

# London Borough of Enfield

## General Purposes Committee

4 March 2021

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**Subject:** Corporate, Brexit and COVID-19 Risk Register Updates

**Cabinet Member:** N/A

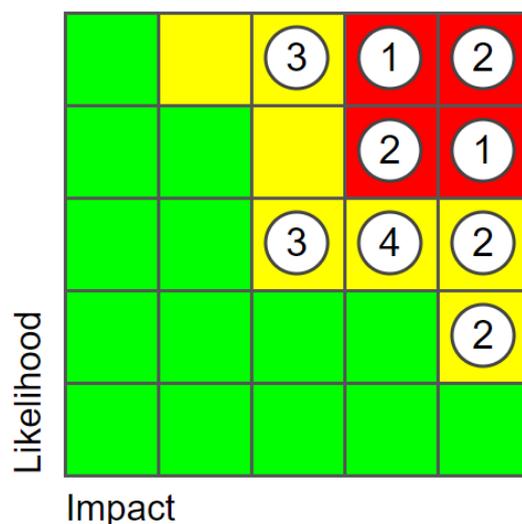
**Executive Director:** Ian Davis, Chief Executive

**Key Decision:** N/A

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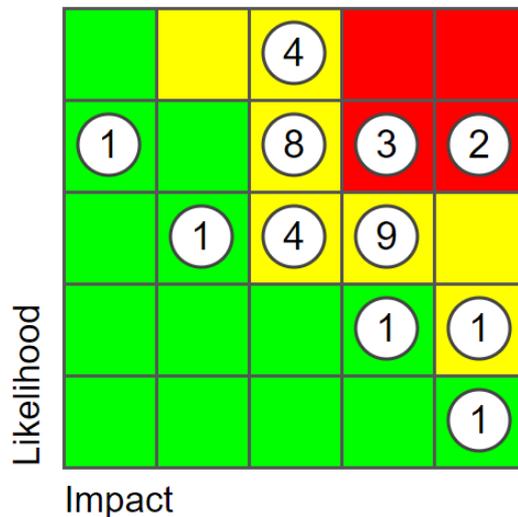
### Purpose of Report

- 1 This report presents the revised Corporate Risk Register, COVID-19 Risk Register and Brexit Risk Register.
- 2 Comments made by the General Purposes Committee at the last meeting have been considered by the relevant officers and the risk registers have been updated to reflect this.
- 3 The Corporate Risk Register has been circulated for review by Departmental Management Teams (DMTs) and the Executive Management Team (EMT) and has been updated accordingly.
- 4 A summary of the risks on the **Corporate Risk Register** are shown in the heat map below and full details can be found in **Appendix A**.

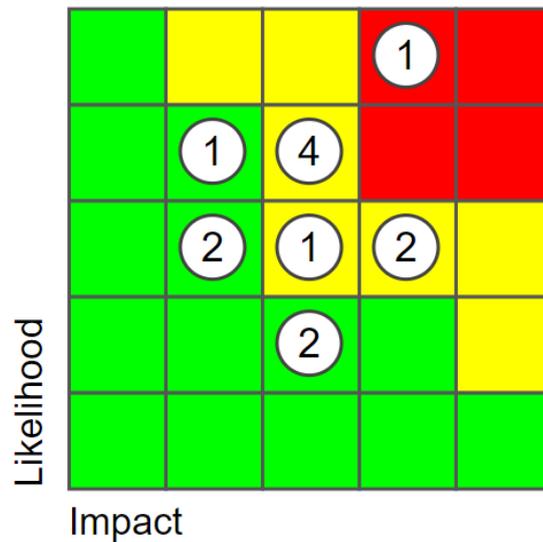


Interpreting the heat map - figure of 2 in the top right hand corner shows that the Corporate Risk Register has two high risks each with a total risk score of 25 (a Likelihood score of 5 and an Impact score of 5.)

- 5 Since the last meeting all Departmental and Service risk registers have been received by the Risk Management team. An initial review of these risk registers has not identified any significant issues however, it has highlighted some areas where more attention may be required. These areas include “Staffing”, which is currently a medium risk on the Corporate Risk Register but is identified as high on many of the other risk registers.
- 6 Additionally, at preliminary discussions during the last Risk Management Group (RMG) meeting, “Equality, Diversity and Inclusion” was identified as a risk that should be included on the Corporate Risk Register. This will be reviewed by the Corporate Equalities Board and formalised by EMT.
- 7 With the development of Departmental and Service risk registers and, as part of the annual review process, there will be a full refresh of the Corporate Risk Register during 2021/22 which will be reviewed by EMT and presented to the GPC thereafter.
- 8 This review by EMT, will consider new and emerging risks and risks that now have greater significance. Existing risks will be reviewed to determine if they are better placed on Departmental risk registers and if any risks from the Departmental risk registers should be escalated to the Corporate Risk Register
- 9 The 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.
- 10 A summary of the risks on the **COVID-19 Risk Register** are shown in the heat map below and full details can be found in **Appendix B**.



- 11 The Brexit Risk Register has been circulated for review to the Brexit Panel and has been updated accordingly.
- 12 A summary of the risks on the **Brexit Risk Register** are shown in the heat map below and full details can be found in **Appendix C**.



- 13 The Brexit Panel's primary focus over the last year has been on transition risks and short term risks immediately following the transition. Therefore, the Brexit Risk Register was designed to cover the first 100 days following the transition period.
- 14 As we approach the end of the first 100 days, any residual risks remaining on the Brexit Risk Register that are deemed to be Council business as usual, will be merged with the Corporate, Departmental or Service Risk registers as appropriate.
- 15 Risks that are exclusive to Brexit from the Brexit Risk Register and from the longer term risks identified at the workshop and business impact assessments carried out (see Brexit Risk Update, Audit and Risk Management Committee, 16 January 2020) will be combined into a single risk register.
- 16 This new risk register will be managed by the Brexit Panel and will be presented to the General Purposes Committee at the next meeting.

**Proposal**

- 17 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**

18 The Council's Risk Management Strategy requires 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 Plan**

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

19 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.

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

20 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.

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

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

## **Background**

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

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

24 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.

25 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.

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

## **Main Considerations for the Council**

- 27 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.
- 28 The Audit and Risk Management Service supports management in the identification and mitigation of risks as part of its work.

## **Safeguarding Implications**

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

## **Public Health Implications**

- 30 Whilst the risk registers are produced to identify risks to Public Health (among other issues) and enable preventative action to be undertaken, there are no Public Health implications arising directly from this update from the Audit and Risk Management Service.

## **Equalities Impact of the Proposal**

- 31 The Risk Management Group (RMG) has identified “Equality, Diversity and Inclusion” as a risk that should be included on the Corporate Risk Register. This will be reviewed by the Corporate Equalities Board and formalised by EMT.

## **Environmental and Climate Change Considerations**

- 32 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 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**

- 33 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.
- 34 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**

- 35 N/A

## **Financial Implications**

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

## **Legal Implications**

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

## **Workforce Implications**

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

## **Property Implications**

39 Whilst it is recognised that a number of the risks that have been assessed relate to property matters, the contents of the report do not have any new property implications.

## **Other Implications**

40 N/A

## **Options Considered**

41 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**

42 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 24 February 2021

## **Appendices**

Appendix A: Corporate Risk Register  
Appendix B: COVID-19 Risk Register  
Appendix C: Brexit Risk Register  
Appendix D: Glossary of Acronyms

## **Background Papers**

None

# Appendix A - Corporate Risk Register

## Key to Symbols

Risk Score	Risk Level	Risk Response	Monitoring	Icon
1-8	Low	Accept	Six Monthly	
9-15	Medium	Mitigate	Quarterly	
16-25	High	Escalate	Monthly	

## Key to Linked Risks

Linked Risk	Risk Register
CR	Corporate Risk Register
CV	Covid-19 Risk Register
BR	Brexit Risk Register

Risk Title & Description	Original Risk	Existing risk mitigations	Current Risk	Further Planned Actions	Lead Department	Update
<p><b>CR01 - Budget Management</b> 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>		<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 (Medium Term Financial Plan), 10-year capital programme and treasury strategy</li> </ul>		<ul style="list-style-type: none"> <li>- Ongoing review of adequacy reserves</li> <li>- Fair Funding Review</li> <li>- Keeping up-to-date</li> </ul>	Resources	<ul style="list-style-type: none"> <li>- 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 in 2020/21 and increase the 2021/22 budget gap by £16m to over £30m. Grant funding to support this position has been received however, there remains a 2020/21 budget gap of £19.2m which consists of the Collection Fund.</li> <li>- This is an ongoing forecast and the total impact will continue to be updated. 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. The financial position will continue to be monitored to ensure our fiscal management continues to be robust and responsible.</li> <li>- 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.</li> </ul>

Risk Title & Description	Original Risk	Existing risk mitigations	Current Risk	Further Planned Actions	Lead Department	Update
						- Details on the financial impact of COVID-19 were provided to Cabinet in May 2020 and subsequently updated as part of the quarterly budget monitoring reports.
<b>CR02 - Failure to maximise income</b> If income (all included traded, council tax, grants) is not maximised, then this could lead to financial pressures and an inability to deliver services. Failure to collect invoiced income.		<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> <li>- Benchmarking fees and charges with other LAs</li> <li>- Commercial pipeline</li> </ul>		<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 electronic debt reminder notifications to recover ASH Sundry debt.</li> <li>- Implementation of commercial microsite and new CRM (Customer Relationship Management) &amp; CMS (Contact Management System) 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>	Resources	<ul style="list-style-type: none"> <li>- This risk continues to remain high although the following work has been undertaken:</li> <li>- A Traded Services Forum meeting took place to support upskilling of colleagues across the council.</li> <li>- Work is continuing with the Commercial Team to look at opportunities to increase income.</li> <li>- The CRM and CMS projects are on track to deliver the minimum viable product (phase 1) by June 21.</li> <li>- The Fair Debt and Income Board (first meeting November 20) is developing action plans to deliver each of the 7 objectives if the strategy – from income maximisation and debt reduction, to supporting vulnerable people and protecting the public purse.</li> </ul>
<b>CR03 - Fraud/Corruption</b> 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.		<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 - 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> </ul>		<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> </ul>	Chief Executives	<ul style="list-style-type: none"> <li>- 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. We have been mitigating this risk by:</li> <li>- Continuing targeted post-event assurance checks on Small Business Grant Fund payments, and helping to verify payments due during the</li> </ul>

Risk Title & Description	Original Risk	Existing risk mitigations	Current Risk	Further Planned Actions	Lead Department	Update
		<ul style="list-style-type: none"> <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>		<ul style="list-style-type: none"> <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 assurance framework.</li> </ul>		<p>second lockdown period and additional support schemes;</p> <ul style="list-style-type: none"> <li>- Undertaking a proactive exercise with Audit colleagues during Q4 to identify purchasing anomalies during COVID-19;</li> <li>- Seconding a Fraud Investigator to supervise the Test and Trace Support Payment Scheme;</li> <li>- Establishing a working group of schools' staff to raise awareness of fraud in schools and will be providing a refreshed eLearning package.</li> <li>- Working with the Communications Team to quickly publicise fraud attempts and scams to residents and staff using social media and other available channels.</li> <li>- Working with the Risk Managers Group to highlight fraud as a risk within risk registers</li> <li>- Publicising recording of fraud awareness sessions for those staff that were unable to attend the live sessions delivered in Q3 as part of International Fraud Awareness Week.</li> <li>- Continuing with our reactive work of investigating referrals made to the team.</li> </ul>
<p><b>CR04 - Information Governance</b> 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>		<ul style="list-style-type: none"> <li>- Data Protection Officer (DPO) in place</li> <li>- Mandatory E-Learning for all staff</li> <li>- Acceptable use policy in place</li> <li>- FOI (Freedom of Information) team in place with regular monitor of responses</li> <li>- IGB (Information Governance Board) in place - 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>		<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>	Chief Executives	<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</li> <li>- 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 IGB have completed annual review of policies</li> <li>- IGB have reviewed the terms of reference to strengthen data governance and reporting lines.</li> </ul>

Risk Title & Description	Original Risk	Existing risk mitigations	Current Risk	Further Planned Actions	Lead Department	Update
						<p>The Senior Information Risk Owner (SIRO) and HOLS have undergone SIRO training to better understand the role.</p> <ul style="list-style-type: none"> <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> <li>- Actions aligned to Cyber Security Remediation Programme agreed August 2020 – Information Governance Actions including Awareness, Training and Risk included in that programme to be delivered in 2021, including implementing ongoing review process</li> <li>- Data Retention Awareness, compliance and review incorporated into IGB monitoring from January 2021</li> </ul>
<p><b>CR05 – Duty of Care</b> 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>		<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> <li>- Assurance Board</li> </ul>		<ul style="list-style-type: none"> <li>- Planned programme of audits covering children and adults safeguarding</li> <li>- External Inspections (Internal controls help to manage and reduce risk, but risk cannot be eliminated from this area of work)</li> </ul>	<p>People</p>	<p>Safeguarding - Adults, 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>Safeguarding – Children, 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 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> If demand changes (due to changes in population, changing</p>		<ul style="list-style-type: none"> <li>- Brexit panel</li> <li>- Eligibility criteria for services</li> <li>- Making Every Contact Count</li> </ul>		<ul style="list-style-type: none"> <li>- Predictive analytics</li> <li>- Increasing SEN Places in the borough</li> </ul>	<p>People; Place</p>	<ul style="list-style-type: none"> <li>- MECC training for 500 staff commenced in August 2019.</li> <li>- The department continues to monitor closely</li> </ul>

Risk Title & Description	Original Risk	Existing risk mitigations	Current Risk	Further Planned Actions	Lead Department	Update
<p>demographics, Brexit, political etc.) then this could result in an inability to meet service delivery 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>(MECC) for staff  - Services are focussed on early help and enablement to prevent escalation of need  - MyLife Portal &amp; 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.</p>		<ul style="list-style-type: none"> <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>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> <ul style="list-style-type: none"> <li>- MyLife is available and continues to be developed</li> <li>- 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.</li> <li>- New homelessness service model in development</li> <li>- The Community Hub Solutions model is a project currently under development within the Customer Experience Programme to address demand failure and prevention.</li> <li>- 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).</li> </ul> <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>  Failure of the Councils ICT and/or Digital systems (due to cyber-</p>		<ul style="list-style-type: none"> <li>- Regular audits</li> <li>- Acceptable use policy and cyber security</li> </ul>		<ul style="list-style-type: none"> <li>- Ongoing improvement of the infrastructure Resilience through the delivery of the infrastructure</li> </ul>	Resources	<ul style="list-style-type: none"> <li>- This risk continues to remain medium although the following work has been undertaken:</li> <li>- Actions continue to be progressed on the</li> </ul>

Risk Title & Description	Original Risk	Existing risk mitigations	Current Risk	Further Planned Actions	Lead Department	Update
<p>attack, hardware failure etc..) will lead to a severe disruption of service delivery.</p>		<ul style="list-style-type: none"> <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> <li>- Network Upgrade</li> <li>- Introduction of new tools to support remote working (Forticlient and Multi Factor Authentication)</li> </ul>		<p>programme.</p> <ul style="list-style-type: none"> <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>infrastructure programme. In Q3 we will be complete replacing end-of-life equipment in our on-site server room.</p> <ul style="list-style-type: none"> <li>- 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.</li> <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> <li>- 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)</li> <li>- Digital Services Restructure and Strategy approved by cabinet 111120 and being implemented from Nov 20 over period of 12 months</li> <li>- Audits underway in 20/21 regarding Cyber Security and Cloud Management – reports due in Q1 21</li> <li>- Cyber Security Remediation Programme in delivery from August 20 to ensure statutory compliance, improved awareness, reporting, testing and disaster recovery are delivered mainly by end of March 21.</li> <li>- Risks presented to Assurance Board 6 weekly, high risks now removed– including new Security Assurance Board from Nov 20 – to ensure Council Wide Awareness, reporting and responsibility for keeping IT available, secure and compliant.</li> </ul>
<p><b>CR08 – Business Continuity</b></p>		<p>- Business Continuity</p>		<p>- Department &amp; Service BC Plans</p>	<p>Chief</p>	<p>- The Emergency Planning (EP) Team are</p>

Risk Title & Description	Original Risk	Existing risk mitigations	Current Risk	Further Planned Actions	Lead Department	Update
<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>		<p>Management Board</p> <ul style="list-style-type: none"> <li>- Training</li> <li>- Adequate Insurance in place</li> <li>- Corporate Business Continuity (BC) plan in place</li> <li>- Departmental business continuity plans in place</li> </ul>		<p>are constantly being updated and reviewed during COVID-19</p> <ul style="list-style-type: none"> <li>- Corporately Services and Department will be encouraged to review existing plans once lessons learnt during COVID-19 are available.</li> </ul>	<p>Executives</p>	<p>supporting departments as needed</p> <ul style="list-style-type: none"> <li>- Ensuring critical teams are continuing to maintain appropriate services</li> <li>- Departments are required to complete weekly 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> <li>- Email has gone out to all service leads that have identified they use external providers/contractors requesting they make contact with them and confirm that they are still able to provide a service after the UK leaves the EU.</li> <li>- Email has gone out to all critical services to find out if there is a need for stockpiling of resources/materials due to Brexit.</li> <li>- The EP Team are having fortnightly meetings with the BC Department Officer to ensure that services are continuing to provide a service. Any issues can be flagged as early as possible, so strategies can be put in place to continue critical activities</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>		<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>		<ul style="list-style-type: none"> <li>-Strategic Training with the Emergency Planning College – 3 Golds and 2 members of EP Team have received training. The remaining two Golds and EPO will be attending the EPC in March 2021</li> <li>-Tactical Training with the Emergency Planning College was postponed in May 2020 due to Covid a new date will be arranged for all Council Silvers for 2021</li> </ul>	<p>Chief Executives</p>	<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 (EMRT) 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> <li>- Communications Team, EP Team and Council Golds have received Crisis Communications Training which was held by the Emergency Planning College</li> <li>- Vacancies on the current EMRT rota was flagged up at Assurance Board. A decision was made to send through to Chief Executive and Executive Directors so staff can be nominated to fill roles</li> </ul>

Risk Title & Description	Original Risk	Existing risk mitigations	Current Risk	Further Planned Actions	Lead Department	Update
<p><b>CR09A – Coronavirus</b> 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; - Deaths to vulnerable people - Overload on Adult Social care service - Severe disruptions to services - Staff shortages</p>		<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>		<ul style="list-style-type: none"> <li>- Continue to monitor and disseminate information from relevant agencies.</li> </ul>	<p>People</p>	<ul style="list-style-type: none"> <li>- 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,</li> <li>- Enfield's Local Outbreak Plan has been approved and is maintained and updated by members of the Local Authority Outbreak Control Team (OCT).</li> <li>- 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</li> </ul> <p>See Covid-19 Risk Register (Appendix B)</p>
<p><b>CR10 – Health &amp; Safety</b> 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. 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>		<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</li> <li>- 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>		<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>	<p>Place</p>	<ul style="list-style-type: none"> <li>- Corporate policies and processes in place to effectively manage the council's operations</li> <li>- Robust risk management systems are in place to control operational risks</li> <li>- Corporate training programmes are in place to ensure staff have the skills and knowledge required to operate safely and mitigate risk to relevant persons</li> <li>- Adequate systems are in place to manage statutory compliance across the residential and corporate Landlord portfolios with planned improvements to provide robust management</li> <li>- 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</li> <li>- Reports to Assurance Board every other month and corporate H&amp;S committee every quarter</li> </ul>

Risk Title & Description	Original Risk	Existing risk mitigations	Current Risk	Further Planned Actions	Lead Department	Update
<b>CR11 - Housing</b> 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.		<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>		<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>	Place	<ul style="list-style-type: none"> <li>- Housing Strategy published.</li> <li>- 3,500 council owned homes programme agreed.</li> <li>- Low Yield programme lead in place.</li> <li>- Proposals to intensify existing estate regen schemes in progress.</li> <li>- Meridian Water Phase 2 100% affordable housing out to procurement</li> <li>- 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</li> </ul>
<b>CR12 – Major Capital Projects</b> 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"> <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>		<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>	Place	Unchanged. There is a detailed risk register for Meridian Water that manages all risks and we are satisfied that the risk is still medium
<b>CR13 – Supply Chain/Contract management</b> 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.		<ul style="list-style-type: none"> <li>- New Contract Procedure Rules (CPR) implemented in 2020</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>		<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>	Resources	<ul style="list-style-type: none"> <li>- This risk continues to remain medium although the following work has been undertaken:</li> <li>- 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.</li> <li>- Departmental contract boards – now up and running. Supplier Resilience programme started in Place to review impact of COVID-19 on supply chain.</li> </ul>
<b>CR14 - Trading companies</b> If the Council's trading		<ul style="list-style-type: none"> <li>- Line of delegation and reserve matters for LBE shareholder</li> </ul>		<ul style="list-style-type: none"> <li>- Review Public Interest Reports from other authorities and draw</li> </ul>	Resources	<ul style="list-style-type: none"> <li>- This risk continues to remain medium. Coronavirus risks have been managed by</li> </ul>

Risk Title & Description	Original Risk	Existing risk mitigations	Current Risk	Further Planned Actions	Lead Department	Update
<p>companies fail or perform poorly then this will result in significant reputational damage and financial loss.</p>		<p>decisions</p> <ul style="list-style-type: none"> <li>- Quarterly reporting of company performance against business plan targets</li> <li>- Annual submission of company business plans</li> <li>- Governance review and action plan in place</li> <li>- Council member and officer presence on all company Boards</li> </ul>		<ul style="list-style-type: none"> <li>up action plans for Enfield.</li> <li>- Review of SLA efficiency and effectiveness</li> <li>- State Aid compliance review</li> <li>- Document process for considering Energetik extensions</li> <li>- Expanding monitoring to separate HGL business units</li> </ul>		<p>companies and have not to date impacted performance for most.</p> <ul style="list-style-type: none"> <li>- Separate risk register for the companies have been developed which will support risk monitoring. This is shared with Assurance Board on a regular basis.</li> <li>- Annual accounts have shown good progress for majority of companies against business plans.</li> </ul>
<p><b>CR15 - Staffing</b> 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>		<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>		<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>	<p>Chief Executives</p>	<ul style="list-style-type: none"> <li>- Digital Service Strategy was discussed at SDB on 10 Nov 2020. ERP was agreed as the preferred organisational tool (Digital Services will take this forward and work with HR and Payroll)</li> <li>- 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.</li> <li>- Future focus will include workforce planning, learning and development; and talent/succession planning.</li> <li>- A greater emphasis has been placed on supporting flexible working – which will also form part of 'Build the Change'. The 'Smart Working Policy' has been developed to support the new ways of working – giving greater flexible to working arrangements across the council and for future recruits. This would potentially attract more talent to the council.</li> <li>- Greater emphasis to be placed on using the apprenticeship levy on existing staff</li> <li>- Regular reviews of MFS in line with labour market.</li> <li>-workforce strategy 2018- 21 is due to be refreshed to ensure the people element is integrated into the council plan and to ensure the council has the right workforce to deliver objectives.</li> </ul>

Risk Title & Description	Original Risk	Existing risk mitigations	Current Risk	Further Planned Actions	Lead Department	Update
<b>CR16 - Financial Management</b> 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'		<ul style="list-style-type: none"> <li>- General Purposes Committee and Assurance Board review of audit actions</li> <li>- Director of Finance has oversight SOA</li> <li>- Plan of improvement reviewed and updated to Audit &amp; Risk Committee.</li> <li>- SOA - Bi-weekly meetings by 3 most senior finance officers</li> </ul>		<ul style="list-style-type: none"> <li>- Restructure in Corporate Finance to review opportunities to strengthen team</li> </ul>	Resources	<ul style="list-style-type: none"> <li>- General Purposes Committee to be updated monthly</li> <li>- Lead Member updated weekly</li> <li>- Schools have been updated with changes.</li> <li>- External audit underway</li> </ul>
<b>CR17 – Tax</b> 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. The risk to the council from getting the partial tax exemption wrong in any year is at least a £2m hit to revenue.		<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>		<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>	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.
<b>CR18 - Civil unrest</b> A confluence of significant events could cause tensions in the community that may result in violence causing injury, death, financial loss and property damage		<ul style="list-style-type: none"> <li>- 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 of wider local partnership- e.g. CCTV</li> <li>- Heightened awareness, targeted projects</li> </ul>		<ul style="list-style-type: none"> <li>- Development of pan London protocols to deal with unlicensed events. Targeted outreach, information sharing and a number of strategies including Community Safety Partnership Plan.</li> </ul>	People	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 these. Public demonstrations in support of the Black Lives movement have taken place without incident.
<b>CR19 - Climate change</b> Climate change and severe weather events may result in a disruption to delivery of services		<ul style="list-style-type: none"> <li>- The council has invested heavily in the delivery of a number of flood mitigation schemes in recent years.</li> </ul>		<ul style="list-style-type: none"> <li>- Implementation of action plan</li> </ul>	Place	Action plan agreed and launched.

Risk Title & Description	Original Risk	Existing risk mitigations	Current Risk	Further Planned Actions	Lead Department	Update
across the Council, with financial, operational, reputational and legal Consequences		<ul style="list-style-type: none"> <li>- Declaration of climate emergency</li> <li>- Climate action plan</li> </ul>				

## Appendix B - Covid-19 Risk Register

### Key to Symbols

Risk Score	Risk Level	Risk Response	Monitoring	Icon
1-8	Low	Accept	Six Monthly	
9-15	Medium	Mitigate	Quarterly	
16-25	High	Escalate	Monthly	

### Key to Linked Risks

Linked Risk	Risk Register
CR	Corporate Risk Register
CV	Covid-19 Risk Register
BR	Brexit Risk Register

Risk Title & Description	Original Risk	Existing Risk Mitigations	Current Risk	Further Planned Actions	Lead Department	Linked Risks	Score
<b>CV01 - Staff Safety</b> If there is a virus outbreak within staff offices, then this may cause large numbers of staff to become unwell and may endanger life		-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.		-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. -LBE TTT (Test, Track & Trace) live -LFD (Lateral Flow Device) testing commenced 8th Dec -6 sites across the borough including Morson Road (opened for staff testing week of 15th Jan) -One-way systems and facemasks made compulsory in buildings 1st Jan. -Vaccine roll-out started in Over 70's and in Care Homes / staff	People	CR10 Health & Safety	
						CR15 Staffing	
<b>CV02 - Mental Health and Wellbeing of Staff</b> There may be an increase in employee related mental health and		-Regular communication to promote health & wellbeing and support services -Virtual Team meetings to ensure		-Departments to carry out resourcing assessment of their teams to identify areas where additional skills may be required, and where possible redeploy staff	Chief Executives	BR06 Anxiety and Stress	
						CR10 Health & Safety	

Risk Title & Description	Original Risk	Existing Risk Mitigations	Current Risk	Further Planned Actions	Lead Department	Linked Risks	Score
wellbeing issues which impacts on the Council's ability to deliver services during the crisis and recover post crisis.		<ul style="list-style-type: none"> <li>colleagues are staying connected</li> <li>-Employee Advice and Counselling Service for specialist confidential support for staff and household members</li> <li>-Crisis communications strategy agreed by Gold and implemented.</li> <li>-Dedicated crisis advice helpline for staff now open Monday to Friday 10am - 4pm</li> <li>-Staff FAQs in place &amp; updated on weekly basis. Communications to staff also managed at Bronze levels</li> <li>-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</li> <li>-A number of events have been put on by the Mental Health &amp; Wellbeing Board with further events planned.</li> <li>-Regular mental health &amp; wellbeing 'Tips of the Day' communication on email and screen savers.</li> </ul>		<ul style="list-style-type: none"> <li>accordingly</li> <li>-Departments to develop plans to enable services to operate on skeleton staff if necessary</li> <li>-Further events organised by the Mental Health and Wellbeing Network</li> <li>-Continue to communicate regularly with residents and staff on all matters relating to COVID-19 including latest health and safety advice.</li> <li>-Latest COVID-19 comms strand being pushed externally and internally is promoting Test and Trace</li> <li>-Staff also being regularly updated on related Build the Change activity and community response initiatives through Culture Matters comms channels and through the Chief Executive's updates.</li> <li>-Reminder of EAP Services</li> <li>-TMG reps encouraged to remind their teams to use up any outstanding annual leave</li> </ul>		CR15 Staffing	
<b>CV03 - Loss of Staff</b> If there is a significant loss of staff (25%-50%) due to the virus, then the delivery of critical services could suffer		<ul style="list-style-type: none"> <li>-Existing Staff Redeployment Process: 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</li> <li>-External Temporary Employment: External recruitment via Matrix for redundant/unemployed Enfield</li> </ul>		<ul style="list-style-type: none"> <li>-Process in place and if further shortages apply these can be advertised on the council website in partnership with Matrix</li> </ul>	Resources	BR04 Staffing	
						CR08 Business Continuity	
						CR10 Health & Safety	
						CR15 Staffing	

Risk Title & Description	Original Risk	Existing Risk Mitigations	Current Risk	Further Planned Actions	Lead Department	Linked Risks	Score
		residents to carry out specific roles/duties for specified periods of time. - Services are notifying us when there are staff shortfalls so 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 -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.					
<b>CV04 - Staff Visits</b> There is an increased risk of staff being exposed to infection whilst attending care visits and appointments		-PPE available for staff -Covid risk assessments of work activities have been undertaken by managers detailing measures to take to minimise risk		-Corporate Health and Safety Team have reviewed COVID risk assessments and any revisions of them as requested by services -Managers responsible for keeping their COVID risk assessments under review and amend as needed (e.g. changes to work activity, legislation or guidance change) -Asymptomatic rapid tests also available to frontline staff	Place	CR10 Health & Safety	
<b>CV05 - Financial Impact on Income</b> 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.		-Monitoring of income and continuing to follow robust yet sympathetic debt collection processes.		-We are in negotiations with central government to see how the impact of the suspension of business rates is to be mitigated. -We are ready to convene remote magistrates' courts to summons appropriately for Council Tax. This is expected to start with a small number of cases in January.	Resources	BR05 Funding in the First Quarter post Brexit	
						BR14 Local Businesses	
						CR02 Failure to maximise income	

Risk Title & Description	Original Risk	Existing Risk Mitigations	Current Risk	Further Planned Actions	Lead Department	Linked Risks	Score
				-Courts have not yet agreed to summons for NNDR			
<b>CV06 - Financial Impact of Additional Expenditure</b> 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		-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.		-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	BR12 Welfare	
						BR13 Additional care requirements	
						CR01 Budget Management	
<b>CV07 - Fraud</b> 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.		-Services aware of the importance of internal controls. -Counter Fraud Team active and available. -Fraud Awareness training, including Cyber Security, delivered to staff as in November 2020. -The Counter Fraud Team have produced a video for staff highlighting the importance of maintaining internal controls during Covid-19. -An investigator has been deployed to support the Business Rates Team's verification of grant payments, to help ensure that assistance is only paid to those genuinely entitled to receive it.		-Corporate Anti-Fraud Team to communicate with key services to monitor fraud attempts and to obtain assurance that controls are operating effectively. -Refreshed Fraud Awareness training is being developed and will be made available to schools during Q4.	Chief Executives	CR03 Fraud/Corruption	
<b>CV08 - Loss of ICT</b> 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.		-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		-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	CR07 Loss of IT	
						CR08 Business Continuity	

Risk Title & Description	Original Risk	Existing Risk Mitigations	Current Risk	Further Planned Actions	Lead Department	Linked Risks	Score
		<p>improved remote access.</p> <ul style="list-style-type: none"> <li>-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.</li> <li>-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.</li> <li>-ICT Business Continuity Plan has been reviewed &amp; is up to date</li> <li>-Weekend ICT service desk support terminated w/e 18/04/20</li> <li>-Calls to the ICT Service Desk has stabilised.</li> </ul>		<p>applications follows Silver &amp; Gold authorisation process.</p> <ul style="list-style-type: none"> <li>-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.</li> <li>-Teams rollout to all services is complete but require completion of Network Programme to ensure connectivity and capacity are robust. Expected between now and end of Financial Year</li> <li>-Looking at possible use of 3rd parties to bolster out of hours cover for Infrastructure and Networks if permanent capacity insufficient</li> </ul>			
<p><b>CV09 - Failure of suppliers</b> 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>		<ul style="list-style-type: none"> <li>-Regular review &amp; monitoring of existing contracts</li> <li>-Services in this position have been asked to identify &amp; prepare contingencies, such as alternative suppliers on SAP, shared services with other local authorities and existing supplier contingency plans</li> <li>-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 information.</li> </ul>		<ul style="list-style-type: none"> <li>-Continued monitoring of contracts where suppliers are most at risks.</li> <li>-BCP Service Leads have been requested to continually keep in contact with external contractors ensuring that they are able to supply the service</li> </ul>	Chief Executives	BR08 Supply Chain	
						CR09 Emergency Incident	
						CR13 Supply Chain/Contract management	
<p><b>CV10 - Reduction in Service Delivery</b> Service delivery may be affected if a significant amount of staff are unwell leading to delays in processing and responding to</p>		<ul style="list-style-type: none"> <li>-All employees able to work from home</li> <li>-Maintain register of employees that can be redeployed to other areas based on need and skills required</li> <li>-Regular information sharing with</li> </ul>		<ul style="list-style-type: none"> <li>-Develop a contingency plan for a potential second wave of outbreak</li> <li>-Train employees to cover vacant roles as required.</li> <li>-Develop plans to enable services to operate on skeleton staff.</li> </ul>	Chief Executives	CR06 Customer Demand	

Risk Title & Description	Original Risk	Existing Risk Mitigations	Current Risk	Further Planned Actions	Lead Department	Linked Risks	Score
service requests.		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					
<b>CV11 - Supply Shortages</b> 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		-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 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.		-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 Procurement Boards -No further planned action	Resources	BR02 Medicine and Supplies Shortages	
						BR08 Supply Chain	
						CR13 Supply Chain/Contract management	
<b>CV12 - Increased demand for Social Care services</b> 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		-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		-Infection control training provided via local NHS trusts to community and care home staff -Information/advice shared with providers incl. Carers/personal assistants -DP users provided with information re access to free flu jabs and ppe for carers/personal assistants -VCS services around info/advice remobilised as part of a community response service for vulnerable and shielding people together with NHS social prescribing offer -NCL sub-region response increased from	People	BR02 Medicine and Supplies Shortages	
						BR13 Additional care requirements	
						CR01 Budget Management	
						CR05 Duty of Care	
						CR06 Customer Demand	

Risk Title & Description	Original Risk	Existing Risk Mitigations	Current Risk	Further Planned Actions	Lead Department	Linked Risks	Score
		-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		85 to 132step up/step down beds for covid positive cases with no admissions to care homes of people who have tested positive -Currently have 17% vacancy rates in care home market. - Community equipment service continues to work Mon-Sun -Gov funding (ICF) distributed to providers as per guidance -Further gov funding for testing/staff released for payment to providers by March 21 -All care homes have now received 1st dose of vaccination - Mass daily LFD testing for provider outbreak hotspots implemented Dec 20 e			
<b>CV13 - Sustainability of interventions</b> If the current level of interventions is 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 viewpoint as the draw on resources would be significant and intensive for short periods of time and repeated frequently		-BCP will need to be reviewed for long term impact.		-Business Unit operating models will need to be reviewed and amended to accommodate new ways of working both in terms of staff numbers, physical resources and budgets this is likely to be driven by demand on services and finances available. Closely linked to CO14. This is managed, reviewed and modified via Silver Group.	People	BR13 Additional care requirements CR05 Duty of Care	 
<b>CV14 - Sustainability of Social Care provider markets</b> If provider market is affected, then potential quarantine of homes or reduced community service with reduced availability of critical support services		-Council continues to follow PHE/government advice & distribute information regularly through comms plan to providers; -Daily ring rounds 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;		-Lifting any embargos on providers to create additional capacity if it is safe to do so; -Provision of temporary grant funding for residential providers -continued payment against commissioned services for community -Passporting of additional Government infection control funding to community and residential providers to ensure staff wages and other infection control costs are covered including Phase 2 funding and	People	BR13 Additional care requirements CR05 Duty of Care CR13 Supply Chain/Contract management	  

Risk Title & Description	Original Risk	Existing Risk Mitigations	Current Risk	Further Planned Actions	Lead Department	Linked Risks	Score
		-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;		additional Phase 3 funding for testing and staff -Support additional recruitment campaigns across NCL and locally for care staff and nursing staff including through mutual aid programme -Currently 306 void beds in Enfield care homes (17%) -Joint work with CCG to commission care -Free PPE through Gov portal & local supplies -Day care providers continue to fund at 100% commissioned service			
<b>CV15 - Supply of PPE</b> 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.		-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.		-Gov portal in place to supply free PPE -Brexit risk register updated to reflect risk to supply chain -Stock levels maintained at least 3 months -Gov infection control funding used to procure additional supplies in line with guidance to minimise impact on council budget -Continued sourcing of supplies maintaining sufficient to meet current and future needs	People	BR08 Supply Chain	
						CR10 Health & Safety	
						CR13 Supply Chain/Contract management	
<b>CV16 - Activation of BC Plans</b> If BCPs have not been reviewed recently or are in place, and circumstances dictate that they must be enacted at short notice,		-Emergency Planning conducted update of all BPCs and presented findings to Doug Wilkinson (Silver Chair) -Gold, Silver & Bronze groups are		-Lead officers to continue to monitor and disseminate information from relevant agencies. -Weekly SitReps are being sent to London Local Authority Coordination Centre.	Chief Executives	CR08 Business Continuity	

Risk Title & Description	Original Risk	Existing Risk Mitigations	Current Risk	Further Planned Actions	Lead Department	Linked Risks	Score
then this could severely impact the organisation's ability to plan and address the crisis, restricting its ability to fulfil duty of care to residents.		now in place and active -COVID-19 risk register created & monitoring with Doug Wilkinson's oversight, escalations to Gold group as required -Emergency planning exercises have been carried out recently for critical services and those who have requested these.		-Weekly internal SitReps are being completed and circulated to Silver and Gold -PH Strategic Management Group has been established and meets twice a week			
<b>CV17 - Fuel Shortage</b> 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)		-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.		-Continue to monitor situation locally on a weekly basis and through London Resilience Team. Fleet Services monitor daily fuel stock held at Morson Road, Pymmes Park and Trent Park and order in advance to ensure fuel stocks are constantly at optimum. All front-line services have been issued with fuel cards to use local filling stations if necessary, to preserve our own stocks should shortages arise	Chief Executives	BR01 Fuel Shortage CR08 Business Continuity CR09 Emergency Incident CR13 Supply Chain/Contract management	   
<b>CV18 - Civil Unrest</b> If uncertainty and tensions rise across the community, then this could lead to further panic buying, riots and disturbance		-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		-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. Regulatory Services also join bi-weekly call to ensure coordination of appointed LA Covid Marshalls. - Head of Service Community Safety	People	BR03 Civil Unrest CR05 Duty of Care CR09 Emergency Incident CR18 Civil unrest	   

Risk Title & Description	Original Risk	Existing Risk Mitigations	Current Risk	Further Planned Actions	Lead Department	Linked Risks	Score
				Planning assumption work with LRF has taken place with submission due in early Feb, to reflect combined protest issues and impact of lockdown.			
<b>CV19 - Health and Wellbeing of community</b> 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		<ul style="list-style-type: none"> <li>-Regular calls to vulnerable residents</li> <li>-Community Hub in place to support our most vulnerable residents with food and medical supplies</li> <li>-Temporary housing supported accommodation.</li> <li>-Crisis communication plan in place - Webpage updated</li> </ul>		<ul style="list-style-type: none"> <li>-Work with Local Strategic Partnership to identify local emerging needs</li> <li>-Review of grants to further support the needs of the community</li> <li>-Deliver agreed communications plan and update/amend as needed</li> <li>-EST hub responding to requirements of CEV residents depending on tier status, and also referrals to non-CEV residents needing support with food, social befriending, financial hardship.</li> <li>-EST hub also leading implementation of Covid Winter Food Grant from Dec 20 – March 21. New communications delivered.</li> </ul>	Resources	BR06 Anxiety and Stress	
						BR12 Welfare	
						CR05 Duty of Care	
						CR10 Health & Safety	
<b>CV20 - Local Businesses</b> The pandemic may bring about an economic downturn, resulting in business no longer being able to operate in Enfield.		<ul style="list-style-type: none"> <li>-Grants / Business rates relief</li> <li>-Learn from and build upon the Business Portal, set up during COVID-19 to become a go to space for Enfield businesses</li> <li>-Gather data and insight to support businesses now and in the future</li> <li>-Create a space for small businesses to possibly highlight council support and share a forum for business interaction</li> </ul>		<ul style="list-style-type: none"> <li>-Liaison with Heads of Service for Economic Development, Customer Experience and Commercial to build upon existing Business Portal</li> <li>-Engage with businesses to ask what they need now and in the future for Information, Advice and Guidance, including grant and bid opportunities.</li> <li>-Business portal for administration of grants run by Resources – all working well)</li> </ul>	Place	BR14 Local Businesses	
						CR02 Failure to maximise income	
						CR06 Customer Demand	
<b>CV21 - Unaffordable and inaccessible space to trade and work from</b> Bedroom and small businesses may find it difficult and expensive to find fledgling accommodation and employees may want to work elsewhere, adopting the remote working culture further - and leading to vacant spaces and buildings		<ul style="list-style-type: none"> <li>-Good growth fund at Fore Street Library an example of future design</li> <li>-Seize opportunities to create infrastructure including access to strong wi-fi from wherever, whereby Enfield and neighbouring residents alongside LBE employees can work elsewhere and stay local. Thus, benefitting the local economy from disposable income spend and</li> </ul>		<ul style="list-style-type: none"> <li>-Use Fore Street Library and other builds as prototype modelling and design in keeping council properties purposeful, flexible and relevant to Enfield business</li> <li>-Growth in Enfield economy and prosperity, building upon its industrial and electrical manufacturing history to a modern, flexible and affordable place of working for ICT, media, creative and media cultural businesses</li> </ul>	Place		

Risk Title & Description	Original Risk	Existing Risk Mitigations	Current Risk	Further Planned Actions	Lead Department	Linked Risks	Score
		facilitate collaborative working.		-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			
<b>CV22 - Rise in unemployment</b> 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).		-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 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		-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 -Enfield vacancies are advertised on the council's website -Economic Development are working the DWP to access the Kickstart initiative and working with HR to establish how this can be mirrored across and accessed by the Council.	Place	CR02 Failure to maximise income	
						CR05 Duty of Care	
						CR06 Customer Demand	
<b>CV23 - Closure of LBE buildings</b> 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,		-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 CV1&4 for further details. Registrars Safe & Connected and Refuse & Fleet services can now		-Emergency Planning team 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. Any issues being reviewed as part of day to day support,	Resources	CR08 Business Continuity	

Risk Title & Description	Original Risk	Existing Risk Mitigations	Current Risk	Further Planned Actions	Lead Department	Linked Risks	Score
homelessness & social care service buildings		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. Needs are being met. Costs are being incorporated into MHCLG reporting (Shielded and Non-Shielded Vulnerable)		treating remote working as normal. -Libraries are now open with restricted services but also includes face to face customer support -EST Hub continues to support CEV and other residents struggling with food, financial hardship and social isolation, and the occasional emergency delivery. Ready to support tier 3 if needed.			
<b>CV24 - Regeneration and housing programmes</b> The pandemic is bringing about an economic downturn, which could lead to an inability to deliver the Council's ambitious regeneration and housing programmes.		-Development and Regeneration Board reviewing progress with schemes monthly -Ongoing review and monitoring by project managers. -Place procurement board monitoring major development/regen suppliers and partners		-Proposals for an RP framework to provide a way to engage a wider group of partners in opportunities – including if schemes stall – being put into place although will take a year. -AHP programme 2021/26 currently considering bids. -Lobbying and seeking out opportunities for regeneration funding which may not be included in the AHP programme	Place	CR11 Housing CR12 Major Capital Projects	 
<b>CV25 - Emergency repairs and health and safety compliance in council housing</b> 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		-In house workforce provides resilience, government guidance in place providing clarity over means of safe access to homes. -Challenges with recruiting suitable technical staff being reviewed with HR		-Preparations ongoing to prepare to respond to the higher impact of power and component failures. -Lift replacement and planned programme underway.	Place	CR11 Housing CR12 Major Capital Projects	 

Risk Title & Description	Original Risk	Existing Risk Mitigations	Current Risk	Further Planned Actions	Lead Department	Linked Risks	Score
other Council services in the short term							
<b>CV26 - Excess Death</b> If death rates increase dramatically, then there will not be enough storage space in the borough for the bodies prior to cremation/burial posing a health & safety risk to residents.		<ul style="list-style-type: none"> <li>-Joint plan with LB Haringey for excess death</li> <li>-A MHCLG portacabin body storage unit is in place to create additional capacity at Haringey for Enfield (and becomes a shared London resource if needed).</li> <li>-NCL excess mortality group is meeting as needed during the second wave</li> <li>-In addition, the London Resilience Group (MMG) is closely monitoring the death rate and the body storage capacity in London amongst LAs, NHS and funeral directors.</li> <li>-All London Borough have agreed and funded the regional temporary body storage hubs for London if needed (the hubs are on standby if needed)</li> <li>-Enfield have measures in place should we need to increase the number of funerals for wave 2</li> <li>Registrars have measures in place should they need to increase capacity for death registration for wave 2</li> </ul>		<ul style="list-style-type: none"> <li>-Haringey and Enfield excess mortality group has been stood up again w/c 18/1/21 due to increase in deaths</li> <li>-London temporary body storage regional hub (Breakspear) has been stood up again w/c 25/1/21 due by increased deaths and pressure on mortuaries</li> <li>-Have increased capacity (increased appointments and Saturdays) for burials and increased capacity and appointments for death registration.</li> <li>-Have created additional burial space at both Edmonton and Southgate Cemeteries which is nearing completion.</li> </ul>	Place	CR05 Duty of Care CR09 Emergency Incident CR10 Health & Safety	  
<b>CV27 - High &amp; fast infection rates</b> 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)		<ul style="list-style-type: none"> <li>-Flu plan tested in a multi-agency exercise last year -Following &amp; enacting central government advice to flatten infection curve as quickly as possible.</li> <li>-COVID-19 emergency planning now active, Bronze, Silver &amp; Gold all live, business continuity plans being reviewed by all services</li> <li>-All service leads are required to complete a BCM Situation Report and monitor the service on a daily basis</li> </ul>		<ul style="list-style-type: none"> <li>-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.</li> <li>-Online scenario planning held with schools -Seminar held with Headteachers</li> <li>-Letter sent to all Enfield households</li> <li>-Social media being used to communicate messages</li> <li>-Cllrs have produced videos in non-English languages</li> </ul>	People	BR13 Additional care requirements CR10 Health & Safety	 

Risk Title & Description	Original Risk	Existing Risk Mitigations	Current Risk	Further Planned Actions	Lead Department	Linked Risks	Score
		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.		-PH and Comms working to promote NHS app when launched -Continuing work with the Faith Forum -LBE TTT live -LFD testing starting Dec 2020 -LFD and PCR testing in place and targeted at high risk areas -Vaccine roll-out begun -National lockdown implemented			
<b>CV28 - Community Shielding Hub &amp; volunteer support</b> 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.		-Recovery phase Gold meeting took place on 05/06/20 including Community Shielding Hub to discuss mitigating actions and plan for recovery phase.		-Understand what post-lockdown support requirements are for CEV and Non-CEV Vulnerable -EVA will provide volunteers if needed, currently completing the processes for this to work	Resources	BR12 Welfare	
						CR05 Duty of Care	
						CR10 Health & Safety	
<b>CV29 - Lockdown/ Quarantine</b> 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		-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		-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. -Sub-regional group established to provide consistency across NCL area, includes Met Police with Borough Commander in attendance and London Councils. -Community Testing Programme group being established to plan for mass testing across the borough if required.	Chief Executives	CR02 Failure to maximise income	
						CR08 Business Continuity	

Risk Title & Description	Original Risk	Existing Risk Mitigations	Current Risk	Further Planned Actions	Lead Department	Linked Risks	Score
		letter authorising their continued circulation around the Borough along with ID card provision					
<b>CV30 - Prolonged school closures</b> 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.				-Support is to continue to be provided by education, HR and public health to support headteachers with decision making. Weekly meetings are held with headteacher reps and also monthly briefings for headteachers. There is regular comms with schools through the Director and through the hub	People	CR05 Duty of Care	
<b>CV31 - Tier Changes</b> If London changes Tier, there will be restrictions on movement within and outside of the Borough making it difficult to deliver essential services.		- Staff have been issued with letters from the Chief Executive identifying them as critical workers to enable travel to work for essential services to be maintained. This will also enable childcare/ schooling places to be secured to further enable essential workers to attend workplace. -All Directors have completed a Service Impact		- Work ongoing with Emergency Services partners to ensure Council services can be delivered during lockdown. -This will be kept under review and monitored via Silver group	Chief Executives	BR12 Welfare	
						CR10 Health & Safety	
<b>CV32 - Third Wave</b> If there is a "Third wave" of COVID-19, this will result in significant additional pressures on the Council's resources.				-This will be kept under review and monitored via Silver group -Gatekeeping in homelessness will be necessary if we are to contain costs	Place	BR12 Welfare	
						CR02 Failure to maximise income	
						CR09 Emergency Incident	
						CR10 Health & Safety	
<b>CV33 - Third wave Care Homes/supported living schemes</b> If there is a "third wave" of Covid 19, this will result in significant increased risk to Enfield's care home/supported living scheme residents		-Infection control training delivered with refresh training available -No admissions for C19 positive people -85 NCL step up/step down beds secured for C19 positive people where residential/nursing care needed – now increased to 132		-This will be kept under review and monitored via HASC Bronze Group & Senior Management Team -Care homes contacted x 3 weekly to monitor infection rates and deaths -Working with PH registrars good practice guidance to be distributed -Phase 2 government infection control	Place	BR12 Welfare	
						CR02 Failure to maximise income	
						CR09 Emergency Incident	
						CR10 Health &	

Risk Title & Description	Original Risk	Existing Risk Mitigations	Current Risk	Further Planned Actions	Lead Department	Linked Risks	Score
		-Enhanced rapid flow testing now in place for outbreak hotspots -All Care homes have now received 1st vaccine dose -Outbreak and death rate has begun to increase again across care homes and SL schemes -Regular visiting advice developed and distributed to Care homes		funding to be distributed -Continue to regularly monitor use of new rapid flow testing and roll out of vaccination programme expected in January 21 -Vaccine roll out to begin for supported living schemes WC 25 January 21		Safety	
<b>CV34 - Third wave Day Care</b> If there is a "Third wave" of Covid 19, this will result in significant risk to day care returners.		-Day care project group in place -Regular Testing capacity in place -Bubbles created with limited number of returners in phase 1 Individual risk assessments done for highest priority cases including impact on carers/family where service cannot resume or continue		-This will be kept under review and monitored via HASC Bronze group and the Senior Management Team Continue to monitor availability of testing and lab capacity to support the project Phase 1 continues with access to PCR and LFD testing capacity for a move to Phase 2 of reopening in the new year.	Place	BR12 Welfare	
						CR02 Failure to maximise income	
						CR09 Emergency Incident	
						CR10 Health & Safety	
<b>CV35 - Re-opening buildings</b> Infections may spread once buildings have been re-opened, if LBE buildings are not made Covid safe		- Prior to any buildings re-opening LBE ensure the buildings are Covid safe. This includes <ul style="list-style-type: none"> <li>• A building Risk Assessment,</li> <li>• A service Risk Assessment,</li> <li>• Review of building layout including access and egress,</li> <li>• Enhanced cleaning regimes</li> <li>• One way systems,</li> <li>• Strategically located hygiene product around the building.</li> </ul>		- Ongoing monitoring by the Accommodation Board (which replaced the Return to Work Board)	Place	CR10 Health & Safety	

## Appendix C - Brexit Risk Register (Day 1-100) - February 2021

### Key to Symbols

Risk Score	Risk Level	Risk Response	Monitoring	Icon
1-8	Low	Accept	Six Monthly	
9-15	Medium	Mitigate	Quarterly	
16-25	High	Escalate	Monthly	

### Key to Linked Risks

Linked Risk	Risk Register
CR	Corporate Risk Register
CV	Covid-19 Risk Register
BR	Brexit Risk Register

Risk Title & Description	Original Risk	Existing risk mitigations	Current Risk	Further Planned Actions	Lead Department	Update	Linked Risks	Score
<b>BR01 - Fuel Shortage</b> Fuel shortage caused by panic buying and/or delays to supply, causes disruption to key services		Fuel reserves held with regular deliveries to keep Fuel tanks topped up. Operational contingency plans in place. National and local Fuel plans in place		Plans to prioritise operations/ essential services in place. Continue to monitor situation via Single Point of Contact network to regional/national guidance	CEX	Actions ongoing	CR08 Business Continuity	
							CR09 Emergency Incident	
							CV17 Fuel Shortage	
<b>BR02 - Medicine and Supplies Shortages</b> Delay in access to medicines and/or shortage of supply may result in increased costs and disruption in service (including vaccinations and PPE) and increased poor health (including Covid)		NHS national co-ordination centre leading on this issue and will update when information becomes available. Overview of flu vaccination availability by HWB. Panel is attended by North Middlesex Hospital representative		Further updates to brought back to the meeting as information becomes available. NHS Representatives: Chase Farm, NCL CCG (Clinical Commissioning Group), Barnet, Enfield and Haringey Mental Health (BEHMHT), North Middlesex Hospital invited to attend	People	Actions ongoing. Further details added to risk description.  More formalised discussions with NHS representatives have been ongoing.  As at the last update there are currently no issues with medicine and supply shortages relating to Brexit being reported	CR05 Duty of Care	
							CR13 Supply Chain/Contract management	
							CV11 Supply Shortages	
							CV12 Increased demand for Social Care services	
<b>BR03 - Civil Unrest</b> Uncertainty may cause panic buying, riots and disturbance		Existing emergency plan in place. Gold command in place.		Lead officers to continue to monitor and disseminate information from relevant agencies.	People	Risk rating increased due to current tensions  As at the last update there have been no reports of civil unrest relating to Brexit.	CR05 Duty of Care	
							CR18 Civil unrest	
							CV18 Civil Unrest	

Risk Title & Description	Original Risk	Existing risk mitigations	Current Risk	Further Planned Actions	Lead Department	Update	Linked Risks	Score
<b>BR04 - Staffing</b> Uncertainty of the Brexit process may lead to staff disruption/absences.		Unlikely to see any issues until 2020. No concerns raised by staff or management.		No further actions planned, Risk currently at an acceptable level	CEX; People	No change	CR15 Staffing	
							CV03 Loss of Staff	
<b>BR05 - Funding in the First Quarter post Brexit</b> Temporary delay on EU direct funding/grants scheduled to be received in first quarter post Brexit.		Exposure currently at a very low level with no disruption expected		No further actions planned, Risk currently at an acceptable level	Resources	No change	CR01 Budget Management	
							CR02 Failure to maximise income	
							CV05 Financial Impact on Income	
<b>BR06 - Anxiety and Stress</b> Increased levels of anxiety and stress amongst population and staff may lead to an increase in demand on services.		Crisis communication plan in place. Webpage updated.		Deliver agreed communications plan and update/amend as needed	CEX	Actions ongoing	CR10 Health & Safety	
							CR15 Staffing	
							CV02 Mental Health and Wellbeing of staff	
							CV19 Health and Wellbeing of community	
<b>BR07 - Community Offer</b> Inadequate provisions and/or communications by LBE regarding services offered to facilitate transition post Brexit for EU residents of the Borough		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.		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	Actions ongoing	CR06 Customer Demand	
<b>BR08 - Supply Chain</b> Disruption to supply chain may cause adverse effects on delivery of services & essential equipment eg PPE and/or increased costs.		Analysis of existing emergency suppliers identified no issues. Will continue to maintain at least 12 weeks of PPE stock to mitigate against possible future supply shortages.		Extensive exercise being carried out on critical suppliers to identify any potential issues  BC reps and leads contacted to ask to ensure that External	CEX	Existing strategies that have been put into place have now been noted  Regular meetings between BC officer and BC reps for all directorates	CR13 Supply Chain/Contract management	
							CV09 Failure of suppliers	
							CV11 Supply	

Risk Title & Description	Original Risk	Existing risk mitigations	Current Risk	Further Planned Actions	Lead Department	Update	Linked Risks	Score
		BC reps and leads asked to check external contractors and suppliers BCP plans to ensure they can continue to meet service requirements		contractors and suppliers are still able to provide a service due to Brexit or identify alternative suppliers			Shortages CV15 Supply of PPE	
<b>BR09 - Compliance of Data and Applications</b> Data transfers between the UK and EU / US may not be legal or compliant and could be open to challenge.		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.		Discussion ongoing to migrate existing cloud based data to UK servers.	CEX; Resources	Actions ongoing	CR04 Information Governance	
<b>BR11 - Housing checks and immigration right to rent</b> Impact of updated guidance.				Housing representative to be invited to future meeting	Place	To be discussed further.	CR11 Housing	
<b>BR12 - Welfare</b> Increased costs and supply shortages may lead to a fall in the standard of welfare, including food insecurity & fuel poverty,		Regular donations made by the Council to the food banks. Monitor homelessness applications closely.		Additional funds will be made available to local food banks if necessary.	Resources	To be discussed further.	CR05 Duty of Care CR06 Customer Demand CV06 Financial Impact of Additional Expenditure CV19 Health and Wellbeing of community CV31 Local Lockdown CV32 Second Wave	     

Risk Title & Description	Original Risk	Existing risk mitigations	Current Risk	Further Planned Actions	Lead Department	Update	Linked Risks	Score
							CV28 Community Shielding Hub & volunteer support	
<b>BR13 - Additional care requirements</b> There may be increased health care costs due to elderly British nationals returning to the UK who require more support.				Monitoring of the situation. No further actions planned at the moment as this issue has not emerged yet.	People	As at the last update this issue has not emerged yet.	CR01 Budget Management	
							CV13 Sustainability of interventions	
							CR05 Duty of Care	
							CR06 Customer Demand	
							CV06 Financial Impact of Additional Expenditure	
							CV12 Increased demand for Social Care services	
							CV14 Sustainability of Social Care provider markets	
							CV27 High & fast infection rates	
<b>BR14 - Local Businesses</b> Brexit may compound the economic effects of Covid-19, resulting in business no longer being able to operate in Enfield.		Grants / Business rates relief. -Translate the learnings and build upon the Business Portal set up due to Covid-19 to become a go to space for Enfield businesses.		Create a space for small businesses to possibly highlight council support and share a forum for business interaction. -Gather data and insight to support businesses now and in the future.	Place	The Economic Development team is currently making contact with our top 100 or so businesses to see how they are doing.	CR02 Failure to maximise income	
							CV05 Financial Impact on Income	
							CR06 Customer Demand	
							CV20 Local Businesses	

## Appendix D - Glossary of Acronyms

Acronym	Detail
AHP	Affordable Homes Programme
CAIT	Complaints and Information Team
CCG	Clinical Commission Group
CEV	Clinically Extremely Vulnerable
CMS	Contact Management System
CPR	Contract Procedure Rules
CRM	Customer Relationship Management
DP	Direct Payment
DPO	Data Protection Officer
DWP	Department of Work and Pensions
EST	Enfield Stands Together
FOI	Freedom of Information
FOIA	Freedom of Information Act 2000
H&S	Health and Safety
HASC	Health and Social Care
HOLS	Head of Legal Service
ICT	Information & Communication Technology
IGB	Information Governance Board
JC+,	Jobcentre Plus
L&D	Learning and Development
LFD	Lateral Flow Device
LRF	London Resilience Forum
MECC	Making Every Contact Count
MHCLG	Ministry of Housing, Communities and Local Government
MTFP	Medium Term Financial Plan
NCL	North Central London
NEETS	Not in Education, Employment, or Training
NMDDX	North Middlesex Hospital
PPE	Personal Protective Equipment
SDB	Strategic Development Board
SDLT	Stamp Duty Land Tax
SitReps	Situation Report
SMG	Strategic Management Group
SOA	Statement of Accounts
STEM	Science, technology, engineering, and mathematics
THFC	Tottenham Hotspur Football Club
TMG	Tactical Management Group
TTT	Test, Track & Trace
UME	Unlicensed Music Event
VCS	Voluntary and Community Sector