

London Borough of Enfield

General Purposes Committee

30 June 2021

Subject: Corporate and COVID-19 Risk Register Updates

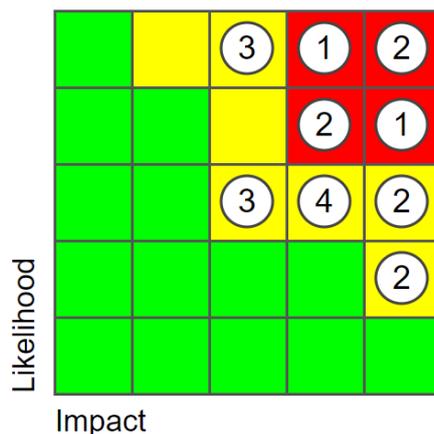
Cabinet Member: N/A

Executive Director: Ian Davis, Chief Executive

Key Decision: N/A

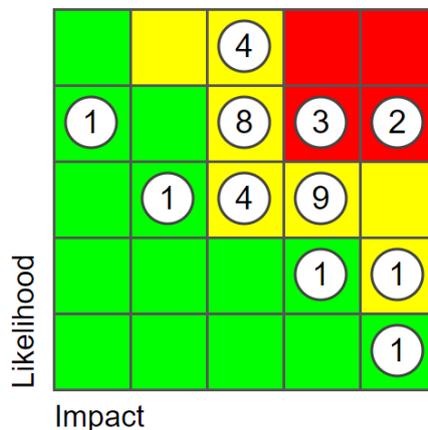
Purpose of Report

- 1 This report presents the revised Corporate Risk Register and COVID-19 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 Following the end of the Brexit transition period on 31 December 2020, risks from the Brexit Risk Register have been closed and any residual risks have been amalgamated into the Corporate Risk Register.
- 4 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.
- 5 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.)

- 6 Since the last meeting there have been no changes to risk scores.
- 7 A full refresh of the Corporate Risk Register has begun, and further details will be presented to GPC at the next meeting.
- 8 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.
- 9 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**.



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

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 and COVID-19 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 Risk Management 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**,) and the COVID-19 Risk Register (**Appendix B**) 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 Following the Completion of the Corporate Equalities Impact Assessment initial screening, this report does not have an Equalities impact.

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 There are no property implications intrinsic to the proposals in this report.

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 and the COVID-19 Risk Register.

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Date of report 21 June 2021

Appendices

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

Risk Title & Description	Original Risk	Existing risk mitigations	Current Risk	Further Planned Actions	Lead Department	Update
<p>CR01 - Budget Management 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"> - Monthly reporting and forecasts reviewed by senior management - Budget Pressures board set up - Regular reporting to EMT & Cabinet - Monitoring of the Council Tax and Business Rates tax base - Contingencies/reserves reviewed annually - Forward planning - 5-year MTFP (Medium Term Financial Plan), 10-year capital programme and treasury strategy 		<ul style="list-style-type: none"> - Ongoing review of adequacy reserves - Fair Funding Review - Keeping up-to-date 	Resources	<ul style="list-style-type: none"> - 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. - 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. - 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.

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.
CR02 - Failure to maximise income 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"> - Dedicated Commercial team focussed on supporting services on maximising income - Targets and KPIs regularly monitored - Benchmarking fees and charges with other LAs - Commercial pipeline 		<ul style="list-style-type: none"> - Delivering the Payment Programme to make paying easier, more accessible and efficient. - Delivering functionality to issue electronic debt reminder notifications to recover ASH Sundry debt. - Implementation of commercial microsite and new CRM (Customer Relationship Management) & CMS (Contact Management System) platform to facilitate payment upfront and booking capability for seamless delivery of services and better customer experience (Customer Experience Programme). - Improve understanding of traded services income and expenditure. - Development of a debt prevention and recovery strategy 	Resources	<ul style="list-style-type: none"> - This risk continues to remain high although the following work has been undertaken: - A Traded Services Forum meeting took place to support upskilling of colleagues across the council. - Work is continuing with the Commercial Team to look at opportunities to increase income. - The CRM and CMS projects are on track to deliver the minimum viable product (phase 1) by June 21. - 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.
CR03 - Fraud/Corruption 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"> - Fraud awareness training - Whistleblowing policy - Anti-Fraud strategy and action plan - Reporting to GPC/EMT - Pursue maximum sanctions in line with policy and regulations - Adequately resourced and qualified internal audit and anti-fraud service - Annual review of anti-fraud policies and procedures 		<ul style="list-style-type: none"> - Participation in anti-fraud exercises, including the National Fraud Initiative and a data matching pilot lead by CIFAS. - Participating in pilot exercise to share financial fraud intelligence with financial institutions. - Continue to carry out pre- and post- award assurance checks for the Small Business Grant Fund scheme. The Counter Fraud Operational	Chief Executives	<ul style="list-style-type: none"> - 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: - Continuing targeted post-event assurance checks on Small Business Grant Fund payments, and helping to verify payments due as part of the

Risk Title & Description	Original Risk	Existing risk mitigations	Current Risk	Further Planned Actions	Lead Department	Update
		<ul style="list-style-type: none"> - Annual audit plan and implementation of recommendations - Ongoing rigour to ensure that audit actions are implemented in a timely way 		<p>Plan 2021/22 will be publicised detailing planned work in addition to our core business activities of investigating reactive referrals. These include:</p> <ul style="list-style-type: none"> - Carrying out a review of procurement made through purchase cards (further to audit work) to identify potential fraudulent transactions; - Reviewing employee expenses, Direct Payments and Disabled Facilities Grants; - Promoting fraud awareness for staff during International Fraud Awareness Week (14 to 20 November 2021). - Participating in a joint online fraud awareness and audit training event for schools. 		<p>Restart and Additional Restrictions grant schemes;</p> <ul style="list-style-type: none"> - Seconding a Fraud Investigator to supervise the Test and Trace Support Payment Scheme; - Fraud awareness training has been published online for Enfield maintained schools to use to help identify their key fraud risks; - Working with the Communications Team to quickly publicise fraud attempts and scams to residents and staff using social media and other available channels; - Working with the Risk Managers Group to highlight fraud as a risk within risk registers; - Continuing with our core business activities, including reactive work of investigating referrals made to the team.
<p>CR04 - Information Governance 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"> - Data Protection Officer (DPO) in place - Mandatory E-Learning for all staff - Acceptable use policy in place - FOI (Freedom of Information) team in place with regular monitor of responses - IGB (Information Governance Board) in place - Regular reminders sent to staff - Cyclical audit of governance arrangement. - Implement recommendations from GDPR internal Audit which took place in 2018/2019. 		<ul style="list-style-type: none"> - Communication and implementation of clear desk policy, security measures and access control - Embedding of Information Governance culture and best practice - Communicating procedures for reporting breaches 	Chief Executives	<ul style="list-style-type: none"> - FOI related actions were addressed in the CAIT audit. - Reasonable assurance given - Clarity of retention policies and communication with all staff will be picked up by DPO in workshops. HR are also now on IGB board and are picking up information governance training issues corporately. - Communication of the right of erasure (right to be forgotten) to all staff will be picked up by DPO. - More control of documentation is being taken forward by the Data quality project IGB have completed annual review of policies - IGB have reviewed the terms of reference to strengthen data governance and reporting lines. The Senior Information Risk Owner (SIRO) and HOLS have undergone SIRO training to better understand the role.

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						<p>- New risks around disclosure of personal data due to COVID-19 measures are being managed by documenting legal basis for sharing, discussion at IGB and data sharing agreements, where appropriate. This is an area which needs to be kept under close review.</p> <p>- 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</p> <p>- Data Retention Awareness, compliance and review incorporated into IGB monitoring from January 2021</p> <p>- GDPR training, policies and retention schedule have been reviewed / updated and signed off at IGB.</p> <p>IGB Annual Assurance Board accepted at GPC 4/3/21, IGB Focus on improved Annual Plan in place for 21/22, including reporting into Assurance Board any non- compliance for IG.</p>
<p>CR05 – Duty of Care If the Council fails in its statutory duties to Adults & 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"> - Safeguarding procedures - Policies - DBS checks for staff and volunteers - Performance monitoring of contractors/partners - Multi-Agency Safeguarding Hubs - Adults & children’s services combined under one directorate - Internal audit and quality assurance processes - Risk management panel - Complaints & compliments system - Assurance Board 		<ul style="list-style-type: none"> - Planned programme of audits covering children and adults safeguarding - External Inspections (Internal controls help to manage and reduce risk, but risk cannot be eliminated from this area of work) 	<p>People</p>	<p>The following services are subject to Internal Audits for 2021-22 within the People Department:</p> <ul style="list-style-type: none"> • Primary Behaviour Support Service • Secondary Behaviour Support Service • Bridgwood House • SEN Commissioning • Looked After Children • Deprivation of Liberty Safeguards <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>

Risk Title & Description	Original Risk	Existing risk mitigations	Current Risk	Further Planned Actions	Lead Department	Update
<p>CR06 - Customer Demand If demand changes (due to changes in population, changing demographics, Brexit, political etc.) then this could result in an inability to meet service delivery. 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>		<ul style="list-style-type: none"> - Eligibility criteria for services - Making Every Contact Count (MECC) for staff - Services are focussed on early help and enablement to prevent escalation of need - MyLife Portal & Eclipse implementation complete Nov 20 (HASC Transformation Programme) - Development of the Children's Portal (Children's Transformation Programme) - Models of social work practice - Smoking cessation - Sexual health - Substance misuse services - There were 203 additional places opened in September 2019 in Special Schools and 57 additional places in mainstream schools run by special schools. 		<ul style="list-style-type: none"> - Predictive analytics - Increasing SEN Places in the borough - Monitor the housing market - Improve self-serve options for customers - Build capacity in customers to resolve issues - New homelessness prevention service model and Board - New Community Solutions Hub and Project (Customer Experience Programme) addressing demand failure and prevention. 	People; Place	<ul style="list-style-type: none"> - MECC training for 500 staff commenced in August 2019. - The department continues to monitor closely SEND numbers and future plan for schools' places to meet need; and ensure that the planned projects are completed to time to meet pupil need. - MyLife is available and continues to be developed - 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. - New homelessness service model in development - The Community Hub Solutions model is a project currently under development within the Customer Experience Programme to address demand failure and prevention. - MyLife & Eclipse Projects (HASC Transformation Programme) - enabling clients to help themselves via the MyLife Portal and implementation of a new case management system that allows our specialist teams to focus and spend more time with the service users (Eclipse). - 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. - Domestic Abuse Act 2019, introduced to the

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						House on 3 rd March, will recognise children as victims of domestic abuse, leading to an increase in demand for support services for children and young people. The Domestic Abuse Strategy Group will review current arrangements and working with partners to develop a pathway to respond to this new statutory requirement.
<p>CR07 - Loss of IT Failure of the Councils ICT and/or Digital systems (due to cyber-attack, hardware failure etc..) will lead to a severe disruption of service delivery.</p>		<ul style="list-style-type: none"> - Regular audits - Acceptable use policy and cyber security - Mandatory staff E-Learning on Acceptable use policy and cyber security policy - Raised Awareness regarding Cyber Attacks, including simulated tests to measure compliance (e.g. Phishing) - Business continuity plan in place and to be reviewed regularly. Further review with Emergency Planning to review all BCP's focussing on DS/IT support – to be done in 21/22 - Resilient infrastructure e.g. backup, Data servers - Data recovery service in place - Network Upgrade - Introduction of new tools to support remote working (Forticlient and Multi Factor Authentication) - Disaster Recovery Plan review and Test Programme to be run in 21/22 		<ul style="list-style-type: none"> - Ongoing improvement of the infrastructure Resilience through the delivery of the infrastructure programme. - Complete the new device rollout programme and ongoing hardware refresh - Complete the IT restructure and recruitment, building a procurement and contract management capability to manage supplier relationships effectively. 	Resources	<ul style="list-style-type: none"> - This risk continues to remain high although the following work has been undertaken: - Actions continue to be progressed on the infrastructure programme. In Q3 we will be complete replacing end-of-life equipment in our on-site server room. Additional external supplier now in place completing Phase 1 of programme and additional out of hours 24/7 support - 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. - Remediation Programme has been developed and we are in procurement process for remedial work to resolve all outstanding security risks - 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. New Mandatory Training to go live in 21/22 combining Cyber, DPO, and Info Gov Awareness using ILearn - 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) - Digital Services Restructure and Strategy approved by cabinet 11/11/20 and being implemented from Nov 20 over period of 12 months. HoS all in place by March 2021 – 13 vacancies remain - 20/21 audits regarding Cyber Security and

Risk Title & Description	Original Risk	Existing risk mitigations	Current Risk	Further Planned Actions	Lead Department	Update
						<p>Cloud Management received Reasonable Assurance received with no High Risks</p> <ul style="list-style-type: none"> - 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. CSRP in delivery, resource issues may put back delivery into Q1/Q2 21/22 being addressed by external specialist - 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. All DS High Risks now closed, latest audit reports have flagged no new red risks
<p>CR08 – Business Continuity 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>		<ul style="list-style-type: none"> - Business Continuity Management Board - Training - Adequate Insurance in place - Corporate Business Continuity (BC) plan in place - Departmental business continuity plans in place 		<ul style="list-style-type: none"> - Department & Service BC Plans are constantly being updated and reviewed during COVID-19 - Corporately Services and Department have reviewed plans in line with lessons learnt from COVID-19 	<p>Chief Executives</p>	<ul style="list-style-type: none"> - The Emergency Planning (EP) Team are supporting departments as needed - Ensuring critical teams are continuing to maintain appropriate services - Departments are required to complete weekly SitReps by exception only - Critical Service Leads are required to update the BC SitRep as and when needed - All service leads that have identified they use external providers/ contractors have made contact with them and confirmed that they are still able to provide a service after the UK leaves the EU. - The EP Team are in contact 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
<p>CR09 – Emergency Incident If there is a failure to respond</p>		<ul style="list-style-type: none"> - Staff are adequately trained to respond 		<ul style="list-style-type: none"> -Strategic Training with the Emergency Planning College – 3 	<p>Chief Executives</p>	<ul style="list-style-type: none"> - London Standardisation Training has taken place, all teams are fully staffed.

Risk Title & Description	Original Risk	Existing risk mitigations	Current Risk	Further Planned Actions	Lead Department	Update
adequately following a major incident within the borough that adversely affects residents / businesses, then this may result in significant reputational damage.		<ul style="list-style-type: none"> - Staff volunteers to assist in responding - Out of hours response team - Incident management policies - Additional officers has led to an increase in resilience within the EP team 		<p>Golds and 2 members of EP Team have received training. The remaining two Golds and EPO will be attending the EPC in June and October 2021</p> <p>-Tactical Training with the Emergency Planning College was postponed in May 2020 due to COVID-19 a new date will be arranged for all Council Silvers for 2021</p>		<ul style="list-style-type: none"> - The Emergency Response Management Teams (EMRT) consists of 9 teams and each team consist of 10 officers which includes the Council Gold - During the COVID-19 response the EMRT will continue as BAU, with a dynamic approach. - Communications Team, EP Team and Council Golds have received Crisis Communications Training which was held by the Emergency Planning College - Vacancies on the current EMRT rota are currently being recruited to.
<p>CR09A – Coronavirus</p> <p>An outbreak could lead to a significant number of people being infected within a short period of time. This could lead to severe consequences including;</p> <ul style="list-style-type: none"> - Deaths to vulnerable people - Overload on Adult Social care service - Severe disruptions to services - Staff shortages 		<ul style="list-style-type: none"> - Flu plan tested in a multi-agency exercise last year - Business continuity plans in place and being reviewed by all departments 		<ul style="list-style-type: none"> - Continue to monitor and disseminate information from relevant agencies. 	People	<ul style="list-style-type: none"> - 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, - Enfield's Local Outbreak Plan has been approved and is maintained and updated by members of the Local Authority Outbreak Control Team (OCT). - The Council has set up a weekly Public Health Strategic Management Group to review coronavirus data. This ensures the Council maintains a strategic overview of the situation and can agree action as and when necessary <p>The Council has approved the Surge Testing Contingency Plan in readiness to respond to intensive community testing</p>
<p>CR10 – Health & Safety</p> <p>If there is an avoidable incident affecting staff / public / tenants (residential & commercial) then this could lead to injury/death, legal challenge and reputational damage. If we do not comply with</p>		<ul style="list-style-type: none"> - H&S Procedures - Training / E-learning - Occupational Health provider - Corporate Landlord responsibilities - Housing - Cladding / Smoke alarms 		<ul style="list-style-type: none"> - Regular reports to Corporate H&S Committee and Assurance Board - Ensuring works comply with legislation, codes of practice and contracts are performance managed 	Place	<ul style="list-style-type: none"> - Corporate policies and processes in place to effectively manage the council's operations - Robust risk management systems are in place to control operational risks - Corporate training programmes are in place to ensure staff have the skills and knowledge required to operate safely and mitigate risk to

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H&S requirements for buildings, then this could lead to injury/death, regulatory enforcement action and reputational damage.		<ul style="list-style-type: none"> - Electric / Gas safety - Highway maintenance - Winter Maintenance plan - Grounds Maintenance - Waste Collection - Asbestos awareness - Security/access to buildings and schools 		- H&S to be included in decision making when setting budgets for 20/21		<ul style="list-style-type: none"> relevant persons - Adequate systems are in place to manage statutory compliance across the residential and corporate Landlord portfolios with planned improvements to provide robust management - 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 - Reports to Assurance Board every other month and corporate H&S committee every quarter
CR11 - Housing 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"> - Housing strategy in place, with teams and resources in place to deliver - Continually review policies to keep abreast of current climate and good practice 		<ul style="list-style-type: none"> - Monitor housing delivery through the Housing Delivery Board - Regular meetings to monitor service delivery capacity among management and HR - We will continue to scan the horizon in order to prepare for major changes in the housing sector including: the introduction of a new Regulator for Social Housing Standards; and changes to the powers of the Housing Ombudsman such as enforcement action and a new compensation regime. 	Place	<ul style="list-style-type: none"> - Housing Strategy published. - 3,500 council owned homes programme agreed. - Low Yield programme lead in place. - Proposals to intensify existing estate regen schemes in progress. - Meridian Water Phase 2 100% affordable housing out to procurement - 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
CR12 – Major Capital Projects 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"> - Close attention to recruitment and skills of council. - Using independent specialist advisors - Capital Board reporting - Ensure executive oversight of major schemes - Monthly risk reviews of all major projects 		<ul style="list-style-type: none"> - Build in-house capacity to deliver GLA capacity funding - Ensure robust procurement controls and contact management by in house staff - Improve risk registers in housing development 	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

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CR13 – Supply Chain/Contract management 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"> - New Contract Procedure Rules (CPR) implemented in 2020 - P&C Board - Commercial board - Training - London Tender Portal - Single Contract registers for the council - Reporting non-compliance to audit committee - Performance monitoring 		<ul style="list-style-type: none"> - Review of Contract procedure rules - Review Training - Improvement plan to ensure consistent good practice across organisation - Ongoing review and improvement to the quality of the information held on contract register 	Resources	<ul style="list-style-type: none"> - This risk continues to remain medium although the following work has been undertaken: - 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. - Departmental contract boards – now up and running. Supplier Resilience programme started in Place, Resources & CEX to review impact of COVID-19 on supply chain. Restructure started which will address recruitment of HOS for contract management development & a contract manager.
CR14 - Trading companies If the Council's trading companies fail or perform poorly then this will result in significant reputational damage and financial loss.		<ul style="list-style-type: none"> - Line of delegation and reserve matters for LBE shareholder decisions - Quarterly reporting of company performance against business plan targets - Annual submission of company business plans - Governance review and action plan in place - Council member and officer presence on all company Boards 		<ul style="list-style-type: none"> - Review Public Interest Reports from other authorities and draw up action plans for Enfield. - Review of SLA efficiency and effectiveness - State Aid compliance review - Document process for considering Energetik extensions - Expanding monitoring to separate HGL business units 	Resources	<ul style="list-style-type: none"> - This risk continues to remain medium. Coronavirus risks have been managed by companies and have not to date impacted performance for most. - Separate risk register for the companies have been developed which will support risk monitoring. This is shared with Assurance Board on a regular basis. - Annual accounts have shown good progress for majority of companies against business plans.
CR15 - Staffing 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.		<ul style="list-style-type: none"> - Recruitment & selection policies reviewed - Flexible working - Mentoring schemes - Regular review of the use of agency staff - Regular review of staff absence - Benefits package - Alternate rewards - Training and development - Recruitment & Selection training for managers is live. - Departmental CPD budgets 		<ul style="list-style-type: none"> - Reduce agency workers - Customer experience programme - Culture change project and forum - Social Work Apprenticeship - Staff Seminars - Technology to support flexible engaging recruitment practises. 	Chief Executives	<ul style="list-style-type: none"> - 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) - A ERP Board is to be set up and chaired by Executive Director, Resources - The agency reduction plan and targets have been refreshed for the financial year 2021/2022 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. - Future focus will include workforce planning,

Risk Title & Description	Original Risk	Existing risk mitigations	Current Risk	Further Planned Actions	Lead Department	Update
		established and sit within each department				<p>learning and development; and talent/succession planning. This will be enabled by the implementation and embedding of the new HR structure.</p> <ul style="list-style-type: none"> - 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 launched and published 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. - Greater emphasis to be placed on using the apprenticeship levy on existing staff. This will be supported by a new apprenticeship strategy and plan. - Regular reviews of MFS in line with labour market. -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.
<p>CR16 - Financial Management If the Council fails to maintain its financial controls and or has its Statement of Accounts (SOA) qualified, then it could suffer significant reputational damage with its partners (customers, residents, suppliers and public bodies). This is because the Statement of Accounts reflects that the Council is a 'going concern'</p>		<ul style="list-style-type: none"> - General Purposes Committee and Assurance Board review of audit actions - Director of Finance has oversight SOA - Plan of improvement reviewed and updated to Audit & Risk Committee. - SOA - Bi-weekly meetings by 3 most senior finance officers 		<ul style="list-style-type: none"> - Restructure in Corporate Finance to review opportunities to strengthen team 	Resources	<ul style="list-style-type: none"> - General Purposes Committee to be updated monthly - Lead Member updated weekly - Schools have been updated with changes. - External audit underway
<p>CR17 – Tax As the Council has become more complicated in its commercial arrangements, the complexity of</p>		<ul style="list-style-type: none"> - A new monthly tax meeting takes place. - A plan of improvement is being developed to ensure that VAT in 		<ul style="list-style-type: none"> - The Council plans to send out a formal email to all key officers, particularly project managers about the need to seek tax advice 	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.

Risk Title & Description	Original Risk	Existing risk mitigations	Current Risk	Further Planned Actions	Lead Department	Update
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.		particularly is being robustly monitored and so that risks are flagged early. - Finance is now involved in most SDLT decision-making conversations. - A new mailbox has been created		and to ensure that all projects are opted to tax. - SharePoint will be set up with all records in one spot for all of the Council so there is one version of the truth.		
CR18 - Civil unrest A confluence of significant events could cause tensions in the community that may result in violence causing injury, death, financial loss and property damage		- 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 - Heightened awareness, targeted projects		- Development of pan London protocols to deal with unlicensed events. Targeted outreach, information sharing and a number of strategies including Community Safety Partnership Plan.	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. Community Safety have been liaising with the Police about potential unrest regarding the Palestine/Israeli conflict
CR19 - Climate change Climate change and severe weather events may result in a disruption to delivery of services across the Council, with financial, operational, reputational and legal Consequences		- The council has invested heavily in the delivery of a number of flood mitigation schemes in recent years. - Declaration of climate emergency - Climate action plan		- Implementation of action plan	Place	Action plan agreed and launched.

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

Risk Title & Description	Original Risk	Existing Risk Mitigations	Current Risk	Further Planned Actions	Lead Department	Linked Risks	Score
CV01 - Staff Safety 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 - Infection rate now under 20/100k (25th May 2021)	People	CR10 Health & Safety CR15 Staffing	 
CV02 - Mental Health and Wellbeing of Staff There may be an increase in		-Regular communication to promote health & wellbeing and support services		-Departments to carry out resourcing assessment of their teams to identify areas where additional skills may be required,	Chief Executives	CR10 Health & Safety	

Risk Title & Description	Original Risk	Existing Risk Mitigations	Current Risk	Further Planned Actions	Lead Department	Linked Risks	Score
employee related mental health and 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"> -Virtual Team meetings to ensure colleagues are staying connected -Employee Advice and Counselling Service for specialist confidential support for staff and household members -Crisis communications strategy agreed by Gold and implemented. -Dedicated crisis advice helpline for staff now open Monday to Friday 10am - 4pm -Staff FAQs in place & updated on weekly basis. Communications to staff also managed at Bronze levels -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 -A number of events have been put on by the Mental Health & Wellbeing Board with further events planned. -Regular mental health & wellbeing 'Tips of the Day' communication on email and screen savers. 		<ul style="list-style-type: none"> and where possible redeploy staff accordingly -Departments to develop plans to enable services to operate on skeleton staff if necessary -Further events organised by the Mental Health and Wellbeing Network -Continue to communicate regularly with residents and staff on all matters relating to COVID-19 including latest health and safety advice. -Latest COVID-19 comms strand being pushed externally and internally is promoting Test and Trace -Staff also being regularly updated on related Build the Change activity and community response initiatives through Culture Matters comms channels and through the Chief Executive's updates. -Reminder of EAP Services -TMG reps encouraged to remind their teams to use up any outstanding annual leave 		CR15 Staffing	
CV03 - Loss of Staff 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"> -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 -External Temporary Employment: External recruitment via Matrix for 		<ul style="list-style-type: none"> -Process in place and if further shortages apply these can be advertised on the council website in partnership with Matrix 	Resources	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
		<p>redundant/unemployed Enfield residents to carry out specific roles/duties for specified periods of time.</p> <p>- 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</p> <p>-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-19 and non-COVID-19 related sickness.</p>					
<p>CV04 - Staff Visits There is an increased risk of staff being exposed to infection whilst attending care visits and appointments</p>		<p>-PPE available for staff</p> <p>-COVID-19 risk assessments of work activities have been undertaken by managers detailing measures to take to minimise risk</p>		<p>- Corporate Health and Safety Team have reviewed COVID-19 risk assessments and any revisions of them as requested by services</p> <p>- Managers responsible for keeping their COVID-19 risk assessments under review and amend as needed (e.g. changes to work activity, legislation or guidance change)</p> <p>- Asymptomatic rapid tests also available to all staff</p> <p>- COVID-19 vaccinations also progressing well</p>	Place	CR10 Health & Safety	

Risk Title & Description	Original Risk	Existing Risk Mitigations	Current Risk	Further Planned Actions	Lead Department	Linked Risks	Score
<p>CV05 - Financial Impact on Income The pandemic may bring about an economic downturn, which could lead to a reduction in income as businesses and individuals become unable to meet their liabilities to the Council.</p>		-Monitoring of income and continuing to follow robust yet sympathetic debt collection processes.		<p>-We are in negotiations with central government to see how the impact of the suspension of business rates is to be mitigated.</p> <p>-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.</p> <p>-Courts have not yet agreed to summons for NNDR</p>	Resources	CR02 Failure to maximise income	
<p>CV06 - Financial Impact of Additional Expenditure If the COVID-19 expenditure exceeds the organisation's financial reserves, then we will not have sufficient funds to support activities in the medium to longer term. There is also a risk that some/all financial savings for FY19/20 and FY20/21 may not be realised</p>		<p>-Process drawn up for tracking COVID-19 expenditure across the whole organisation (Finance). Latest budget position update should be available end of March</p> <p>-Authority report submitted to Director of Law & Governance to release £3m of reserves to cover current expenditure</p> <p>-Regular meetings taking place with North Central London group to support forecasting.</p>		<p>-North Central London Finance undertaking focussed work on Council Tax and Business Rates.</p> <p>-Undertaking scenario planning in the event that there's a shortfall in Government funding</p> <p>-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.</p>	Resources	CR01 Budget Management	
<p>CV07 - Fraud During times of crisis and economic downturn, the level of staffing may decrease (potentially rendering the system of internal control less effective) whilst fraud attempts increase.</p>		<p>-Services aware of the importance of internal controls.</p> <p>-Counter Fraud Team active and available.</p> <p>-Fraud Awareness training, including Cyber Security, delivered to staff as in November 2020.</p> <p>-The Counter Fraud Team have produced a video for staff highlighting the importance of maintaining internal controls during COVID-19.</p> <p>-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.</p>		<p>-Corporate Anti-Fraud Team to communicate with key services to monitor fraud attempts and to obtain assurance that controls are operating effectively.</p> <p>-Refreshed Fraud Awareness training is being developed and will be made available to schools during Q4.</p>	Chief Executives	CR03 Fraud/Corruption	

Risk Title & Description	Original Risk	Existing Risk Mitigations	Current Risk	Further Planned Actions	Lead Department	Linked Risks	Score
CV08 - Loss of ICT 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 improved remote access. -ICT has scaled up its ability to support more than 3000 users working from home remotely and accessing key/priority applications as well as the ability to hold conference and video calls. -Issued guidance to staff on working from home and how to maximise bandwidth etc. Guidance continues to be issued via ICT intranet page with daily Tips of the Day emails to all Council staff. -ICT Business Continuity Plan has been reviewed & is up to date -Weekend ICT service desk support terminated w/e 18/04/20 -Calls to the ICT Service Desk has stabilised.		- 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 applications follows Silver & Gold authorisation process. - 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 - Looking at possible use of 3rd parties to bolster out of hours cover for Infrastructure and Networks if permanent capacity insufficient - New DR Testing Programme being developed in 2021/22 to reflect new ways of working	Resources	CR07 Loss of IT	
						CR08 Business Continuity	
CV09 - Failure of suppliers 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		-Regular review & monitoring of existing contracts -Services in this position have been asked to identify & prepare contingencies, such as alternative suppliers on SAP, shared services with other local authorities and existing supplier contingency plans -All external contractors identified on BIAs have been contacted. Service Leads are satisfied that key suppliers have adequate contingencies in		- Continued monitoring of contracts where suppliers are most at risks. - BCP Service Leads have been requested to continually keep in contact with external contractors ensuring that they are able to supply the service - Supplier resilience programme is being rolled out further by Procurement Services. Now taking place, in Place, Resources & CEX. This is looking at finance risk and supplier failure.	Chief Executives	CR09 Emergency Incident	
						CR13 Supply Chain/Contract management	

Risk Title & Description	Original Risk	Existing Risk Mitigations	Current Risk	Further Planned Actions	Lead Department	Linked Risks	Score
		place. Emergency Planning have listed all information.					
CV10 - Reduction in Service Delivery Service delivery may be affected if a significant amount of staff are unwell leading to delays in processing and responding to service requests.		<ul style="list-style-type: none"> -All employees able to work from home -Maintain register of employees that can be redeployed to other areas based on need and skills required -Regular information sharing with employees via email -Monitoring of absences and management of return to work within government guidelines -Business Continuity Plans and staff cover rotas ensure cover in the office is maintained 		<ul style="list-style-type: none"> -Develop a contingency plan for a potential second wave of outbreak -Train employees to cover vacant roles as required. -Develop plans to enable services to operate on skeleton staff. 	Chief Executives	CR06 Customer Demand	
CV11 - Supply Shortages 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		<ul style="list-style-type: none"> -ICT: carrying out daily hardware stock checks to understand gaps in mobile device & accessories and identify critical users to prioritise redeployment of hardware for remote working when required via Gold authorisation process. -Procurement: (Peter Alekkou & Claire Reilly) are identifying key suppliers against critical services list to ensure suppliers have emergency plans in place regarding supply chain, and work with services to identify 2nd & 3rd tier supply 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. 		<ul style="list-style-type: none"> -Procurement supplier findings & proposals to go to Matt Bowmer & Fay Hammond for review. Matt to review & share with Silver and Gold the corporate guidance for supplier relief. -Stock Monitoring still in 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	CR13 Supply Chain/Contract management	
CV12 - Increased demand for Social Care services If the NHS is unable to cope with additional demands, this may place		<ul style="list-style-type: none"> -Single point of contact created for each hospital on the Enfield patch with Enfield leading for NMDDX to co-ordinate health and social care 		<ul style="list-style-type: none"> - Infection control training provided via local NHS trusts to community and care home staff - Information/advice shared with providers 	People	CR01 Budget Management	

Risk Title & Description	Original Risk	Existing Risk Mitigations	Current Risk	Further Planned Actions	Lead Department	Linked Risks	Score
<p>extra burden on the Council along with a general rise in demand for services due to COVID-19</p>		<p>response to the pandemic -Daily sitrep meetings with health and council partners -Daily sitreps received via Public Health on infection and death rates in Enfield -Daily sitreps received via our social care providers on infection/death rates and ability to accept new referrals -Service response stepped up to seven days per week to facilitate timely discharges from hospital -Additional capacity created both for COVID-19 positive cases step down and non-positive cases -Opened two units at BW house to provide a further 20 residential/nursing beds for hospital discharges from NMDDX</p>		<p>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 designated beds maintained at 85 step up/step down beds for COVID-19 positive cases with no admissions to care homes of people who have tested positive - Currently have 14.5% vacancy rates in care home market. - Community equipment service continues to work Mon-Sat - Gov funding (ICF) distributed to providers as per guidance - Further gov funding for testing/staff released for payment to providers by March 21 - Care home staff vaccine level at 74% and over 90% for residents with slightly lower levels across community services - Mass daily LFD testing for provider outbreak hotspots implemented Dec 20</p>		<p>CR05 Duty of Care CR06 Customer Demand</p>	<p> </p>
<p>CV13 - Sustainability of interventions 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</p>	<p></p>	<p>-BCP will need to be reviewed for long term impact.</p>	<p></p>	<p>-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.</p>	<p>People</p>	<p>CR05 Duty of Care</p>	<p></p>

Risk Title & Description	Original Risk	Existing Risk Mitigations	Current Risk	Further Planned Actions	Lead Department	Linked Risks	Score
CV14 - Sustainability of Social Care provider markets If provider market is affected, then potential quarantine of homes or reduced community service with reduced availability of critical support services		<ul style="list-style-type: none"> -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; -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; 		<ul style="list-style-type: none"> - Lifting any embargos on providers to create additional capacity if it is safe to do so; - Provision of temporary grant funding for residential providers - 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 + 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 - Daycare providers continue to fund at 100% commissioned service 	People	CR05 Duty of Care	
						CR13 Supply Chain/Contract management	
CV15 - Supply of PPE 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.		<ul style="list-style-type: none"> -Ensuring sourcing of PPE is based on volumes, lead in times, consideration regarding certification of products, and provider track record; -Sending requests to the NHS to consider incorporating into the wider NHS supply chain; -Multiple supply sources (local & regional) are in place (current levels are adequate); -Carrying out due diligence on Pan London Memorandum of Agreement adding to supply providers (short term arrangement); -Investigating CLIPPER supply 		<ul style="list-style-type: none"> - Gov portal in place to supply free PPE - Letter sent to all direct payment users 14/10/20 informing of access to free PPE arrangements - 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 - Gov supply chain in place until March 22 	People	CR10 Health & Safety	
						CR13 Supply Chain/Contract management	

Risk Title & Description	Original Risk	Existing Risk Mitigations	Current Risk	Further Planned Actions	Lead Department	Linked Risks	Score
		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.					
CV16 - Activation of BC Plans If BCPs have not been reviewed recently or are in place, and circumstances dictate that they must be enacted at short notice, then this could severely impact the organisation's ability to plan and address the crisis, restricting its ability to fulfil duty of care to residents.		-Emergency Planning conducted update of all BPCs and presented findings to Doug Wilkinson (Silver Chair) -Gold, Silver & Bronze groups are now in place and active -COVID-19 risk register created & monitoring with Doug Wilkinson's oversight, escalations to Gold group as required -Emergency planning exercises have been carried out recently for critical services and those who have requested these.		-Lead officers to continue to monitor and disseminate information from relevant agencies. -Weekly SitReps are being sent to London Local Authority Coordination Centre. -Weekly internal SitReps are being completed and circulated to Silver and Gold -PH Strategic Management Group has been established and meets twice a week	Chief Executives	CR08 Business Continuity	
CV17 - Fuel Shortage 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	CR08 Business Continuity	
						CR09 Emergency Incident	
						CR13 Supply Chain/Contract management	
CV18 - Civil Unrest 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		-Liaising and sharing information with partners including emergency services via the Enfield Borough Resilience Forum. Fortnightly updates requested from Partners including the Emergency	People	CR05 Duty of Care	
						CR09 Emergency Incident	

Risk Title & Description	Original Risk	Existing Risk Mitigations	Current Risk	Further Planned Actions	Lead Department	Linked Risks	Score
		<ul style="list-style-type: none"> -Lead officers continue to monitor and disseminate information from relevant agencies. -Head of Community Safety regularly liaise with the Enfield Police Service 		<p>Services on the Enfield Borough Resilience Forum and shared with TMG (Silver) and SMG (Gold)</p> <ul style="list-style-type: none"> -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. <p>COVID-19 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-19 Marshalls.</p> <ul style="list-style-type: none"> - Head of Service Community Safety Planning assumption work with LRF has taken place with submission due in early Feb, to reflect combined protest issues and impact of lockdown. 		CR18 Civil unrest	
<p>CV19 - Health and Wellbeing of community</p> <p>There may be a significant impact on the health and wellbeing of the community leading to an increase in demand for welfare and care services</p>		<ul style="list-style-type: none"> -Regular calls to vulnerable residents -Community Hub in place to support our most vulnerable residents with food and medical supplies -Temporary housing supported accommodation. -Crisis communication plan in place - Webpage updated 		<ul style="list-style-type: none"> -Work with Local Strategic Partnership to identify local emerging needs -Review of grants to further support the needs of the community -Deliver agreed communications plan and update/amend as needed -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. -EST hub also leading implementation of COVID-19 Winter Food Grant from Dec 20 – March 21. New communications delivered. 	Resources	CR05 Duty of Care	
						CR10 Health & Safety	
<p>CV20 - Local Businesses</p> <p>The pandemic may bring about an economic downturn, resulting in business no longer being able to operate in Enfield.</p>		<ul style="list-style-type: none"> -Grants / Business rates relief -Learn from and build upon the Business Portal, set up during COVID-19 to become a go to space for Enfield businesses -Gather data and insight to support businesses now and in the future 		<ul style="list-style-type: none"> -Liaison with Heads of Service for Economic Development, Customer Experience and Commercial to build upon existing Business Portal -Engage with businesses to ask what they need now and in the future for Information, Advice and Guidance, including grant and 	Place	CR02 Failure to maximise income	
						CR06 Customer Demand	

Risk Title & Description	Original Risk	Existing Risk Mitigations	Current Risk	Further Planned Actions	Lead Department	Linked Risks	Score
		-Create a space for small businesses to possibly highlight council support and share a forum for business interaction		bid opportunities. -Business portal for administration of grants run by Resources – all working well)			
CV21 - Unaffordable and inaccessible space to trade and work from 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		-Good growth fund at Fore Street Library an example of future design -Seize opportunities to create infrastructure including access to strong wi-fi from wherever, whereby Enfield and neighbouring residents alongside LBE employees can work elsewhere and stay local. Thus, benefitting the local economy from disposable income spend and facilitate collaborative working.		-Use Fore Street Library and other builds as prototype modelling and design in keeping council properties purposeful, flexible and relevant to Enfield business -Growth in Enfield economy and 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 -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	Place		
CV22 - Rise in unemployment 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		- 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. This is ongoing as vacancies are advertised. - Economic Development are leading on Kickstart initiative within the borough and internally. Communication on accessing this scheme has been included in internal	Place	CR02 Failure to maximise income 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
		employment procedures for residents at risk or who have lost employment through COVID-19 gaining access to Enfield Council roles		comms.			
CV23 - Closure of LBE buildings If LBE buildings are forced to close, then some priority services may not be able to fulfil their legal obligations impacting on service delivery to residents & vulnerable service users and there will be no ability to provide face to face customer service in buildings such as Civic Centre, libraries, homelessness & social care service buildings		-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 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)		-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, 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.	Resources	CR08 Business Continuity	
CV24 - Regeneration and housing programmes 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	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
				for regeneration funding which may not be included in the AHP programme			
CV25 - Emergency repairs and health and safety compliance in council housing If there are infrastructure failures like power during the crisis and suppliers are not in a position to carry out repairs, then Council Housing tenants and vulnerable residents could be left without lighting, heating, means of access etc. which could lead to further burden on emergency services and other Council services in the short term		-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	 
CV26 - Excess Death 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.		-Joint plan with LB Haringey for excess death -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). -NCL excess mortality group is meeting as needed during the second wave -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. -All London Borough have agreed and funded the regional temporary body storage hubs for London if needed (the hubs are on standby if needed) -Enfield have measures in place should we need to increase the number of funerals for wave 2 Registrars have measures in place		- Haringey and Enfield excess mortality groups have been stood down again due to decrease in deaths - London temporary body storage regional hub (Breakspear) has been decommissioned again following wave 3 - Numbers of burials back to usual levels - Have created additional burial space at both Edmonton and Southgate Cemeteries which is nearing completion.	Place	CR05 Duty of Care CR09 Emergency Incident CR10 Health & Safety	  

Risk Title & Description	Original Risk	Existing Risk Mitigations	Current Risk	Further Planned Actions	Lead Department	Linked Risks	Score
		should they need to increase capacity for death registration for wave 2					
CV27 - High & fast infection rates 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)		-Flu plan tested in a multi-agency exercise last year -Following & enacting central government advice to flatten infection curve as quickly as possible. -COVID-19 emergency planning now active, Bronze, Silver & Gold all live, business continuity plans being reviewed by all services -All service leads are required to complete a BCM Situation Report and monitor the service on a daily basis and amend SitRep where changes to service delivery occur. -All Directors to supply an update every day on to a SharePoint document and feedback on any issues at Silver Meetings to ensure any issues are captured and dealt with before they become any issue.		- All teams have undertaken 'look back' exercises which has been feedback to Gold. Local Outbreak Control Plan has been written and published on the Council website. - Online scenario planning held with schools - Seminar held with Headteachers - Letter sent to all Enfield households - Social media being used to communicate messages - Cllrs have produced videos in non-English languages - PH and Comms working to promote NHS app when launched - Continuing work with the Faith Forum - LBE TTT due to go live week commencing 12th Oct - LFD testing starting Dec 2020 - LFD and PCR testing in place and targeted at high risk areas - Vaccine roll-out begun - National lockdown implemented - 25th May – infection rate remaining low for past 3 weeks.	People	CR10 Health & Safety	
CV28 - Community Shielding Hub & volunteer support 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	CR05 Duty of Care	
						CR10 Health & Safety	

Risk Title & Description	Original Risk	Existing Risk Mitigations	Current Risk	Further Planned Actions	Lead Department	Linked Risks	Score
CV32 - Third Wave 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	CR02 Failure to maximise income	
						CR09 Emergency Incident	
						CR10 Health & Safety	
CV33 - Third wave Care Homes/supported living schemes 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 -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		- 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 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 - Vaccine roll out across all provision has gone well with care homes at 90+% for residents and 74% for staff. Levels slightly lower in community	Place	CR02 Failure to maximise income	
						CR09 Emergency Incident	
						CR10 Health & Safety	
CV34 - Third wave Day Care 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. - Daycare now progressed to phase 4 reopening and increased bubble sizes - Vaccine programme continues with good coverage	Place	CR02 Failure to maximise income	
						CR09 Emergency Incident	
						CR10 Health & Safety	

Risk Title & Description	Original Risk	Existing Risk Mitigations	Current Risk	Further Planned Actions	Lead Department	Linked Risks	Score
<p>CV35 - Re-opening buildings Infections may spread once buildings have been re-opened, if LBE buildings are not made COVID-19 safe</p>		<ul style="list-style-type: none"> - Prior to any buildings re-opening LBE ensure the buildings are COVID-19 safe. This includes: - A building Risk Assessment, - A service Risk Assessment, - Review of building layout including access and egress, - Enhanced cleaning regimes - One way systems, - Strategically located hygiene product around the building. 		<ul style="list-style-type: none"> - Ongoing monitoring by the Accommodation Board (which replaced the Return to Work Board) - Prior to any buildings re-opening LBC ensure the buildings are COVID-19 safe. This includes, A building Risk Assessment, A service Risk Assessment, Review of building layout including access and egress, enhanced cleaning regimes, one way systems, and strategically located hygiene product around the building. These were reviewed by the Return to Work Board which has now been replaced by the Accommodation Board Roadmap spreadsheet regularly updated and reviewed at Silver 	Place	CR10 Health & Safety	

Appendix C - 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