of 9 teams and each team consist of 10 officers which includes the Council Gold</li> <li>- During the Covid-19 response the EMRT will continue as BAU, with a dynamic approach.</li> </ul>
<p><b>CR09A – Coronavirus</b></p> <p>An outbreak could lead to a significant number of people being infected within a short period of time. This could lead to severe consequences including;</p> <ul style="list-style-type: none"> <li>- Deaths to vulnerable people</li> <li>-Overload on Adult Social care service</li> <li>- Severe disruptions to services</li> <li>- Staff shortages</li> </ul>	<b>High</b>	<ul style="list-style-type: none"> <li>- Flu plan tested in a multi-agency exercise last year</li> <li>- Business continuity plans in place and being reviewed by all departments</li> </ul>	<b>Medium</b>	<ul style="list-style-type: none"> <li>- Continue to monitor and disseminate information from relevant agencies.</li> <li>- LRF meeting 11/2/20</li> </ul>	<b>People</b>	<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 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</p>

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						measures,
<p><b>CR10 – Health &amp; Safety</b></p> <p>If there is an avoidable incident affecting staff / public / tenants (residential &amp; commercial) then this could lead to injury/death, legal challenge and reputational damage.</p> <p>If we do not comply with H&amp;S requirements for buildings, then this could lead to injury/death, regulatory enforcement action and reputational damage.</p>	<b>High</b>	<ul style="list-style-type: none"> <li>- H&amp;S Procedures</li> <li>- Training / E-learning</li> <li>- Occupational Health provider</li> <li>- Corporate Landlord responsibilities</li> <li>- Housing – Cladding / Smoke alarms</li> <li>Electric / Gas safety</li> <li>- Highway maintenance</li> <li>- Winter Maintenance plan</li> <li>- Grounds Maintenance</li> <li>- Waste Collection</li> <li>- Asbestos awareness</li> <li>- Security/access to buildings and schools</li> </ul>	<b>High</b>	<ul style="list-style-type: none"> <li>- Regular reports to Corporate H&amp;S Committee and Assurance Board</li> <li>- Ensuring works comply with legislation, codes of practice and contracts are performance managed</li> <li>- H&amp;S to be included in decision making when setting budgets for 20/21</li> </ul>	<b>Place</b>	<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> <p>Adequate systems are in place to manage statutory compliance across the residential and corporate portfolios</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><b>CR11 - Housing</b></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>	<b>High</b>	<ul style="list-style-type: none"> <li>- Housing strategy in place, with teams and resources in place to deliver</li> <li>- Continually review policies to keep abreast of current climate and good practice</li> </ul>	<b>High</b>	<ul style="list-style-type: none"> <li>- Monitor housing delivery through the Housing Delivery Board</li> <li>- Regular meetings to monitor service delivery capacity among management and HR</li> <li>- 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.</li> </ul>	<b>Place</b>	<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 –</p>

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						looking at organisational learning to make long term service improvements
<p><b>CR12 – Major Capital Projects</b></p> <p>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.</p>	<b>High</b>	<ul style="list-style-type: none"> <li>- Close attention to recruitment and skills of council.</li> <li>- Using independent specialist advisors</li> <li>- Capital Board reporting</li> <li>- Ensure executive oversight of major schemes</li> <li>- Monthly risk reviews of all major projects</li> </ul>	<b>Medium</b>	<ul style="list-style-type: none"> <li>- Build in-house capacity to deliver GLA capacity funding</li> <li>- Ensure robust procurement controls and contact management by in house staff -</li> <li>- Improve risk registers in housing development</li> </ul>	<b>Place</b>	Unchanged. There is a detailed risk register for Meridian Water that manages all risks and we are satisfied that the risk is still medium
<p><b>CR13 – Supply Chain/Contract management</b></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>	<b>High</b>	<ul style="list-style-type: none"> <li>- Contract Procedure Rules</li> <li>- P&amp;C Board</li> <li>- Commercial board</li> <li>- Training</li> <li>- London Tender Portal</li> <li>- Single Contract registers for the council</li> <li>- Reporting non-compliance to audit committee</li> <li>- Performance monitoring</li> </ul>	<b>Medium</b>	<ul style="list-style-type: none"> <li>- Review of Contract procedure rules</li> <li>- Review Training</li> <li>- Improvement plan to ensure consistent good practice across organisation</li> <li>- Ongoing review and improvement to the quality of the information held on contract register</li> </ul>	<b>Resources</b>	<p>This risk continues to remain medium although the following work has been undertaken:</p> <p>Review of the CPR's undertaken, next step EMT review</p> <p>Training plan has been developed for the P&amp;C team</p> <p>Tools have been developed to support staff to carry out a contract review</p> <p>Audit completed, implementation of actions ongoing.</p> <p>Departmental contract boards - approach under development</p> <p>There is a Procurement Workstream as part of the Overview and Scrutiny Committee work programme.</p>
<p><b>CR14 - Trading companies</b></p> <p>If the Council's trading companies fail or perform poorly then this will result in significant reputational damage and financial loss.</p>	<b>High</b>	<ul style="list-style-type: none"> <li>- Line of delegation and reserve matters for LBE shareholder decisions</li> <li>- Quarterly reporting of company performance against business plan targets</li> <li>- Annual submission of company business plans</li> <li>- Governance review and action</li> </ul>	<b>Medium</b>	<ul style="list-style-type: none"> <li>- Review training for council officers and board members</li> <li>- Further review of tax position</li> <li>Review of SLA efficiency and effectiveness</li> <li>- State Aid compliance review</li> </ul>	<b>Resources</b>	<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>

Risk Title & Description	Original Risk	Existing Risk Mitigations	Current Risk	Further planned actions	Lead Department	Update 1 <sup>st</sup> June 2020
		<ul style="list-style-type: none"> <li>plan in place</li> <li>- Council member and officer presence on all company Boards</li> </ul>				<p>Audit of resourcing and management has taken place providing Reasonable Assurance with actions to be implemented over coming months</p>
<p><b>CR15 - Staffing</b></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>	<b>High</b>	<ul style="list-style-type: none"> <li>- Recruitment &amp; selection policies reviewed</li> <li>- Flexible working</li> <li>- Mentoring schemes</li> <li>- Regular review of the use of agency staff</li> <li>- Regular review of staff absence</li> <li>- Benefits package</li> <li>- Alternate rewards</li> <li>- Training and development</li> <li>- Recruitment &amp; Selection training for managers is live.</li> <li>- Departmental CPD budgets established and sit within each department</li> </ul>	<b>Medium</b>	<ul style="list-style-type: none"> <li>- Reduce agency workers</li> <li>- Customer experience programme</li> <li>- Culture change project and forum</li> <li>- Social Work Apprenticeship</li> <li>- Staff Seminars</li> <li>- Technology to support flexible engaging recruitment practises.</li> </ul>	<b>Chief Executive</b>	<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</p> <p>A greater emphasis has been placed on supporting flexible working – which will also form part of ‘Build the Change’.</p> <p>The agency reduction strategy has been developed, but the action plan was put on hold due to Covid-19. This will now be presented at EMT Budget Review in May 2020 with revised dates due to the pandemic.</p> <p>First cohort of Social work apprenticeships will be starting in September due to Covid-19</p> <p>Market research is ongoing where we have hard to fill posts and where necessary MF supplements will be considered to ensure we are able to recruit and retain key positions This is regularly reviewed as these come to the end of their cycles.</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>

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						with good terms of references in place. This includes six weekly meetings with network leads and the Director of HR &OD.
<p><b>CR16 - Financial Management</b></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>	<b>High</b>	<ul style="list-style-type: none"> <li>- General Purposes Committee and Assurance Board review of audit actions</li> <li>- Director of Finance has oversight</li> <li>SOA - Plan of improvement reviewed and updated to Audit &amp; Risk Committee.</li> <li>- SOA - Bi-weekly meetings by 3 most senior finance officers</li> <li>- Additional Interim specialist resource on capital</li> </ul>	<b>High</b>	<ul style="list-style-type: none"> <li>- Restructure in Corporate Finance to review opportunities to strengthen team</li> </ul>	<b>Resources</b>	<ul style="list-style-type: none"> <li>- General Purposes Committee to be updated monthly</li> <li>- Lead Member updated weekly</li> <li>- Both specialist Interims now hired.</li> <li>- Schools have been updated with changes.</li> <li>- First Interim Audit already started (3 months earlier than last year).</li> <li>- Valuers (HRA) Commissioned and work begun.</li> <li>- Specialist interims to support process have been recruited</li> </ul>
<p><b>CR17 – Tax</b></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>	<b>Medium</b>	<ul style="list-style-type: none"> <li>- A new monthly tax meeting takes place.</li> <li>- A plan of improvement is being developed to ensure that VAT in particular is being robustly monitored and so that risks are flagged early.</li> <li>- Finance is now involved in most SDLT decision-making conversations.</li> <li>- A new mailbox has been created.</li> </ul>	<b>Medium</b>	<ul style="list-style-type: none"> <li>- 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.</li> <li>- SharePoint will be set up with all records in one spot for all of the Council so there is one version of the truth.</li> </ul>	<b>Resources</b>	The Tax Officer is reviewing and projecting future tax liabilities to assess the options to manage the partial VAT exemption under the 5% threshold.