London Borough of Enfield

General Purposes Committee

3 March 2022
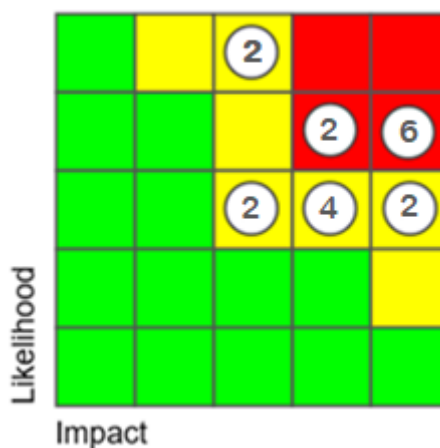

Subject: **Corporate Risk Register Update**

Cabinet Member: **Cllr Mary Maguire, Cabinet Member for Finance and Property**

Executive Director: Fay Hammond, Executive Director Resources

Key Decision: **N/A**

Purpose of Report

1 This report presents the latest Corporate Risk Register (CRR)

2 A summary of the risks on the **Corporate Risk Register** are shown in the heat map below

3 The full Corporate Risk Register can be found in **Appendix A**.

Corporate Risk Register review

4 Since the Corporate Risk Register was presented to General Purposes Committee on 13 January 2022, the following reviews have been carried out:

Review carried out by	Date
Place Department	January 2022
Resources Department	February 2022
Executive Management Team	February 2022

5   There have been no significant changes to existing risks or addition of any new risks.

6   Changes made from the last version of the Corporate Risk Register presented to General Purposes Committee have been highlighted in blue in **Appendix A**.

Proposal

7   The General Purposes Committee is requested to note and provide comment on the Corporate Risk Register presented at **Appendix A**.

8   The General Purposes Committee is requested to agree that going forward, in accordance with the Council's Risk Management Strategy:

- The Corporate Risk Register is reviewed monthly by Departmental Management Teams and quarterly by the Executive Management Team.
- The Corporate Risk Register is reviewed by the General Purposes Committee twice a year.

Reason for Proposal

9   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

10 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

11 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

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

Background

13 The Council's Risk Management Strategy requires the regular review of the risks the Council faces.

14 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.

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

16 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 maximum of two lead departments. However, this does not absolve other departments from responsibility.

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

Main Considerations for the Council

18 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.

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

Safeguarding Implications

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

Public Health Implications

21 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

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

Environmental and Climate Change Considerations

23 One of corporate risks (CR17) 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

24 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.

25 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

26 N/A

Financial Implications

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

Legal Implications

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

Workforce Implications

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

Property Implications

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

Other Implications

31 N/A

Options Considered

32 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

33 The General Purposes Committee is requested to note and provide comment on the refreshed Corporate Risk Register.

34 The General Purposes Committee is requested to agree that going forward, the Corporate Risk Register is reviewed by the Committee twice a year.

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                   Head of Internal Audit and Risk Management
                   Gemma.Young@Enfield.gov.uk
                   Tel: 07900 168938

Date of report   21 February 2022

Appendices

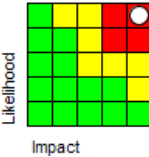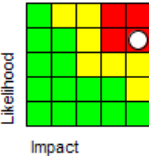Appendix A: Corporate Risk Register

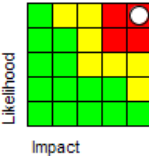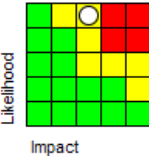**Background Papers**
None

Appendix A - Corporate Risk Register

Key:
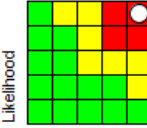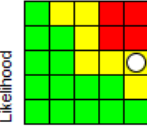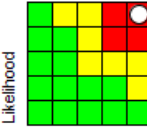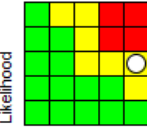
Risk Level	Risk Response	Monitoring
Low	Accept	Six Monthly
Medium	Mitigate	Quarterly
High	Escalate	Monthly
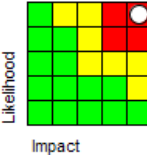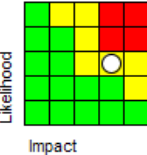
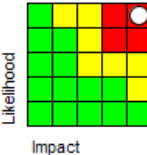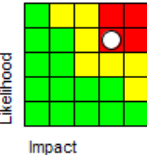| Score	Likelihood	Impact
1	Rare	Insignificant
2	Unlikely	Minor
3	Possible	Moderate
4	Likely	Significant
5	Almost Certain	Critical

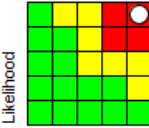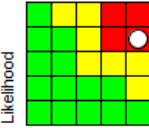| Risk Title & Description	Original Risk	What we have done so far (Existing Risk Mitigations)	Current Risk	What we still need to do (Further Planned Actions)	Lead Department
CR01 Financial resilience The Council's financial position is adversely affected. **Caused by:** - Non-delivery of agreed savings - Robustness of reserves - Covid-19 - Economic downturn - Political change - Change to the funding framework - Construction cost inflation - Interest rate changes **Impacts on:** - Delivery of Council functions - Meeting the Council's priorities and ambitions - Reputation		- Monthly reporting and forecasts reviewed by senior management - Budget Pressures board set up - Regular reporting to Executive Management Team & 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 - Deliver the budget savings agreed in February for 2021/22 - Budget pressure challenge boards ongoing process - Ongoing review of Covid-19 pressures	Resources

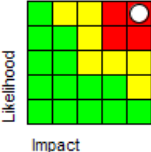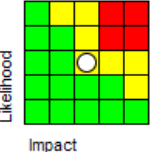| Risk Title & Description	Original Risk	What we have done so far (Existing Risk Mitigations)	Current Risk	What we still need to do (Further Planned Actions)	Lead Department
CR02 Income maximisation Income from council tax, rents, business rates, debt collections, invoices, grants, traded services, and commercial activities is not maximised **Caused by:** - Staff capacity/shortages caused by Covid-19 - Covid-19 income losses persist longer term - Lack of full understanding of grant terms and conditions - Failing to apply for eligible grants - Inefficient Debt management processes - Failure to make timely decisions **Impacts on:** - Financial pressures - Inability to deliver services - Restrictions on future aspirations	Likelihood / Impact	- 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	Likelihood / Impact	- 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 - Engagement of Analyse Local to identify new rateable properties in the borough to maximise business rate income - Commercial Board to consider opportunities to recover Covid-19 income losses	Resources

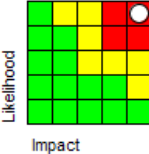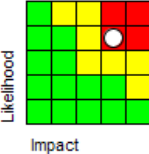| Risk Title & Description	Original Risk	What we have done so far (Existing Risk Mitigations)	Current Risk	What we still need to do (Further Planned Actions)	Lead Department

CR03 Fraud & Corruption
Council being subjected to an incident of organised or high value fraud, bribery and/or corruption
 	
Caused by:
- Ineffective internal controls
- Ineffective governance arrangements
- Lack of staff training & awareness
- Poorly defined and undocumented processes
- Changes to control environment caused by remote working arrangements
 	
Impacts on:
- Financial loss
- Reputational Damage
	Likelihood / Impact grid	- Fraud awareness training
		- Whistleblowing policy
		- Anti-Fraud strategy and action plan
		- Reporting to GPC/Executive Management Team. Pursue maximum sanctions in line with policy and regulations
		- Adequately resourced and qualified internal audit and anti-fraud service
		- Annual review of anti-fraud policies and procedures
		- Annual audit plan and implementation of recommendations
		- Ongoing rigour to ensure that audit actions are implemented in a timely way
			Likelihood / Impact grid	- Participation in anti-fraud exercises, including the National Fraud Initiative and a data matching pilot lead by CIFAS
				- Continue to carry out pre and post award assurance checks for the Covid-19 related grants
				- The Counter Fraud Operational Plan 2021/22 has been publicised detailing planned work in addition to our core business activities of investigating reactive referrals. These included:
				  - Carrying out a review of procurement made through purchase cards (further to audit work) to identify potential fraudulent transactions;
				  - 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.
				- Participating in the London Fraud Hub
					Resources

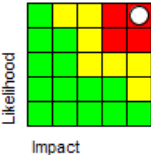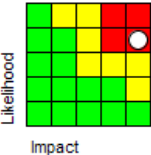| Risk Title & Description	Original Risk	What we have done so far (Existing Risk Mitigations)	Current Risk	What we still need to do (Further Planned Actions)	Lead Department
				- The Counter Fraud Operational Plan 2022/23 has been drafted for General Purposes Committee approval and will be publicised following approval	
CR04 Data Management Loss, corruption, disclosure, breach or Inefficient utilisation of data **Caused by:** - Inadequate security controls - Poorly defined and undocumented processes - Lack of effective staff training **Impacts on:** - Reputational damage - Legal action - Financial penalties (due to non-compliance with Data Protection / GDPR / PCI legislation.) - Increase in customer complaints		- 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 - GDPR training, policies and retention schedule have been reviewed / updated and signed off at IGB		- 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	Resources
CR05 Duty of Care Failure of statutory and/or safeguarding duties to adults, children, employees, residents and businesses within the Borough **Caused by:** - Staff capacity issues caused by		- 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		- 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

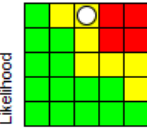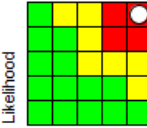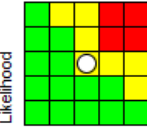| Risk Title & Description	Original Risk	What we have done so far (Existing Risk Mitigations)	Current Risk	What we still need to do (Further Planned Actions)	Lead Department
Covid-19 - Pressure within social work - Difficulty in recruiting - Poorly defined and undocumented processes and controls - Increased demand - Capacity of legal expertise - Unable to meet clinical needs in a timely manner - Social care Provider failure (insufficient council monitoring of the market and support of existing providers) - Lack of investent in provision for some services **Impacts on:** - Harm/distress to individuals or families, - Legal challenges - Reputational damage - Increase in complaints		- Internal audit and quality assurance processes - Risk management panel - Complaints & compliments system - Assurance Board			
CR06 Customer Demand Increasing or decreasing demand changes (e.g., population, demographics, political etc.) **Caused by:** - Misallocation of resources. - Impact of covid increasing demand on services **Impacts on:**		- 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 (HASC Transformation Programme) - Development of the Children's Portal (Children's Transformation		- 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	People; Place

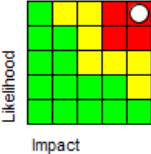| Risk Title & Description	Original Risk	What we have done so far (Existing Risk Mitigations)	Current Risk	What we still need to do (Further Planned Actions)	Lead Department
- Delivery of Council functions (including housing, construction, homelessness, people with no recourse to public funds, school places, financial assessments etc) - Increased pressure on adult social care and children's & families services - Increase in customer complaints		Programme) - Models of social work practice - Smoking cessation - Sexual health - Substance misuse services		and Project (Customer Experience Programme) addressing demand failure and prevention.	
CR07 Digital Technology Failure of the Council's digital technology **Caused by:** - Cyber-attack - Data breach - Hardware failure - Failing to deliver agreed upgrade programme - Software falls into obsolescence **Impacts on:** - Severe disruption of service delivery - Financial costs - Reputational damage (due to an inability to work and communicate)		- 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 - Security Assurance Board in place		- 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. - Delivery of Remediation Programme	Resources

Risk Title & Description	Original Risk	What we have done so far (Existing Risk Mitigations)	Current Risk	What we still need to do (Further Planned Actions)	Lead Department
CR08 Major Incident Failure to respond adequately following a major incident that impacts the Borough that adversely affects the Council **Caused by:** - Pandemic - Terrorism - Natural disasters - Flooding - Fire - Riots - Covid-19 Omicron variant **Impacts on:** - Significant financial loss - Disruption of services - Harm/distress to vulnerable people - Reputational damage - Staff absence		- Business Continuity Management Board - Staff training - Adequate Insurance in place - Corporate Business Continuity (BC) plan in place - Departmental business continuity plans in place - Staff are adequately trained to respond - Staff volunteers to assist in responding - Out of hours response team - Incident management policies - Additional officers have led to an increase in resilience within the Emergency Planning team - Strategic Training with the Emergency Planning College (EPC) – 3 Golds and 3 members of Emergency Planning Team have received training. - Chief Executive and Director of Law and Governance have completed Multi Agency Gold Incident Commander (MAGIC) training. - Implementation of COVID-19 infection control measures and government guidance. - Ongoing communication with staff about the risk of COVID-19 and how		- Department & Service BC Plans are constantly being updated and reviewed during COVID-19 - Corporately Services and Departments have reviewed plans in line with lessons learnt from COVID-19 - Multi Agency Gold Incident Commander (MAGIC) training to be arranged for 3 Council Golds. - Tactical Training with the Emergency Planning College will be arranged for all Council Silvers. Four Council Silvers and 1 Emergency Planning Officer (EPO) will be attending the EPC in December. The remaining Council Silvers and 2 EPOs will book to attend in 2022, EPC will be releasing dates in the near future - Amend COVID-19 staff risk assessments as and when needed - Continue to monitor COVID-19 government guidance and provide updated communications to staff. - Council Gold and Silver meeting in response to current risk as	Chief Executives

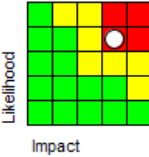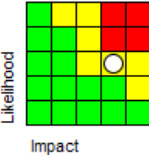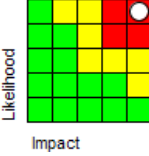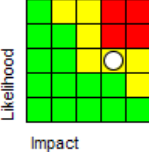| Risk Title & Description	Original Risk	What we have done so far (Existing Risk Mitigations)	Current Risk	What we still need to do (Further Planned Actions)	Lead Department
		to mitigate risk. - Individual staff risk assessments for COVID-19 - Supporting staff to maintain health and wellbeing (including mental wellbeing) during the pandemic		appropriate	
CR09 Health & Safety If there is an avoidable incident affecting staff or tenants (residential & commercial) **Caused by:** - Not complying with Health & Safety requirements for buildings - Lack of staff training and awareness - Changes due to new flexible working arrangements **Impacts on:** - Injury/death - Legal challenge - Reputational damage - Fines - Increase in insurance claims - Regulatory enforcement action		- H&S Procedures - Training / E-learning - Occupational Health provider - Highway maintenance - Winter Maintenance plan - Grounds Maintenance - Asbestos awareness - 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 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		- Regular reports to Corporate H&S Committee and Assurance Board - Ensuring works comply with legislation, codes of practice and contracts are performance managed - Health and Safety to be included in decision making when setting budgets for 22/23	Place

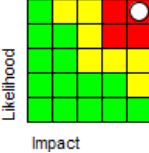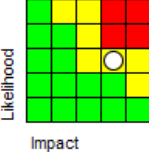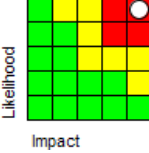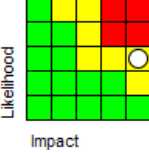| Risk Title & Description	Original Risk	What we have done so far (Existing Risk Mitigations)	Current Risk	What we still need to do (Further Planned Actions)	Lead Department
		via the Corporate Health and Safety Management Plan, the Departmental and Corporate Performance reports, the Departmental and 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			
CR10 Housing Failure to deliver the housing strategy and respond to the changing regulatory environment around Council housing delivery **Caused by:** - Affordability (Borrowing Cap) - Construction cost inflation - Poor programme management - Insufficient staff capacity **Impacts on:** - Increasing homelessness and demand on other areas of the Council - Regulatory intervention - 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 - Housing Strategy published (3,500 council owned homes programme agreed) - Low Yield programme lead in place.		- 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 - Proposals to intensify existing estate regeneration schemes in progress. - Meridian Water Phase 2 100% affordable housing out to procurement	Place

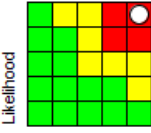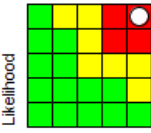| Risk Title & Description	Original Risk	What we have done so far (Existing Risk Mitigations)	Current Risk	What we still need to do (Further Planned Actions)	Lead Department
				- Preparing to address the requirements to meet the regulatory standards. - Reviewing complaints handling within the service - Looking at organisational learning to make long term service improvements	
CR11 Regeneration & Growth Failure to improve and regenerate the Borough agreed objectives and targets through economic regeneration, capital projects (e.g., Meridian Water.) open spaces, parks, and highways **Caused by:** - Affordability (Borrowing Cap) - Construction cost inflation - Poor programme management **Impacts on:** - Reputational damage - Financial loss - Opportunity loss - Negatively impacts on the wellbeing of residents and businesses. - Could lead to Enfield becoming an undesirable location to businesses		- 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 - Detailed risk register for Meridian Water in place		- 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

Risk Title & Description	Original Risk	What we have done so far (Existing Risk Mitigations)	Current Risk	What we still need to do (Further Planned Actions)	Lead Department
CR12 Supply Chain & Contract Management Failure to effectively commission, procure and manage its key contractors or partners **Caused by:** - Inadequate contract management - Lack of staff training - Lack of clear policies and procedures - Non adherenece to policies and procedures - Poor procurement practices **Impacts on:** - Unable to deliver key services - Demonstrating value for money - Supplier failure	*(risk matrix: Likelihood/Impact)*	- New Contract Procedure Rules (CPR) - P&C Board - Commercial board - Staff training - London Tender Portal - Single Contract registers for the council - Reporting non-compliance to audit committee - Performance monitoring - Updated contract management guide has been put on the intranet - Departmental contract boards – now up and running	*(risk matrix: Likelihood/Impact)*	- 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 - Training strategy to support the upskilling of staff in contract management drafted. Audit completed; implementation of actions ongoing - Supplier Resilience programme started in Place, Resources & CEX to review impact of COVID-19 on supply chain - Wider Procurement Team restructure nearing completion and key posts recruitment has been undertaken effective from mid-February 2022	Resources
CR13 Commercial Ventures The Council's commercial ventures (Energetik, HGL, Montagu etc.) fail or perform poorly **Caused by:** - Affordability (Borrowing Cap)	*(risk matrix: Likelihood/Impact)*	- Line of delegation and reserve matters for LBE shareholder decisions - Quarterly reporting of company performance against business plan targets - Annual submission of company	*(risk matrix: Likelihood/Impact)*	- 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	Resources

Risk Title & Description	Original Risk	What we have done so far (Existing Risk Mitigations)	Current Risk	What we still need to do (Further Planned Actions)	Lead Department
- Inadequate performance monitoring **Impacts on:** - Significant reputational damage - Financial loss - Failure to meet Council objectives		business plans - Governance review and action plan in place - Council member and officer presence on all company Boards - Separate risk register for the companies have been developed		considering Energetik extensions - Expanding monitoring to separate HGL business units	
CR14 Staffing Excessive workloads placed on staff and an overreliance on key staff **Caused by:** - If the organisation does not live its values and behaviours - Lack of succession planning - Poor working conditions - Industrial action **Impacts on:** - Inability to recruit/retain key staff - Increased costs due to agency staff - Increased stress, sickness & absence - Staff wellbeing & performance - Service delivery - Statutory responsibilities - Knowledge loss - Staff morale		- Recruitment & selection policies reviewed - Flexible working - Mentoring schemes - Regular review of the use of agency staff - Regular review of staff absence - Benefits package - Alternate rewards - Training and development - Recruitment & Selection training for managers is live - Departmental CPD budgets established and sit within each department - Regular agency spend challenge is in place with the aim to reduce long term agency placements - Employee experience programme, linked to leadership and culture are being delivered - Second year of Social Work Apprenticeship is now in place. Exploring overeseas social worker recruitment		- Technology to support flexible engaging recruitment practises. - Digital Service Strategy was discussed at SDB on 10 Nov 2020, ERP (Enterprise Resource Planning) was agreed as the preferred organisational tool - An ERP Board is to be set up and chaired by Executive Director, Resources. This has been deferred to April 2022 - 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 - New apprenticeship strategy and plan has been developed, and will be implemented - Workforce strategy 2018-21 is	Chief Executives

Risk Title & Description	Original Risk	What we have done so far (Existing Risk Mitigations)	Current Risk	What we still need to do (Further Planned Actions)	Lead Department
		- Each department runs a Staff Seminar every quarter - Business continuity plans in place for all services		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. - Identify how Services might prioritise activities for significantly reduced workforce. - Ongoing recruitment underway to fill vacant positions. For example, overseas recruitment for social worker vacant posts, MFS and golden hellos for critical hard to fill posts. - New applicant tracking system (ATS) will be procured and implemented to improve candidate and internal user experience. This will be in advance of the integrated ERP system due to the retirement of current I-Grasp in December 2022 - Pilot scheme underway to train mental health first aiders across the Council to support the workforce on mental health related matters	

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CR15 Tax Getting the partial tax exemption wrong **Caused by:** - Complicated commercial arrangements - Regen programmes - Complexity of VAT, Corporation Tax and SDLT (Stamp Duty Land Tax) - Lack of awareness by services aware of their responsibilities around tax **Impacts on:** - £2m hit to revenue - HMRC fines	*Likelihood / Impact risk matrix*	- 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	*Likelihood / Impact risk matrix*	- 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 - The Tax Officer is reviewing and projecting future tax liabilities to assess the options to manage the partial VAT exemption under the 5% threshold	Resources
CR16 Community Cohesion Heightened tensions in the community **Caused by:** - Political events - Significant national or international incidents **Impacts on:** - Violence causing injury or death - Financial loss - Property damage - Reputational damage	*Likelihood / Impact risk matrix*	- 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	*Likelihood / Impact risk matrix*	- 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

Risk Title & Description	Original Risk	What we have done so far (Existing Risk Mitigations)	Current Risk	What we still need to do (Further Planned Actions)	Lead Department
CR17 Climate Change Climate change and severe weather events **Caused by:** - If the Council does not meet its targets published in the Climate Action Plan **Impacts on:** - Disruption to delivery of services - Financial costs - Reputational damage - Legal action - Wellbeing 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 agreed		- Implementation of action plan	Place
CR18 Equality, Diversity, and Inclusion Council does not meet its targets set out in the Fairer Enfield Policy 2021-25 **Caused by:** - Lack of training - Unclear policies and procedures - Lack of awareness of responsibilities by staff **Impacts on:** - Reputational damage - Missed opportunity to improve equality, diversity and inclusion - Legal challenge - Financial impact		- Equality, Diversity & Inclusion Policy developed - Equalities Annual Report agreed with Cabinet - The Equality webpage was updated, in to reflect the new Fairer Enfield Policy - Corporate Equalities Board established and will provide oversight and governance in respect of the new policy - Additional scrutiny supplied by the new Member chaired Equalities Board - New Equalities Impact Assessment template and guidance in place - Copies of EqIAs are maintained as part of each service's records		- Implementation phase of Equality, Diversity & Inclusion Policy ongoing - The Corporate Equalities Board will review progress made towards achieving equalities objectives annually. - A new staff pulse survey is in development which will measure the proportion of staff from different protected groups who feel valued, their perceptions of engagement and access to training and development opportunities	Chief Executives

Risk Title & Description	Original Risk	What we have done so far (Existing Risk Mitigations)	Current Risk	What we still need to do (Further Planned Actions)	Lead Department
		- L&D have rolled out a programme of equalities training package.			
CR19 Legislation, Regulations, and Standards Council does not comply or is slow to respond to new or changed legislation, regulations, and standards **Caused by:** - Changes in legislation - Lack of awareness of standards required in profession - Lack of training **Impacts on:** - Reputational damage - Legal action - Financial penalties - Poor external assessment		- Horizon scanning carried out by Services - Membership of professional organisations, journals, and websites to keep up-to-date with changes - Updated training available via iLearn - Guidance and policies published on intranet and Council's website - Legal team is up to date with current legislation. - Regular reviews of policies. Recent updates include Procurement, Equalities and Climate		- Preparations ongoing 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	Chief Executives
CR20 - Financial Management The Council fails to maintain its financial controls and or has its Statement of Accounts (SOA) qualified **Caused by:** - Staff capacity - Unclear policies and procedures - Lack of understanding of responsibilities - Knowledge loss through restructures and leavers		- General Purposes Committee and Assurance Board review of audit actions - Director of Finance has oversight of SOA - Plan of improvement reviewed and updated to GPC. - Bi-weekly meetings by 3 most senior finance officers - Schools have been updated with changes		- Restructure in Corporate Finance to review opportunities to strengthen team - General Purposes Committee to be updated monthly - Lead Member updated weekly - External audit underway - CIPFA Financial Management review underway	Resources

Risk Title & Description	Original Risk	What we have done so far (Existing Risk Mitigations)	Current Risk	What we still need to do (Further Planned Actions)	Lead Department
Impacts on: - Significant reputational damage with stakeholders (customers, residents, suppliers and public bodies)					