London Borough of Enfield

General Purposes Committee

4 August 2021

Subject: **Corporate Risk Register Update**

Cabinet Member: **N/A**

Executive Director: Ian Davis, Chief Executive

Key Decision: **N/A**

Purpose of Report

1   This report presents the latest Corporate Risk Register, together with a short Brexit Risk Register update.

2   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.

3   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.**
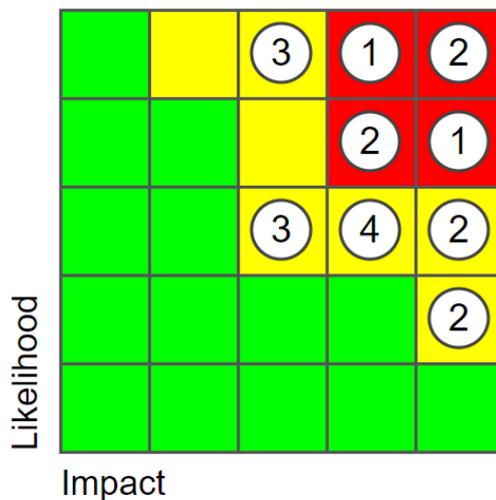
Interpreting the heat map - figure of 2 in the top right hand corner shows that the Corporate Risk Register has two high risks each with a total risk score of 25 (a Likelihood score of 5 and an Impact score of 5.)

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4   Since the last meeting there have been no changes to risk scores.

Corporate Risk Register Refresh

5   Following the introduction of the Corporate Risk Register (CRR) in June 2019, the Council has gone through significant changes and has faced unprecedented challenges which will continue to impact for many more years.

6   In view of this and that fact that the longer-term effects of Brexit and Covid-19 are now becoming integrated into business as usual, now is an ideal time to carry out a full review and refresh of the CRR.

7   As part of this refresh, we are seeking the input of a large number of stakeholders to ensure the CRR is comprehensive and fit for purpose.

8   An initial review was carried out by the Audit and Risk Management Service and also by the Risk Management Group. This has been followed by consultation with Departmental Management Teams.

9   Proposed changes so far include the addition and removal of risks, risk scoring changes and more comprehensive risk descriptions.

10   Further consultation will be taking place with officers, followed by final approval from the Executive Management Team. The refreshed CRR will then be presented to General Purposes Committee at the October meeting.

Brexit Risk Register Update

11   At the last meeting of General Purposes Committee on 30 June 2021, concerns were raised regarding the decision to incorporate the Brexit Risk Register into business as usual (BAU).

12   **Appendix C** presents an update on the Brexit Risk Register and the reasoning behind the decision to incorporate the risk register into BAU.

13   The Brexit Risk Register, owned by the Brexit Panel, was designed to cover the first 100 days following the Brexit transition period. As the transition period ended on 31 December 2020, the risk register covered the period through to 10 April 2021.

14   At a meeting on 11 January 2021, the Brexit Panel decided to temporarily halt meetings with the understanding that meetings would reconvene when necessary.

15   This decision, along with the end of the 100 days period, meant the Brexit Risk Register was no longer suitable in its current format. An assessment of the risks in the Brexit Register was undertaken with the conclusion that the remaining risks be incorporated into the Corporate Risk Register.

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Proposal

16 The General Purposes Committee is requested to note and provide comment on:

- the risks recorded in the Corporate Risk Register
- the reasoning behind incorporating the Brexit Risk Register into the Corporate Risk Register as business as usual

Reason for Proposal

17 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 is presented to the Committee for review and comment.

Relevance to the Council's Plan

Good Homes in Well-Connected Neighbourhoods

18 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

19 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

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

Background

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

22 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.

23 Therefore, the Corporate Risk Register (**Appendix A**) is presented to the Committee for review and comment.

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24 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.

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

Main Considerations for the Council

26 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.

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

Safeguarding Implications

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

Public Health Implications

29 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

30 Following the Completion of the Corporate Equalities Impact Assessment initial screening, this report does not have an Equalities impact.

Environmental and Climate Change Considerations

31 One of corporate risks (CR19) 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

32 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.

33 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

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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

34 N/A

Financial Implications

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

Legal Implications

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

Workforce Implications

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

Property Implications

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

Other Implications

39 N/A

Options Considered

40 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

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

Report Author:	Gemma Young Head of Internal Audit and Risk Management Gemma.Young@Enfield.gov.uk Tel: 07900 168938
Date of report	26 July 2021

Appendices

Appendix A: Corporate Risk Register
Appendix B: Glossary of Acronyms
Appendix C: Brexit Risk Register Update

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	🛑

Risk Title & Description	Original Risk	Existing risk mitigations	Current Risk	Further Planned Actions	Lead Department	Update
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.	🛑	- 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	🛑	- Ongoing review of adequacy reserves - Fair Funding Review - Keeping up-to-date	Resources	- 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.	🛑	- Dedicated Commercial team focussed on supporting services on maximising income - Targets and KPIs regularly monitored - Benchmarking fees and charges with other local authorities - Commercial pipeline	🛑	- 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	- 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 July 21. - The Fair Debt and Income Board (first meeting November 20) is developing action plans to deliver each of the 7 objectives of 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.	🛑	- 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	🛑	- 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	- 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

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Risk Title & Description	Original Risk	Existing risk mitigations	Current Risk	Further Planned Actions	Lead Department	Update

		- Annual audit plan and implementation of recommendations
		- Ongoing rigour to ensure that audit actions are implemented in a timely way
				Plan 2021/22 will be publicised detailing planned work in addition to our core business activities of investigating reactive referrals. These include:
				  - 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.
						Restart and Additional Restrictions grant schemes;
						- Seconding a Fraud Investigator to supervise the Test and Trace Support Payment Scheme;
						- Publishing Fraud awareness training 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.
						
						The 2021/22 Counter Fraud Operating Plan has been approved by the General Purposes Committee and includes a review of fraud risks on the Meridian Water project, as well as work analysing purchase card transactions.

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	🛑	- 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.	⚠️	- 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	- FOI related actions were addressed in the Complaints and Access to Information audit, which was a Reasonable assurance report. - 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

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						HOLS have undergone SIRO training to better understand the role. - 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. - 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 - Data Retention Awareness, compliance and review incorporated into IGB monitoring from January 2021 - GDPR training, policies and retention schedule have been reviewed / updated and signed off at IGB. 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.
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.	🛑	- 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	⚠️	- 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)	People	The following services are subject to Internal Audits for 2021-22 within the People Department: • Primary Behaviour Support Service • Secondary Behaviour Support Service • Bridgewood House • SEN Commissioning • Looked After Children • Deprivation of Liberty Safeguards COVID-19 will impact on the Council's ability to meet statutory regulations in Adults Social Care, Children's Social Care and Education SEND. Government has given Local Authorities guidance on easements for delivery of services. DMT is recording all non-compliance issues for

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		- Assurance Board				statutory regulations and reporting to Gold.
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	🛑	- 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.	⚠️	- 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	- 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

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						adults. Domestic Abuse Act 2019, introduced to the House on 3rd 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.
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.	🔴	- 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	🔴	- 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	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

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						vacancies remain - 20/21 audits regarding Cyber Security and Cloud Management received Reasonable Assurance received with no High Risks - 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
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.	🛑	- Business Continuity Management Board - Training - Adequate Insurance in place - Corporate Business Continuity (BC) plan in place - Departmental business continuity plans in place	⚠️	- 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	Chief Executives	- 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

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CR09 – Emergency Incident 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.	🛑	- Staff are adequately trained to respond - Staff volunteers to assist in responding - Out of hours response team - Incident management policies - Additional officers has led to an increase in resilience within the EP team	⚠️	-Strategic Training with the Emergency Planning College – 3 Golds and 2 members of EP Team have received training. The remaining Gold and EPO will be attending the EPC in October 2021 -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	Chief Executives	- London Standardisation Training has taken place, all teams are fully staffed. - The Emergency Response Management Teams (ERMT) consists of 9 teams and each team consist of 10 officers which includes the Council Gold - During the COVID-19 response the ERMT 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 ERMT rota are currently being recruited to.
CR09A – Coronavirus 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	🛑	- Flu plan tested in a multi-agency exercise last year - Business continuity plans in place and being reviewed by all departments	⚠️	- Continue to monitor and disseminate information from relevant agencies.	People	- 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 The Council has approved the Surge Testing Contingency Plan in readiness to respond to intensive community testing
CR10 – Health & Safety If there is an avoidable incident affecting staff / public / tenants (residential & commercial) then this could lead to injury/death,	🛑	- H&S Procedures - Training / E-learning - Occupational Health provider - Corporate Landlord responsibilities	⚠️	- Regular reports to Corporate H&S Committee and Assurance Board - Ensuring works comply with legislation, codes of practice and	Place	- 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

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legal challenge and reputational damage. If we do not comply with H&S requirements for buildings, then this could lead to injury/death, regulatory enforcement action and reputational damage.		- Housing - Cladding / Smoke alarms Electric / Gas safety - Highway maintenance - Winter Maintenance plan - Grounds Maintenance - Waste Collection - Asbestos awareness - Security/access to buildings and schools		contracts are performance managed - H&S to be included in decision making when setting budgets for 20/21		ensure staff have the skills and knowledge required to operate safely and mitigate risk to 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.	🔴	- Housing strategy in place, with teams and resources in place to deliver - Continually review policies to keep abreast of current climate and good practice	🔴	- 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	- Housing Strategy published. - 3,500 council owned homes programme agreed. - Low Yield programme lead in place. - Proposals to intensify existing estate regeneration 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	🔴	- Close attention to recruitment and skills of council. - Using independent specialist advisors - Capital Board reporting - Ensure executive oversight of major schemes	🔺	- 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 records all risks and we are satisfied that the risk is still medium

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and financial loss.		- Monthly risk reviews of all major projects				
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.	🔴	- 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	🔺	- 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	- 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.	🔴	- 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	🔺	- 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	- 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.	🔴	- 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	🔺	- 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	- Digital Service Strategy was discussed at SDB on 10 Nov 2020. ERP (Enterprise Resource Planning) 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

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Risk Title & Description	Original Risk	Existing risk mitigations	Current Risk	Further Planned Actions	Lead Department	Update
		- Recruitment & Selection training for managers is live. - Departmental CPD budgets established and sit within each department				and review meetings are taking place with senior officers and the Cabinet Lead for Finance to ensure compliance. - Future focus will include workforce planning, learning and development; and talent/succession planning. This will be enabled by the implementation and embedding of the new HR structure. - 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 (Market Factor Supplements) 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.
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'	🛑	- 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	🛑	- Restructure in Corporate Finance to review opportunities to strengthen team	Resources	- General Purposes Committee to be updated monthly - Lead Member updated weekly - Schools have been updated with changes. - External audit underway

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Risk Title & Description	Original Risk	Existing risk mitigations	Current Risk	Further Planned Actions	Lead Department	Update
CR17 – Tax 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.	🔺(yellow)	- A new monthly tax meeting takes place. - A plan of improvement is being developed to ensure that VAT in 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	🔺(yellow)	- The Council plans to send out a formal email to all key officers, particularly project managers about the need to seek tax advice and to ensure that all projects are opted to tax. - SharePoint will be set up with all records in one spot for all of the Council so there is one version of the truth.	Resources	The Tax Officer is reviewing and projecting future tax liabilities to assess the options to manage the partial VAT exemption under the 5% threshold.
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	🔴(red)	- 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	🔺(yellow)	- 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	🔴(red)	- 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	🔺(yellow)	- Implementation of action plan	Place	Action plan agreed and launched.

Appendix B - 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

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Appendix C – Brexit Risk Register Update

At the last meeting of General Purposes Committee on 30 June 2021, concerns were raised regarding the decision to incorporate the Brexit Risk Register into business as usual (BAU).

This appendix presents an update on the Brexit Risk Register and the reasoning behind the decision to incorporate the risk register into BAU.

The Brexit Panel (the Panel) was set up as a time limited, task focused group, established to assist the Council in managing its response to the UK exiting the European Union.

The Panel's primary focus during 2020 was on:

    a.   risks surrounding the Brexit transition
    b.   short term risks immediately following the transition.

As a result, the Brexit Risk Register was designed to cover the first 100 days following the transition period. As the Brexit transition period ended on 31 December 2020, the risk register covered the period through to 10 April 2021.

The Panel had ownership of the Brexit Risk Register and the risk register was reviewed at every Panel meeting.

The Panel last met on 11 January 2021 and the risks on the risk register at this meeting were as follows:

Risk Code and Title	Description
BR01 - Fuel Shortage	Fuel shortage caused by panic buying and/or delays to supply, causes disruption to key services
BR02 - Medicine and Supplies Shortages	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).
BR03 - Civil Unrest	Uncertainty may cause panic buying, riots and disturbance.
BR04 - Staffing	Uncertainty of the Brexit process may lead to staff disruption/absences.
BR05 - Funding in the First Quarter Post Brexit	Temporary delay on EU direct funding/grants scheduled to be received in first quarter post Brexit.
BR06 - Anxiety and Stress	Increased levels of anxiety and stress amongst the population and staff may lead to an increase in demand on services.
BR07 - Community Offer	Inadequate provisions and/or communications by LBE regarding services offered to facilitate transition post Brexit for EU residents of the Borough.

Risk Code and Title	Description
BR08 - Supply Chain	Disruption to supply chain may cause adverse effects on delivery of services and essential equipment e.g. PPE and/or increased costs.
BR09 - Compliance of Data and Applications	Data transfers between the UK and EU / US may not be legal or compliant and could be open to challenge.
BR11 - Housing checks and Immigration Right to Rent	Impact of updated guidance.
BR12 - Welfare	Increased costs and supply shortages may lead to a fall in the standard of welfare, including food insecurity and fuel poverty.
BR13 - Additional Care Requirements	There may be increased health care costs due to elderly British nationals returning to the UK who require more support.

At the meeting on 11 January 2021, the panel decided to temporarily halt meetings with the understanding that meetings would reconvene when necessary.

This decision, along with the end of the 100 days period, meant the Brexit Risk Register was no longer suitable in its current format.

Where a risk register is no longer suitable, several options are available:

- Option 1 - The risk register can be closed with no with no further action taken
- Option 2 - A new risk register can be created
- Option 3 - The risk register can be merged with existing risk registers

To determine the best option to use in this case, the risks on the Brexit Risk Register were evaluated to determine how they would continue to be monitored, and outcomes were assigned to each risk. The outcomes used were:

- A - Close the risk.
- B - Create a new risk
- C - Merge with an existing risk

A summary of the evaluation is as follows:

Risk Code and Title	Evaluation	Outcome
BR01 - Fuel Shortage	Fuel shortages due to Brexit alone are no longer considered likely. However, as the risk could be caused by other sources, it is monitored on other risk registers and is included under an existing Corporate Risk **CR08 Business Continuity**	**A & C**
BR02 - Medicine and Supplies Shortages	Whilst Brexit is no longer considered to be a primary cause, this risk continues to be monitored by the People Department and is included under an existing Corporate Risk **CR13 Supply Chain/Contract**	**A & C**

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Risk Code and Title	Evaluation	Outcome
	Management	
BR03 - Civil Unrest	Brexit is no longer considered to be a cause of potential civil unrest. This risk continues to be monitored by the People Department and is included under an existing Corporate Risk **CR18 Civil Unrest**	**A & C**
BR04 - Staffing	Staffing was considered to be low risk in the Brexit Risk Register. It is monitored by the Chief Executive's Department and is included under an existing Corporate Risk **CR15 Staffing**	**C**
BR05 - Funding in the First Quarter Post Brexit	No longer a risk.	**A**
BR06 - Anxiety and Stress	This risk continues to be monitored by the relevant services and is included under existing Corporate Risks **CR15 Staffing and CR06 Customer Demand**	**C**
BR07 - Community Offer	This risk continues to be monitored by the Resources Department. It is included under an existing Corporate Risk **CR06 Customer Demand**	**C**
BR08 - Supply Chain	This risk is included under an existing Corporate Risk **CR13 Supply Chain/Contract Management.**	**C**
BR09 - Compliance of Data and Applications	This risk continues to be monitored by the Resources Department and is included under existing Corporate Risks **CR04 Information Governance and CR07 Loss of IT**	**C**
BR11 - Housing checks and immigration right to rent	This risk continues to be monitored by the Place Department and is included under existing Corporate Risks **CR05 Duty of Care and CR11 Housing**	**C**
BR12 - Welfare	This risk continues to be monitored by the People Department and is included under existing Corporate Risks **CR05 Duty of Care and CR06 Customer Demand**	**C**
BR13 - Additional care requirements	This risk continues to be monitored by the People Department and is included under existing Corporate Risks -**CR01 Budget Management, CR05 Duty of Care and CR06 Customer Demand**	**C**

Following the evaluation, it was decided that **option 3 - the risk register can be merged with existing risk registers** - would be followed. This is due to the fact that a large number of the risks remain open and are being actively monitored and managed by relevant Departments.

Consideration was also given to the inclusion of an overarching Brexit risk on the Corporate Risk Register. However, as global Risk Management Standards define risks as being uncertain events, this was not considered an appropriate action given that the Brexit transition period has now ended.

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The Executive Management Team, Departmental Management Teams and individual Services continue to monitor the risks on a regular basis and the Brexit Panel is able to reconvene if it is deemed necessary.

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