

London Borough of Enfield

General Purposes Committee

15 October 2020

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

Purpose of Report

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

Proposal

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

- Brexit Risk Register

Reason for Proposal

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

Relevance to the Council's Corporate Plan

4.1 Good Homes in Well-Connected Neighbourhoods

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

4.2 Safe, Healthy and Confident Communities

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

4.3 An Economy that Works for Everyone

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

Background

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

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

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

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

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

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

- CR18 - Civil Unrest
- CR19 - Climate Change

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

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

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

- CO31 - Local Lockdown
- CO32 - Second Wave

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

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

Main Considerations for the Council

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

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

Safeguarding Implications

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

Public Health Implications

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

Equalities Impact of the Proposal

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

Environmental and Climate Change Considerations

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

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

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

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

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

12. N/A

Financial Implications

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

Legal Implications

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

Workforce Implications

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

Property Implications

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

Other Implications

17. N/A

Options Considered

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

Conclusions

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

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Date of report 29 September 2020

Appendices

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

Background Papers

N/A

Appendix A: Corporate Risk Register 2020/21

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

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

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

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

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

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

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

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

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

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

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

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

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

(Key: Recovery Group / Silver)

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

Risk Ref - Title Description	Initial Risk	Existing Risk Mitigations	Current Risk	Further Planned Actions	Lead Dept.
deliver essential services.					
<p>NEW CO32 - Second wave</p> <p>If there is a “second wave” of COVID 19, this will result in significant additional pressures on the Council’s resources.</p>	High		Medium	<ul style="list-style-type: none"> - This will be kept under review and monitored via Silver group 	

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

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

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

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

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